ANNEX II.C

ORIGINATOR:	ISSUE DATE:	VERSION:
TAXUD/R5	21/09/2011	FINAL

TECHNICAL SPECIFICATIONS

CALL FOR TENDERS TAXUD/2010/AO-13

LOT3

Operations, integration and control of IT Service Management for IT systems & Infrastructure operation (ITSM2)

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TYPOGRAPHIC CONVENTIONS

The following typographic conventions are used in this document:
The following convention indicates a link
The following indicates one of these keywords: **TES, Lot1, Lot2 or Lot3**

Aa	Indicates reference information
⚠	Draws attention to important information
𝒾	Indicates deviations or out of norm information
📊	Indicates Specific Quality Indicator (SQI) related information
📅 17	Indicates meeting frequency
👥	Indicates the participants to the meeting
⚖	Indicates who chairs the meeting.
🕐	Indicates the meeting duration
📝	Indicates who will minute the meeting
📝	Indicates that this requirements must be clearly addressed in the tender

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> ⓘ In this document, the Directorate-General Taxation and Customs Union of the European Commission, which is the contracting authority, will be further referred to as "the Commission" or "DG TAXUD".

> ⓘ The definitions of the acronyms related to the different applications (e.g. TARIC3, ART2, TTA, CM/MIS, and CS/RD) are not listed.

Acronyms and definitions	
Acronym	**Definition**
ACD	Automated Call Distribution
ACT	Application configuration tool
AEO	Authorised Economic Operators
AMDB	Availability Management Database
AN	As Needed
APM	Application Portfolio Management
ART	Activity Reporting Tool
ATS	Acceptance Test Specifications
BCP	Business Continuity Plan
BL	Baseline
BMM	Bilateral Monthly Meeting
BPM	Business Process Modelling
BT	Business Thread
BTI	Binding Tariff Information
BTM	Business Thread Manager
CAB	Change Advisory Board
CAP	Capacity Management
CAPS	Customs Applications
CCN	Common Communications Network
CCN2	Common Communications Network 2
CCN/TC	Common Communications Network / Technical Centre
CCN/CSI	Common Communications Network / Common System Interface
CCN/WAN	Common Communications Network / Wide Area Network provider
CDB	Capacity Management Database
Cfsu	COSMIC FFP functional size unit (ISO 19.761:2003)

Acronyms and definitions	
Acronym	**Definition**
CI	Configuration Item
CIA	Classification of Information Assets
CIRCA	Communication and Information Resource Centre Administrator
CIRCABC	Communication and Information Resource Centre for Administrations, Businesses and Citizens
CIS	Customs IT Systems sector
CMDB	Configuration Management Database
CMMI	Capability Maturity Model Integration
CN	Combined Nomenclature
CO²	Carbon Dioxide
COBIT	Control Objectives for Information and related Technology
COM	European Commission
CONF	Conformance test environment
COPIS	anti-Counterfeit and anti-Piracy system
COTS	Commercial Off-The-Self (software packages)
CPCA	Common Priority Control Area
CPT	Central Project Team
CQP	Contract Quality Plan
CRC	Common Risk Criteria
CS	Central Services
CSF	Critical Success Factor
CSIP	Continuous Service Improvement Programme
CSIPM	Continuous Service Improvement Programme Manager
CSISC	Continuous Service Improvement Steering Committee
CS/RD	Central Services/Reference Data
CT	Conformance test
CUSTDEV2	Development contractor for customs systems 2
DDS	Data Dissemination System
DE	German
DEV	Development
DG	Directorate General
DG AGRI	European Commission DG Agriculture
DIGIT	Directorate-General for Informatics
DIGIT/DC	Data Centre of the European Commission
DLV	Deliverable
DM	Demand Management
DML	Definitive Media Library

