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<b>TAXATION AND CUSTOMS UNION DG ITSM</b>		
<b>SUBJECT:</b> <b>ITSM DLV 8.6.1.2.2 - External Processes</b> <b>ITSM external processes &amp; procedures definition and</b> <b>description</b>		
<b>REF: ITS-IRPT-SC06-EPP-004</b>		
<b>FRAMEWORK CONTRACT # TAXUD/2007/CC/088</b>		
<b>SPECIFIC CONTRACT 06</b>		

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## DOCUMENT HISTORY

Edi.	Rev.	Date	Description	Action (*)	Pages
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0	01	09/06/2008	First Draft	I	All
0	02	20/06/2008	Template applied; description of procedures continued.	I/R	All
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1	00	19/12/2008	Meeting decisions implemented; internal QC; SFA	I/R	As req.
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0	02	09/06/2009	After receiving input from Incident Management	I	Added proposed template for Incident notifications at the of paragraph 7.3 Incident notification (EP3.2)

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annual maintenance (all Business Threads): ITS-IRPT-EPP-002-DLV 8 6 1 2 2 - External Processes Evol-EN-3 00.doc					

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0	04	28/04/2010	After XXX QA review	I/R	As required
0	10	28/04/2010	Submission for Review	-	-

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(\*) Action: I = Insert R = Replace

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## 1. Introduction

This document represents the deliverable DLV.8.6.1.2.2 “ITSM DLV 8.6.1.2.2 - External Processes” identified in Specific Contract 06 to Framework Contract TAXUD/2007/CC/C088, Work Package WP.8.6.1 ICT Infrastructure Management - Design and Planning.

This document supersedes the External Processes deliverable produced for Specific Contract 04 [R16].

### 1.1 Purpose

ITSM is working co-operatively with a number of external parties (also referred to as contractors or service providers) to deliver the end-to-end service to the DG Taxation and Customs Union (DG TAXUD). ITSM is dependent upon activities, services and information provided by external parties. As each provider in the delivery chain has its own processes and procedures supported by their own toolset, a number of interfaces are required to support the collaboration, communication and coordination (such as assigning incidents to each other, share data/documentation and coordinate change requests).

To support the collaboration and orchestration in a multi-vendor environment, guidelines and reference points (technical, procedural, organisational) are needed. These reference points are called Service Provider Interfaces (SPI).

This document addresses the SPIs between the ITSM contractor and other external parties for which ITSM is dependent upon for the delivery of IT services to DG Taxation and Customs Union.

A number of the identified interfaces and related external procedures are currently not fully formalised and must be worked out more in detail. Often these interfaces have been put in place rather reactively, in response to daily operation needs, instead of in a proactive and structured way. This document therefore also identifies some recommendations and additional interfaces to be implemented. The actual improvement of these procedures will be addressed by the CSI process.

### 1.2 Document structure

The external processes and procedures document contains the following chapters briefly described below.

Chapter 1 gives information about the document characteristics such as purpose, structure, scope, maintenance and dependencies.

Chapter 2 and 3 list the related documentation and data sources, as well as the abbreviations and acronyms used in this document.

Chapter 4 provides an overview of the interfaces between the ITSM processes (in scope of the Framework Quality Plan, FQP) and processes executed by external parties. These interfaces are identified and described per ITSM process.

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Chapter 5 deals with the transactional interfaces involved in coordinating the day-to-day activities between involved providers. These interfaces initiate tasks to be executed by another party monitored through service level metrics.

Chapter 6 deals with the procedures required to collect the information/data, knowledge and documents needed to perform ITSM processes and complete specific ITSM deliverables. Providers need to publish service management data to enable the ITSM organisation to create and maintain specific ITSM deliverables (such as the Capacity Plan).

Chapter 7 deals with the specific alerts and notifications (communication) which are required to inform the involved parties of specific events.

Chapter 8 covers the procedures for the interactions related to quality management with the QC Contractor (QA/QC).

Chapter 9 describes the findings (related to the current implementation of these external process interfaces) and identified recommendations for improvements. This chapter also covers the additional external procedures to be implemented (proposed interfaces).

Annex A covers the requirements for the shared contact list (which needs to be maintained by each of the involved parties). The contact list should provide the details of the persons and groups responsible for specific tasks (based upon standard ITSM roles). The actual contact list is not maintained in this document<sup>1</sup> but a reference to the list is available in the Annex A – Contact List.

Annex B describes the type of forms (or templates) that are required for the transactional interfaces.

Annex C covers the general escalation procedures.

### **1.3 Field of Application**

This document covers the ITSM external processes and procedures definition and description, addressing all business threads. With the aim of harmonisation and simplification in mind, the detailed examination of the required touch points with the external parties, revealed that there was no need to propose different procedures per individual business threads currently in scope.

This document describes the interfaces related to the ITSM processes orchestrating and/or initiating IT service management activities of other service providers in the Commission Domain.

This document also captures the interfaces with external parties that ITSM requires and/or is dependent upon for meeting the service agreements with DG Taxation and Customs Union. ITSM for example needs to be involved during development by X-DEV to ensure the services can meet the SLA requirements in production.

This document however does not cover what external parties may require from ITSM as these services are defined in the PQP, FQP and underlying service catalogue.

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<sup>1</sup> The contact list is modified too often to be published as part of this deliverable.

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A large amount of procedures related to the collaboration between external parties are already defined in the PQP, FQP and CQP. In these cases, only a reference is made to these procedures to prevent the duplication and/or overlap between these documents.

The following (external) parties are in scope of this document:

Description	External party
Operations and support parties (involved in the day-to-day delivery of the end-to-end services)	DIGIT/DC CCN/TC NA Operations
Development parties (including corrective maintenance and technical support for application issues)	X-DEV including: <ul style="list-style-type: none"> <li>• CUST-DEV2</li> <li>• FITS-DEV2<sup>2</sup></li> </ul>
Quality management (QA/QC)	QA Contractor

Table 1-1: External parties

Interfaces between ITSM and the parties listed in the above table that are managed and coordinated by other parties than ITSM are not in scope. This document thus only covers the direct touch points between ITSM and the external parties. Interactions with external parties that must be communicated through DG Taxation and Customs Union are defined in the FQP.

Interfaces with other parties such as the customer/user community are also not in scope of this document (as these are also defined in the FQP).

This document does not define the functional and technical design specifications of the interfaces (for example to exchange incident tickets between service management tools).

Where applicable, interface templates (standard documents to be used) are to be developed as integral part of the actual implementation of these external interfaces. These templates are to be maintained in a shared document management system accessible through a Web-interface.

## 1.4 Document maintenance

The external process model might require a periodical revision (evolutive version of the External Processes Model DLV.8.6.1.2.2). The actual revisions to be undertaken by the ITSM contractor will be specified in the relevant Specific Contracts or RfAs.

## 1.5 Dependencies

The actual implementation of the service provider interfaces (and related external processes and procedures) requires the establishment of formal agreements between parties, for which

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<sup>2</sup> The activities of EMCS-DEV and FITS-DEV were recently handed over to FITS-DEV2.

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DG Taxation and Customs Union is responsible to ensure that the involved parties adhere to the defined procedures.

- The technical implementation of these external interfaces is part of WP.7 (Application development for ITSM tooling). This work package can cover detailed analysis of the requirements to implement these interfaces, development of the forms, and implementation.

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## 2. Reference and Applicable Documents

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

### 2.1 Reference Documents

Id	Reference	Title	Version
R1	FQP	Framework Quality Plan	1.04
R2	TCE-PQP-MD	TCP Quality Plan	6.04
R3	CUSTOMS-PQP	Customs Quality Plan	1.31
R4	ECP-PQP001	ECP Quality Plan	1.07
R5	TCE-PQP-MD	TCP Quality Plan	6.04
R6	TMP-GDL-DEA	TEMPO Deliverables Acceptance Guide	0.18
R7	TMP-TEC-QA	TEMPO Quality Assurance	1.10
R8	TMP-TEC-QC	TEMPO Quality Control	1.10
R9	ITS-IFQP-SC01-Annex 6	Internal Procedure for QA-QC	1.00
R10	ITS-IFQP-SC01-Annex 8	Internal procedure for Escalation	1.00
R11	TMP-TEC-DCR	TEMPO Document Review Technique	1.13
R12	ITSM-IP023-Document-Review	Document review (internal procedure)	0.01
R13	ITS-IFQP-SC01-Annex 7	Internal Procedure for Internal Audit (appendix to FQP).	1.00
R14	ITSM-IP181-Application Management	Internal procedure for Application Management	0.01
R15	ITS-IRPT-EPP-001-DLV 8 6 1 2 1 – External Processes	External processes and procedures (delivered as part of Specific Contract 02).	1.00
R16	ITS-IRPT-EPP-002-DLV 8 6 1 2 1 – External Processes	External processes and procedures (delivered as part of Specific Contract 04).	1.00
R17	ITS-IFQP-SC04-Annex 23	Conformance Testing	1.04
R18	ITS-IFQP-SC04-Annex 27	CSIP	1.09

Table 2-1: Reference documents

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## 2.2 Applicable Documents

An applicable document is a document of which the content is binding for the contractor in the context of this document.

Id	Reference	Title	Version
A1	ITS-IFQP-SC01-Annex11-H-I OLA	Hosted Infrastructure OLA between XXX and DG Taxation and Customs Union.	1.00
A2	TAXUD ITSM - TERMS OF REFERENCE	ITSM Terms of Reference	1.00-EN
A3	TAXUD ITSM - TECHNICAL ANNEX	Technical Annex to the Model Framework Contract of ITT TAXUD/2006/AO-007	1.00-EN
A4	ITS-IFQP-SC01-Annex10-Contractual OLA	Contractual OLA ITSM between DG TAXATION AND CUSTOMS UNION and XXX	1.00
A5	Terms of collaboration – Annex I	SPECIFICATIONS FOR IMPLEMENTING AVAILABILITY AND CONTINUITY IN NCTS	1.06 - EN
A6	CQP	Contract Quality Plan for SC04	1.00
A7	Framework Contract TAXUD/2007/CC/088	Framework Contract	1.00
A8	ITS-IFQP-SC04 Annex 5	Contractual OLA SC04 between DG TAXATION AND CUSTOMS UNION and XXX	1.00
A9	ITS-IFQP-SC04 Annex 6	Hosted Infrastructure OLA between XXX and DG Taxation and Customs Union	1.00
A10	TAXUD/2007/DE/117	Specific Contract 02	N/A
A11	TAXUD/2007/CC/088	Specific Contract 04	N/A
A12	Ares(2009)116230	Trigger, Evolutive version one-offs SC04	N/A

Table 2-2: Applicable documents

ITSM external processes & procedures definition and description	REF.: ITS-IRPT-SC06-EPP-004
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### 3. Terminology

#### 3.1 Abbreviations and Acronyms

A list of the principal abbreviations and acronyms used is provided here for a better understanding of this document.

Abbreviation / Acronym	Description
AMDB	Availability Management Database
ACF	Application Configuration Form
ATS	Acceptance Test Specification
BMM	Bilateral Monthly Meeting
CI	Configuration Item
CIRCA	Communication and Information Resource Centre Administrator
CMDB	Configuration Management Database
CPT	Central Project Team
CQP	Contract Quality Plan
CSIP	Continuous Service Improvement Programme
CT	Conformance Test(ing)
CTO	Conformance Testing Organisation
CTTT	Conformance Testing Time Table
CTCS	Conformance Testing Configuration Sheet
CUST-DEV2	Development contractor for customs systems
DQR	Delivery Qualification Report
DG	Directorate General
DG DIGIT	Directorate General for Informatics
DG TAXUD	Directorate General Taxation and Customs Union
DIGIT/DC	Data Centre of the European Commission
DLV	Deliverable
DSL	Definitive Software Library
DTM	Deliverables Tracking Matrix
EMCS	Excise Movement and Control System
EMCS-DEV	Development contractor for excise systems
EP	External Procedure

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<b>Abbreviation / Acronym</b>	<b>Description</b>
FITS-DEV	Development contractor for Fiscalis systems
FITS-DEV2	Contractor to whom EMCS-DEV and FITS-DEV activities were handed over
FQP	Framework Quality Plan
FSC	Forward Schedule of Changes
ID	Identifier
IPR	Installation Procedure
ISHS	Information System Hosting Services
ITSCM	Information Technology Service Continuity Management
ITSM	Information Technology Service Management
MPR	Monthly Progress Report
MSR	Monthly Service Report
N/A	Non applicable
NA	National Administration
NCTS	New Computerised Transit System (e-Customs)
NPP	National Project Plan
ODL	Operational Documentation Library
OLA	Operational Level Agreement
PQP	Program Quality Plan
PSAT	Pre Site Acceptance Test
PSP	Project Support Platform
QA	Quality Assurance
QC	Quality Control
RfA	Request for Action
RfC	Request for Change
RfE	Request for Estimate
SAT	Site Acceptance Test
SC	Specific Contract
TIR	Test Incident Record
TOR	Terms of Reference
SLA	Service Level Agreement
SMT	Service Management Tools
SOA	Service Outage Analysis
SPI	Service Provider Interface

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<b>Abbreviation / Acronym</b>	<b>Description</b>
SPOC	Single Point of Contact
TEMPO	Taxud Electronic Management of Projects On-line
TIR	Test Incident Report
ToC	Terms of Collaboration
VIES	VAT Information Exchange System
WP	Work Package
X-DEV	Development contractors (CUST-DEV2, FITS-DEV2)

Table 3-1: Abbreviations and acronyms

### 3.2 Definitions

<b>Term</b>	<b>Definition</b>
External processes and procedures	Definition of activities and tasks to support the collaboration and communication with external parties, which supports one or more Service Provider Interfaces.
Service Provider Interfaces	Interfaces or touch points (process and organisational interfaces) between ITSM and other involved external parties for which ITSM depends upon. Service Provider Interfaces help to coordinate end-to-end management of IT Services.

Table 3-2: List of definitions

ITSM external processes & procedures definition and description	REF.: ITS-IRPT-SC06-EPP-004
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## 4. Overview of involved parties and interfaces

### 4.1 Involved External Parties

This chapter provides an overview of the involved external parties related to ITSM, which are in scope of this document.

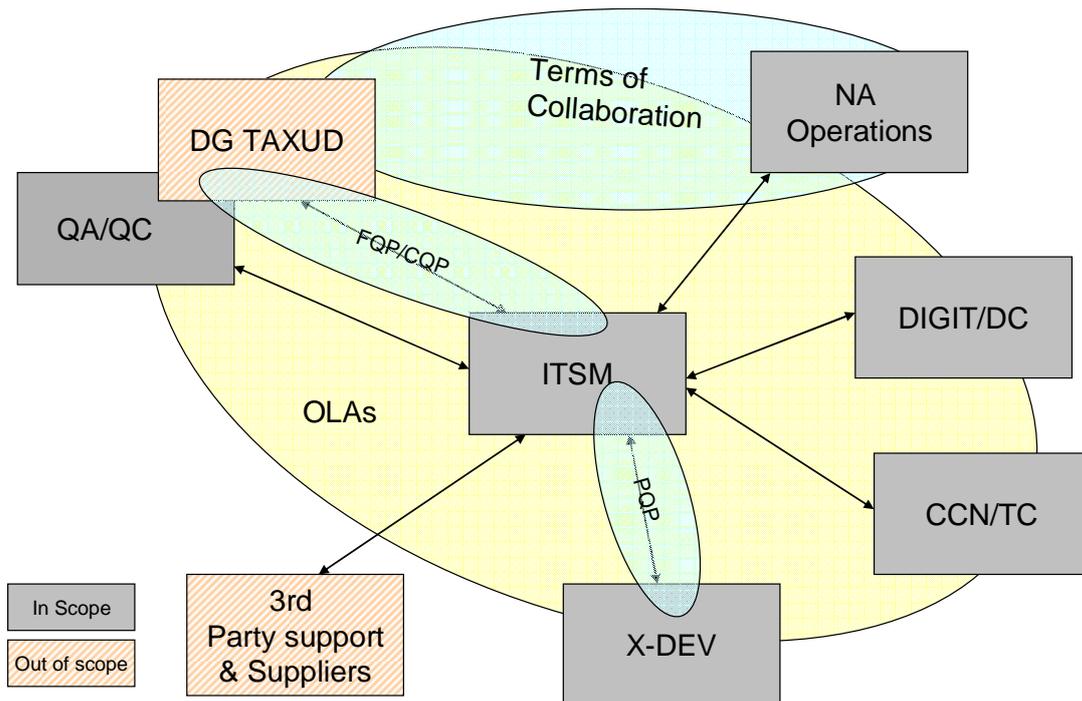


Figure 4-1: Collaboration with external parties

The collaboration between the depicted providers should be covered by contractual agreements (see chapter 4.2). It is important to note that not all these contracts are currently in place, see also chapter 9 (recommendations).

The involved parties and their role are shortly described below:

#### ***X-DEV(Development)***

The development contractors commonly referred to in the following as X-DEV are:

- CUST-DEV2;
- FITS-DEV2.

These development parties are for example involved in problem management activities (e.g. application bug fixing).

#### ***CCN/TC (service provider)***

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The CCN/TC contractor provides CCN/CSI service management (service delivery and support, ICT Infrastructure Management, operations management and security management) including its Service Desk for the NAs and the contractors of DG Taxation and Customs Union and its application development.

***DIGIT/DC (service provider)***

The Data Centre of the Commission (DIGIT/DC) placed under the responsibility of DG DIGIT (IT General Directorate of the Commission), hosts part of the DG Taxation and Customs Union information systems. The ITSM contractor has to interact with DIGIT/DC.

***NAs Operation Teams (and National Service Desk) (service provider)***

For each trans-European system, the NAs (National Administrations) have national project and operation teams, responsible for the deployment and operation of the national components (national Configuration Items including national applications) of these systems. Such national teams exist per system or per group of systems e.g. for EMCS, NCTS, VIES, CCN and tariff applications.

The national project and operation teams use the IT services provided by DG Taxation and Customs Union to deliver, in turn, their IT services to their national users, peers in other NAs and to the trade community. Only a restricted set of users in the NAs have access to the ITSM Service Desk, which acts as an <sup>nth</sup> line support for the national Service Desks.

***QA Contractor***

The QA contractor is responsible for the provision of services in the area of quality assurance and quality control of the IT services and deliverables supplied to DG Taxation and Customs Union, including ITSM. The QA contractor is also in charge of conducting regular security and quality audits of the other IT contractors on behalf of DG Taxation and Customs Union.

*Comment: These contractors/parties each have their own processes, procedures and related ITSM tooling.*

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## 4.2 Governance structure

The ITSM service provider interfaces and external processes are governed by different contractual agreements between DG Taxation and Customs Union and the four service providers, as shown in the following diagram:

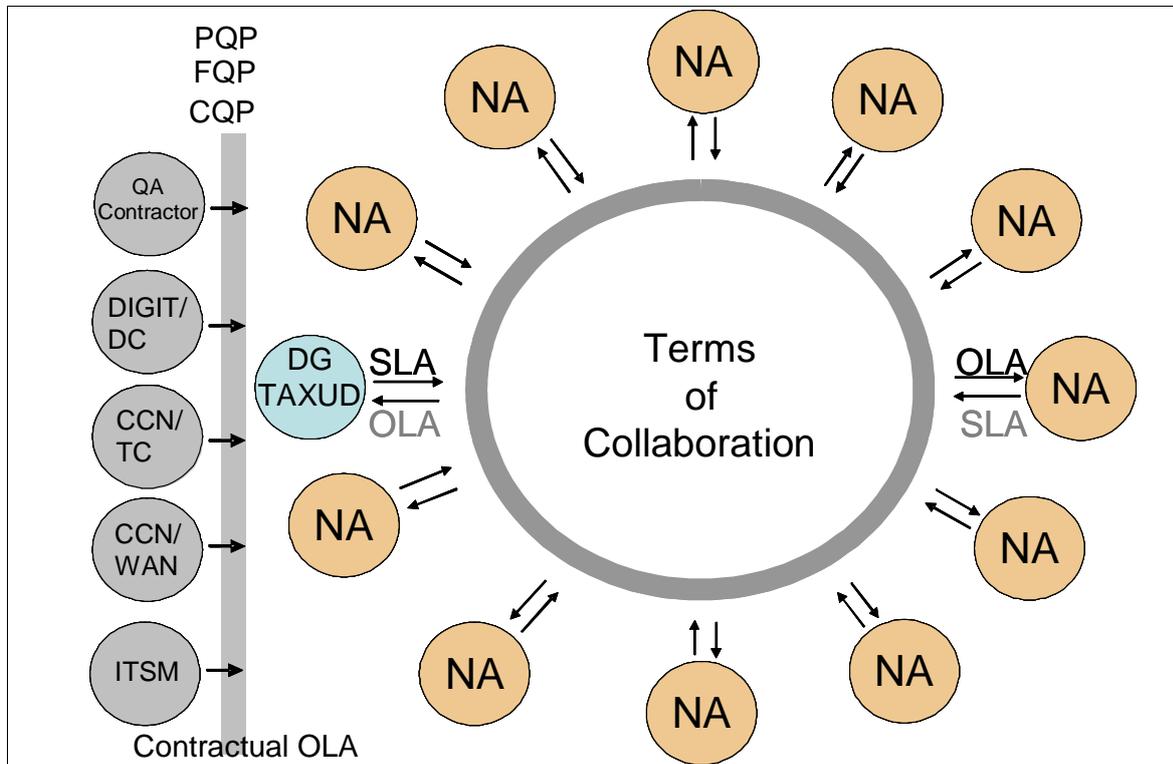


Figure 4-2: Governance structure

The following agreements/contracts are related:

- **Operational Level Agreement (OLA):** is set between DG Taxation and Customs Union and its third party providers, including DIGIT/DC and CCN/TC. They must define the minimum operational levels that the third party commits to deliver to DG Taxation and Customs Union;
- **Service Level Agreements (SLAs):** provide the basis for managing the relationship between ITSM and DG Taxation and Customs Union. It is an Agreement between an IT Service Provider and a Customer. The SLA describes the IT Service, documents Service Level Targets, and specifies the responsibilities of the IT Service Provider and the Customer. A single SLA may cover multiple IT Services or multiple customers;
- **Terms of Collaboration (ToC):** define the mutual obligations of the NAs and DG Taxation and Customs Union around the Common Domain. They can be considered as being both a multi-lateral SLA and OLA binding NAs and DG Taxation and Customs Union around the Common Domain for each of the customer/user communities within each business and ITSM thread;

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- **Quality Plans (PQP/FQP/CQP):** Whilst the SLAs and OLAs describe what the target service levels to be achieved are, the Quality Plans define how they detail the procedures and standards to be applied to ensure that the service levels meet their targets.

In case of conflict between the procedures defined in this document on the one hand and the contractual documents (SLA/OLA) on the other hand, the latter will always take precedence.

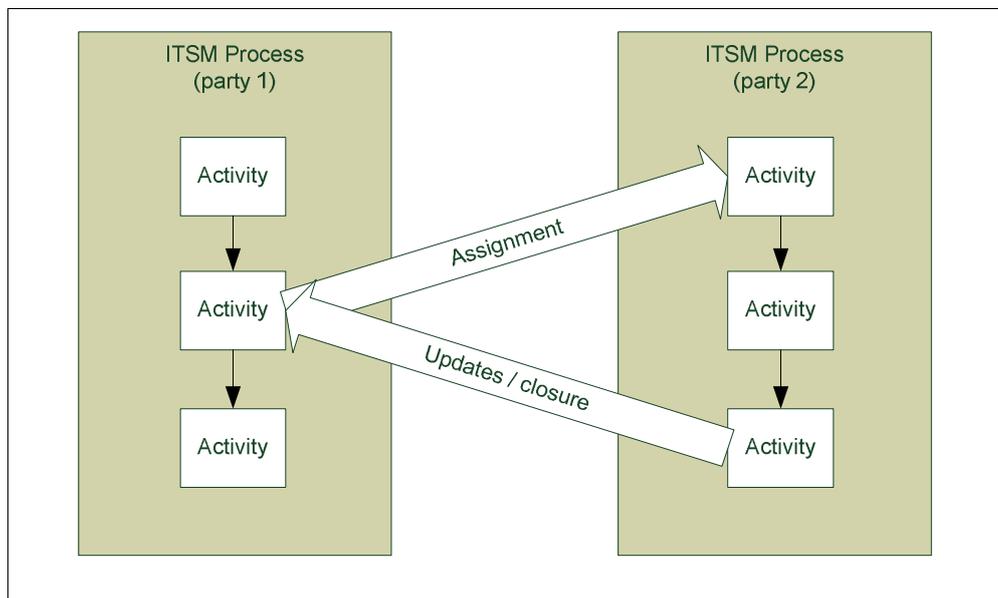
### 4.3 Interface types

Collaboration between the different service providers can be divided into the following service provider interfaces:

- **Transactional** interfaces (requesting actions and activities/tasks to be executed by other parties); for example: ITSM assigns an incident or request to an external party;
- **Data and document exchange** interfaces (sharing knowledge and documentation, publishing reports and data according to predefined templates and timelines); for example: provide availability and capacity data to ITSM on a periodic basis;
- **Alert and notification** interfaces (general information/communication channels for informing the involved parties of specific events); inform ITSM in case of scheduled unavailability.
- **Quality management interfaces;** defining the interfaces between ITSM and the QA Contractor; for example: participation in audits and maturity assessments.