Acronyms and definitions	
Acronym	**Definition**
DMZ	Demilitarized Zone
DRP	Disaster Recovery Plan
DSL	Definitive Software Library
DTM	Deliverable Tracking Matrix
EAS	Entreprise IT architecture and Strategy
EBTI	European Binding Tariff Information
EC	European Commission
ECG	Electronic Customs Group
ECICS	European Customs Inventory of Chemical Substances
ECS	Export Control System
EfA	Estimate for Action
EMCS	Excise Movement and Control System
EMCS-DEV	Development contractor for Excise systems
EN	English
EoF	Exchange of Forms
EORI	Economic Operators' Registration and Identification System
EOS	Economic Operators Systems
EU	European Union
EUROFISC	Network between MSAs supporting administrative cooperation in the field of tax evasion and tax fraud
EWSE	Early Warning System for Excise
FAQ	Frequently Asked Questions
FAT	Factory Acceptance Test
FC	Framework Contract
FISCO	Fiscal Compliance Experts' Group
FITSDEV	Development contractor for Fiscalis[1] systems
FITSDEV2	Development contractor for Fiscalis systems 2 (Replacing FITSDEV)
FITS-TC	Fiscalis Technical Centre
FP	Fixed Price
FQP	Framework Quality Plan
FR	French
FS	Functional Specifications
FTE	Full Time Equivalent
GANTT	A chart that depicts progress in relation to time
GLT	Glossary of Terms

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[1] Covering Taxation and Excise

Acronyms and definitions	
Acronym	**Definition**
GQI	Global Quality Indicator
GTT	Generic Test Tool
GW	Gateway
HO	Handover
HoS	Head of Sector
HoU	Head of Unit
HTTP	HyperText Transfer Protocol
HTTPS	HyperText Transfer Protocol Secure
HW	Hardware
IA	Individual Acceptance
ICS	Import Control System
ICT	Information & Communications Technology
ICT IM	ICT Infrastructure Management (ITIL process)
ID	Individual Delivery
ILIADe	Intra Laboratory Inventory of Analytical Determination
IP	Internet Protocol
IPR	Intellectual Property Rights
IPSec	Internet Protocol Security
IS	Information Systems
ISD	Infrastructure and Service Delivery sector
ISO/IEC	International Organization for Standardization/ International Electrotechnical Commission
ISPP	Information System for Processing Procedures
IT	Information Technology
ITIL	IT Infrastructure Library
ITOP	Weekly operational planning - Installation and Testing Operational Plan
ITSC	IT Steering Committee
ITSCM	ITSM Continuity Management
ITSM	IT Service Management
ITSM2	IT Service Management 2 (**ITSM2** Programme)
ITT	Invitation To Tender
IVR	Interactive Voice Response
IWP	Internal Working Procedures
JIT	Just In Time
J2EE	Java 2 Platform Enterprise Edition
KDB	Knowledge Database
KEL	Known Error List

Acronyms and definitions	
Acronym	**Definition**
KPI	Key Performance Indicator
LAN	Local Area Network
LCMS	Local CCN Mail Server
LISO	Information Security Officer
LSYA	Local System Administrator
MOM	Minutes of Meeting
MA	Mutual Agreement
MCC	Modernised Customs Code
MCP	Monthly Consolidated Plan
Mini1SS	Mini-One Stop Shop
MO	Managed Object
MPR	Monthly Progress Report
MRN	Movement Reference Number
MS	Member State
MSA	Member State Administration
MSR	Monthly Service Report
MQ	Message Queue
MTTR	Mean Time To Repair
MVS	Movement Verification System
N.A.	Not Applicable
NA	National Administration
NCTS	New Computerised Transit System
NCTS Lot2	NCTS Service Desk
NCTS TIR	NCTS part dealing with transit declarations and movements of road transport (Transport International Routier)
NECA	National Export Control Application
NICA	National Import Control Application
NTA	National Transit Application
OD	On Demand services
ODL	Operational Document Library
OECD	Organisation for Economic Co-operation and Development
OGC	Office of Government Commerce
OIB	Office for infrastructure and logistics in Brussels
OIL	Office for infrastructure and logistics in Luxembourg
OJ	Official Journal
OLA	Operational Level Agreement
OLAF	Office De Lutte Anti-fraude / European Anti-Fraud Office
OPL	Official Price List

Acronyms and definitions	
Acronym	**Definition**
OR	On Request
OS	Operating System
PDA	Personal Digital Assistant
P&I	Products & Infrastructure
PERT	Program evaluation and review technique. Also called "critical path method"
PQP	Programme Quality Plan
PreCT	Pre-Conformance Test
PSAT (preSAT)	Pre Site Acceptance Test
PS	Project Support sector
QA	Quality Assurance
QC	Quality Control
QoD	Quality of Data
QoS	Quality of Service
QT	Qualification Tests
QTM	Quoted Time and Means
RDP	Remote Desktop Protocol
REX	Registered Exporters
RfA	Request for Action
RfC	Request for Change
RfE	Request for Estimation
RfI	Request for Information
RfO	Request for Offer
RfS	Request for Service
RIF	Risk Information Form
RSD	Release Scope Document
SA	Self Assessment
SAT	Site Acceptance Testing
SB	Service Block
SC	Specific Contract
SD	Service Desk
SE	Service
SEAP	Single Electronic Access point
SEED	System for Exchange of Excise Data
SfA	Submit for Acceptance
SfR	Submit for Review
SIPSC	Service Improvement Project Steering Committee

Acronyms and definitions	
Acronym	**Definition**
SMT	Service Management Tool
SLA	Service Level Agreement
SLM	Service Level Management
SMM	Service Monthly Meetings per BT
SMS	Specimen Management System
SMT	Service Management Tool
SOA	Scope Of Activities
SPEED	Single Portal for Entry or Exit of Data
SPEEDNET	SPEED Network
SPOC	Single Point of Contact
SQI	Specific Quality Indicator
SRD	System Requirement Definition
SSH	Secure Shell
SSL	Secure Sockets Layer
SSTA	Standard SPEED Test Application
SSTP	Self-Service Testing Portal
SSTWP	Self-Service Testing Web Portal
STTA	Standard Transit Test Application
STEERCO	Steering Committee
SUG	Start Up Guide
SUPCO	Support of Customs Operations
SW	Software
SWOT	Strength, Weakness, Opportunity, Threat
TA	Test Application
T&S	Travel and Subsistence
TARIC	TARif Intégré Communautaire
TASMAN	Tool for Automated Supply management
TATAF	Tariff Applications Technical Architecture Framework
TAX	Taxation Trans-European Systems sector
TAXUD	Directorate-General for Taxation and Customs Union
TC	Technical Centre
TCO	Total cost of ownership
TEDB	Taxes in Europe Database
TEMPO	TAXUD Electronic Management of Projects Online
TES / T€S	Trans-European System
TESM	IT service management for the Trans-European Systems
TIN	Tax Identification Number

Acronyms and definitions	
Acronym	**Definition**
TIP	Technical Infrastructure Plan
TIR	Transports Internationaux Routiers
TO	Takeover
ToC	Terms of Collaboration
ToR	Terms of Reference
ToS	Taxation of Savings
TS	Technical Specifications
TSS	Cf SPEED
TTA	Transit Test Application
UAM	User Access Management
UIPE	Uniform Instrument Permitting Enforcement
UNF	Uniform Notification form
UPS	Uninterruptible power supply
USB	Universal Serial Bus
USS	User Satisfaction Survey
VAT	Value Added Tax
VIA	VIES Initial Application
VIES	VAT Information Exchange System
VoeS	VAT on e-Services
VoW	VIES-on-the-Web
VPN	Virtual Private Network
VREF	VAT Refund
VSS	VIES Statistical application
VTA	VIES Test Application
VPN	Virtual Private Network
WAN	Wide Area Network
WBS	Work-Breakdown Structure
WIKI	Collaborative Web site
WP	Work package
WS	Workshop
X-DEV	Development contractors (FITSDEV/FITSDEV2, CUSTDEV2
XML	Extensible Markup Language

Table 1: List of Abbreviations and Acronyms

2 Applicable documents

Id	Reference	Title	Version	Date
[A1]	call for tenders-ITSM2-Lot1-As is description	**ITSM2 Lot1** call for tenders – "As is"	1.00	-
[A2]	call for tenders-ITSM2-Lot1-To-Be	**ITSM2 Lot1** call for tenders – "To be"	1.00	-
[A3]	-	**ITSM2 Lot3** – Price Table – Annex III to the Tendering Specifications	1.00	-
[A4]	-	**ITSM2 Lot3** – Questionnaire – Annex I to the Tendering Specification**s**	1.00	-

The documents listed below can be consulted from the baseline.