#### 4.3.1 Transactional interfaces

Transactional interfaces refer to external procedures related to the assignment of specific tasks/work orders to external parties. These interfaces thus trigger ITSM related activities executed by each of the providers. As shown in the diagram below ITSM will initiate an action to be completed by another party, for example to resolve an incident that has been reported to the ITSM Service Desk.



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Figure 4-3: Task assignment (transactions)

To initiate an activity on behalf of another party one of the following triggers/mechanisms can be used:

Transaction Type ID	Request type	ITSM Process	Description	External group (assignment group)
TTID-01	Incident	Incident management	Assign incidents to other parties for resolution.	Service Desk / Incident management group (SPOC)
TTID-02	Service request	Incident management	Raise standard requests for specific support and services provided by the involved parties (e.g. access request; meeting request; review documents; deploy software; request a specific task to be performed).	Service Desk / Incident management group (SPOC)
TTID-03	Problem	Problem management	Assign problems to service providers to create a workaround, conduct root cause analysis, service outage analysis and provide a structural solution.	Problem management group
TTID-04	Change request (RFC)	Change management	Raise formal request for change (RFC) to another service provider.	Change management group (or Service Desk)

Table 4-1: Transaction types

All outstanding tasks are monitored and controlled by the ITSM Service Desk. The ITSM Service Desk monitors the completion of the outstanding tasks against defined SLAs and OLAs (if applicable / available).

#### 4.3.2 Data and document exchange interfaces

External procedures related to data and document management support the general exchange of data that each of the parties is responsible to maintain.

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Each provider is responsible to manage a large amount of data for example related to CIs, capacity/performance, availability and security.

The following data/documents are defined to be in scope of this data exchange:

<b>Data / Document</b>	<b>Description</b>	<b>Required ITSM tool (for storage of the data)<sup>3</sup></b>	<b>Source process</b>
Known errors	Definition of known errors and related workarounds (stored in the knowledge base).  The known errors are currently managed in Known Error Lists (KEL) grouped per business thread.	Knowledge base  Document management system	Problem Management
Capacity data	Capacity and performance data and trend reports.	Capacity management database	Capacity Management
Availability data	Availability data and trend reports.	Availability management database	Availability Management
Configuration management data	Configuration data (list of services, applications, servers, network connections, etc.).  Configuration reports (after changes). Update of CI changes.	CMDB	Configuration Management
Contact details	Organisational data and contacts of each provider (related to the ITSM roles and groups).	CMDB  Document management system	Configuration Management

<sup>3</sup> Not all mentioned tools are currently implemented; possible gradually implementation will be part of CSIP.

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<b>Data / Document</b>	<b>Description</b>	<b>Required ITSM tool (for storage of the data)<sup>3</sup></b>	<b>Source process</b>
Change schedule (also referred to as change list)	Forward schedule of changes (including releases). This also includes all planned outages (e.g. due to maintenance activities).	Change schedule	Change Management Release Management
Software packages	Exchange source codes / software scripts and installation procedures.	DSL	Application Development Release management
Business monitoring data	Data related to business usage of IT services (number of transactions, etc.).	Capacity management database	Business Perspective Management
Knowledge records and documentation	Documents related to operations and support of specific applications and ICT infrastructure components. This includes for example: design specifications, installation procedures and manuals.	Knowledge base ODL Document management system	Application Development ICT Infrastructure Management
Service reports	Reports related to process activities and service levels (e.g. overview of incidents, outstanding problems, changes, etc.).	Document management system	Service Level Management
CT Organisation	Information on the organisation and time tables of CT campaigns and agreements	Document management system	Conformance Testing (Application Management)

Table 4-2: Data and document exchange types

<b>ITSM external processes &amp; procedures definition and description</b>	<b>REF.: ITS-IRPT-SC06-EPP-004</b>
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### 4.3.3 Alert and notification interfaces

Alerts and notifications refer to procedures that external parties need to adhere to, required to inform ITSM of specific events that have occurred and/or actions that have been taken by these parties that ITSM and/or end-users needs to be aware of. These are described in the FQP document [R1], in the section “WP.8.1.2 – Incident management”.

The alerts and/or notifications are related to a specific condition or threshold that has been exceeded (part of an ITSM process).

ITSM needs to be aware of these events to be able to inform the user community and/or take appropriate measurements.

For example, the external providers must proactively inform the ITSM Service Desk of any outage or incident that may affect the business.

Distinction is made between the following types of notifications:

- Event: inform ITSM of detected exceptions (by monitoring tools); these events are investigated following the ITSM Infrastructure Management process;
- Incident: inform ITSM of detected/registered and/or potential incidents; these incidents are further monitored following the ITSM Incident Management process;
- Change notification: inform ITSM of planned changes; these notifications are processed by the ITSM Service Desk (as an input for ITSM Change Management and ITSM Availability Management processes).

These notifications are generated by the different service providers CCN, DIGIT/DC and NAs.

See chapter 7 for more details.

### 4.3.4 QA/QC interfaces

The quality management interfaces define the touch points between ITSM and the QA Contractor.

The quality management interactions can be divided into QA and QC interactions. 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 and systems 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). Quality Control includes the review of the document deliverables by DG Taxation and Customs Union, contractors (e.g. QA contractor) and possibly other stakeholders (e.g. NAs) with the aim to detect and eliminate any possible quality flaws or scope deviations.

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<b>Category</b>	<b>Interface</b>	<b>Description</b>
QA interactions	Audits, assessments and verifications	ITSM participates in audits, assessments (e.g. maturity assessment) and verification activities of the QA Contractor.
	Follow-up on action plans	QA Contractor monitors the outstanding action plans (actions created as a result of CSIP, internal and external QA activities).
	CSIP	QA Contractor is one of the contributors of CSIP.
QC interactions	QC of deliverables provided by ITSM	Review cycle of deliverables produced by ITSM.
	QC of deliverables provided by other parties (to be reviewed by ITSM)	Review cycle of deliverables produced by other parties in which ITSM participates for the validation and acceptance.
	QC of Tests (preSAT, SAT, qualifications and CT)	Interactions related to test management activities (e.g. FAT missions, CT Support Missions).
	QC of ITSM Activities	<p>QA Contractor is mandated by DG TAXUD to check the performance of the services against the levels defined in the contractual OLAs, to check the quality on call management, on CMDB data or do some ad hoc QC when requested.</p> <p>The general sources of information are MSR/MPR, Incidents, CMDB Extracts, Availability Dashboard, ITOP...</p> <p>QA Contractor will report to DG TAXUD and those reports may result into specific discussions/activities/changes for ITSM but it will always come from DG TAXUD and therefore can not be considered as an interface between QA Contractor and ITSM and will not be covered in the rest of the document</p>

Table 4-3: QA/QC interactions

<b>ITSM external processes &amp; procedures definition and description</b>	<b>REF.: ITS-IRPT-SC06-EPP-004</b>
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These QA/QC interactions are also defined in the FQP and PQP of the involved parties.

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#### 4.4 Interface diagram

The diagrams below shows a graphical overview of external processes and procedures between ITSM and other operations parties involved.

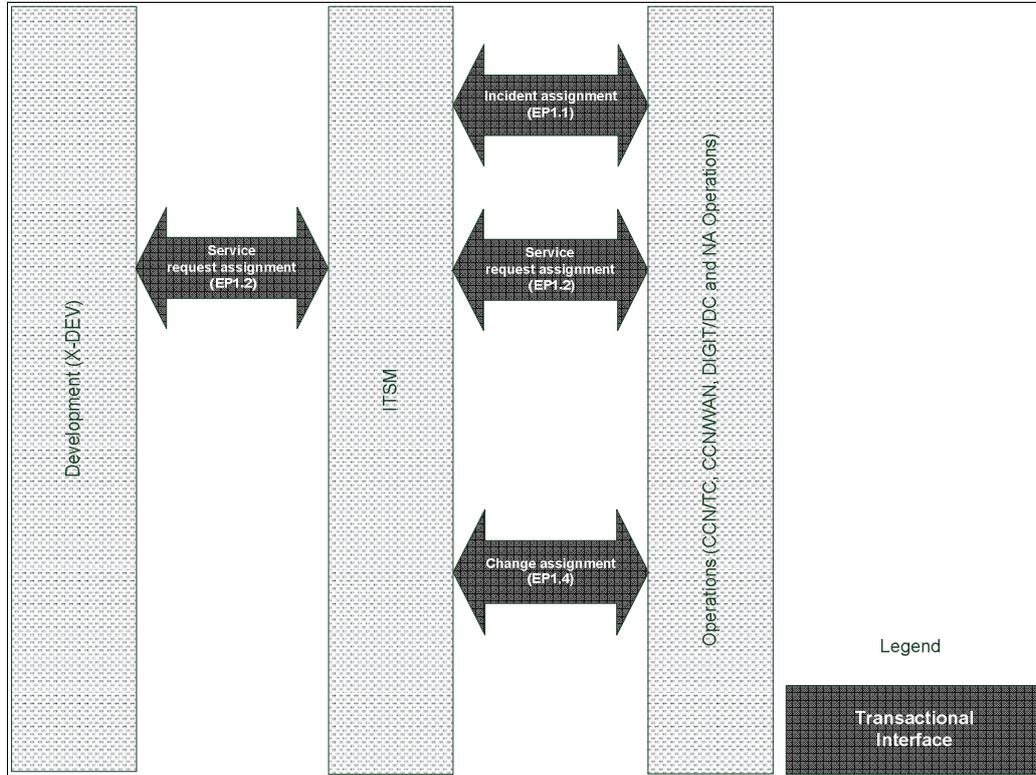


Figure 4-4: Transactional interfaces

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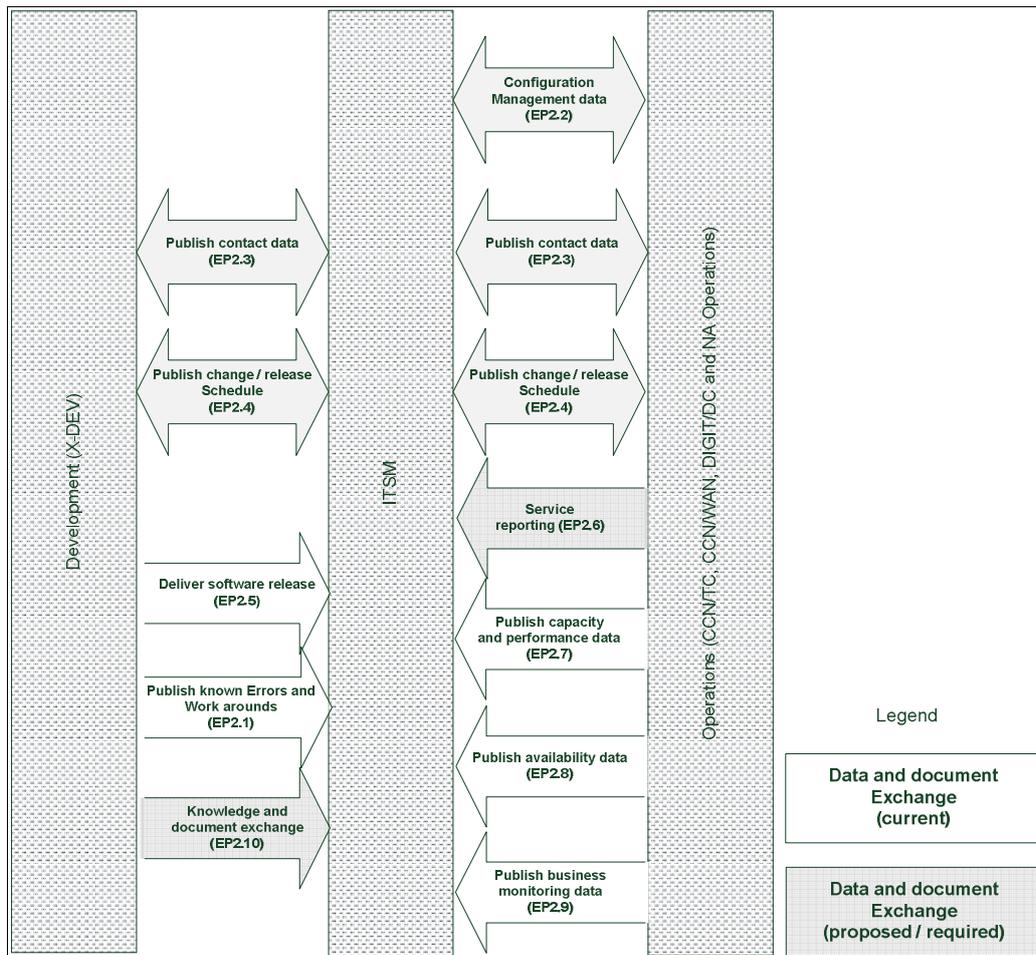


Figure 4-5: Data and document exchange interfaces

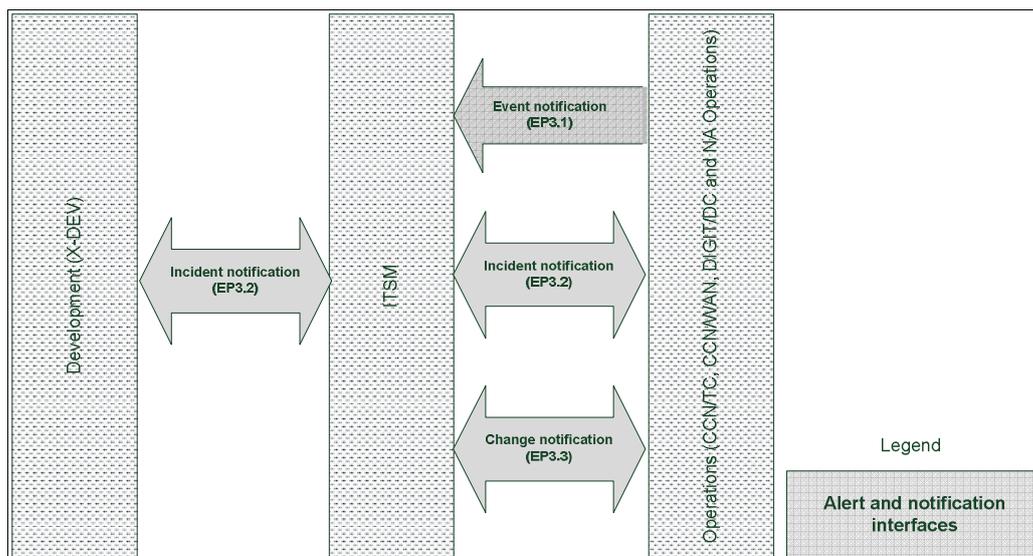


Figure 4-6: Alert and notification interfaces

<b>ITSM external processes &amp; procedures definition and description</b>	<b>REF.: ITS-IRPT-SC06-EPP-004</b>
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The following diagram shows the external interfaces between ITSM and the QA contractor.

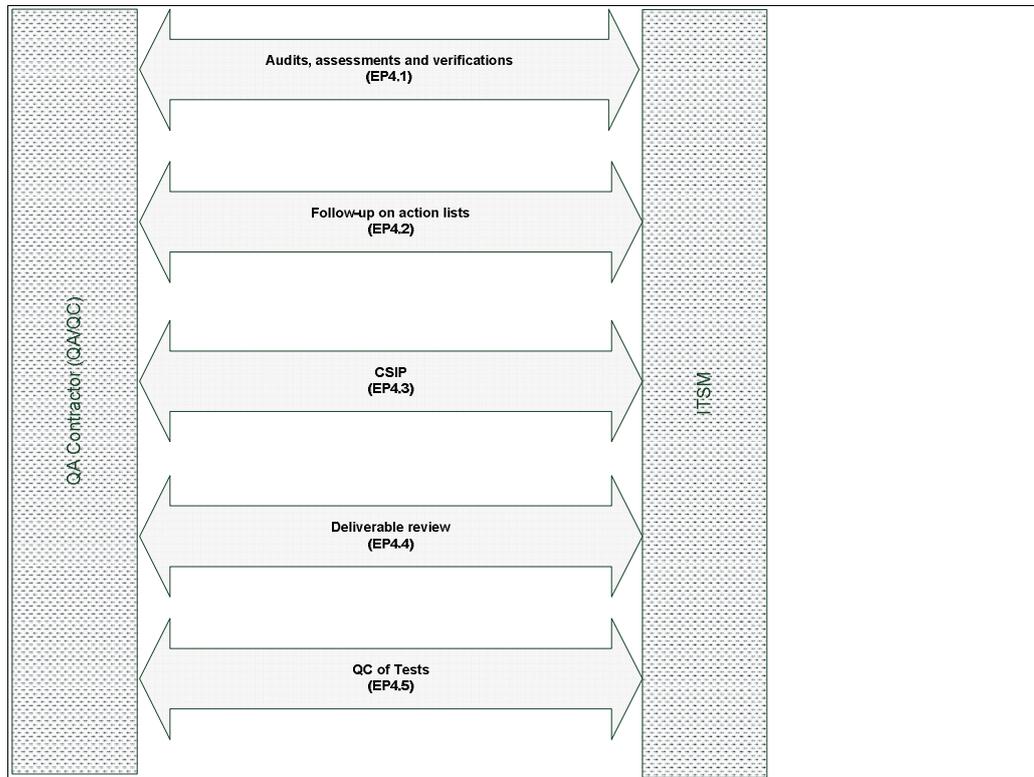


Figure 4-7: QA/QC interfaces

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## 4.5 Interface catalogue (service provider interfaces)

### 4.5.1 SPI related to ITSM Processes

This chapter provides an overview of SPIs related to each of the ITSM processes (as defined in the FQP). This table is used to identify the relevant external processes and procedures per ITSM process as defined in the FQP.

Details of these interfaces such as responsibilities and associated service levels should be covered in the agreements with the involved external parties (which need to be coordinated and formalised by DG Taxation and Customs Union), and must include:

- Identification of integration points between various management processes of ITSM and the other service providers;
- Identification of specific roles and responsibilities for managing the ongoing systems management relationship with both parties;
- Identification of service levels such as target response times (related quality indicators);
- Identification of relevant IT management information that needs to be communicated on an ongoing basis.

The following table shows all interfaces and relevant external processes and procedures:

ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
Application Development (WP7) for ITSM tooling	Develop interfaces between IT management tools of the involved providers	<p>Implementation of automated interfaces between providers (e.g. for data exchange between ITSM tools). For example: develop an interface between SMT (of ITSM) and IRMA used by DIGIT.</p> <p>The actual implementation of an interface is covered by the Application Development process. The collaboration needed with for example DIGIT requires a project oriented approach.</p>	N/A for this document.	<i>Not applicable for this document</i>

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
Service Desk (WP.8.1.1)	Service Desk interactions	The Service Desk coordinates a large number of process interactions between parties defined below (incident, problem, change and release management).	N/A for this document	<p><i>See procedure related to Incident Management, Problem Management and Change Management.</i></p> <p>Relevant FQP procedures::</p> <ul style="list-style-type: none"> <li>• IM1.1 Register and classify call</li> <li>• IM1.2 Assign incident</li> <li>• IM2.1 Investigate and diagnose</li> <li>• ChM1.1 Record RFC</li> <li>• ChM4.1 Order change implementation</li> </ul>
Incident Management (WP.8.1.2)	Incident assignment/escalation to external party	<p>Incidents reported at the ITSM Service Desk (by end-users, monitoring tools and/or ITSM staff) can be assigned to other service management parties for investigation and resolution.</p> <p>Purpose: assign incident to responsible party.</p>	ITSM	EP1.1. Incident assignment

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		Example: incident escalation to DIGIT/DC and/or Application Development 3rd parties.		
	Event notification	<p>Involved parties must actively inform ITSM Service Desk of events detected which need to be investigated by ITSM (including associated monitoring data).</p> <p>Purpose: inform ITSM of important system events (detected by external party).</p> <p>This is relevant if the external party is monitoring specific CIs on behalf of ITSM (e.g. DIGIT/DC monitors specific application components on their servers).</p>	DIGIT/DC; CCN/TC; NA Operations	EP3.1. Event notification
	Incident notification / raise incident	<p>Involved parties must actively inform the ITSM Service Desk of any incident detected within their domain such as: unscheduled unavailability, performance degradations, ...</p> <p>Involved parties must raise incidents if they observe abnormal behaviour by a system or one of its components.</p> <p>Purpose: inform ITSM of occurred incidents (which may affect the service delivered to the business).</p> <p>Each party must inform the ITSM Service Desk of status updates, progress made and if applicable</p>	ITSM; DIGIT/DC; CCN/TC; NA Operations; X-DEV; External suppliers (e.g. Microsoft).	EP3.2. Incident notification

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		<p>provides a temporary workaround.</p> <p>For example: DIGIT detects that an error occurred on a server (which falls under their responsibility). DIGIT manages the entire life cycle of this incident in their own incident management system. DIGIT informs ITSM of the situation and provides a periodic update of the status.</p> <p>Suppliers such as X-DEV might also raise alerts for example if they discover a security breach in their software. These alerts need to be investigated to determine the potential impact.</p>		
Request Management (WP.8.1.2.x)	Request assignment to external party	<p>ITSM can issue formal service requests to parties to provide support, assistance, participate in meeting and a broad range of other tasks (as defined in the service catalogue).</p> <p>Purpose: assign requests/tasks to external parties (standard tasks).</p> <p>Service requests are formal work orders, which can be assigned to external parties to execute standard tasks as agreed in the contract.</p>	ITSM	EP1.2. Service request assignment
	Raise service request	An external party can raise a service request for specific actions to be taken by ITSM such as to deploy a software component, meeting request,	DIGIT/DC; CCN/TC;	<i>Standard request procedure as defined in the FQP.</i>

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		<p>request for a conference call, request for support or request for access to a CI managed by ITSM.</p> <p>The service requests are defined in the service catalogue covered by the FQP. External parties can requests these services to the ITSM Service Desk.</p>	<p>NA Operations X-DEV</p>	<p><i>See FQP for this procedure: IM1.1 Register and classify call (call will be classified as a service request).</i></p>
Problem Management (WP.8.1.3).	Problem assignment to external party	<p>ITSM can assign problem tasks to external parties.</p> <p>Identified problems need to be investigated by external parties. A problem is raised and assigned to the external party who will be involved in problem analysis and resolution (e.g. to resolve the known error).</p> <p>Purpose: involve external parties in the investigation, analysis and resolution of problems.</p> <p>Example: application related problems need to be jointly investigated with X-DEV (to determine the root cause, provide a workaround and provide a solution for the permanent fix).</p>	ITSM	EP1.3. Problem assignment
	Published known errors	<p>The ITSM organisation must proactively be informed about potential problems and known errors including possible workarounds which can be applied to incidents (e.g. from development, for performance related issues).</p> <p>Purpose: inform ITSM of known errors and</p>	<p>DIGIT/DC; CCN/TC; X-DEV; ITSM; External suppliers</p>	EP2.1. Publish known errors and workarounds