Id	Reference	Title	Version	Date
[R1]	DG TAXUD Mission statement	R110_TAXUD_mission_statement_en 2009.pdf	1.00	23/10/2009
[R2]	DG TAXUD R5 Mission Statement	R111_DG TAXUD Unit R5 - Mission Statement.pdf	1.00	23/02/2011
[R3]	DG TAXUD R4 Mission Statement	R112_DG TAXUD Unit R4 - Mission Statement.pdf	1.00	23/02/11

2.1   References

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

ITIL: IT Infrastructure Library (ITIL) for the implementation of the IT Service Management Processes. Information about service management processes can be found in the formal publications of the Office of Government Commerce (OGC), at http://www.ogc.gov.uk. References to ITIL are drawn from the publications of the OGC and from a set of complementary publications by itSMF such as the set of "pocket guides" and "IT Service Management based on ITIL: An introduction".

TEMPO: The DG TAXUD methodology to ensure the consistent and efficient management, set-up, development, operation and support of projects and service management for more information. The tendering parties are invited to access TEMPO at the following URL:

http://circa.europa.eu/Members/irc/taxud/tempo/home

With the following parameters to sign in:

> User identifier: **tempoguest**
>
> Password: **guest700**
>
> Domain: **circa**

ISO standards

The following ISO standards are referred as applicable in this Scope document:

- ISO 20000-2:2005 (IT Service Management Part 2 - Code of Practice)

- ISO 27001.2005 (IT Security Techniques – Information security management systems)

- ISO 27002:2005 (IT Security Management - Code of Practice for information security management)

The Baseline (BL): repository of DG TAXUD documents providing detailed specifications, descriptions and reports on DG TAXUD IT service activities of relevance for the contract.

The baseline is provided on DVD-ROM as Annex XI of the Tendering specifications and available on request to:Taxud-tenders@ec.europa.eu. **A non-disclosure declaration (Annex IX) will need to be signed by the potential tenderers.**.

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The **ITSM2 Lot3** contractor needs to take into account that the baseline reflects the situation applicable at the time of publication of the call for tenders and that it will evolve.

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

- The **ITSM2 Lot3** call for tenders (of which this document is part);

- TEMPO;

- International standard and best practices as ISO 20000-2:2005, ISO 27001.2005, ISO 27002.2005, ITIL;

- All documents in the call for tenders baseline.

The latest Release of TEMPO is to be used by the **ITSM2 Lot3** bidder. The list of TEMPO documents referred to in this document is only added in order to make the reading easier. They are neither exhaustive nor legally binding, they are only provided as additional information.

References to DG TAXUD are based on the organisational structure at the time of writing the call for tenders that will evolve.

3 Background information

3.1 IT activities of DG TAXUD

3.1.1 IT in support to policy

DG TAXUD coordinates and manages a set of operational activities relying on IT systems in support of the EU policies for customs, taxation and excise duties (cf. the mission statements, [R1], [R2] and [R3]). Actually, this comprises direct and indirect taxation, tariff strategy, eCustoms, the future Modernised Customs Code, risk management, safety and security, the fight against counterfeited goods, as well as international policy objectives.

TAXUD's IT systems are a **unique instrument** to sustain the **continuity of operation of a broad range of customs and taxation procedures** within the EU.

The main objectives are:

- To support the **uniform management of the Customs Union** and to maintain the fluidity of the **flow of goods at the border** of the EU through the availability of customs trans-European systems, such as the New Computerised Transit System, the Export Control System and the Import Control System. Any unavailability of these systems would have an immediate and highly visible adverse impact on the economic activity of the EU, such as lorry queues at the borders and ports, loss of containers, distortion in the application of legislation, increased risk of fraud and loss in revenue collection etc.

- To contribute to the **fight against fraud:**

  - **In the area of customs:** TAXUD's IT systems support the sharing of risks profile amongst Member States and will soon feed the European Anti-fraud Office (OLAF) with information on sensitive consignments;

  - **In the area of taxation:** IT systems also allow for a rapid exchange of secure information and thus for the efficient **fight against different types of tax fraud**. This is the case in the areas of:
    - VAT, through the VAT Information Exchange System;
    - savings through the Taxation on Savings system;
    - administrative co-operation and mutual assistance;

    or to better control movement of excise goods across the EU.

  - To **facilitate** the handling of tax and customs procedures **for citizens and economic operators** by enabling the **refund of VAT** from a Member State (in which an economic operator is not established) and **through the publication of** the most relevant information (including customs tariff, balances of tariff quotas, VAT number identification…), contained in its IT systems on the Commission's Europa web site.

Some traders have integrated the availability of the information in their daily processes. Therefore, they rely heavily on this service. The success of these services is constantly increasing with the number of queries made by the traders estimated to be above 100 million requests in 2010.

3.1.2 IT systems

Most of the IT systems of DG TAXUD are trans-European systems spanning all Member States of the EU. The users are the national administrations, the traders' community and the Commission Services. Other IT systems include systems to manage reference data, test and monitoring applications, and dissemination applications to the wide public (e.g. via the Europa web site).

All the IT systems have a legal basis[2] and receive budgetary support from EU programmes, currently Customs 2013 and Fiscalis 2013 for which they represent a significant part of the expenditure.

A trans-European system (TES) performs specific business functions in Customs or Taxation as defined in or in support of Union policies. A trans-European system is a **collection of collaborating systems (orchestrated and choreographed) with responsibilities distributed across the National Administrations and the Commission**. It includes processes, applications, services and infrastructure.

A trans-European system (**TES)** is characterised by:

- Exchanges of information between the National Administrations at EU level (NA<->NA); in this case the system forms a set of interoperable business systems implemented and operated by the National Administrations, under the overall co-ordination of DG TAXUD; the National Administrations are meant to integrate into their own national systems the business processes agreed at EU level; it is referred to as a distributed **TES**;

- And/or exchanges of information between National Administration and the Commission (NA<->EC); in this case the system is operated by DG TAXUD; it is referred to as a centralised **TES**.

Exchanges take place on a secured Common Communication Network (CCN), according to the agreed protocols and data formats.

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[2] For example in 2008 important legal acts for IT systems were the so-called "VAT package", the Modernised Customs Code and the eCustoms decision on a paperless environment for customs and trade.

The development of an IT system constitutes a major project to be run over several years, the full description of which is available from TEMPO (Trans-European Systems (**TES**) reference manual). An extract from this documentation is provided here below to introduce the notion of the lifecycle and the respective phases of the trans-European system development project.
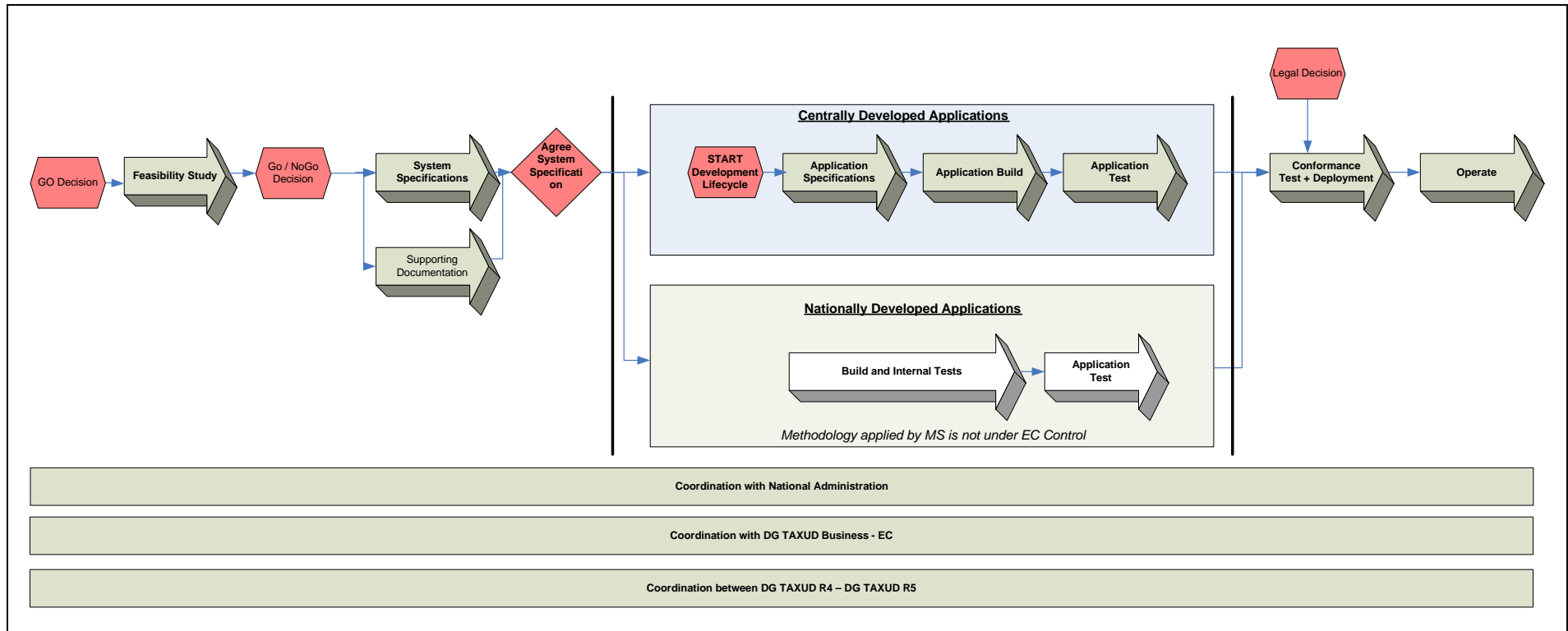
Figure 1: Trans-European System Development Lifecycle