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		<p>workarounds.</p> <p>ITSM publishes these known errors on the new ITSM Portal as defined in FQP procedure PM1.5 Document Known Errors/ Workaround.</p> <p>External suppliers may also publish known errors and workarounds for which ITSM can be subscribed (e.g. Microsoft and Oracle); which may include the related software patches/fixes.</p>	(such as Microsoft, Oracle).	
Configuration Management (WP.8.1.4)	Provide configuration data	<p>External parties need to provide ITSM with configuration data. They are to provide an overview of new, modified or retired CIs (CMDB reports).</p> <p>Purpose: share relevant configuration data between involved parties (to know the dependencies and relationships between CIs managed by the different providers).</p>	DIGIT/DC; CCN/TC; NA Operations	EP2.2. Configuration management data exchange
	Provide contact details	<p>Each external party maintains contact and organisational data. This data must be exchanged with the involved parties (this includes functional mailbox, phone numbers, managers). This list defines the roles and responsibilities of persons and groups within each organisation.</p> <p>Purpose: maintain a central contact list to improve communication between parties (know who and how</p>	DIGIT/DC; CCN/TC; X-DEV ; ITSM.	EP2.3. Publish contact data

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		to contact the responsible person).		
Change Management (WP8.1.5)	Change assignment to external party	The ITSM Service Desk can request a change to be executed by the external party.  Purpose: assign a change or change task to an external party.	ITSM	EP1.4. Change assignment
	Change request raised by external party.	External parties can raise a change request to be executed by the ITSM organisation. The external party then acts as a change requestor.	N/A for this document	<i>Refer to standard change management procedure within FQP.</i>  <i>See FQP for more details (see procedure ChM.1 Record and Initiate Assessment).</i>
	Publish change / release schedule (change list)	The ITSM Service Desk should be informed of all planned changes and releases (e.g. scheduled unavailability).  Purpose: maintain and publish a central schedule of all planned changes to inform all stakeholders (including scheduled unavailability).  The external party should provide information related to: <ul style="list-style-type: none"> <li>• The release schedule;</li> <li>• The change list (including scheduled</li> </ul>	DIGIT/DC; CCN/TC; NA Operations; ITSM	EP2.4. Publish change / release schedule  EP3.3 Change notification

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		<p>unavailability, projected service outage).</p> <p>The ITSM organisation must be consulted and needs to approve changes affecting service levels to the business.</p> <p>Example: DIGIT is planning an upgrade/patch or fix on a server.</p>		
	Change notification alerts	<p>The ITSM Service Desk needs to be informed of all planned changes and receive a notification after the execution of the change (including details of the success/failure after the implementation).</p> <p>The following change notifications should normally be received at the ITSM Service Desk (however not always consistently provided by external providers):</p> <ul style="list-style-type: none"> <li>• Change notification to announce a planned change (prior to execution);</li> <li>• Change notification after change has been implemented (closure event).</li> </ul> <p>Purpose: monitor the planned and actual execution of changes (including unavailability due to changes).</p>	ITSM; DIGIT/DC; CCN/TC; NA Operations	EP3.3 Change notification
Release Management (WP.8.1.6)	Software release (for inclusion in the DSL).	ITSM maintains the DSL. The external parties must deliver the software packages to be included in this library (receive software updates from	X-DEV; External suppliers for COTS software	EP2.5. Deliver software release

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		development). This includes any patches/fixes and related documentation such as installation procedures. Purpose: transfer software packages/updates from X-DEV. ITSM must store all software packages and associated documentation in the DSL consistently. External suppliers may also release patches/fixes for COTS software (for which ITSM is subscribed).	(e.g. Microsoft, Oracle)	
	Publish release schedule	External parties are to publish planned releases.	X-DEV; DIGIT; CCN/TC; NA Operations.	<i>See EP2.4 Publish change / release schedule</i>
Service Level Management (WP.8.2.1)	Service reports	External parties must provide a monthly report of their performance against SLA/OLA targets.	DIGIT/DC; CCN/TC;	EP2.6 Service Reporting (proposed additional interfaces – not yet existing)
Capacity Management (WP.8.2.2)	Capacity data	ITSM needs to receive capacity and performance data from all involved parties for trend analysis and inclusion in the capacity plan. Different parties are involved in collecting and	DIGIT/DC; CCN/TC; NA Operations	EP2.7 Publish capacity and performance data

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		<p>analysing capacity and performance data for ITSM reporting. Service providers should collect and provide capacity data to ITSM (and vice versa) including capacity trend reports.</p> <p>Purpose:</p> <p>Example: CCN and DIGIT collects performance and resource utilisation data, which need to be shared with ITSM.</p>		
IT Service Continuity Management (WP8.2.3).	Disaster recovery / Failover notification	<p>External parties must inform ITSM immediately in case of emergencies requiring the disaster recovery procedure to be initiated.</p> <p>Purpose: ITSM should be informed of any failover situations (which may affect performance and/or temporary outages).</p> <p>This alert/event is initially received by the Service Desk (and registered as an incident) as defined in FQP procedure IM.1 Incident Intake. Depending upon the impact and expected resolution time the DRP invoke procedure needs to be triggered (SCM3.1 Assess initial damage).</p>	DIGIT/DC; CCN/TC;	<i>See EP1.1 Incident assignment</i>
Availability Management (WP8.2.4).	Availability data	Different parties are involved in collecting and analysing availability data for ITSM reporting. Service providers should collect and provide	DIGIT/DC; CCN/TC;	EP2.8 Publish availability data

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		<p>availability data to ITSM (and vice versa) including availability reports.</p> <p>Purpose: inform ITSM of availability of the underlying ICT infrastructure managed by the other providers.</p> <p>Example: CCN collects network availability data.</p>	NA Operations	
	Publish scheduled unavailability	<p>External parties must publish any scheduled unavailability to the ITSM organisation (as defined in the Change management section; WP8.1.5).</p> <p>The following information is provided:</p> <ul style="list-style-type: none"> <li>• Change notifications at least 48 hours prior to the execution of the change; and a notification after the change to inform the system is available again.</li> <li>• Provide a forward schedule of change (FSC) to inform ITSM of planned changes/releases for the coming period.</li> </ul> <p>Scheduled unavailability's related to items that are not CIs (in the ITSM sense; for example an electrical shutdown) must also be reported. In these cases the scheduled unavailability should at least be registered against an application or service that is affected; thus always an affected CI can be</p>	DIGIT/DC; CCN/TC;	<p><i>See EP1.4 Publish change / release schedule</i></p> <p><i>See EP3.3 Change notification</i></p>

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		determined e.g. the system and/or affected application.		
	Service outage analysis report	External parties must conduct a service outage analysis for unscheduled unavailability. The results should be reported on periodic basis.  External parties may also need to be involved/participate in the service outage analysis, which is conducted by ITSM (this is requested by a formal service request).	ITSM	<i>Use EP1.2 procedure to request the SOA report</i>
Business Perspective Management (WP8.3)	Relationship management	Maintain relationship with external suppliers / parties.	N/A for this document	<i>N/A for this document. See FQP for more details (see WP8.3).</i>
	Business usage data	External parties must provide information related to business usage of IT services in the scope of the contract (e.g. number & nature of the business transactions, number of messages, number of hits, connected users, volumes exchanged, ...).	DIGIT/DC; CCN/TC;	EP2.9 Publish business monitoring data
	Meetings	Liaison with NAs, the contractors and other Commission services. Organisation of events such as: meetings, workshops, demonstrations and training.	ITSM; DIGIT/DC; CCN/TC; NA Operations;	<i>Use EP1.2 to issue meeting requests.</i>

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
			X-DEV	
Application Management (WP.8.4)	Deployment tasks assigned to external provider	In case the application is hosted by DIGIT/DC, ITSM must liaise with DIGIT to specify and configure the environments, including the set up of system monitoring according to the rules defined in the applicable OLA.	ITSM	<i>Use EP1.2 to raise deployment requests.</i>
	Testing activities	<p>ITSM performs testing according to test specifications provided by the Application Development contractor (this also includes the test cases defined by ITSM).</p> <p>In case the testing environment is hosted by DIGIT/DC, ITSM must liaise with DIGIT/DC to specify and configure the testing environment.</p>	QA Contractor; X-DEV; ITSM	<p><i>Use EP4.5 QC of Tests.</i></p> <p><i>Consult paragraph 0 as of page 86.</i></p> <p><i>See also FQP and PQP for more details; relevant procedures in the FQP are:</i></p> <ul style="list-style-type: none"> <li>• AM.3.6 Perform preSAT</li> <li>• AM.3.7 Perform Qualification (for CT)</li> <li>• AM.3.8 Perform SAT</li> <li>• CT (Conformance</li> </ul>

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
				Testing) <sup>4</sup>
	Technical review	This topic involves the review of deliverables and artefacts provided by project teams (from development).  A formal request of review is submitted.	QA Contractor; X-DEV; CCN/TC	<i>Use EP4.4 Deliverable review.</i>  <i>See FQP procedure AM.1 Perform Technical Review.</i>
	Transfer knowledge / documents	Application Management needs to interface with development teams to acquire technical documents and knowledge to support the developed applications.	X-DEV; CCN/TC	<i>See EP2.10 Knowledge and document exchange</i>
	Technical support	ITSM Application Management and ICT Infrastructure Management must provide technical support in reply to requests sent to the Service Desk. Application development (X-DEV) may be required to participate in some requests.	ITSM	<i>Use EP1.2 to raise support requests to X-DEV</i>
	Training (knowledge transfer)	ITSM may require the need for training of new updates / releases from X-DEV. This is part of the formal knowledge transfer.	ITSM	<i>Use EP1.2 to raise service request for training to X-DEV</i>
	Document review / acceptance	Formal review of documents (such as design specifications, installation procedures, etc.) by	QA Contractor X-DEV	<i>Use EP4.4 Deliverable review.</i>

<sup>4</sup> The interactions with SPIs for Conformance Testing are further developed in xxx.

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
		<p>ITSM. ITSM Application Management needs to be involved in the technical review of specific development artefacts to:</p> <ul style="list-style-type: none"> <li>• Ensure the documents adhere for example to standards and policies;</li> <li>• Ensure the test specifications are complete and that testing phases will therefore cover as well non functional requirements (deployment, monitoring...)</li> <li>• Ensure that the planned applications can successfully be deployed, managed and supported in production.</li> <li>• ...</li> </ul>		<i>Covered in the PQP; and review procedures for document defined in TEMPO. See also TEMPO Deliverables Acceptance Guide [R6] and TEMPO Document Review Technique [R11].</i>
Security Management (WP.8.5).	Access management	<p>The different involved parties may need to request access to IT resources managed by another party. These access requests are managed through the formal service request procedure.</p> <p>For example: access to a server managed by DIGIT or an NA can request access to CI's that are controlled by ITSM.</p>	ITSM; NA Operations	<i>See EP1.2 Request assignment</i>
	Security policies	External parties must maintain and publish security procedures and policies.	DIGIT/DC; CCN/TC;	<i>See EP2.10 Knowledge and document exchange</i>

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
	Security incidents	External parties must actively provide information about potential security breaches and risks; including detected security incidents. Suppliers (of COTS packages) and X-DEV can also discover security breaches in the software for which ITSM needs to be informed.	DIGIT/DC; CCN/TC; X-DEV; External suppliers (e.g. Microsoft).	<i>Use EP1.1 Incident assignment or EP3.2 Incident notification</i>
ICT Infrastructure Management (WP.8.6)	Change assignment to external party	ITSM may need to request a deployment task on the ICT infrastructure managed by the other providers.	ITSM	<i>Use EP1.4 (change management) or EP1.2 (request management)</i>
	Infrastructure data	External parties must collect and provide monitoring data related to ICT infrastructure component and services.	DIGIT/DC; CCN/TC.	<i>See EP2.7 publish capacity and performance data and EP2.8 publish availability data</i>
	Events	Events are detected and handled by the Operations process part of ICT infrastructure management.  An incident is created in case the event needs to be investigated and/or other parties need to be informed about it.	DIGIT/DC; CCN/TC.	<i>Use EP1.1 Incident assignment</i>

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
	Transfer knowledge / documents	Technical support needs to interface with development parties to capture the required technical documentation and knowledge (this includes for example: design specifications, test plans and installation procedures).	X-DEV	<i>See EP2.10 Knowledge and document exchange</i>
	Technical support	Provide planned and ad-hoc technical support. A support request can be raised to an external party.	ITSM	<i>Use EP1.2 Service request assignment</i>
	Document review / acceptance	Formal review of documents (such as design specifications, installation procedures, etc.) by ITSM. ICT Infrastructure Management need to be involved in the technical review of specific development artefacts to ensure the documents adhere for example to ICT infrastructure standards and policies; and that the planned systems can successfully be deployed and managed in production.	X-DEV	<i>Use EP4.4 Deliverable review. Covered in the PQP; and review procedures for document defined in TEMPO. See also TEMPO Deliverables Acceptance Guide [R6] and TEMPO Document Review Technique [R11].</i>
Quality assurance (QA)	Audits, verifications and assessments.	ITSM might need to participate in auditing activities and provide the necessary support for QA Missions and FAT Missions executed by QA (e.g. FQP FAT Mission).	QA Contractor	<i>Use EP4.1 Audits, assessments and verifications</i>  <i>See also FQP (WP.0.9 - Co-operation with the Commission during Quality, Process and</i>

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ITSM Process	Topic	Description	Initiator	External ITSM Procedure (SPI defined in this document)
				<i>Security Audits) and relevant PQP for details.</i>
	Follow-up on action lists	ITSM needs to provide the QA Contractor insight in the status and progress of outstanding actions (of actions defined during the internal and external audits; and other improvement actions defined as part of CSIP).	QA Contractor	<p><i>Use EP4.2 Follow-up on action lists.</i></p> <p><i>See also FQP WP.0.5 - Internal Quality Assurance.</i></p> <p><i>For a detailed procedure, see Annex 6 of the FQP Internal Procedure QA/QC [R9]; and the ITSM internal procedure in FQP Annex 7 Internal Procedure for Internal Audit [R13].</i></p>

Table 4-4: Inventory of interfaces / touch points with external parties

#### 4.5.2 SPI related to Major Application Deployment

Topic	Description	Involved Parties	External ITSM Procedure (SPI defined in this document)	Data/Template

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Topic	Description	Involved Parties	External ITSM Procedure (SPI defined in this document)	Data/Template
AM Support	<ul style="list-style-type: none"> <li>Prepare for new application to support: ITSM AM needs to acquire knowledge from xDev to be able to install and operate the new application (FQP:AM3.3)</li> </ul>	<p>ITSM</p> <p>X-DEV</p>	<p>See EP2.10 Knowledge and document exchange</p>	<p>Application specifications, technical training material if any, technical documentation...</p>
Environment Preparations	<ul style="list-style-type: none"> <li>X-DEV delivers the software release among with all necessary documentation (including IRD document which describes the infrastructure requirements)</li> <li>Verify infrastructure requirements (including monitoring requirements) conformity and operate necessary actions whether any update is needed (raise request for Service, RFC, ACF, etc)</li> </ul>	<p>X-DEV</p> <p>DIGIT</p> <p>CCN</p> <p>DG TAXUD</p> <p>ITSM</p>	<p>See EP2.5 Deliver Software Release</p> <p>See EP1.4 (change management) or EP1.2 (request management)</p>	<p>IRD, Request for Service, RFC, ACF</p>
Testing	<ul style="list-style-type: none"> <li>ITSM AM may require some support from X-DEV during testing phases</li> <li>For major releases, the need for training can be identified by ITSM and DG TAXUD. This training can in fact be covered by: <ul style="list-style-type: none"> <li>DG TAXUD and ITSM agree that ITSM attends to the FAT mission;</li> <li>DG TAXUD requests that X-DEV comes to site during the PSAT;</li> </ul> </li> </ul>	<p>X-DEV</p> <p>QA Contractor</p>	<p>See EP1.2 to request for support</p> <p>See EP4.5 for deliverable review</p>	

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Topic	Description	Involved Parties	External ITSM Procedure (SPI defined in this document)	Data/Template
	<ul style="list-style-type: none"> <li>QA Contractor is involved in the tests campaigns</li> </ul>			
User Management	<ul style="list-style-type: none"> <li>The new application may require creation of new user account. ITSM may have to collect user details, create the accounts and communicate them to external parties their user accounts</li> </ul>	ITSM DG TAXUD 3 <sup>rd</sup> parties designated by DG TAXUD	See EP1.1 Incident assignement	<u>User registration forms</u>
End User Training	<ul style="list-style-type: none"> <li>DG TAXUD may request ITSM to organise training, workshops or demonstrations to an assembly who can be external parties</li> </ul>	DG TAXUD ITSM NA 3 <sup>rd</sup> parties designated by DG TAXUD	Use EP1.2 to issue meeting requests.	Training/workshop/demo material

Table 4-5: Inventory of interfaces / touch points with external parties for a major Application Deployment

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## 4.6 External Procedure Definition Template

For each external procedure defined in the next chapters, the following items are described.

Item	Description
Procedure ID	Unique ID of the procedure.
Owner	Owner of the procedure.
Title	Short description of the procedure (one-liner).
Purpose	Purpose of the service provider interface.
Initiator (role)	Party and role who initiates the action/procedure.
Other involved parties	List of parties for which the procedure is applicable.
Involved contacts	<p>Organisation roles or teams that are involved for each external party (related to the contact list). The contact list refers to the responsible groups and persons for each ITSM role within each organisation (with relevant contact details, such as phone number, e-mail address, escalation paths, manager and associated tasks and responsibilities).</p> <p>This document does not contain the actual contact list (list of names and contact details) but refers to roles/groups, which must be maintained in the shared contact list.</p> <p>See also Annex A.</p>
Related FQP procedures	Reference to the FQP processes and procedures (which are directly related to the interface).
Trigger(s) / Event(s)	Description of the event that triggers the procedure (e.g. specific conditions met, milestones reached, ...).
Information/ Data	Summary of data that is exchanged between parties.
Direction	Direction of the interface (two-ways, one-way).

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<b>Item</b>	<b>Description</b>
Interface technologies / tools used	<p>The specific methods and technologies used to implement the interface. For example:</p> <p>Category 1: Basic communication/collaboration technologies; such as unstructured communication using: phone, phone conferences, net meetings, face-to-face meetings and e-mail.</p> <p>Category 2: Formal document transfer according to predefined templates/forms; such as e-mail templates, structured documents exchanged through a (shared) document management system.</p> <p>Category 3: Shared tools/databases. A central system used by the different providers and/or provide remote access to IT management tools used by the different providers (e.g. web access). For example: ability to login into the DIGIT service management tool; and/or access to reporting system.</p> <p>Category 4: Automated interfaces between IT management tools used by the different providers; for example:</p> <ul style="list-style-type: none"> <li>• Tool interface e.g. using XML / web services (interface between the ITSM tools of the providers);</li> </ul>
Frequency	Ad-hoc (event driven).
Procedure	Description of the procedure.
Controls	Definition of specific controls such as SLA targets.
Escalation procedure	Procedure related to handling exceptions / escalations.
Template	Reference to forms / templates to be used and/or to be implemented.
Degree of implementation	<p>Indication of the current implementation status of the interface:</p> <ol style="list-style-type: none"> <li>1. “Not implemented”,</li> <li>2. “Operational / Ad-hoc and/or Informal” (external process activities are partially executed however not all procedures and tools are formalised),</li> <li>3. “Implemented / Formalised” (standard interface procedures and tools are documented and agreed upon; formal templates and forms are used; process is executed according to the procedures),</li> <li>4. “Implemented / Managed &amp; Integrated“ (process is monitored / managed and completely integrated within processes and tools of the involved parties)</li> </ol>

Table 4-6: Template for external procedures

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## 5. Transactional Interfaces

### 5.1 Introduction

This chapter defines the transactional interfaces between ITSM and external providers.

In case ITSM requires the execution of an activity by another service provider, a formal request needs to be raised and sent to the other party according to a predefined procedure. This includes the following type of requests / tasks to be exchanged:

- Incident
- Service request (including access requests)
- Request for Change (RFC) or Change Request
- Problem (e.g. tasks to investigate and resolve problems)

The procedures for external parties to raise these requests to ITSM are not covered in this document as these are defined in the different quality plans (PQP, FQP and CQP). For example: an external party can raise a meeting request or request for a document review at the ITSM Service Desk (these services are defined in the service catalogue from ITSM).

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## 5.2 Incident assignment (EP1.1)

Item	Description
Procedure ID	EP1.1
Owner	ITSM Incident Manager
Title	Incident assignment
Purpose / scope	<p>ITSM needs to be able to assign an incident to another service provider/external party (incidents detected by or reported to ITSM).</p> <p>Involve external parties in the diagnosis, analysis and resolution of incidents.</p> <p>ITSM remains responsible for monitoring the status of the incident.</p> <p><i>Comment: If an external party needs to raise an incident to ITSM the incident procedure IM1.1 must be followed (see FQP).</i></p> <p><i>Comment: this procedure is used to assign an incident to an external party. If an action or task needs to be performed by an external party the service request procedure must be used (see chapter 5.3).</i></p>
Initiator (role)	ITSM Service Desk
Other involved parties	<p>DIGIT/DC (Service Desk / First Line Support / Incident management group);</p> <p>CCN/TC (Service Desk / First Line Support / Incident management group);</p> <p>X-DEV (Service Desk / First Line Support / Incident management group);</p> <p>NA Operations (if an incident needs to be resolved by the country).</p> <p>DG Taxation and Customs Union (if support is needed from stakeholders).</p> <p>QA Contractor (in case of incidents due to results of test activities).</p>

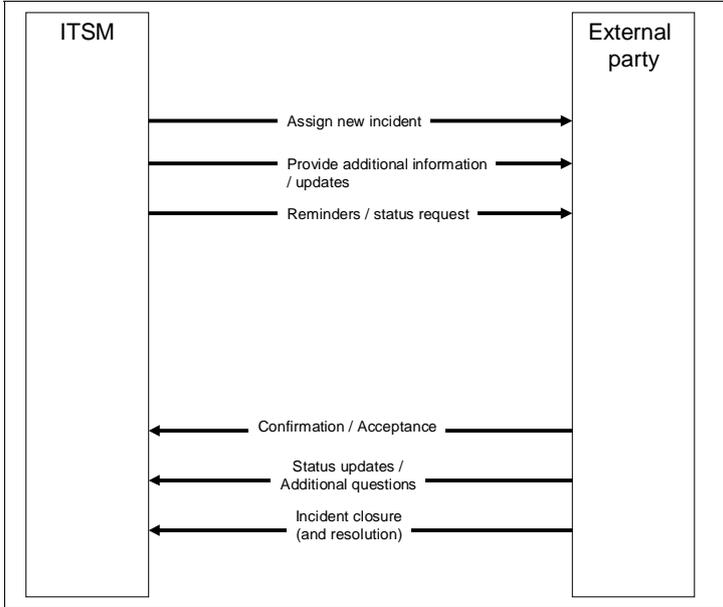
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<b>Item</b>	<b>Description</b>
Involved contacts	<p>The following roles are involved per external party:</p> <ul style="list-style-type: none"> <li>• Service desk (xxx) / First line support group (SPOC for receiving all incidents);</li> <li>• Incident Manager;</li> <li>• Incident resolver (assignee of the incident);</li> <li>• Escalation contact.</li> </ul> <p>Each party must define a single point of contact (SPOC) for receiving incidents from ITSM Service Desk. This contact is at least identified by (1) Functional Mail Box; (2) Name of department/group and associated contact details; (3) Responsible Manager for this group/department (e.g. Service Desk Manager); (4) Responsible Incident Manager; (5) Escalation contact.</p> <p>For contacts details (such e-mail address, phone numbers, etc.) see Annex A. The contact list refers to the responsible groups and persons for each ITSM role within each organisation (with relevant contact details, such as phone number, e-mail address, escalation paths, manager and associated tasks and responsibilities).</p>
Related FQP procedures	<p>IM 1.2. Assign incident (assign the incident to an external party);</p> <p>IM 2.1. Investigate and diagnose.</p>
Trigger(s) / Event(s)	<ul style="list-style-type: none"> <li>• Incident to be assigned to external party (to investigate the incident, provide assistance and/or execute a specific action to resolve the incident);</li> <li>• Incident registered and accepted by external party (confirmation);</li> <li>• Incident status updates (e.g. work in progress);</li> <li>• Incident resolved / closed.</li> </ul>

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Item	Description
Information/ Data	<p>Incident details are exchanged. At a minimum the following information is provided:</p> <p>New incident raised:</p> <ul style="list-style-type: none"> <li>• Incident ID;</li> <li>• Title (one liner);</li> <li>• Description;</li> <li>• Affected CI;</li> <li>• Reported by;</li> <li>• Date/time registered;</li> <li>• Impact (e.g. service down) (if available);</li> <li>• Target resolution date/time (according to SLA) (if available);</li> <li>• Priority.</li> </ul> <p>Additional details will be added to define what is expected by the external party (e.g. investigate the incident, provide assistance and/or request specific recovery actions to be performed).</p> <p>Status updates of outstanding incidents provided:</p> <ul style="list-style-type: none"> <li>• Status update (including rejections);</li> <li>• Action log (update of actions executed).</li> </ul> <p>Incident closure (by third party or initiator):</p> <ul style="list-style-type: none"> <li>• Resolution;</li> <li>• Cause;</li> <li>• Closure date/time;</li> <li>• Temporary fix (Yes/No).</li> </ul>

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Item	Description
Direction	<p>Two ways. Incidents are assigned by ITSM to external party. The external party provides status updates and resolution details back to ITSM.</p>  <pre> sequenceDiagram     participant ITSM     participant External party     ITSM-&gt;&gt;External party: Assign new incident     ITSM-&gt;&gt;External party: Provide additional information / updates     ITSM-&gt;&gt;External party: Reminders / status request     External party--&gt;&gt;ITSM: Confirmation / Acceptance     External party--&gt;&gt;ITSM: Status updates / Additional questions     External party--&gt;&gt;ITSM: Incident closure (and resolution) </pre>
Interface technologies / tools used	<p>Different technologies are used to exchange incident data.</p> <p><i>DIGIT:</i></p> <ul style="list-style-type: none"> <li>IRMA service desk tool (used by DIGIT) for creating and assigning incidents to DIGIT.</li> </ul> <p><i>Other parties:</i></p> <ul style="list-style-type: none"> <li>E-mail is used for assignment of incidents to external parties (other than DIGIT).</li> <li>E-mail is used for notifications (for confirmation, reminders and status updates).</li> </ul> <p><i>See also chapter 5.2.1 (for DIGIT) and chapter 5.2.2 (for assignment to other parties such as CCN).</i></p>
Frequency	Ad-hoc (event driven)

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Item	Description
Procedure	<p>ITSM conducts an initial analysis of incidents reported by the user community, detected by operators and/or by monitoring tools. In case the incident needs to be resolved by another party than ITSM itself, the incident is to be formally assigned and forwarded to this party.</p> <p>Incidents can only be assigned to external parties by the ITSM Service Desk (e.g. ITSM Monitor does not forward incidents directly).</p> <p>Each external party has to define a single point of contact (SPOC) which will accept the forwarded incidents. The service provider is responsible for diagnosing the incident and internally assigning it to the appropriate group/person.</p> <p>The external party notifies the ITSM Service Desk of the acceptance. In case the incident cannot be resolved and/or is incorrectly assigned to the external party, a formal rejection notification is to be sent.</p> <p>The external party must inform the ITSM Service Desk of the status updates and progress made (according to the OLA targets).</p> <p>The assigned party will update the incident and inform the requestor of status updates and progress made in resolving the incident.</p> <p>Monitoring procedures for incidents are defined in the FQP.</p> <p>See escalation procedure in case the incident is not accepted and/or resolved within the contractual timeframes.</p> <p>This procedure is also applicable for security related incidents and breaches. If a security related incident that occurs in one environment spreads to systems operated by an external party, a member of the ITSM Security Management team promptly advises the external party about the threat. For this purpose, every external party shall nominate a Local Information Security Officer (LISO) who will act as a contact person for the ITSM Security Manager.</p> <p>Security related threats and incidents could be detected by the external parties also. In that case, they should also promptly advise the ITSM Security Manager who then advises other external parties as needed.</p> <p>For additional information see the following procedures:</p> <ul style="list-style-type: none"> <li>• Incident assignment to DIGIT (EP1.1.1);</li> <li>• Incident assignment to other parties (EP1.1.2).</li> </ul>

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Item	Description
Controls	<p>SLA / OLA targets (this includes SQI08 and SQI12):</p> <ul style="list-style-type: none"> <li>• Acknowledgement time / Response time: elapsed time for acceptance of the incident (reviewed and internally assigned);</li> <li>• Resolution time: elapsed time from registration until resolution.</li> <li>• Elapsed time for the Service Desk to escalate an incident (to an external party and/or another internal group).</li> </ul> <p>Targets are dependent upon the priority of the incident (see FQP procedure IM.1.1).</p> <p>When SLA targets are not respected, the escalation procedure (in annex C.1) is applied.</p>
Degree of implementation	<p>Implemented / Formalised</p> <p><i>Comment: however not all mentioned information/data is currently consistently exchanged between providers (such as the resolution after an incident is closed).</i></p>

Table 5-1: EP1.1 Incident assignment

### 5.2.1 Incident assignment to DIGIT (EP1.1.1)

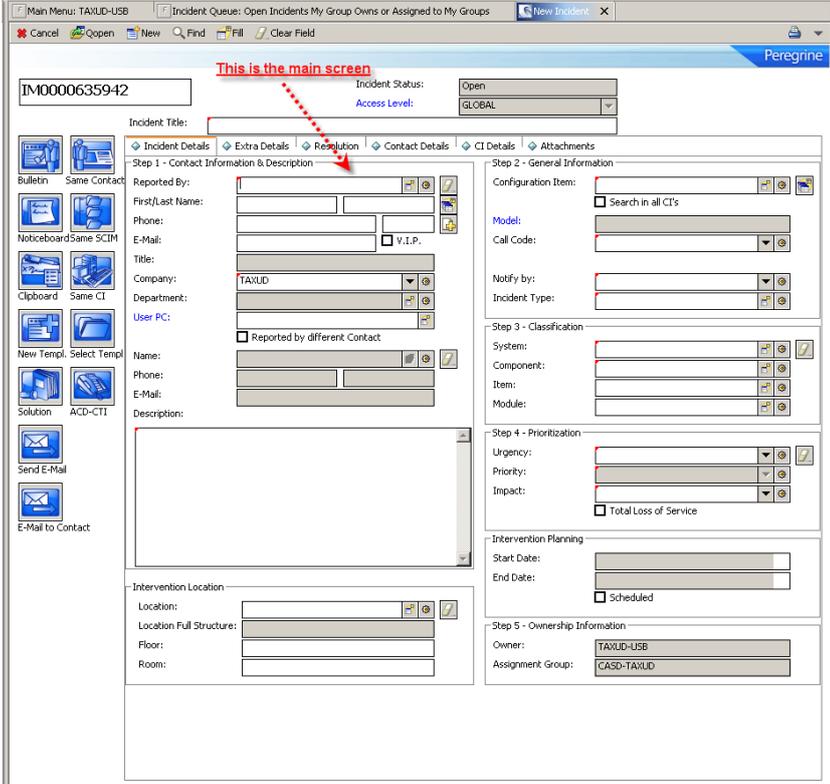
Additional procedures for assigning incidents to DIGIT (EP1.1.1):

Item	Description
Interface technologies / tools used	<p>Incident is registered in:</p> <ul style="list-style-type: none"> <li>• owITSM;</li> <li>• IRMA (of DIGIT based upon HP ServiceCenter).</li> </ul> <p>E-mail is used for confirmation and notifications.</p>

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Item	Description
Procedure	<p>ITSM has direct access to IRMA to create and assign an incident to DIGIT. Incidents for DIGIT need to be created in IRMA (the SMT tool of DIGIT).</p> <p>General procedure of assigning an incident to DIGIT:</p> <ul style="list-style-type: none"> <li>• Incident must first be registered within the owITSM system (according to the FQP procedure IM.1.1);</li> <li>• Incident is assigned to DIGIT within the owITSM system (according to procedure IM.1.2);</li> <li>• Open a new call in IRMA providing the original details of the incident (and contact details of originator of call). Incident is registered according to the DIGIT incident procedure;</li> <li>• ITSM receives an auto-acknowledgement from DIGIT with IRMA Call ID (via e-mail);</li> <li>• The confirmation e-mail including the Call ID is copied into the original incident record within ITSM (see FQP procedure IM.1.2).</li> </ul>
Information/Data	<p>The incident details provided to DIGIT is a direct copy of original incident and associated e-mail request as sent by the originator of the call. The contact details of the originator are also provided in the IRMA call.</p> <p>Information to be provided/entered:</p> <ul style="list-style-type: none"> <li>• Date/time stamp (date/time of incident registration);</li> <li>• Contact details of originator of the call (initiator);</li> <li>• Detailed description of the request / incident (including copy of e-mail from initiator); including information about the requested actions to be performed.</li> <li>• Details of initial assessment of the ITSM Service Desk;</li> <li>• Affected service/application and/or configuration items;</li> <li>• Priority;</li> <li>• Categorisation of the incident.</li> </ul>

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Item	Description
Template	<p>No template is used. The incident template/form is automated by IRMA:</p> 
Contact details	<p>DIGIT ISHS Service Desk. DIGIT then assigns the call to relevant department for handling.</p>
Notifications	<p>Notifications sent by DIGIT IRMA through e-mail based upon the following events:</p> <ul style="list-style-type: none"> <li>• Auto-confirm notification (after creation of the call);</li> <li>• Incident closure notification (automatic notification after the incident is closed).</li> </ul>

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Item	Description
Escalation procedure	<p>Follow-up of IRMA calls are done by periodically logging into IRMA and viewing the actual status of the call. This is done, up to daily depending the volume and priority of call assigned to DIGIT. Also, DIGIT does send e-mails directly to ITSM Service Desk if they require further information.</p> <p>DIGIT will be reminded to respond to incidents assigned to them via the Reminder process which is driven by the priority of the call.</p> <ul style="list-style-type: none"> <li>• Critical ( Priority-1): once every working day;</li> <li>• High (Priority-2): every second working day;</li> <li>• Medium (Priority-3): every 5 working days;</li> <li>• Low. (Priority-4): every ten working days.</li> </ul> <p>If escalation is required, it will follow the escalation process described in C.1.</p>

Table 5-2: EP1.1.1 Incident assignment to DIGIT

## 5.2.2 Incident assignment to other parties (EP1.1.2)

Procedures for assigning incidents to CCN/TC or X-DEV (EP1.1.2):

Item	Description
Interface technologies / tools used	<p>Incident is registered in owITSM (internal).</p> <p>Incident is forwarded by e-mail to an External Party (being CCN/TC or X-DEV).</p>
Procedure	<p>This procedure applies in case an incident needs to be assigned to an external party to which ITSM does not have direct access to their Incident Management System. These incidents are assigned and forwarded by e-mail.</p> <p>General procedure of assigning an incident to external party:</p> <ul style="list-style-type: none"> <li>• Incident must first be registered within the owITSM system (according to the FQP procedure IM.1.1);</li> <li>• Incident is assigned to external party within the owITSM system (according to procedure IM.1.2);</li> <li>• After registration and classification of the incident, an e-mail is sent to the concerned party notifying that the incident is assigned to them and populate accordingly the incident step properties.</li> </ul>

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Item	Description
Information/Data	<p>General comments:</p> <ul style="list-style-type: none"> <li>E-mail shall include all relevant information to the assignee so that the solution can be compiled;</li> <li>E-mail should also provide contact details of ITSM initiator for the purpose of direct communication by external party as required.</li> </ul>
Template	No template is currently defined (incident details are copied into the e-mail header and message).
Contact details	<p>CCN/TC Service Desk / First Line Support (Functional Mailbox).</p> <p>X-DEV Service Desk / First Line Support (Functional Mailbox).</p> <p>NA Operations (Service Desk / First Line Support)</p>
Notifications	<p>The following notifications must be sent by the external parties:</p> <ul style="list-style-type: none"> <li>Confirmation e-mail (of the reception of the incident, including the incident ID);</li> <li>Status update notification (after the incident is accepted and status changes to work in progress); this is used to monitor the response time;</li> <li>Incident closure notification (automatic notification after the incident is closed);</li> <li>Reminder notifications (by e-mail and/or phone).</li> </ul>
Escalation procedure	See escalation procedure C.2 (in annex)

Table 5-3: EP1.1.2 Incident assignment to other parties

### 5.3 Service request assignment (EP1.2)

Item	Description
ID	EP1.2
Title	Service request assignment
Purpose	ITSM requests an action to be executed by the other party; e.g. to provide access to CIs managed by that party; provide a log file;

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Item	Description
Initiator	<p>etc.</p> <p>Different type of requests can be distinguished, such as:</p> <ul style="list-style-type: none"> <li>Request for support</li> <li>Request for documents (e.g. technical documents to be provided)</li> <li>Request for meeting (e.g. problem meeting, discuss issues, etc.).</li> </ul>
	ITSM (Service Desk / Incident management group) (identified by Functional Mailbox: xxx)
Other involved parties	DIGIT/DC (Service Desk / Incident management group); CCN/TC (Service Desk / Incident management group); X-Dev (Incident management group).
Involved contacts	<p>The following roles are involved per external party:</p> <ul style="list-style-type: none"> <li>Service desk / First line support group (SPOC for receiving all service requests);</li> <li>Incident Manager;</li> <li>Incident resolver (assignee of the service request);</li> <li>Escalation contact.</li> </ul> <p>Each party must define a single point of contact (SPOC) for receiving service requests from ITSM Service Desk. This contact is at least identified by (1) Functional Mail Box; (2) Name of department/group and associated contact details; (3) Responsible Manager for this group/department (e.g. Service Desk Manager); (4) Responsible Incident Manager; (5) Escalation contact.</p>
Procedure reference (FQP)	<p>IM 1.2. Assign incident (assign service request to an external party).</p> <p>IM 2.1. Investigate and diagnose</p>
Trigger(s)	<p>Request issued;</p> <p>Request approved;</p> <p>Request planned/assigned;</p> <p>Request completed;</p> <p>Request closed.</p>
Information/ Data	Request details. The request refers to the service catalogue items ordered/requested.
Direction	Two-ways

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<b>Item</b>	<b>Description</b>
	<pre> sequenceDiagram     participant ITSM     participant External party     ITSM-&gt;&gt;External party: Assign / raise new service request     ITSM-&gt;&gt;External party: Provide additional information / updates     ITSM-&gt;&gt;External party: Reminders / status request     External party--&gt;&gt;ITSM: Confirmation / Acceptance     External party--&gt;&gt;ITSM: Status updates / Additional questions     External party--&gt;&gt;ITSM: Request closure </pre>
Possible interface method / technology	E-mail
Frequency	Ad-hoc (event driven)
Procedure	<p>In case a standard activity or task needs to be executed by the external party a service request is issued by the ITSM Service Desk.</p> <p>A broad range of different type of service requests can be raised such as:</p> <ul style="list-style-type: none"> <li>• Support request (provide technical support or assistance);</li> <li>• Meeting request;</li> <li>• Access request (for access to CIs managed by the other provider);</li> <li>• Standard changes (according to the service catalogue);</li> <li>• Request for information and documentation (e.g. log files, configuration settings, etc.);</li> <li>• ...</li> </ul> <p>The procedure for issuing requests follows the same procedure as defined for handling incidents (and assign incidents to external parties). See procedures defined in chapter 5.2.</p>
Controls	Requests need to be accepted and executed according to the defined SLAs.
Escalation procedure	See escalation procedure C.1 (in annex).

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Item	Description
Template	Not defined.
Degree of implementation	<p>Formally documented, formalised and implemented.</p> <p>Documented in the FQP (Service Desk and Incident Management procedures) and covers any/all parties assigned Service Requests.</p> <p><i>Comment: All services/actions and requests are managed by the Service Desk (No direct interface between internal ITSM parties and external parties).</i></p> <p><i>Comment: not all mentioned information/data is currently consistently exchanged between providers.</i></p>

Table 5-4: EP1.2 Service Request Assignment

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### 5.3.1 Request for support (EP1.2.1)

ITSM may need support from external parties such as X-DEV during test activities.

Covered in procedure as defined in chapter 5.3. Different types of requests for support are needed; for example:

- Ad-hoc requests: during preSAT, providing any support needed by the testers in running the tests or establishing the environment.
- Request for support (related to defects, issues and/or change requests); during preSAT, investigating and resolving issues on the application under test; during preSAT, participating in all relevant meetings to take action on issues and change requests.

Depending on the type of support needed, the following can take place:

- Small questions during test campaign: ITSM can contact directly X-DEV;
- Other questions: ITSM can open a call to X-DEV;
- Small issues identifications during test campaign: ITSM opens a TIR which results into a call creation assigned to X-DEV;
- Need for onsite support: the need is first communicated to DG TAXUD who will decide whether or not the need is legitimate and if X-DEV can provide the support;
- Need for training: the need is first communicated to DG TAXUD who will decide whether or not the need is legitimate and if a training can be issued.

### 5.3.2 Request for meeting (EP1.2.2)

ITSM may request a meeting with external providers. This procedure is defined in chapter 5.3.

### 5.3.3 Request for information / documentation (EP1.2.3)

ITSM may request specific information and documents from external providers (e.g. design specifications from X-DEV). This procedure is defined in chapter 5.3.

For non operational matters, the request of information should first be addressed to DG TAXUD.

External providers must timely provide the necessary documentation to ITSM.

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## 5.4 Change assignment (EP1.4)

Item	Description
Procedure ID	EP1.4
Owner	ITSM Change Manager
Title	Change assignment.
Purpose / scope	<p>ITSM raises a request for a change to be implemented by another party (for example a change requested by ITSM AM to CCN/TC in the scope of a new application release and mentioned in an IPR procedure).</p> <p>This shows that all the documents need to be reviewed by all stakeholders out of ITSM Infra</p>
Initiator (role)	<p>ITSM (Change management group – xxx);</p> <p>DIGIT/DC (Change management group);</p> <p>CCN/TC (Change management group).</p>
Other involved parties	<p>DIGIT/DC (Change management group);</p> <p>CCN/TC (Change management group);</p> <p>NA Operations;</p> <p>X-DEV (e.g. to implement a resolution for an identified problem).</p>
Involved contacts	<p>The following roles are involved per external party:</p> <ul style="list-style-type: none"> <li>• Service desk / First line support group (SPOC for receiving all formal change requests);</li> <li>• Change Manager;</li> <li>• Change coordinator and/or assignee (key contact managing the change);</li> </ul> <p>Each party must define a single point of contact (SPOC) for receiving change requests from ITSM Service Desk.</p>
Related FQP procedures	ChM 4.1 Order change implementation.
Trigger(s)/ Event(s)	<p>Change assigned to external party;</p> <p>Change approved;</p> <p>Change planned (or plan updated);</p> <p>Change implemented;</p> <p>Change closed.</p>
Information/ Data	Change record details; including:

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Item	Description
	<ul style="list-style-type: none"> <li>• Change ID;</li> <li>• Change title (one liner);</li> <li>• Change description;</li> <li>• Requested by;</li> <li>• Change category;</li> <li>• Reason;</li> <li>• Related Service / CIs;</li> <li>• Date/times (requested date/time, required implementation date);</li> <li>• Attachments (with additional details).</li> </ul> <p>Updates:</p> <ul style="list-style-type: none"> <li>• Status (including approval status);</li> <li>• Planned implementation date;</li> <li>• Planned outages (if applicable).</li> </ul>
Direction	<p>Two ways.</p> <pre> sequenceDiagram     participant ITSM     participant External party     ITSM-&gt;&gt;External party: Assign new change (task)     ITSM-&gt;&gt;External party: Provide additional information / updates     ITSM-&gt;&gt;External party: Reminders / status request     External party--&gt;&gt;ITSM: Change approved     External party--&gt;&gt;ITSM: Status updates / Additional questions     External party--&gt;&gt;ITSM: Change implemented     External party--&gt;&gt;ITSM: Change / Task closure (and resolution) </pre>
Interface technologies / tools used	<p>Different technologies are used to interact with external parties:</p> <ul style="list-style-type: none"> <li>• E-mail</li> <li>• owITSM (only within ITSM)</li> <li>• IRMA (for changes managed by DIGIT)</li> </ul>

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Item	Description
Frequency	Ad-hoc (event driven).
Procedure	<p>A change request can be raised to an external party and/or the external party can request a change to the ITSM organisation.</p> <p>Each party involved assigns a single point of contact (organisational entity or group) to receive requests for change (referred to as the Change Management group).</p>
Controls	<p>The following targets are identified for the changes:</p> <ul style="list-style-type: none"> <li>• Response time: elapsed time to inform the requestor of the registered change (including the deadline for the acceptance);</li> <li>• Approval and planned time: elapsed time till the change has been reviewed, planned and approved (or rejected);</li> <li>• Implementation against agreed target date/time.</li> </ul> <p>After acceptance the planned implementation date is determined; this date is used to monitor the performance of the provider.</p>
Escalation procedure	See escalation procedure C.1 (in annex).
Template	A change can be raised to ITSM by the usage of XXX RFC template.
Degree of implementation	<p>Operational / Ad-hoc</p> <p><i>Comment: not all mentioned information/data is currently consistently exchanged between providers.</i></p>

Table 5-5: EP1.4 Change assignment

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### 5.4.1 Change assignment to DIGIT (EP1.4.1)

ITSM may request specific operations on file systems, table spaces, oracle databases and db accounts of the existing systems hosted by DIGIT. This type of request are called Mirella Requests

Item	Description
Interface technologies / tools used	<p>Incident is registered in:</p> <ul style="list-style-type: none"> <li>• owITSM;</li> <li>• Mirella (of DIGIT).</li> </ul> <p>E-mail is used for confirmation and notifications.</p>
Procedure	<p>ITSM does not have direct access to Mirella to request services on file systems, table spaces, oracle databases and db accounts to DIGIT. The requests for services must therefore go via DG TAXUD R5.ISD.</p> <p>General procedure of assigning a Mirella request to DIGIT:</p> <ul style="list-style-type: none"> <li>• ITSM Application Management fills-in the Mirella Form</li> <li>• Incident is first registered within the owITSM system (according to the FQP procedure IM.1.1);</li> <li>• Incident is assigned to DG TAXUD R5.ISD within the owITSM system (according to procedure IM.1.2);</li> <li>• DG TAXUD R5.ISD creates a request for service in Mirella based on the details included in the Mirella Form.</li> <li>• The request is registered according to the DIGIT change management procedure</li> <li>• DG TAXUD R5.ISD receives an acknowledgement from DIGIT with the defined request identifier;</li> <li>• DG TAXUD R5.ISD informs ITSM Service Desk with a confirmation e-mail;</li> <li>• The confirmation e-mail including the request identifier is copied into the original incident record within ITSM (see FQP procedure IM.1.2).</li> </ul>
Information/Data	<p><b>The data needed for requests regarding database Request for Action:</b></p> <ul style="list-style-type: none"> <li>• Application name</li> <li>• Application description</li> <li>• Contact information (mailbox or phone number)</li> <li>• Application Status (possible choices: production, staging, development, testing or training/demo)</li> </ul>

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Item	Description
	<ul style="list-style-type: none"> <li>• Application type (possible choices: internet, intracomm, SIC/Adonis/Els/Ntcon, local to DG, Corporate)</li> <li>• Oracle Database version and character set</li> <li>• Optimizer mode (possible choices: cost based optimizer or rule base optimizer)</li> <li>• Oracle Options (possible options: context/intermedia, partitioning, spatial, java, xml)</li> <li>• Availability (possible choices: office hours or 24*7)</li> <li>• Tablespace(s) (more than one can be defined): <ul style="list-style-type: none"> <li>○ Name;</li> <li>○ Size;</li> <li>○ Parameters.</li> </ul> </li> <li>• Oracle user(s) (more than one can be defined): <ul style="list-style-type: none"> <li>○ Schema name;</li> <li>○ Default tablespace;</li> <li>○ Grants.</li> </ul> </li> <li>• Unix user(s) (more than one can be defined): <ul style="list-style-type: none"> <li>○ Userid;</li> <li>○ Space requirements</li> </ul> </li> </ul> <p><b>The data needed for diskspace Requests for Actions on Linux/Unix:</b></p> <ul style="list-style-type: none"> <li>• Application name</li> <li>• Application description</li> <li>• Contact information (mailbox or phone number)</li> <li>• New diskspace or extension</li> <li>• DG Name</li> <li>• Server</li> <li>• Zone</li> <li>• Mount points or drive letters or DFS path</li> <li>• Users + type of access (full, read only, read/write, custom...)</li> <li>• Groups type of access (full, read only, read/write, custom...)</li> </ul>

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Item	Description
	<ul style="list-style-type: none"> <li>• Shell</li> <li>• Disk space already assigned (in GB)</li> <li>• Requested complementary disk space (in GB)</li> <li>• Total disk space (inGB)</li> <li>• Target Date</li> <li>• Other remark</li> </ul> <p><b>The data needed for ftp store requests:</b></p> <ul style="list-style-type: none"> <li>• External organisation information</li> <li>• Company name</li> <li>• Contact name</li> <li>• Email address</li> <li>• Telephone</li> <li>• FTP Account information: <ul style="list-style-type: none"> <li>○ User name;</li> <li>○ Folder name.</li> </ul> </li> </ul>
Template	Mirella templates: <ul style="list-style-type: none"> <li>• Diskspace form;</li> <li>• Oracle form</li> </ul>
Contact details	DIGIT CAB. DIGIT then assigns the call to relevant department for handling.
Notifications	Notifications are sent through e-mail or over phone conversations based upon the following events: <ul style="list-style-type: none"> <li>• Auto-confirm notification (after creation of the call);</li> <li>• Status update via phone conversations (after the request is submitted and registered at DIGIT CAB);</li> <li>• Change closure notification from DIGIT to DG TAXUD ISD over the phone once the change is implemented, then DG TAXUD ISD sends e-mail to ITSM SD.</li> </ul>
Escalation procedure	Follow-up is driven by ITSM Service Desk The reminder are not being sent directly to DIGIT but to DG TAXUD R5.ISD who is handling the request.