As examples of some IT systems, we can mention:

- **In the field of taxation**: the *VIES network* enables the tax administrations to verify trader's VAT identification numbers and statements of their intra-EU turnover, *the VAT on e-Services system* provides for the management of the VAT revenues in connection with services provided on the internet by non-EU traders, the *VAT refund system* enables traders to obtain the refund of VAT from a Member State in which they are not established, the *Taxation on savings system* enables Member States to exchange information on interest payments by paying agents established in their territories to individuals resident in other Member States,

- **In the field of customs**, the *Quota system* enables to publish the tariff quotas and tariff ceiling to the trader community, the *Transit system* enables the customs offices to automatically track and control the movements of goods in transit through the EU, the *Export Control System* provides full control on the conclusion of export operations in particular when different Member States are involved, the *Import Control system* is devoted to the import operations, the *Surveillance system* complements the other customs systems and contributes to the fight against fraud by enabling the surveillance of the movement of goods inside and outside the EU,

- **In the field of excise:** *Excise Movement and Control system* allows for the control of movements of products falling under suspension arrangement of excise duties.

Overall in 2010, the IT activities generated around 1 022 Mio of exchanges of information between the Member States and the Commission amounting for more 2.6 terabytes of information. This information exchanges grew 10 times over the last 5 years and has an annual growth factor of approximately 50% (2010 compared to 2009).

DG TAXUD also makes available through the Commission's Europa website a wide range of information and services to the citizens and to the traders in order to enable them to consult measures relating to tariff, commercial and agricultural legislation, tariff quotas, query authorised economic operators, consult the list of transit customs offices, validate VAT numbers, consult the main taxes in force in the EU Member States or to query excise numbers.

On 01/01/2009, and innovating in the context of customs international activities, an electronic connection was launched with Russia to allow for secure data exchange of TIR movement data, in order to address lorry congestion at the EU-Russia border (currently 3 500 movements supported daily).

All these activities rely on a secure and reliable communication between the Member States and with the Commission. This is realised thanks to a common private communication network (CCN) that TAXUD has developed and operated for more than 10 years across the EU and which transports and exchanges a massive amount of messages and information.

In particular, in the context of EU enlargement, connecting the candidate country to the network is one of the first IT activities to be started well before the target enlargement date.

The common communication network (CCN), given its central role, is an important component of the whole IT architecture to ensure the security, availability and continuity of the service. It is managed by the Commission and has evolved over the years in the biggest network linking the Commission and Member States, in terms of number of application data exchanges and probably among the largest administrative networks worldwide.