Table 5-6: EP1.4.1 Change assignment to DIGIT

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## 5.4.2 Change assignment to CCN (EP1.4.2)

Specific procedures for assigning changes to CCN/TC:

Item	Description
Interface technologies / tools used	<p>Change requests are registered in:</p> <ul style="list-style-type: none"> <li>• owITSM;</li> <li>• ACF form (see template)</li> </ul> <p>E-mail is used for confirmation and notifications.</p>
Procedure	<p>ITSM has to fill in a change request form which will be sent to CCN by e-mail.</p> <p>General procedure of assigning a change request to CCN:</p> <ul style="list-style-type: none"> <li>• Change request must first be registered within the owITSM system (according to the FQP procedure);</li> <li>• Change request or related Change task is assigned to CCN within the owITSM system (according to FQP procedure);</li> <li>• Fill in change request form (ACF template) providing the details of the change request.</li> <li>• ITSM receives an auto-acknowledgement from CCN after registration of the change by CCN (via e-mail);</li> <li>• The confirmation e-mail including the Change ID from CCN is copied into the original change record within ITSM (see FQP procedure).</li> </ul>
Information/Data	The change request will contain the necessary information for the planning and execution of the change.
Template	ACF form is used to raise a change request to CCN.
Contact details	<p>CCN Service Desk. CCN then assigns the change request to relevant group or person to handle.</p> <p>See also contact list in appendix.</p>
Notifications	<p>Notifications are sent through e-mail based upon the following events:</p> <ul style="list-style-type: none"> <li>• Auto-confirm notification (after creation of the call);</li> <li>• Status update notification (after the change is accepted and status changes to work in progress); this is used to monitor the response time;</li> <li>• Change closure notification (automatic notification after the incident is closed).</li> </ul>

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<b>Item</b>	<b>Description</b>
Escalation procedure	Follow-up is driven by ITSM Service Desk via the reminder escalation process explained in C.2.

Table 5-7: EP1.4.2 Change assignment to CCN

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## 6. Data and Document Exchange Interfaces

This chapter defines the generic data and document exchange procedures required to exchange data between involved parties.

### 6.1 Deliver software release (EP2.5)

Item	Description
Procedure ID	EP2.5
Owner	ITSM Release Manager
Title	Deliver software release
Purpose / scope	Deliver formal software packages and installation procedures (for DSL) including version control of delivered software components (including associated documentation to be incorporated into the ODL).  ITSM will maintain the DSL (library of software packages including patches/fixes).
Initiator (role)	X-DEV (Release management group)
Other involved parties	ITSM (Release management group – xxx)
Involved contacts	The formal transfer of project deliverables is managed by the Release Manager. X-DEV must define the following contacts per project: <ul style="list-style-type: none"> <li>• Release Manager</li> <li>• Configuration Manager</li> </ul>
Related FQP procedures	AM3.4 Check Release completeness. RM 2.1 Verify release consistency RM 2.1 Verify release completeness RM 2.3 Update DSL & CMDB
Trigger(s)/ Event(s)	Software release update (software package created/updated).
Information/ Data	Software packages including patches/fixes; associated documentation and installation procedure and release notes.
Direction	One-way
Interface technologies / tools used	FTP (from X-DEV) and/or CD-ROMS (from suppliers) DSL (maintained by ITSM) Tested software is also published on CIRCA.

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<b>Item</b>	<b>Description</b>
	ODL (for installation procedures).
Frequency	Based upon release schedule (planned releases or ad-hoc patches/fixes).
Procedure	<p>The development party must publish the latest software packages according to the defined release procedure (including associated documentation and installation procedures).</p> <p>An e-mail is received from X-DEV and/or the QA Contractor specifying the release of one or more packages.</p> <p>The release will be downloaded from an FTP site from X-DEV. This FTP site contains one or more folders containing the software packages, associated document and required installation scripts.</p> <p>The entire released package is copied from the FTP site to the DSL maintained by ITSM. Release data is associated with the DSL (specifying the release number, original source and date).</p> <p>Additional details of this procedure are defined in the FQP.</p>
Controls	Change and release procedures are followed to provide updates of the software packages (including patches and fixes).
Escalation procedure	See escalation procedure C.1 (in annex). See also Release Management process in FQP.
Template	None
Degree of implementation	Formalised and implemented. Formal procedure for handover of software sources and associated documentation.

Table 6-1: EP2.5 Deliver Software Release

## 6.2 Publish capacity and performance data (EP2.7)

<b>Item</b>	<b>Description</b>
Procedure ID	EP2.7
Owner	ITSM Capacity Manager
Title	Publish capacity and performance data
Purpose / scope	Provide capacity usage and trend data for the capacity plan
Initiator (role)	DIGIT/DC (Capacity management group); CCN/TC (Capacity management group);

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<b>Item</b>	<b>Description</b>
	NA Operations (Capacity management group).
Other involved parties	ITSM (Capacity management group)
Involved contacts	Each provider must assign a responsible contact for capacity management. Involved roles: - Capacity Manager
Related FQP procedures	CAP2.2 Analyse service capacity and performance data. CAP3.2 Analyse resource capacity and performance data.
Trigger(s)/ Event(s)	On request (ad-hoc); Monthly reporting cycle; Capacity plan to be created (periodic revision on request).
Information/ Data	Capacity and performance data and trend reports; Capacity and performance details per service / application (from an end-user perspective); Capacity and performance details per CI (on components).
Direction	One-way
Interface technologies / tools used	E-mail (to Capacity management group) (it will in the future be stored in the ITSM Capacity management database once it is available). Remote access to monitoring data from CCN (web based).
Frequency	Scheduled or ad-hoc
Procedure	Each party must collect and analyse capacity and performance data for the IT infrastructure they are responsible for. The collected data must be analysed and reported to the ITSM Capacity Manager. Capacity data needs to be collected on CI level (individual components such as a server) and on an application level. Currently on an ad-hoc basis ITSM requests specific performance and capacity data from external providers; by raising a request for information (see service request procedure in chapter 5.3) and/or the provider is contacted directly by e-mail or phone. CCN publishes network performance and capacity data on the CCN portal. On a periodic basis this data is collected and reviewed. See FQP procedures as defined in the ITSM Capacity

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Item	Description
	Management process.
Controls	Timely delivery of the capacity and performance data to be included in the monthly report cycle and to update the capacity plans.
Escalation procedure	See escalation procedure C.1 (in annex)
Template	Not defined
Degree of implementation	For data monthly reported in the MSR/MPR the process is operational. For other data, the process stills needs to be formally started.

Table 6-2: EP2.7 Publish Capacity and Performance Data

### 6.3 Publish availability data (EP2.8)

Item	Description
Procedure ID	EP2.8
Owner	ITSM Availability Manager
Title	Publish availability data
Purpose / scope	Provide availability statistics for MPR/MSR and availability planning activities.
Initiator (role)	DIGIT/DC (Availability management group); CCN/TC (Availability management group); NA Operations (Availability management group).
Other involved parties	ITSM (Availability management group)
Involved contacts	Each party assigns a person responsible for availability management data.
Related FQP procedures	AvM2.2 Analysis availability data
Trigger(s)/ Event(s)	On request (ad-hoc); Monthly reporting cycle; Availability plan to be created.
Information/ Data	Data to be provided: <ul style="list-style-type: none"> <li>Monitoring definitions and thresholds;</li> </ul>

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Item	Description
	<ul style="list-style-type: none"> <li>Collected availability data;</li> <li>Availability trend reports.</li> </ul>
Direction	Two-ways
Interface technologies / tools used	<p>E-mail (to Availability management group) (it will in the future be stored in the ITSM Availability management database once it is available).</p> <p>Remote access to monitoring data from CCN (web based).</p>
Frequency	Scheduled or ad-hoc (on request)
Procedure	<p>The involved providers must implement availability monitoring of the CIs under their control. On a periodic basis, the collected availability data and trend reports need to be provided to ITSM.</p> <p>See FQP procedures as defined in the ITSM Capacity Management process.</p>
Controls	Timely delivery of the availability data to be included in the monthly report cycle and to update the availability plans.
Escalation procedure	See escalation procedure C.1 (in annex)
Template	None
Degree of implementation	Operational / Ad-hoc and/or Informal

Table 6-3: EP2.8 Publish availability data

### 6.3.1 Publish business monitoring data (EP2.9)

Item	Description
Procedure ID	EP2.9
Owner	ITSM Business Perspective Manager
Title	Publish business monitoring data
Purpose / scope	Provide business monitoring data (business usages) for monthly MPR/MSR and planning activities.
Initiator (role)	<p>DIGIT/DC (Capacity management group);</p> <p>CCN/TC (Capacity management group);</p> <p>ITSM (Business Monitoring group – xxx)</p>
Other involved	ITSM (Capacity management group)

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<b>Item</b>	<b>Description</b>
parties	
Involved contacts	Contacts within each provider responsible for monitoring IT services from a business perspective.
Related FQP procedures	CAP2.2 Analyse service capacity and performance data. BP1.3 Collect data.
Trigger(s)/ Event(s)	On request (ad-hoc); Monthly report cycle; Business forecasts to be created.
Information/ Data	Business usage/monitoring data includes the metrics and statistics of the actual usage of the IT services by the business (e.g. number of business transactions; per service, location and time).
Direction	One-way
Interface technologies / tools used	Document / report exchange (provide overview of capacity data). E-mail (to Capacity management group) (to be stored in the ITSM capacity management database) Access to CCN portal (on which network related data is published).
Frequency	Frequency differs per application (e.g. NCTS published daily reports by E-mail and weekly on CIRCA). On request; Daily, Weekly and Monthly.
Procedure	For each application, business volumes and business transactions must be monitored (monitoring actual usage). For example: CCN monitors business transactions through network monitoring.
Controls	Timely delivery of the business data
Escalation procedure	See escalation procedure C.1 (in annex)
Template	None
Degree of implementation	Operational / Ad-hoc and/or Informal <i>Comment: currently only ITSM and CCN provides business monitoring data.</i>

Table 6-4: EP2.9 Publish Business-Monitoring Data

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## 6.4 Knowledge and document exchange (EP2.10)

Item	Description
Procedure ID	EP2.10
Owner	ITSM Configuration Manager
Title	Publish knowledge / documentation
Purpose / scope	Exchange technical documentation, support documentation, etc. (handover to operations)
Initiator (role)	X-DEV (Configuration management contact per project) QA Contractor (for documents to be reviewed)
Other involved parties	ITSM (Configuration management group)
Involved contacts	For each project X-DEV defines one or more contacts responsible for configuration management and release management of project deliverables (including: installation guides, design specifications, technical manuals, etc.).
Related FQP procedures	AM3.3. Acquire knowledge. Inf7.1 Conduct knowledge acquisition. AM 2.2 Perform artefacts review.
Trigger(s)/ Event(s)	Release implemented (provide updated documentation); Documentation is completed.
Information/ Data	Knowledge/documents related to the applications and support procedures. This includes: <ul style="list-style-type: none"> <li>• Design specifications;</li> <li>• Installation procedures/guides;</li> <li>• Technical documentation;</li> <li>• Operations manuals;</li> <li>• FAQ;</li> <li>• ...</li> </ul>
Direction	One-way
Interface technologies / tools used	Different technologies are used to exchange documents: e-mail and FTP.  Documents are stored on ITSM Portal, and shared folders.  The formal reception of a document to be reviewed is registered in owITSM and Jira (task for the technical review).

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<b>Item</b>	<b>Description</b>
Frequency	Based upon releases/changes (planned)
Procedure	<p>The development party must create a set of documentation that is relevant for the handover and daily operations of the applications (part of knowledge transfer and training).</p> <p>Transfer of documents is done according to two different procedures:</p> <ol style="list-style-type: none"> <li>1) Deliver a document that needs to be formally reviewed (technical review); this procedure is covered by the service request procedure, see chapter 5.3.</li> <li>2) Deliver a release / package consisting of a set of documents (through FTP); see chapter 6.1.</li> </ol> <p>Comment: Data / document exchange is managed through the ITSM Service Desk (There are no direct interfaces between AM and 3rd parties).</p>
Controls	Test and acceptance procedures (defined in release management)
Escalation procedure	See escalation procedure C.1 (in annex)
Template	Currently no template defined
Degree of implementation	Operational / Ad-hoc and/or Informal

Table 6-5: EP2.10 Knowledge and Document Exchange

### 6.4.1 Conformance Testing: external interfaces

For Conformance Testing, DG TAXUD has requested in [A12] that ITSM would document the current practices of information exchange with ISPs. In the context of this process, the following ISPs have been identified for this particular process:

1. X-DEV
2. National Administrations (NAs)

As per the FQP Conformance Testing Annex (see [R17]) process description of Conformance Testing (CT), Table 6-6 shows at which point in the process ITSM interfaces with ISPs:

<b>Originator</b>	<b>Receiver</b>	<b>Process Step</b>	<b>Process Activity</b>	<b>Mode</b>	<b>Information/Data/Template</b>
X-DEV	ITSM CT Engineer	CT1.2	Specify requirements for respective		See page 89. Used in the Conformance Testing Organisation (CTO)

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Originator	Receiver	Process Step	Process Activity	Mode	Information/Data/Template
			environments		document.
NAs	ITSM Campaign Coordinator	CT1.3	Collate NPPs		National Project Plan (NPP).
ITSM Campaign Coordinator	NAs	CT1.5	Verify and agree schedule		Documented in Conformance Testing Time Table (CTTT).
NAs	ITSM Service Desk Operator	CT1.7	Review resource needs and request assistance if needed		Service request via ITSM Service Desk, No specific template is available
ITSM Campaign Coordinator	NA QA	CT1.10	Kick off CT Campaigns and trainings		Calendar invitation to conference call or video conference Output will be in meeting minutes
ITSM Campaign Coordinator	NA QA	CT 1.11	Perform CT Campaign Close out		Calendar invitation to conference call or video conference Output will be in meeting minutes
NAs	ITSM Campaign Coordinator	CT2.5	Document test results and communicate	1	Test results documented in a CT Report for mode 1.
ITSM CT Engineer	CCN	CT3.1	Ensure DG TAXUD CT environment	2	Liaison with CCN/TC : ITSM CT Engineer requests call creation to Service Desk. ACF is an input
ITSM Campaign Coordinator	NA QA	CT3.2	Kick off NAs CT mode 2	2	Calendar Invitation to conference call or video conference Output will be in meeting minutes
ITSM CT Tester	NA	CT3.4	Hand-over test scripts and test data	2	Test scripts, data and or applications are made available to NAs via

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Originator	Receiver	Process Step	Process Activity	Mode	Information/Data/Template
					CIRCA. The ITSM CT Tester will then ensure by email that NA is ready.
NAs	ITSM Service Desk Operator	CT3.7	Receive and dispatch any request and/or incident	2	ITSM logs incidents with a link to the Service Request for a particular campaign. No template exists for incident logging; NAs use e-mail.
NA	ITSM Service Desk Operator	CT3.8	Validate/analyse test results	2	ITSM logs a Service Request. No template exists for service request logging; NAs use e-mail.
NA	ITSM Campaign Coordinator	CT3.12	Receive NA request and ask Service Desk to create action	2	ITSM Campaign coordinator transmits the request to Service Desk. ITSM logs incidents with a link to the Service Request for a particular campaign. No template exists for incident logging; NAs use e-mail.
ITSM Service Desk	xDev	CT 3.10	Mode 2: Provide necessary support to ITSM Tester	2	Service request created by ITSM Service Desk
ITSM CT Engineer	CCN	CT4.2	Ensure DG TAXUD CT environment	3	Liaison with CCN/TC : ITSM CT Engineer requests call creation to Service Desk. ACF is an input
ITSM CT Coordinator	NA	CT4.3	Kick off NAs CT	3	Calendar Invitation to conference call or video conference Output will be in meeting minutes

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Originator	Receiver	Process Step	Process Activity	Mode	Information/Data/Template
ITSM CT Tester	NA	CT4.5	Hand-over test scripts and test data	3	Test scripts, data and or applications are made available to NAs via CIRCA. The ITSM CT Tester will then ensure by email that NA is ready.
NA	ITSM Service Desk Operator	CT4.9	Validate/analyse test results	3	ITSM logs a Service Request. No template exists for service request logging; NAs use e-mail.
ITSM Service Desk	xDEV	CT4.11	Monitor and provide necessary support to ITSM Tester	3	Service request created by ITSM Service Desk
NA	ITSM Campaign Coordinator	CT4.13	Receive NA request and ask Service Desk to create action	3	ITSM Campaign coordinator transmits the request to Service Desk. ITSM logs incidents with a link to the Service Request for a particular campaign. No template exists for incident logging; NAs use e-mail.

Table 6-6: Process Steps in CT, with interfaces to external parties

#### 6.4.1.1 CT: Description of the interface templates and documents with external parties

The templates, to which ITSM refers in Table 6-6, are described below.

##### Conformance Testing Organisation (CTO) Document

The content of this document will depend on the nature of the application, but will contain at least the following information:

- ❖ The planning of a test campaign
  - Key Milestones
  - The Test Environment
- ❖ Infrastructure

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- Software needed
- Preparation of the environment (configuration)
- User profiles
- ❖ Conformance test support services within CPT
- ❖ ITSM organisation within CPT
  - ITSM contact points
  - Communication procedures
- ❖ Specific procedures
- ❖ Report templates to be used
- ❖ Test data

### National Project Plan (NPP)

The NPP contain – dependent on the business thread – information on the planning of the (Conformance) Testing activities in a given NA.

The samples below in Figure 6-1 and Figure 6-2 demonstrate that in each case the following values are provided:

- NA abbreviation
- Issue Date
- Reference
- Project of Description
- Start Date
- End Date

Taxation-VAT									
ISO Country code: <b>BG</b>									
Issue Date: <b>28-11-08</b>									
		<b>Issue Date</b> Enter date of update (Format: dd/mm/yyyy)							
Ref	Project	Development	Local Testing	Conformance Testing		RIT Testing (Optional)		Migration to Production	Comment #
		End date	End date	Start date	End date	Start date	End date	Planned date	
PJ-1	CorellID							Done	
PJ-2	B2B							Done	
PJ-3	HVAT		31-05-09	01.06.2009	30.06.2009			01-07-09	
PJ-4	3rd MS		31-05-09	01.06.2009	30.06.2009			01-01-10	
PJ-5	Fuzzy Matching		31-05-09	01.06.2009	30.06.2009			01-01-10	
PJ-6	TOD > 5 years		2 months after the Specs distribution						
PJ-7	VAT refund		30-09-09	01.10.2009	20.11.2009	21-11-09	20-12-09	01-01-10	
PJ-8	Reduction of Timeframes		10-09-09	11.09.2009	10.10.2009	11-10-09	11-11-09	01-01-10	1
PJ-9	Datagram TOD		10-09-09	11.09.2009	10.10.2009	11-10-09	11-11-09	01-01-10	2
<b>Comments</b>									
1. Itimcheva: CT - We need at least 4 months after the Specs distribution 2. Itimcheva: CT - We need ar. 2 months after the Specs distribution; It could be done in parallel with Reduction of timeframes, but not earlier.									

Figure 6-1: NPP-Taxation-VAT-BG-20081128

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Ref	Milestones	Start date	End date
<b>NCTS Phase 4</b>			
	NA-AD		
	Issue Date 28/04/2008		
<b>NATIONAL MILESTONES</b>			
AD 28-04-08 1	NM-1 NTA Specifications Completed	06-02-08	30-07-08
AD 28-04-08 2	NM-2 NTA Development Completed	31-07-08	31-03-09
AD 28-04-08 3	NM-3 Successful Completion of Mode 1 Testing	10-04-09	30-04-09
AD 28-04-08 4	NM-4 Update of the CCN environment	01-04-09	09-04-09
AD 28-04-08 5	NM-5 Update of CS/RD Reference Data	15-06-09	15-06-09
AD 28-04-08 6	NM-6 National Domain Fully Prepared	15-06-09	15-06-09
AD 28-04-08 7	NM-7 External Domain Fully Prepared	15-06-09	15-06-09
AD 28-04-08 8	IM-1 Entry date Commitment to ECG (NCTS)	01-12-08	01-12-08
AD 28-04-08 9	IM-2 Successful Mode 1 Testing Demonstrated	30-04-09	30-04-09
AD 28-04-08 10	IM-3 Pre-Conformance Testing Successfully Completed	01-05-09	21-05-09
AD 28-04-08 11	IM-4 Actual Conformance Testing Successfully Completed	22-05-09	11-06-09
AD 28-04-08 12	IM-5 Training of NCTS Users and Support Staff (and Trader Liaison) Completed	16-03-09	12-06-09
AD 28-04-08 13	IM-6 International (Mode-3) Testing Successfully Completed	17-06-09	23-06-09
AD 28-04-08 14	IM-7 Final Entry Management Concluded	17-06-09	26-06-09
AD 28-04-08 15	IM-8a Countdown to Phase 4 Operations for NCTS security & ATIS	29-06-09	01-07-09
AD 28-04-08 16	IM-8b Countdown to Phase 4 Operations for NCTS new enquiry & recovery	29-06-09	30-06-09
AD 28-04-08 17	EM-1 Availability Date of NCTS phase-4 aligned Specifications for EDI Traders Conn	30-07-08	30-07-08
AD 28-04-08 18	EM-2 Availability Date of NCTS phase-4 aligned Test Environment for EDI Traders Co	01-04-09	01-04-09
AD 28-04-08 19	EM-3 Availability Date of NCTS phase-4 aligned EDI Traders Connection	01-07-09	01-07-09
AD 28-04-08 20	EM-4 Availability Date of NCTS phase-4 aligned Web Application for Traders Connec	01-07-09	01-07-09

Figure 6-2: AD-NCTS-P4-NPP-R

### Conformance Testing Time Table (CTTT)

Based on all the NPPs from the participating NAs, a Conformance Testing Time Table is then consolidated.

The sample in Figure 6-3 shows in which kind of testing activities will take place in which NA, at which date.

Date/MS	ECS																	Caution				Number of MS Testing							
	AT	BE	BG	CY	CZ	DE	DK	EE	ES	FI	FR	GR	HU	IE	IT	LT	LU	LV	MT	NL	PL		PT	RO	SE	SI	SK	UK	
Pre-CT Slot	27							12	06		14				24				21	03			23	04			08		
CT Slot																													
11-02-09								Pre-CT	Pre-CT									Pre-CT											3
12-02-09								Pre-CT	Pre-CT									Pre-CT	Pre-CT										4
13-02-09								Pre-CT	Pre-CT									Pre-CT	Pre-CT										4
14-02-09																													0
15-02-09																													0
16-02-09								Pre-CT	Pre-CT	Pre-CT								Pre-CT	Pre-CT		Pre-CT								6
17-02-09								Pre-CT	Pre-CT	Pre-CT	Pre-CT							Pre-CT	Pre-CT		Pre-CT								6
18-02-09								Pre-CT	Pre-CT	Pre-CT	Pre-CT							Pre-CT	Pre-CT		Pre-CT								6
19-02-09								Pre-CT	Pre-CT	Pre-CT	Pre-CT							Pre-CT	Pre-CT		Pre-CT								6
20-02-09								Pre-CT	Pre-CT	Pre-CT	Pre-CT							Pre-CT	Pre-CT		Pre-CT								6
21-02-09																													0
22-02-09																													0
23-02-09								Pre-CT	Pre-CT	Pre-CT								Pre-CT			Pre-CT								5
24-02-09								Pre-CT	Pre-CT	Pre-CT	Pre-CT							Pre-CT			Pre-CT								5
25-02-09								Pre-CT	Pre-CT	Pre-CT	Pre-CT							Pre-CT			Pre-CT								5
26-02-09								Pre-CT	Pre-CT	Pre-CT	Pre-CT							Pre-CT			Pre-CT								5
27-02-09								Pre-CT	Pre-CT	Pre-CT	Pre-CT							Pre-CT			Pre-CT								5

Figure 6-3: Sample of ITSM - eCustoms - CTTT v0 02 -Consolidated-ECS-NCTS-ICS\_SPEED\_06-03-2009.

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### Conformance Test Configuration Sheet (CTCS)

The CTCS information can be an attachment to the CTO document discussed supra. It contains the configuration information received from the X-DEV parties, necessary for the CT-activity.

ITSM	REF:CTCS
CONFORMANCE TEST CONFIGURATION SHEET	VER:1.01
	ISSUE DATE: 27/05/2010

#### CONFORMANCE TEST CONFIGURATION SHEET

##### .1 → CCN/CSI CONFIGURATION

The queues used by TTA to receive messages from NECA are distributed as follow:

TTA Role	TTA Queues
OOEXP	<ul style="list-style-type: none"> <li>→ CORE-OOEXP-RCT-QUE.ECS@DGXXI.EC</li> <li>→ ADMIN-OOEXP-RCT-QUE.ECS@DGXXI.EC</li> <li>→ REPORT-OOEXP-RCT-QUE.ECS@DGXXI.EC</li> </ul>
OOEXTD	<ul style="list-style-type: none"> <li>→ CORE-OOEXTD-RCT-QUE.ECS@DGXXI.EC</li> <li>→ ADMIN-OOEXTD-RCT-QUE.ECS@DGXXI.EC</li> <li>→ REPORT-OOEXTD-RCT-QUE.ECS@DGXXI.EC</li> </ul>
OOEXTA	<ul style="list-style-type: none"> <li>→ CORE-OOEXTA-RCT-QUE.ECS@DGXXI.EC</li> <li>→ ADMIN-OOEXTA-RCT-QUE.ECS@DGXXI.EC</li> <li>→ REPORT-OOEXTA-RCT-QUE.ECS@DGXXI.EC</li> </ul>
OOLDG	<ul style="list-style-type: none"> <li>→ CORE-OOLDG-RCT-QUE.ECS@DGXXI.EC</li> <li>→ ADMIN-OOLDG-RCT-QUE.ECS@DGXXI.EC</li> <li>→ REPORT-OOLDG-RCT-QUE.ECS@DGXXI.EC</li> </ul>
IUT	<ul style="list-style-type: none"> <li>→ CORE-RCT-QUE.ECS@CUSTTAXna</li> <li>→ ADMIN-RCT-QUE.ECS@CUSTTAXna</li> <li>→ REPORT-RCT-QUE.ECS@CUSTTAXna</li> </ul>

The Routing table of the NECA should be updated with the queues in the above table.

¶  
¶

##### .2 → TTA DATA CONFIGURATION

TTA Role	Country	Custom. Offices
OOEXP	×	×
OOEXTD	×	×
OOEXTA	×	×
OOLDG	×	×
IUT	×	×

All these customs offices have to be declared as ECS in the IUT database.

¶

##### .3 → USER ACCESS

Unix Id	Ttax
Unix Passwords	This password you receive by fax
TTA Remote Console Ids	ttax
TTA Remote Console passwords	This password you receive by fax

¶

¶ Where 'na' should be replaced by the ISO country code of the IUT  
 ¶ Where 'tt' should be replaced by the id allocated for the country

ITSM - CTCS Template v1-01

Figure 6-4: Sample of CTCS data

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### Application Configuration Form (ACF)

The ACF Form contains the configuration settings needed on the CCN gateways of the NAs concerned with the CT-activity.

In Figure 6-5, Figure 6-6, Figure 6-7 and Figure 6-8, the various configuration settings are captured. These files become CIs in the CMDB when an application goes in production.

CCN/CSI APPLICATION CONFIGURATION FORM - Part 1 (1)				
<i>ccnOrganisationName:</i> .....				
<i>ccnApplicationName:</i>	NECA-RCT-APP.ECS			
<i>ccnApplicationSecurityKey:</i> (2)	.....			
<i>ccnAddress:</i> (4)	.....			
<i>ccnAddressType:</i> (4)	<input type="checkbox"/> TCPIP	<input type="checkbox"/> LU6.2	<input type="checkbox"/> XCP2	
	<input type="checkbox"/> LANCOMM			
<i>ccnAuthorizedSecurityMechanisms:</i> (3) (4)	<input type="checkbox"/> 1LL	<input type="checkbox"/> 1LC	<input type="checkbox"/> 3HC	
<i>ccnDefaultSecurityMechanisms:</i> (4)	<input type="checkbox"/> 1LL	<input type="checkbox"/> 1LC	<input type="checkbox"/> 3HC	
(1) must be filled only for external applications				
(2) must not be filled on the form returned to CCN/TC				
(3) multiple values are permitted				
(4) must be filled only when different from value specified for the platform supporting the application				

Figure 6-5: ACF, Part 1, sample

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CCN/CSI APPLICATION CONFIGURATION FORM - Part 2						
<i>conHostFormat: (4)</i>						
<i>Platform Type:</i>	<input type="checkbox"/>	AIX 4.X	<input type="checkbox"/>	Reliant UNIX 5.X	<input type="checkbox"/>	DYNIX 2.X
	<input type="checkbox"/>	DC/OSX 1.X	<input type="checkbox"/>	Solaris 5.X	<input type="checkbox"/>	HP UX 10.X
	<input type="checkbox"/>	Targon 4.X	<input type="checkbox"/>	Sinix 5.X	<input type="checkbox"/>	Digital UNIX 4.X
	<input type="checkbox"/>	NCR UNIX MP 2.X	<input type="checkbox"/>	Windows 95/NT	<input type="checkbox"/>	IBMMVS
	<input type="checkbox"/>	SN/BS2000	<input type="checkbox"/>	Bull/GCOS7	<input type="checkbox"/>	Bull/GCOS8
	<input type="checkbox"/>	.....				
<i>Specific data representation rules:</i>		.....				
		.....				
		.....				
		.....				
(4) must be filled only when different from value specified for the platform supporting the application						

Figure 6-6: ACF, Part 2, sample

CCN/CSI APPLICATION CONFIGURATION FORM - Part 3						
<i>conDefaultCodePage: (4)</i>						
	<input type="checkbox"/>	UTF8	<input type="checkbox"/>	ISO88591	<input type="checkbox"/>	ISO88597
	<input type="checkbox"/>	IBM037	<input type="checkbox"/>	IBM237	<input type="checkbox"/>	IBM277
	<input type="checkbox"/>	IBM278	<input type="checkbox"/>	IBM280	<input type="checkbox"/>	IBM284
	<input type="checkbox"/>	IBM285	<input type="checkbox"/>	IBM297	<input type="checkbox"/>	IBM500
	<input type="checkbox"/>	IBM875	<input type="checkbox"/>	IBM850	<input type="checkbox"/>	IBM869
<i>conApplicationActivationMode:</i>	<input checked="" type="checkbox"/>	Initiator	<input type="checkbox"/>	PreStarted Acceptor	<input type="checkbox"/>	OnDemand Acceptor
<i>conApplicationExchangeMode:</i>	<input type="checkbox"/>	Synchronous	<input checked="" type="checkbox"/>	Asynchronous		
<i>conConversationalModeEnabled:</i>	<input type="checkbox"/>	True	<input checked="" type="checkbox"/>	False		
(4) must be filled only when different from value specified for the platform supporting the application						

Figure 6-7: ACF, Part 3, sample

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CCN/CSI APPLICATION CONFIGURATION FORM - Part 4					
<i>conDefaultQOS</i>					
- <i>ClassOfTraffic:</i>	<input type="checkbox"/>	DefaultCOT			
- <i>CompressionRequired:</i>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No	
- <i>CompressionAlgorithmId:</i>	<input type="checkbox"/>	LZW			
- <i>ConfidentialityRequired:</i>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No	
- <i>IntegrityRequired:</i>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No	
- <i>Urgency: (5)</i>		...			
- <i>DegradedModeEnabled:</i>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No	
- <i>ReplyToQueueName:</i>		.....			
- <i>ReportOption:</i>	<input checked="" type="checkbox"/>	exception	<input type="checkbox"/>	exception- WithData	<input checked="" type="checkbox"/>
	<input type="checkbox"/>	expiration WithData	<input checked="" type="checkbox"/>	confirmOnArrival	<input type="checkbox"/>
	<input checked="" type="checkbox"/>	confirmOnDelivery	<input type="checkbox"/>	confirmOnDelivery- WithData	<input type="checkbox"/>
	<input type="checkbox"/>	passCorrelationId	<input checked="" type="checkbox"/>	newMessageId	<input type="checkbox"/>
				copyMessageId- ToCorrelationId	
				passMessageId	
<i>conPlatformName:</i>					
.....					
<i>conFAPName:</i>					
NECA-RCT-RAP.ECS					
.....					

Figure 6-8: ACF, Part 4, sample

### Conformance Testing (CT) Daily Report

In the screenshot in Figure 6-9 below, ITSM documents the template for the CT Daily Report. The sample shown below is taken from a CT-cycle for NCTS. The columns of this report and their meaning are presented in Table 6-7 below:

Field Names	Description or purpose of the field
Test Category ID	<p>Testing categories: the Conformance Test Protocol defines the test scenarios that will be used during Conformance Testing. The test scenarios are categorised in a number of testing categories. The following categories are defined for this particular sample:</p> <ul style="list-style-type: none"> <li>• Application Protocol Tests</li> <li>• Business Tests</li> <li>• EDIFACT errors Tests</li> <li>• Functional errors Tests</li> </ul>

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M / O	The test scenarios to perform are classified as either Mandatory or Optional. The NAs choose which of the optional tests to execute.
Scenario	Refers to test scenarios described in the CTO document.
Role of the IUT	The Implementation under Test (IUT) may have several roles, which all need to be tested. This column indicates in which role the test scenario needs to be run. The content of this column will be dependent from the tested application.
Data set	Each test scenario can be executed by using at least one dataset. However, in order to ensure that all possible cases have been tested, some test scenarios will be executed with more than one dataset. (More information is available in the CT Plan document)
Title	Description of the Test Result
Date <sup>5</sup>	Execution Date of the Test. If the mention 'Planned' is available in the Remark, this date will represent the scheduled date of test.
Call	Status of test according the NA.
Status	Status of test according the NCTS-CO.
Log Files	Log Files published on the ITSM Portal Publishing Platform: the log files are archived by the TTA at the end of the execution of the scenario.  In pre-Conformance testing, log files related to failed tests will be posted on the ITSM Portal Publishing Platform  In Actual Conformance Tests, all log files will be posted on the ITSM Portal Publishing Platform.

Table 6-7: Explanation on values of the CT Daily Report

Test Category ID	M / O	Scenario	Role of the IUT	Data set	Title
Application Protocol test	M	AP-01	OoExp	A	Successful Exiting of Goods
Application Protocol test	M	AP-01	OoExtD	A	Successful Exiting of Goods
Application Protocol test	M	AP-02	OoExp	E	Goods Stopped at Exit due to Major Discrepancies
Application Protocol test	M	AP-02	OoExp	N	Goods Stopped at Exit due to Major Discrepancies
Application Protocol test	M	AP-02	OoExtD	E	Goods Stopped at Exit due to Major Discrepancies
Application Protocol test	M	AP-02	OoExtD	N	Goods Stopped at Exit due to Major Discrepancies
Application Protocol test	M	AP-03	OoExp	C	Status Request/Response
Application Protocol test	M	AP-03	OoExp	O	Status Request/Response
Application Protocol test	M	AP-03	OoExtD	C	Status Request/Response
Application Protocol test	M	AP-03	OoExtD	O	Status Request/Response
Application Protocol test	M	AP-04	OoExp	D	Cancellation
Application Protocol test	M	AP-04	OoExp	P	Cancellation
Application Protocol test	M	AP-04	OoExtD	D	Cancellation
Application Protocol test	M	AP-04	OoExtD	P	Cancellation
Application Protocol test	M	AP-05	OoExp	E	International Diversion Accepted

Figure 6-9: CT Daily Report sample

**Conclusion on templates currently in use**

Depending on the business thread, the templates may vary e.g. the NPP template. Standardising these templates for all the business threads would make it easier to consolidate the information for ITSM. We recommend that a Continual Service Improvement activity be started to that end.

<sup>5</sup> This and all following fields of this table are not shown in sample

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#### **6.4.2 Publish test deliverables (EP2.10.1)**

X-DEV needs to deliver all required documents, which ITSM needs to support the ITSM's test activities. They deliver these documents as part of the formal application and infrastructure deployment and test activities in the FQP.

#### **6.4.3 Publish installation guide (EP2.10.2)**

X-DEV needs to deliver all required procedures and documentation required for installation. These documents are delivered as part of the formal change and release procedures defined in the FQP.

#### **6.4.4 Publish development artefacts (EP2.10.3)**

X-DEV needs to deliver all required development artefacts to ITSM. This is defined in the PQP and quality plan of X-DEV.

All relevant documents part of a release must be made available to ITSM. External parties must provide access to their internal document management system and/or publish all documents to ITSM.

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## 7. Alert and Notification Interfaces

### 7.1 Introduction

This chapter defines the operational notifications which the external parties need to provide to inform the ITSM Service Desk.

### 7.2 Event notification (EP3.1)

Item	Description
Procedure ID	EP3.1
Owner	ITSM Infrastructure Manager
Title	Event notification (for monitoring data / detected events)
Purpose / scope	Inform ITSM of events detected by monitoring tools; for example events detected in application log files, system events, etc. which need to be investigated by ITSM and/or for which ITSM need to be informed.
Initiator (role)	DIGIT/DC (Operations / Monitoring group); CCN/TC (Operations / Monitoring group)
Other involved parties	ITSM (Operations / Monitoring group – xxx). ITSM (Service Desk – xxx)
Involved contacts	Each service provider must assign a person (and group) which is responsible for the day-to-day monitoring of the ICT infrastructure within their domain. This monitoring group is responsible to ensure that detected events are forwarded to the ITSM monitoring group.
Related FQP procedures	CAP 3.2 Analyse resource capacity and performance data AvM 2.2 Analyse availability data Inf 5.4: Filter event Inf 6.1: Register and categorise event
Trigger(s)/ Event(s)	Event detected; Event cleared.
Information/ Data	Event information: <ul style="list-style-type: none"> <li>• Event ID (unique ID);</li> <li>• Event type (classification of the event);</li> <li>• Message details;</li> </ul>

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Item	Description
	<ul style="list-style-type: none"> <li>• Severity;</li> <li>• Source system / reported by (system which generated the event)</li> <li>• Affected configuration item(s) and/or service(s);</li> <li>• Date/time detected;</li> <li>• Date/time closed (if applicable);</li> <li>• Data (attachment with relevant data).</li> </ul>
Direction	One-way
Interface technologies / tools used	E-mail (to the ITSM Monitoring Mailbox: xxx)
Frequency	Ad-hoc (after detection of the event)
Procedure	<p>ITSM may ask the external provider to monitor specific conditions for which ITSM need to be notified of (e.g. table space of databases hosted by DIGIT).</p> <p>Service providers must proactively inform ITSM of events detected within their monitoring system (which are relevant of ITSM operations).</p> <p>Events from providers need to be forwarded to the ITSM Monitoring Mailbox. In case the event must be investigated by the provider itself an incident should be raised and managed by the incident management process of the provider (see also procedure 7.3).</p> <p>Based upon the notification the event is investigated by ITSM in more detail (if needed a formal incident is raised).</p> <p><i>Comment: The specification of what type of events needs to be forwarded is to be discussed in more detail (part of monitoring and event management specifications such as thresholds).</i></p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Notifications generated by DIGIT related to system resources (e.g. disk space, table space).</li> </ul>
Controls	Events must be reported to ITSM within 1 hour of occurrence.
Escalation procedure	None
Template	N/A
Degree of implementation	<p>Formalised / implemented.</p> <p>Comment: Notifications occur from external providers, however</p>

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Item	Description
	<p>only for unscheduled unavailability a notification is sent after the service has been restored.</p> <p>DIGIT BMC Patrol automatically sends alerts to ITSM Monitoring mailbox for the following type of issues:</p> <ul style="list-style-type: none"> <li>• File system</li> <li>• Weblogic usage of resource</li> <li>• Database availability .</li> </ul>

Table 7-1:EP3.1 Event Notification

### 7.3 Incident notification (EP3.2)

Item	Description
Procedure ID	EP3.2
Owner	ITSM Incident Manager
Title	Incident notification
Purpose / scope	Inform the ITSM Service Desk of incidents affecting IT services (including unscheduled unavailability) detected and managed by other providers.
Initiator (role)	DIGIT/DC (Service Desk / Incident management group); CCN/TC (Service Desk / Incident management group); NA Operations (Service Desk / Incident management group); X-DEV; ITSM (Service Desk / Incident management group).
Other involved parties	N/A
Involved contacts	ITSM Service Desk (Incidents need to be forwarded to the ITSM Service Desk). ITSM Incident Manager Involved roles of the providers: <ul style="list-style-type: none"> <li>• Service desk</li> <li>• Incident Manager</li> </ul> Incident resolver (assignee of the incident)
Related FQP procedures	IM 1.1. Register and classify call. IM 2.3. Restore service and document solution.

ITSM external processes & procedures definition and description	REF.: ITS-IRPT-SC06-EPP-004
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Item	Description
	IM 3.1 Communicate service restoration to Issuer.
Trigger(s)/ Event(s)	Incident detected; Incident status update; Incident resolved; Incident closed.
Information/ Data	Incident ticket (from external party) containing the following information: <ul style="list-style-type: none"> <li>• Incident ID (reference number);</li> <li>• Title (one liner);</li> <li>• Description;</li> <li>• Category / incident classification;</li> <li>• Priority;</li> <li>• Impact;</li> <li>• Status;</li> <li>• Affected service(s);</li> <li>• Cause code;</li> <li>• Reported by / contact person;</li> <li>• Support group;</li> <li>• Resolution / Workaround;</li> <li>• Date/time occurred;</li> <li>• Date/time resolved;</li> <li>• Date/time closed.</li> </ul>
Direction	Two-ways
Interface technologies / tools used	E-mail (to the ITSM Service Desk Functional Mailbox)
Frequency	Ad-hoc
Procedure	Service providers must proactively inform the ITSM Service Desk of any situation or incident that potentially affects the security, availability and performance of IT-services.  For example, CCN or DIGIT detects an incident related to a configuration item for which they are responsible. ITSM need to

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Item	Description
	<p>be informed of this incident in case this incident may affect the performance and/or availability of services to the business (even if ITSM is not involved in the incident resolution).</p> <p>Based upon the notification an incident is registered by ITSM and the affected customers are informed.</p> <p>The progress of the reported incident will be monitored based upon the SLA/OLA targets.</p> <p>This procedure is relevant for incidents that may affect other providers and thus need to be communicated to ITSM (details of what type of incidents must be published will have to be defined).</p>
Controls	Incidents must be reported to the ITSM Service according to the agreed timeframe defined in contractual agreements.
Escalation procedure	See escalation procedure C.1 (in annex)
Template	<p>No formal template is used. The e-mail message contains the incident details. The title should specify the following information:</p> <ul style="list-style-type: none"> <li>• Affected service/application</li> <li>• Incident summary/title</li> <li>• Code</li> </ul>
Degree of implementation	<p>Operational (however no formal templates are used).</p> <p><i>Comment: often not all required information as mentioned above is provided to ITSM.</i></p>

Table 7-2:EP3.2 Incident Notification

The content of the above table has not been altered for the purpose of the evolutive maintenance of this deliverable.

## 7.4 Change notification (EP3.3)

Item	Description
Procedure ID	EP3.3
Owner	ITSM Change Manager
Title	Change notification
Purpose / scope	Inform the ITSM Service Desk of all planned and closure of

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<b>Item</b>	<b>Description</b>
Initiator (role)	<p>changes.</p> <p>The ITSM Service Desk has to announce scheduled and unscheduled service unavailability and anticipated downtime to users. Therefore, for CI managed by other providers a notification needs to be sent in case a change is planned and after the change has been executed.</p> <p>It is important that the ITSM Service Desk is aware of all planned and executed changes (because change can affect the occurrence of incidents reported to the Service Desk).</p> <p>DIGIT/DC (Change management group); CCN/TC (Change management group); NA Operations (Change management group); ITSM (Change management group xxx).</p>
Other involved parties	N/A
Involved contacts	<p>ITSM Service Desk</p> <p>ITSM Change Manager</p> <p>Change Manager of involved parties. Each party has to assign a Change Manager who is accountable for the planning, coordination and communication of all changes to involved stakeholders.</p>
Related FQP procedures	<p>ChM 4.3 Inform RfC stakeholders</p> <p>ChM 5.2 Report RfC implementation</p> <p>RM 6.6 Prepare notification</p>
Trigger(s)/ Event(s)	<p>Unavailability scheduled (at least 48 hours upfront);</p> <p>Change planned;</p> <p>Change implemented (change closed).</p>
Information/ Data	<p>Change record containing at least the following information:</p> <ul style="list-style-type: none"> <li>• Change ID;</li> <li>• Title;</li> <li>• Description;</li> <li>• Affected services/configuration items;</li> <li>• Affected customers/users;</li> <li>• Scheduled outage start date/time;</li> <li>• Scheduled outage end date/time.</li> </ul>

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Item	Description
	<p>After implementation of the change in addition to the above the following information needs to be provided:</p> <ul style="list-style-type: none"> <li>• Actual outage start date/time;</li> <li>• Actual outage end date/time.</li> </ul>
Direction	Two-ways
Interface technologies / tools used	E-mail notifications are used to inform ITSM of change updates.
Frequency	Ad-hoc
Procedure	External providers need to inform the ITSM Service Desk of any scheduled unavailability (prior to execution) and send a notification when the system is available again.
Controls	All changes must be planned and forwarded to the ITSM Service Desk at least 48 hours in advance.
Escalation procedure	See escalation procedure C.1 (in annex)
Template	No formal template is used for change notifications (e-mail messages).
Degree of implementation	<p>Operational</p> <p><i>Comment: often not all required information as mentioned above is provided to ITSM.</i></p>

Table 7-3:EP3.3 Change Notification

## 7.5 Unscheduled unavailability

Notifications related to unscheduled unavailability are covered by the incident notification procedure (see 7.3).

## 7.6 Availability and continuity management with NAs

A document called “Annex I - Specifications for implementing availability and continuity in NCTS”[A5] specifies the common domain processes, procedures and rules that National Administrations and Commission have agreed upon and adopted for handling availability and prolonged interruptions in the continuity of NCTS.

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## 8. QA/QC interfaces

### 8.1 Introduction

This chapter defines the quality management interactions between ITSM and the QA Contractor.

Quality management procedures are embedded in all processes and procedures as defined in the FQP, CQP and PQP.

This chapter highlights these touch points with the QA Contractor and refers to applicable detailed procedures already covered by the FQP (and/or Internal Procedures linked to the FQP).

### 8.2 Audits, assessments and verifications (EP4.1)

Item	Description
Procedure ID	EP4.1
Owner	ITSM Quality Manager
Title	Audits, assessments and verifications
Purpose	Cooperation with external audit activities (which also includes assessments such as the maturity assessment).  Support the QA contractor to execute the required audit, assessment and verification activities (part of Quality Assurance).  The QA contractor performs periodic audits on behalf of DG Taxation and Customs Union.
Initiator (role)	External auditor (QA Contractor)
Other involved parties	ITSM QA Contractor
Involved contacts	ITSM Quality Manager xxx) is the primary contact with the audit team.  CSIP Manager (for action plan)  For the audit itself all ITSM roles may be involved.
Related FQP procedures	FQP procedure paragraph 7.1.8 WP.0.9 - Co-operation with the Commission during Quality, Process and Security Audits.

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Item	Description
Trigger(s) / Event(s)	Request for an external audit (from DG Taxation and Customs Union) Audit report created/released Audit meeting requests (e.g. exit meeting)
Information/ Data	Key documents exchanged during the audits/verifications: <ul style="list-style-type: none"> <li>• Audit Plan;</li> <li>• Audit Report;</li> <li>• Action plan (input for CSIP).</li> </ul> <p>The audit is conducted as a mixture of interviews and inspections of evidence in the form of documents or of records. Contractor records relevant to the scope of the audit shall be made available to the auditor.</p>
Direction	Two-ways <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <pre> sequenceDiagram     participant QA as QA Contractor     participant ITSM as ITSM     QA-&gt;&gt;ITSM: Request for audit, verification or assessment     ITSM-&gt;&gt;QA: Audit plan     QA-&gt;&gt;ITSM: Confirmation / Acceptance     ITSM-&gt;&gt;QA: Provide information, assistance, Etc. need to support the audit     QA-&gt;&gt;ITSM: Audit report     ITSM-&gt;&gt;QA: Audit report comments     QA-&gt;&gt;ITSM: Follow-up actions </pre> </div>
Interface technologies / tools used	A broad range of collaboration and communication mechanisms are used to support the audit interactions, these include: <ul style="list-style-type: none"> <li>• E-mail;</li> <li>• Document exchange (e.g. using new ITSM Portal, CIRCA);</li> <li>• Phone conferences;</li> <li>• Face-to-face meetings;</li> <li>• On-site visits.</li> </ul>

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Item	Description
Frequency	Periodic audits (a least once a year according to the master audit schedule) and/or ad-hoc.
Procedure	<p>ITSM receives a formal request to participate in the external audit (from DG Taxation and Customs Union). This notification must be accompanied by the Audit Plan.</p> <p>ITSM will nominate a formal point of contact for this audit. ITSM will review the Audit Plan. If needed, modifications to the plan are negotiated with the QA contractor.</p> <p>QA Contractor will then make contact with the Contractor to agree upon:</p> <ul style="list-style-type: none"> <li>• Nominated participants;</li> <li>• Times, dates and location for all interviews and data collection activities;</li> <li>• Any other details required for the effective execution of the audit.</li> </ul> <p>These details will be recorded in an updated Audit Plan, the text of which will be appended to the Audit Report for information purposes.</p> <p>The ITSM Quality Manager will facilitate the audit by providing the auditor with all necessary information (interview with ITSM personnel, documents, logs, ...).</p> <p>When the Audit report is received, ITSM has the possibility to issue its position on it, and a meeting with the Auditor and DG Taxation and Customs Union may be organised.</p> <p>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's proposed solutions. The follow-up of the implementation is assured by the CSIP team together with the ITSM Quality Manager, who also takes care of organising verification meetings with the Auditor.</p> <p>Feedback on the implementation of preventive and corrective actions is provided to DG Taxation and Customs Union via the MPR and is discussed in BMM.</p> <p>For more details see: Internal Procedure QA-QC [R9] paragraph 4.4 COOPERATION DURING EXTERNAL QUALITY AUDIT.</p>
Controls	Controls for the audit are defined in the audit plan.

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<b>Item</b>	<b>Description</b>
Escalation procedure	See escalation procedure C.1 (in annex)
Template	Audit Plan (maintained by the QA contractor) Audit Report (maintained by the QA contractor) Follow-up action list / action plan (from CSIP)
Degree of implementation	Implemented / Managed & Integrated (process is monitored / managed and completely integrated within processes and tools of the involved parties).

Table 8-1: EP4.1 Audit and Assessment

### 8.3 Follow-up on action lists (EP4.2)

<b>Item</b>	<b>Description</b>
Procedure ID	EP4.2
Owner	ITSM Quality Manager
Title	Follow-up on action lists
Purpose	Monitor the outstanding issues/actions and progress made according to the plan (as identified during audits, assessments and verifications).
Initiator (role)	QA Contractor ITSM Quality Manager
Other involved parties	ITSM QA Contractor DG Taxation and Customs Union X-DEV
Involved contacts	ITSM Quality Manager CSIP Manager
Related FQP procedures	WP.0.5 - Internal Quality Assurance FQP Chapter 8.3 Quality Assurance;
Trigger(s) / Event(s)	Status request (from QA) Periodic status update Meeting request (to review action plans)

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Item	Description
Information/ Data	Action lists (Preventive & corrective action follow-up table ; Tracking self-assessment corrective actions) CSIP Action Lists and Reports
Direction	Two-ways <pre> graph LR     subgraph Interaction         direction TB         subgraph QA_Contractor [QA Contractor]             direction TB             Q1[Request status update]             Q2[Publish action lists (and status updates)]             Q3[Periodic progress reports]             Q4[CSIP action log reports]             Q5[Progress Meetings]         end         subgraph ITSM [ITSM]             direction TB             I1[Request status update]             I2[Publish action lists (and status updates)]             I3[Periodic progress reports]             I4[CSIP action log reports]             I5[Progress Meetings]         end         Q1 --&gt; I1         I2 --&gt; Q2         I3 --&gt; Q3         I4 --&gt; Q4         Q5 &lt;--&gt; I5     end </pre>
Interface technologies / tools used	The following tools are used to manage these interactions: <ul style="list-style-type: none"> <li>• E-mail;</li> <li>• Action lists (stored on CIRCA);</li> <li>• Phone conferences;</li> <li>• On-site meetings.</li> </ul>
Frequency	Continuous

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Item	Description
Procedure	<p>The follow-up of the audit will be done through the follow-up of a preventive/corrective action list.</p> <p>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.</p> <p>In addition, as a result of the outcome of CSIP activities an action list is created.</p> <p>The ITSM Quality Manager 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. The ITSM Quality Manager will also send reminders to the action owner. A status of this follow-up will be reported in the MPR to DG Taxation and Customs Union.</p> <p>Corrective actions identified in the context of the QA/QC are followed up on a weekly basis during the internal QA meetings. 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 a weekly basis. 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 ITSM activities.</p> <p>A follow-up action list will also 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.</p> <p>See the following procedures for more details:</p> <ul style="list-style-type: none"> <li>• Internal procedure related to the Internal Audit [R13];</li> <li>• FQP section “Follow-up of Corrective Actions” in chapter Quality Management;</li> <li>• Internal Procedure QA-QC [R9].</li> </ul>
Controls	<p>Actions have a defined priority and target dates. The progress of these activities can be monitored against these defined target dates.</p>
Escalation procedure	<p>See escalation procedure C.1 (in annex)</p> <p>If needed the action/issue can then be escalated to the BMM or the weekly meeting that ITSM has with DG Taxation and Customs Union.</p>

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Item	Description
Template	Preventive & corrective action follow-up table template Tracking self-assessment corrective actions template CSIP Action List template CSIP Action List – Monthly Report Format
Degree of implementation	Implemented / Managed & Integrated (process is monitored / managed and completely integrated within processes and tools of the involved parties).

Table 8-2: EP4.2 Follow up on actions list

## 8.4 CSIP Interface (EP4.3)

Item	Description
Procedure ID	EP4.3
Owner	ITSM CSIP Manager
Title	CSIP Process Interface
Purpose	This procedure defines the interaction with the QC contractor and ITSM related to the Continuous Service Improvement Programme (CSIP).  The CSIP identifies and introduces 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
Initiator (role)	QA Contractor (identification of improvement) ITSM
Other involved parties	DG TAXUD R5 CPT QA Contractor ITSM (xxx)
Involved contacts	ITSM CSIP Manager QA CSIP Manager DG TAXUD CSIP Manager
Related FQP procedures	CSIP2 CSIP3

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<b>Item</b>	<b>Description</b>
Trigger(s) / Event(s)	Meeting Requests Implementation of Improvement Project
Information/ Data	<ul style="list-style-type: none"> <li>○ CSIP Action List (CAL)</li> <li>○ CSIP Change List</li> <li>○ CSIP Dashboard</li> </ul>
Direction	<p>Two-ways</p>
Interface technologies / tools used	<ul style="list-style-type: none"> <li>• CIRCA (to store CAL)</li> <li>• Email</li> <li>• owITSM (to store RfCs)</li> <li>• ITSM Portal (to access RfCs via Call Centre and the RfC lists via Publishing Platform)</li> <li>• Conference Calls</li> </ul>
Frequency	<ul style="list-style-type: none"> <li>• Continuous</li> </ul>

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Item	Description
Procedure	<ul style="list-style-type: none"> <li>ITSM CSIP Manager, QA Contractor and DG TAXUD R5/CPT continuously check for items of interest and define a list of potential CSIP candidates</li> <li>They discuss the CSIP candidates and the ongoing activities during the weekly CSIP conference call</li> <li>Before the weekly CSIP conference call, the latest version of the CAL, the CSIP change list and the CSIP dashboard is sent to the participants</li> <li>When a CSIP candidate is approved, an RfC is created in the SMT Tool and is accessible to QA Contractor and DG TAXUD R5/CPT it via the ITSM Portal</li> <li>Once an Improvement Project is authorised, All the associated actions linked to the RfC are entered into a consolidated “CSIP Action List” (CAL) with corresponding delivery dates and assigned persons. In theory, the consolidated CAL is managed and uploaded on Circa by ITSM CSIP Manager, the QA contractor and/or by DG TAXUD R5/CPT.</li> <li>Actions can be assigned to QA contractor. If it is the case, QA contractor will have to report on the progress of their actions during the ad hoc technical meetings that will occur for specific improvement project or during the weekly CSIP conference call</li> <li>ITSM CSIP Manager, QA Contractor and DG TAXUD R5/CPT verify together that the service improvement actions have actually been implemented;</li> </ul>
Controls	CAL must be uploaded on CIRCA one day from time of closure of an action (SQI35a)
Escalation procedure	See escalation procedure C.1 (in annex).
Template	<ul style="list-style-type: none"> <li>CSIP Action List template</li> <li>CSIP Action List – Monthly Report Format</li> <li>CSIP Change List template</li> <li>CSIP Dashboard template</li> </ul>

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Item	Description
Degree of implementation	Implemented / Managed & Integrated (process is monitored / managed and completely integrated within processes and tools of the involved parties).

Table 8-3: EP4.3 CSIP

## 8.5 Deliverable review (EP4.4)

Item	Description
Procedure ID	EP4.4
Owner	ITSM Quality Manager
Title	Deliverable review
Purpose	Conduct formal review of deliverables. This procedure refers to the review of deliverables provided by ITSM as well as the review of deliverables provided by other parties by ITSM.
Initiator (role)	QA Contractor (to review documents provided by other providers)
Other involved parties	DG Taxation and Customs Union QA Contractor ITSM
Involved contacts	ITSM Quality Manager
Related FQP procedures	AM.2 Perform Technical Review
Trigger(s) / Event(s)	Initiation of review cycle by sending out copies of the deliverable to the identified reviewers, together with specific review instructions (Additional Review Criteria), if needed.; Issue review comments (by reviewers); Request a review meeting; Updated review database (to be shared with involved parties); Updated deliverable to be reviewed/accepted (modified version).
Information/ Data	Deliverables (to be reviewed/validated including review instructions and delivery notes) Review comments (in the review database) Acceptance documents

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<b>Item</b>	<b>Description</b>
Direction	<p>Two-ways</p> <pre> graph LR     subgraph QA_Contractor [QA Contractor]         direction TB         QC[QA Contractor]     end     subgraph ITSM [ITSM]         direction TB         ITSM     end     QC -- "Deliverables to be reviewed (including review instructions and delivery notes)" --&gt; ITSM     ITSM -- "Review comments" --&gt; QC     QC &lt;--&gt;  "Review Meetings"  ITSM     ITSM -- "Acceptance documents (Acceptance Note / Acceptance Letter)" --&gt; QC </pre>
Interface technologies / tools used	<p>Different tools and technologies are used during the document review, which include:</p> <ul style="list-style-type: none"> <li>• Review database;</li> <li>• E-mail;</li> <li>• On-site review meetings;</li> <li>• Deliverables Tracking Matrix (DTM);</li> <li>• Document management tools (to store the documents and review databases).</li> </ul>
Frequency	Ad-hoc

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Item	Description
Procedure	<p>Quality Control includes the review of the document deliverable by DG Taxation and Customs Union, contractors (e.g. QA contractor) and possibly other stakeholders (e.g. NAs) with the aim to detect and eliminate any possible quality flaws or scope deviations.</p> <p>ITSM needs to perform reviews on system design specifications, test cases of development contractor, etc.</p> <p>The review process starts with receiving the document to be reviewed. The reviewers read and comment the document and compile a list of their comments in an MS Access Database if not otherwise specified.</p> <p>Activities include:</p> <ul style="list-style-type: none"> <li>• Perform reviews, identify and report flaws in the deliverable as per applicable review criteria;</li> <li>• Perform reviews, identify and report improvement suggestions in the deliverables;</li> <li>• Verify and agree that comments/improvement suggestions are implemented or addressed satisfactorily.</li> </ul> <p>All documents sent to the customer must first undergo internal quality control. The quality control on documents consists in verifying that the document has been written in accordance with the internal procedure “Document Review and Delivery process” [R11].</p> <p>Use the following detailed procedures:</p> <ul style="list-style-type: none"> <li>• Internal procedure “Document Review and Delivery process” [R12];</li> <li>• Internal procedure for Application management Chapter 5 Perform Technical Review [R14];</li> <li>• Internal Procedure QA-QC [R9];</li> <li>• The details of the standard Review Cycle process are described in the Deliverables Acceptance Guide [R6].</li> </ul> <p>See also TEMPO QC Techniques [R8] for additional information of the QC techniques related to the review cycle.</p>
Controls	<p>The review cycle will follow the specified timing, which can be given in the Quality Plan of the related project, the related SC or RfA.</p> <p>Review activities conducted by ITSM are also reported in the MPR.</p>

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Item	Description
Escalation procedure	See escalation procedure C.1 (in annex)
Template	Review forms (as defined in the review database)
Degree of implementation	Implemented / Managed & Integrated (process is monitored / managed and completely integrated within processes and tools of the involved parties).

Table 8-4: EP4.4 Deliverable Review

## 8.6 QC of Tests (EP4.5)

Item	Description
Procedure ID	EP4.5
Owner	ITSM Quality Manager
Title	Quality control of testing activities
Purpose	<p>This procedure defines the interaction with the QC contractor and ITSM related to testing activities. This includes the acceptance test cycle (preSAT, SAT), Qualification and Conformance Tests.</p> <p>The Acceptance Test cycle is used to accept a new release of the software. This release includes both new functionalities and corrective items.</p> <p>The Qualification Test cycle is used to accept the corrective releases and patches of software.</p> <p>Conformance test cycles are applicable for the distributed application. The objective 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.</p>
Initiator (role)	<p>QA Contractor (to review documents provided by other providers)</p> <p>ITSM</p>
Other involved parties	<p>DG Taxation and Customs Union</p> <p>QA Contractor</p> <p>ITSM</p> <p>X-DEV (development contractor)</p>

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<b>Item</b>	<b>Description</b>
Involved contacts	ITSM Service Desk ITSM Quality Manager ITSM Release Manager ITSM CT Engineer AM Tester
Related FQP procedures	AM.3 Deployment CT Conformance Test RM.4 Accept Release
Trigger(s) / Event(s)	Issue request for test (formal service request) The Service Request for a Conformance Test Campaign is provided by the ITSM Business Thread Manager.
Information/ Data	Application compiled package Application Release Notes Acceptance Test Plan for the concerned test campaign Test Design Specifications Installation Procedure Manual Administration Manual User Manual Daily Reports Previous tests report: <ul style="list-style-type: none"> <li>○ FAT Report if the previous test is a PreSAT</li> <li>○ PreSAT results if the previous test is a SAT</li> </ul>

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Item	Description
Direction	<p>Two-ways</p> <pre> sequenceDiagram     participant QA as QA Contractor     participant ITSM as ITSM     QA-&gt;&gt;ITSM: Publish test results and progress (including TIR DB)     QA-&gt;&gt;ITSM: Publish reports     ITSM-&gt;&gt;QA: Participate in tests     ITSM-&gt;&gt;QA: Meetings / briefings </pre>
Interface technologies / tools used	<p>Different tools are used to support the test activities; which include:</p> <ul style="list-style-type: none"> <li>• E-mail notifications</li> <li>• Phone conferences</li> <li>• On-site meetings</li> <li>• TIR database</li> <li>• Document management tools (for registration of test cases, ATS, tests results)</li> </ul>
Frequency	Planned by change and release management.

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Item	Description
Procedure	<p>The request for the set up and coordination of the test activities are registered as a service request by the ITSM Service Desk.</p> <p>This test cycle typically starts with the kick-off meeting, which is organised by the ITSM Release Manager.</p> <p>Detailed procedures are defined in the FQP and internal ITSM procedures:</p> <ul style="list-style-type: none"> <li>• AM.3.6 Perform preSAT;</li> <li>• AM.3.7 Perform Qualification (for CT);</li> <li>• AM.3.8 Perform SAT;</li> <li>• WP.8.4.3.1.2b Conformance Testing (CT);</li> <li>• Inf.4.9 Complete preSAT/SAT cycle;</li> <li>• Inf.4.11 Deliver input for SAT report;</li> <li>• CT Conformance test procedures;</li> <li>• Internal procedure for Application management chapter 6.7 Perform preSAT and chapter 6.9 Perform SAT [R14].</li> </ul>
Controls	The test activities are monitored against the plan. Defects are registered and managed in the TIR database.
Escalation procedure	See escalation procedure C.1 (in annex).
Template	<p>Test plan template</p> <p>Test report template</p> <p>TIR template</p>
Degree of implementation	Implemented / Managed & Integrated (process is monitored / managed and completely integrated within processes and tools of the involved parties).

Table 8-5: EP4.5 QC of Tests

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## 9. Key findings and recommendations

### 9.1 Introduction

This chapter briefly describes the recommendations and actions to be taken in order to formalise and improve the current implementation of the external processes and procedures.

The service provider interfaces (SPI) and activities identified in this document are currently operational; however the procedures and tools are not completely formalised and not consistently executed for all business threads and involved parties. In addition, the communication is mostly directed through DG Taxation and Customs Union (often not directly between parties).

The current situation can be characterised as follows:

- Missing formal contracts/agreements (e.g. OLAs) between involved parties addressing the collaboration and Service Provider Interfaces. SPIs can only be implemented through formal contractual agreements with providers; currently the interactions are often dependent upon involvement of DG Taxation and Customs Union;
- Interfaces defined in this document are operational; however often not completely formalised through detailed documented procedures and templates and inconsistently executed (e.g. different way of working per business threads);
- Inadequate support of automated tools and predefined forms/template to automate the interfaces between providers. For example:
  - No central change and release calendar tool (web based);
  - No central web based contact list with roles, responsibilities, contacts for each Operations Team (e.g. NAs);
  - Incident ticketing exchange (e.g. to monitor actual status) using XML;
  - No shared problem and known error database (maintained by X-DEV during development and test; and ITSM);
  - No shared contact list (which can be updated/maintained by each party);
- Missing standard templates and forms (such as incident assignment form, service request assignment form);
- Lack of a central contact list (which is kept up-to-date by all involved parties); no central list of who is responsible for what per organisation;
- Insufficient data / information exchange between parties (delay of delivery, missing information). For example: data collected by other parties to be incorporated into the ITSM activities for creating the availability plans and capacity plans.
- ITSM does not receive all the necessary documents and information on time; this includes specific X-DEV documents and capacity management information from DIGIT.

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The following actions need to be taken:

- Assign ownership of the external processes and procedures (to ensure that each party will implement and execute these tasks). Assign roles and responsibilities to coordinate and monitor the interfaces (to process owners);
- Align processes and interfaces between involved parties. This requires one or more design workshops to jointly agree on the detailed procedures (procedures need to be embedded into the ITSM processes of each involved party);
- Document and formalise the procedures mentioned in this document (and put the procedures under version control);
- Implement standard interfaces, templates and tools to support the operational interfaces (including standard forms/templates);
- Implement monitoring and control of external interfaces (for continual improvement);
- Improve document sharing capabilities with X-DEV (to ensure that each party can access all latest version of documents provided by development);
- Improve the periodic reporting of the performance of external parties in adhering to the external processes/procedures and timely fulfilment of the different type of requests;
- Incorporate the service provider interfaces (SPI) in the contracts between parties (to get formal agreement on the collaboration procedures between parties; which is the responsibility of DG Taxation and Customs Union).

A number of procedures will need to be improved and worked out in more detail, which require active involvement of the involved parties (representatives from DG Taxation and Customs Union, CCN, DIGIT/DC and X-DEV).

## 9.2 Proposed improvement for current interfaces

The following table provides an overview of improvement for current interfaces / external procedures:

<b>ID</b>	<b>Procedure</b>	<b>Improvement</b>
EP1.1	Incident assignment	Create a formal incident template/form to assign an incident to CCN and X-DEV (which includes all details).  Improve communication between parties related to the actual status and resolution/action taken.
EP1.2	Service request assignment	Improve collaboration with X-DEV to request for information (documents) and request for support.  Define standard service request form to raise requests to external parties (with a link to the standard service catalogue; defining the type of requests which can be raised).
EP1.3	Problem assignment	Define standard problem template to assign a

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<b>ID</b>	<b>Procedure</b>	<b>Improvement</b>
		problem to an external party.
EP1.4	Change assignment	Improve communication of progress and status of outstanding changes.
EP2.7	Publish capacity and performance data	<p>Define requirements for exchanging capacity/performance data.</p> <p>Define capacity report templates (for capacity and performance data).</p> <p>Formalise capacity data exchange (embed into procedures of CCN and DIGIT).</p> <p>Ensure all involved parties published the capacity data/statistics on a periodic basis.</p>
EP2.8	Publish availability data	<p>Define requirements for exchanging availability data.</p> <p>Define availability report templates (for availability data).</p> <p>Formalise availability data exchange (embed into procedures of CCN and DIGIT).</p> <p>Ensure all involved parties published the availability data/statistics on a periodic basis.</p>
EP2.9	Publish business monitoring data	Currently CCN publishes monitoring data on the CCN portal. Other parties could provide equivalent capabilities.
EP2.10	Knowledge and document exchange	Provide easy access to all documents and development artefacts provided and managed by X-DEV (e.g. using shared document management system).
EP3.1	Event notification	Ensure ITSM is directly notified in case specific thresholds are exceeded or errors have been detected by monitoring tools/systems. Currently information on the queues are received from CCN, information on Weblogic and File system are received from DIGIT but information on database is still missing.
EP3.2	Incident notification	Ensure all parties directly inform ITSM of any incident that might affect the services to DG Taxation and Customs Union. Also, provide periodic updates; causes and resolution/actions taken to resolve the incident.
EP3.3	Change notification	Ensure all parties proactively inform ITSM in case of planned changes (including outages; reason;

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ID	Procedure	Improvement
		impact; etc.); also inform ITSM after the change has been implemented (providing actual downtime).

Table 9-1: Proposed Improvements

### 9.3 Proposed additional interfaces

This chapter provides an overview of proposed interfaces / procedures, which need to be implemented.

ID	Procedure	Improvement
EP2.1	Publish known errors and workarounds	Provide an overview of known errors and possible workarounds relevant for ITSM.
EP2.2	Configuration management data	Define requirements for sharing configuration details. Define template for data exchange (for configuration updates).
EP2.3	Publish contact data	Define standard template for managing contact details (standard roles and responsibilities). Set up a web based secure shared contact list (accessible by all parties to maintain the contacts). Assign ownership per external party who is responsible/accountable to ensure the contact data is up-to-date.
EP2.4	Publish change / release schedule	Set up central change schedule (web based); covering the forward schedule of changes (FSC) of all involved parties. This includes change details such as planned outage, actual outage, etc. Assign roles and responsibilities per external party to ensure the change schedule is kept up-to-date.
EP2.6	Service reporting	Periodic report from external parties to ITSM related to the delivery of IT services. Define standard service report templates for involved parties.
EP2.11	Publish service catalogue	Exchange list of standard services provided by external parties (standard request types; including who and how these services can be requested).

Table 9-2: Proposed Additional Interfaces

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### 9.3.1 Publish known errors and workarounds (EP2.1)

Item	Description
Procedure ID	EP2.1
Owner	ITSM Problem Manager
Title	Publish known errors and workarounds.
Purpose / scope	The ITSM Service Desk needs to be aware of any known errors and potential workarounds that may be applied (for specific known errors).
Initiator (role)	X-DEV (Problem Management group). DIGIT (Problem Management group). CCN (Problem Management group)
Other involved parties	ITSM (Problem Management group).
Involved contacts	X-DEV will define a key contact for capturing known errors e.g. from test results.
Related FQP procedures	PM 1.5 Document Known Error / Workaround
Trigger(s)/ Event(s)	Known error created/updated and status changes; Workaround created/updated and status changes. Defects detected during the test cycle (which are not fixed for the released software) (using the Test Incident Reports).
Information/ Data	Known errors (related to IT services and configuration items)
Direction	One-way
Interface technologies / tools used	Document exchange (documents containing known errors). E-mail (with document attached) Known errors are registered in the Known Error List (KEL).
Frequency	Monthly update of knowledge records to be published. Update of known errors to be provided after a release has been delivered.
Procedure	Each party must maintain a list of known errors and workarounds that are needed by the ITSM Service Desk. The outstanding known errors (and associated workarounds) should be published on a periodic basis.  Currently no formal procedure is currently defined and/or implemented to exchange known errors and workarounds from involved parties.

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Item	Description
Controls	Exchange of known errors is partly covered by the exchange of Test Incident Reports (as a result of test cases).
	Known errors should be retired in case a structural solution has been implemented (e.g. through a formal release).
Escalation procedure	See escalation procedure C.1 (in annex)
Template	No template defined.
Degree of implementation	Not implemented (partly covered by exchange of Test Incident Reports).

Table 9-3: EP2.1 Publish known errors and workarounds

### 9.3.2 Configuration management data exchange (EP2.2)

Item	Description
Procedure ID	EP2.2
Owner	ITSM Configuration Manager
Title	Configuration Management data exchange
Purpose / scope	Share configuration details between involved parties (e.g. list of CIs, installed applications). ITSM need to have insight of the end-to-end configuration of IT services across the different providers.
Initiator (role)	DIGIT/DC (Configuration Management group); CCN/TC (Configuration Management group); ITSM (Configuration Management group).
Other involved parties	N/A
Involved contacts	Configuration Manager(s) of involved parties.
Related FQP procedures	CoM.2 Maintain CIs
Trigger(s)/ Event(s)	Configuration item change (status change; configuration details updated).
Information/ Data	Configuration report (list of modified CIs)
Direction	Two-ways
Interface technologies / tools used	Document exchange (documents containing CI details). E-mail (with document attached)

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Item	Description
Frequency	Ad-hoc (Event driven).
Procedure	After the change has been implemented a list of modified CIs is documented/published.
	<p>Each provider must maintain a CMDB with the CI records containing the details of the ICT components for which they are responsible.</p> <p>On request or after closure of a change request configuration updates must be published to ITSM. This is needed in order to understand the relationships and dependencies between major CIs managed by the different parties.</p> <p><i>Comment: definition of the type and details of the CI information to be exchanged need to be defined in more detail.</i></p> <p>All CI data are exported within a predefined excel template that contain the current CI data, and the historical CI data as well. This excel template is communicated via e-mail to the information requestor.</p>
Controls	None defined
Escalation procedure	Not defined
Template	Not defined
Degree of implementation	<p>Ad-hoc and/or Informal (no formalised procedure related to the exchange of configuration data between providers).</p> <p>All the required resources to support the process “CoM.2 Maintain CIs” are implemented.</p>

Table 9-4: EP2.2 Configuration Management data exchange

### 9.3.3 Publish contact data (EP2.3)

Each party is responsible for maintaining a list of contacts per role (including alternative contact).

Item	Description
Procedure ID	EP2.3
Owner	ITSM Configuration Manager
Title	Publish contact data
Purpose / scope	The ITSM Service Desk must be informed of all changes to the defined contact list / distribution list.
Initiator (role)	DIGIT/DC (Configuration Management group);

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<b>Item</b>	<b>Description</b>
	CCN/TC (Configuration Management group); NA Operations (Configuration Management group); ITSM (Configuration Management group).
Other involved parties	N/A
Involved contacts	Each external party must define a key contact for managing all contact data within their organisation (including roles and responsibilities, e-mail address, phone number, etc.).
Related FQP procedures	N/A
Trigger(s)/ Event(s)	Ad-hoc (send updated version after modification)
Information/ Data	<p>Contact and organisational details must be provided by the involved parties on a periodic basis (see contact list).</p> <p>Per process role, one or more departments/groups and persons must be defined. Information include the following:</p> <ul style="list-style-type: none"> <li>• Contact details (First name, last name, job title, responsibilities);</li> <li>• E-mail address;</li> <li>• Telephone number;</li> <li>• Replacement / alternate contact.</li> </ul> <p>This includes the contact details for the Service Desk (telephone number, e-mail, web portal, etc.).</p> <p>Organisational diagram (hierarchy and formal management layers).</p>
Direction	Two-ways; the contact data is shared amongst all parties.
Interface technologies / tools used	<p>Current technologies used to store contact data:</p> <ul style="list-style-type: none"> <li>• E-mail (to send the contact list).</li> <li>• CIRCA (store contact / distribution list).</li> </ul> <p>Proposed technology:</p> <ul style="list-style-type: none"> <li>• Create a central contact list managed and published on the ITSM portal (accessible for all parties); also taking security requirements of DG Taxation and Customs Union into consideration.</li> </ul>
Frequency	At a minimum, a weekly update of contact details (or more frequently when needed).

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<b>Item</b>	<b>Description</b>
Procedure	<p>Each party is responsible to maintain organisational data about what department/groups and/or persons need to be contacted or which persons are involved in specific roles with IT service management.</p> <p>This contact list must be kept up to date.</p> <p>A periodic basis (at least monthly) the modifications are incorporated into the central contact list (maintained in CIRCA).</p>
Controls	Additional security measures must be in place to ensure the confidentiality of contact details.
Escalation procedure	See escalation procedure C.1 (in annex)
Template	Contact list template
Degree of implementation	Operational / Ad-hoc and/or Informal (no formal procedures is currently implemented to ensure that the contact list is centrally maintained and kept up-to-date).

Table 9-5: EP 2.3 Publish contact data

### 9.3.4 Publish change / release schedule (EP2.4)

<b>Item</b>	<b>Description</b>
Procedure ID	EP2.4
Owner	ITSM Change Manager
Title	Publish change / release schedule (also referred to as change list or change calendar).
Purpose / scope	ITSM needs to remain aware of the change and release schedule for the infrastructure and application CIs of DG Taxation and Customs Union, which are managed by other parties and which contribute to the service provisions (e.g. infrastructure hosted by DIGIT/DC, CCN), with the understanding that ITSM is not responsible for their release management.
Initiator (role)	<p>DIGIT/DC (Change management group);</p> <p>CCN/TC (Change management group);</p> <p>NA Operations (Change management group);</p> <p>X-DEV (in case of major change);</p> <p>ITSM (Change management group).</p>
Other involved parties	N/A

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Item	Description
Involved contacts	The following contact must be defined per external party: <ul style="list-style-type: none"> <li>• Change Manager</li> <li>• Release Manager</li> </ul>
Related FQP procedures	ChM 4.2 Keep change implementation schedule up to date. RM 1.4 Publish release schedule.
Trigger(s)/ Event(s)	Weekly update of the change/release schedule (or ad-hoc when urgent changes/releases are planned).
Information/ Data	List of planned changes and releases. Per change the following information is at a minimum required: <ul style="list-style-type: none"> <li>• Change ID;</li> <li>• Change description;</li> <li>• Change impact;</li> <li>• Affected services and/or configuration items;</li> <li>• Change implementation start date/time and end date/time;</li> <li>• Planned outage (Yes / No);</li> <li>• Planned outage start date/time and end date/time.</li> </ul>
Direction	One-way
Interface technologies / tools used	Different technologies are used such as owITSM, new ITSM Portal, E-mail (to ITSM Service Desk Functional Mailbox).
Frequency	Weekly update of change calendar
Procedure	Each party must maintain a schedule of all planned changes (change schedule) to the IT infrastructure and application for which the party is responsible.  ITSM Service Desk must be informed of all these planned changes that may affect the DG Taxation and Customs Union services. Based upon this information the ITSM Service Desk can inform all required stakeholders.  Weekly each provider must publish an updated version of the change schedule (also known as the Change List).  Per change the planned downtime (scheduled unavailability) needs to be defined.
Controls	All changes must be documented in the schedule. Exceptions are reported monthly.
Escalation procedure	See escalation procedure C.1 (in annex)

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Item	Description
Template	Change list template
Degree of implementation	Ad-hoc and/or Informal (change list is published by external providers). This procedure is not yet defined / formalised. Currently provides send e-mail notifications of planned changes.

Table 9-6: EP2.4 Publish change/release schedule

### 9.3.5 Service reporting (EP2.6)

Item	Description
Procedure ID	EP2.6
Owner	ITSM Service Level Manager
Title	Service reporting
Purpose / scope	Provide ITSM with all required information to monitor the SLA.
Initiator (role)	DIGIT/DC (Service Level management group); CCN/TC (Service Level management group).
Other involved parties	ITSM (Service Level management group)
Involved contacts	The following contact is involved for each provider: <ul style="list-style-type: none"> <li>Service Level Manager.</li> </ul>
Related FQP procedures	SLM.3 Monitor & Escalate SLA. SLM.4 Report MPR/MSR.
Trigger(s)/ Event(s)	Monthly report cycle
Information/ Data	Information to be provided by the external parties: <ul style="list-style-type: none"> <li>Service reports (which include availability statistics, incident summary, performance and capacity data trends).</li> </ul>
Direction	One-way
Interface technologies / tools used	<ul style="list-style-type: none"> <li>E-mail</li> <li>Document management system</li> </ul>
Frequency	Monthly
Procedure	<p>Each provider must create a monthly service report related to the activities that are executed on behalf of ITSM and/or affect the service delivery for which ITSM is responsible.</p> <p>ITSM will verify and report the quality of the services delivered to the Commission by its suppliers based on the information</p>

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Item	Description
Controls	received from these parties and the incidents opened regarding the supplied services. Exceptions or deviations from OLA have to be reported to the Commission by ITSM.
	OLA (with external providers)
Escalation procedure	See escalation procedure C.1 (in annex)
Template	Service report template
Degree of implementation	Operational / Ad-hoc and/or Informal

Table 9-7: EP2.6 Service Reporting

### 9.3.6 Publish service catalogue (EP2.11)

ITSM publishes the catalogue on the ITSM portal.

Each provider must publish his standard catalogues including the procedures of who and by whom these service can be requested (link to service request procedure).

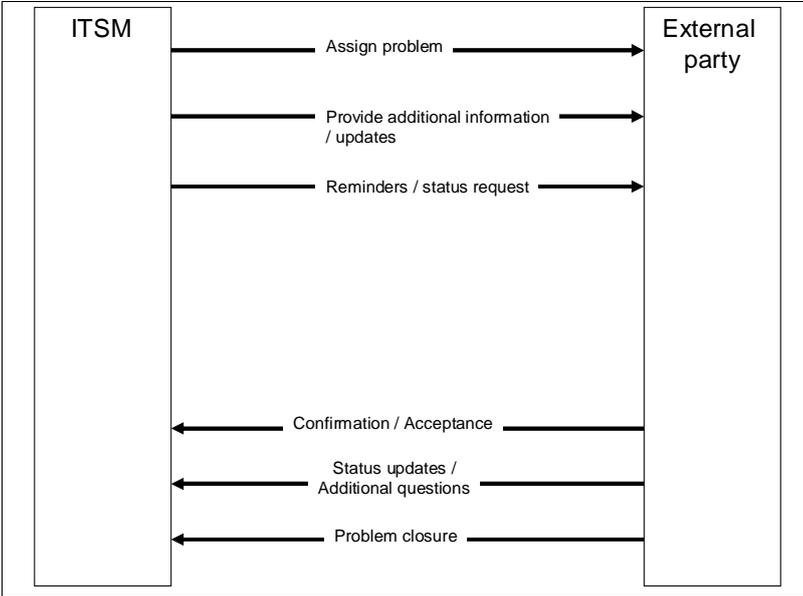
### 9.3.7 Problem assignment (EP1.3)

Item	Description
Procedure ID	EP1.3
Owner	ITSM Problem Manager
Title	Problem assignment
Purpose / scope	ITSM assigns problem tickets/tasks to an external party for investigation and resolution; and or ITSM needs to coordinate the resolution of problems with the external parties (multiple parties may need to work together to resolve the problem).
Initiator (role)	ITSM (Problem management group)
Other involved parties	DIGIT/DC (Problem Management group); CCN/TC (Problem Management group); X-DEV (for example for bug fixes); NA Operations (if specific problems are identified within the specific country domain).
Involved contacts	Each provider must provide a key contact for coordinating the resolution of problems (Problem Manager). Depending upon the problem different resources (skills/competences/knowledge) need to be involved for the diagnosis, analysis and resolution.

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<b>Item</b>	<b>Description</b>
	<p>Involved roles:</p> <ul style="list-style-type: none"> <li>• Problem Manager</li> <li>• Problem resolver (and/or team leader of problem resolving group)</li> </ul>
Related FQP procedures	<p>PM 1.4 Investigate and diagnose problem.</p> <p>PM 3.2 Consult other parties (ITSM &amp; DG Taxation and Customs Union).</p>
Trigger(s)/ Event(s)	<ul style="list-style-type: none"> <li>• Problem assigned to external party;</li> <li>• Problem accepted or rejected;</li> <li>• Workaround defined;</li> <li>• Root cause identified;</li> <li>• Resolution defined;</li> <li>• Problem resolved;</li> <li>• Problem parked;</li> <li>• Problem closed.</li> </ul>
Information/ Data	<p>Problem details are exchanged between parties. This includes at a minimum the following information:</p> <ul style="list-style-type: none"> <li>• Problem ID;</li> <li>• Priority;</li> <li>• Description;</li> <li>• Status update;</li> <li>• Root cause (description);</li> <li>• Resolution;</li> <li>• Reference to incident records (e.g. attachment);</li> <li>• Affected services;</li> <li>• Timelines (deadlines for workaround, root cause and resolution).</li> </ul>
Direction	Two-ways

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Item	Description
Interface technologies / tools used	 <pre> sequenceDiagram     participant ITSM     participant External party     ITSM-&gt;&gt;External party: Assign problem     ITSM-&gt;&gt;External party: Provide additional information / updates     ITSM-&gt;&gt;External party: Reminders / status request     External party--&gt;&gt;ITSM: Confirmation / Acceptance     External party--&gt;&gt;ITSM: Status updates / Additional questions     External party--&gt;&gt;ITSM: Problem closure </pre> <p>Problems are registered in owITSM (SMT); in addition, a problem list is maintained (in a separate MS Excel spreadsheet).</p> <p>The collaboration between parties related to problem analysis and resolution is done using through:</p> <ul style="list-style-type: none"> <li>• E-mail;</li> <li>• Meetings (e.g. problem management meetings);</li> <li>• Conference calls (phone).</li> </ul> <p>No formalised/structured technologies are used to support the collaboration between involved parties.</p> <p>Each external party will have their own problem management system to register problems.</p> <p>Problem related tasks that need to be assigned to DIGIT should be manually created in IRMA (registered as a call).</p>
Frequency	Problem assignment according to priority / resource planning. Ad-hoc (event driven)
Procedure	<p>External parties will be involved in problem analysis and resolution. For example: the development team must provide a resolution for application bugs/defects in case of recurrent incidents on an application (e.g.: unavailability of DDS Website observed during the eCustoms daily monitoring checks). Providers must work together to provide resolutions and/or workarounds for identified problems.</p> <p>Based, for example, upon the analysis of the incident history one or more problems can be identified. The problem is registered by</p>

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Item	Description
	<p>the ITSM Problem Management group (as defined in the FQP). In case support is needed by an external party the problem will be assigned to that provider. The external party accepts the assignment, investigates the problem and provides a resolution or workaround.</p> <p>The collaboration to resolve problems are not formalised through forwarding tasks and/or tickets to DIGIT and/or CCN. A meeting and/or phone conference is organised to discuss outstanding problems; and to coordinate the problem investigation and resolution.</p> <p>The frequency of reporting the status of outstanding problems amongst parties (problem report) needs to be agreed upon.</p> <p>See procedure 5.2.1 for the assignment of tasks to DIGIT (this includes problem related tasks).</p>
Controls	<p>Problems need to be resolved according to the targets defined in the OLA and/or agreed upon during the problem meetings.</p> <p>Per problem status specific deadlines will be determined (based upon the priority of the problem) which will be monitored by the ITSM Problem Management group.</p> <p>A periodic problem meeting is organised (with representatives from involved parties) to monitor the progress of the problem resolution.</p>
Escalation procedure	<p>A monthly overview is created for inclusion in the MPR/MSR of problems assigned to external parties for which the target dates have not been met.</p> <p>See escalation procedure C.1 (in annex).</p>
Template	<p>No forms/templates are currently used to support the collaboration between involved parties.</p>
Degree of implementation	<p>Operational / Ad-hoc and/or Informal</p> <p><i>Comment: not all mentioned information/data is currently consistently exchanged between providers.</i></p>

Table 9-8: EP1.3 Problem Assignment

<b>ITSM external processes &amp; procedures definition and description</b>	<b>REF.: ITS-IRPT-SC06-EPP-004</b>
<b>ITSM DLV 8.6.1.2.2 - External Processes</b>	<b>VERSION: 1.00</b>
<b>Contact List</b>	<b>ISSUE DATE: 27/05/2010</b>

## Annex A. Contact List

The contact list and organisational details must be maintained on the shared content/document management system accessible by all involved parties. The purpose of this contact list is to understand who to contact for specific actions and/or who need to be informed under specific circumstances.

Currently no shared contact list is maintained covering all involved contacts and groups of all organisations. Different contacts list are created by ITSM, X-DEV, DIGIT/DC, CCN and DG Taxation and Customs Union; for example registered in MS Exchange, and the contact list Annex 14 of the FQP.

The following information must be provided:

- Organisational diagram (showing managers and hierarchical structure for escalation);
- Defined contacts (and replacements and/or escalation contacts) for specific ITSM/process roles (linking contacts to roles and responsibilities);
- Contact details (e.g. phone number, e-mail address ...).

Each party must define the following SPOC to be contacted for the operational interfaces (contact details including service hours):

Group	Description	Functional Mailbox	Primary contact method
Service Desk / Incident Management Group (first line)	Group for raising incidents and service requests.	xxx	Per group the following information is required (during service hours and for off-service hours): <ul style="list-style-type: none"> <li>• Functional e-mail address;</li> <li>• Phone number;</li> <li>• Primary and alternate contact (responsible persons);</li> <li>• Escalation contact (person to be contacted in case of escalations);</li> <li>• Service hours (for this group).</li> </ul>
Problem Management Group	Group to assign problems.	xxx	
Capacity Management Group	Group to deliver capacity and performance data.	no functional mailbox defined yet	
Change Management Group	Group to handle change request and change calendar.	xxx	
Configuration Management Group	Group to deliver configuration management data	no functional mailbox defined yet	
Availability Management Group	Group to manage and publish availability data.	no functional mailbox defined yet	
Business Monitoring Group	Group responsible for monitoring business capacity data (e.g. number of transactions, etc.).	xxx	

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Group	Description	Functional Mailbox	Primary contact method
Service Level Management Group	Group to monitor and report upon performance of SLAs/OLAs and ToC.	no functional mailbox defined yet	
Operations / Monitoring Team	Operations team responsible to day-to-day operations and monitoring.	xxx	

The contact list must define the functional E-mail address and contact details of the following roles (as identified in the ITSM processes)<sup>6</sup>:

Role	Description
Service Level Manager	Accountable for delivery of the service reports
Service Desk Manager	Accountable for handling all requests and monitoring outstanding incidents.
Incident Manager	Accountable for handling assigned incidents
Problem Manager	Accountable for handling assigned problems
Change Manager	Accountable for providing change notifications and change schedules.
Release Manager	Coordinating releases
Configuration Manager	Key contact for configuration management data
ICT Infrastructure Manager / Operations Manager	Responsible for the day-to-day operations of the ICT infrastructure.
Security Manager	Managing security policies and procedures
Availability Manager	Accountable for providing availability data and trends including availability plans.
Capacity Manager	Accountable for providing capacity data and trends including capacity plans.
IT Service Continuity Manager	Managing continuity plans
Application Manager	Responsible contact for application management.
Quality Manager	Responsible for the QA and QC activities.

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<sup>6</sup> If needed these contacts can be split per business thread, applications and/or type of technology.

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## Annex B. Forms and Templates

The following forms exist or need to be developed to support the external interfaces (part of WP7 implementation):

- Incident assignment form (to forward an incident to an external party) – does not exist yet;
- Service request assignment form – does not exist yet;
- Problem assignment form – does not exist yet;
- Problem status report template – does not exist yet;
- Change request form – published on the ITSM Portal under itsm/Common/Templates;
- Change list form (change schedule) – does not exist yet;
- Change list template – published on the ITSM Portal under itsm/Common/Templates;
- Configuration report – does not exist yet;
- Contact list template – does not exist yet;
- Capacity report template – does not exist yet;
- Availability report template – does not exist yet;
- Business monitoring report template – does not exist yet;
- Change schedule report (forward schedule of change) – does not exist yet;
- Change notification form – does not exist yet;
- Known error list (KEL) – does not exist (Taxation uses the change list template) ;
- Service report template – does not exist yet;
- Audit Plan (maintained by the QA contractor) – responsibility of QA contractor;
- Audit Report (maintained by the QA contractor) – responsibility of QA contractor;
- Preventive & corrective action follow-up table template – does not exist yet;
- Tracking self-assessment corrective actions template – does not exist yet;
- CSIP Action List – Monthly Report Format – does not exist yet ;
- CSIP Action List template – published on the ITSM Portal under itsm/Common/Templates.

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## Annex C. Escalation procedures

The following escalation procedures are defined:

### C.1 Escalation procedure 1

For each interaction with an external party one or more targets and deadlines are defined (such as response time and resolution time depending upon the priority). They are



Escalation matrix\_V5.xls

documented in the file

These are derived from the formal SLA/OLA targets and/or agreed response time for a specific request.

Level	Triggers	Description	Organisation to escalate to	Escalated by
Level 0	Time 0 reached or escalation requested by DG TAXUD	When the deadline is reached, ITSM Incident Manager evaluates the need for escalation to level 1	N/A	ITSM Incident Manager
Level 1	Incident Manager considers immediate action is needed	ITSM Service Level Manager takes the ownership of the incident and escalates to the level 1 organisation contact defined in the escalation matrix to facilitate incident restoration.	Level 1 escalation contact for concerned external party	ITSM Service Level Manager
Level 2	SLM considers further escalation is needed	SLM informs the following escalation contacts: ITSM Service Support Manager, TAXUD R5 CPT HoS and escalates to the level 2 organisation contact defined in the escalation matrix.	Level 2 escalation contact for concerned external party	ITSM Service Level Manager
Level 3	SLM considers further escalation is needed	SLM informs the following escalation contacts: ITSM Programme Manager, TAXUD R5 HoU and escalates to the level 2 organisation contact (defined in the escalation matrix).	Level 3 escalation contact for concerned external party	ITSM Service Level Manager

On a monthly basis the performance of the external parties in resolving the requests and interactions with ITSM are reported (to initiate improvement actions). Series of reports which cover the performance of the external parties in resolving the requests are available to ITSM, DG TAXUD and QA Contractor with the ITSM Portal:

- Actions no closed assigned to any organisation besides ITSM;

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- List of calls not closed where DEV/EMCS is resolver;
- List of calls not closed where DEV/Customs is resolver;
- List of calls not closed where NCTS is resolver;
- Long pending Service Calls to the Member States.

See also ITSM internal procedure called Escalation procedure [R10].

## C.2 Incident Reminders and Escalations

The ITSM Service Desk sends follow-up reminders depending on the priority level of the incident. The follow-up is performed in following intervals:

- Critical (Priority-1): once every working day,  
Urgency (Priority-2): every second working day,  
Normal (Priority-3): every 5 working days,  
Info. (Priority-4): every ten working days.

The escalation procedure starts on the third reminder as follow:

On the third and fourth reminder, the DG TAXUD functional mailbox linked to the concerned business thread is put in CC.

Business Thread	Functional Mailbox
Taxation	xxx
Excise	xxx
CUSTOMS-DS	xxx
CUSTOMS-CS	xxx

The fifth reminder is a phone call from ITSM Service Desk to the incident “resolver”.

The sixth reminder is an escalation email sent to the DG TAXUD functional mailbox as well as the assignment of an escalation action to DG TAXUD.

A weekly reminder via Weekly Activity Report is sent by DG TAXUD.