Experience suggests that the **time to develop and deliver a trans-European IT system ranges from 2 to 8 years** according to the complexity and the level of implication of the Member States. This demands to manage each trans-European IT project under strict governance, using a proven project management methodology.

3.1.3 Governance

The management of Trans-European IT projects involves different levels of governance, involving the Commission and the National Administrations.

- DG TAXUD is **assisted by Comitology committees** such as the Customs 2013, Fiscalis 2013 committees and the Standing Committee on Administrative Cooperation. These groups are each supported by a sub-committee dedicated to IT matters. Each IT sub-committee meets several times a year under TAXUD's chairmanship with the participation of heads of IT from National Administrations.

- **Technical Experts' groups** with the National Administrations deal with technical-related project matters which meet with a frequency from monthly to quarterly according to the pace of development. Each TES and IT Services from the Commission are overseen by such a working group (ex: Electronic Customs Group, Modernised Customs Code Group, etc…).

- DG TAXUD also needs to ensure that any decision on IT matters is taken in full understanding of the context, challenges, impact and associated risks. This is why DG TAXUD applies internally a strong IT governance. All the IT systems are managed under the supervision of an **IT Steering Committee**, chaired by the Director General and composed of the board of Directors and the head of the financial and human resource unit. The IT Steering Committee meets regularly (quarterly on average) and makes decisions on IT working plans, priorities and resource allocation upon proposal from the IT units.

The **audit on the large IT systems** performed in 2006 **by the Internal Audit Service** of the Commission delivered reasonable assurance to DG TAXUD for its project management processes. Following further recommendations from the audit, DG TAXUD has put special attention and continues its efforts to better formalise with the Member States the agreement on quality of service and the security aspects.

3.2 Recent achievements and future developments

The capacity demonstrated over the last two decades in the creation of successful IT systems supporting the integration of customs and fiscal administrations in the EU has positioned IT at the heart of the European construction in the areas of customs and taxation.

In particular, for *Customs*, the e-Customs Decision underlined the central role of DG TAXUD in the creation of systems supporting the customs union and generated the need for a number of new trans-European systems successfully deployed over 2009 and 2010. The Modernised Customs Code and its implementing provisions added a new challenge for IT since it requires reassessing the whole of the customs procedures and underlying IT systems in order to meet the diversity of expectations from the different stakeholders. Specification work with the Member States has started with the definition of the business process models and the development of an IT mast plan is ongoing.

The perspectives for developing new IT systems under *Taxation* spanned over 2009 for VAT refund systems and over 2010 for the systems related to Recovery and Direct Taxation. In the longer term (2015), the one-stop-shop IT system will greatly simplify the tax declarations for e-commerce, telecommunication and broadcasting activities throughout the EU.

The years 2009-2010 were unique in terms of the high number of IT systems deployed into operations. A strong commitment and collaboration between the Member States and the Commission was required to respect deadlines:

- The *Customs* systems were deployed by 01/07/2009 (the system for economic operators, the upgrade of the transit system for security, anti-fraud information, enquiry and recovery procedure, and the upgrade of the export control system).

- The *Taxation* systems were deployed by 01/01/2010 (several improvements of the quality of data under the VAT network, the VAT package, and the upgrade of the Europa services on VAT);

- The new import control system, the upgrade of the integrated Community tariff management system followed in 2010, together with the entry into operation of the *Excise Movement Control System* (EMCS), which improves the functioning of the Internal Market and helps fighting fraud. The exchange of electronic forms for the recovery of claims, for mutual assistance in the field of direct taxation, and for Council Regulation (EC) No 1798/2003[3] and Commission Regulation (EC) No 1925/2004[4] in VAT was deployed as well.

DG TAXUD anticipates a **significant increase of the volume of IT activities and IT operations for the years to come**. This is due to the future deployment of additional customs IT systems as a result of the eCustoms Decision and the Modernised Customs Code, the operation of the EMCS and its further expansion in 2011 and 2012, of the VAT package, and

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[3] OJ L 264/1, 15.10.2003
[4] OJ L 331/13, 05.11.2004

possible additional systems for exchange of data between the EU and third countries such as Japan, China and US, and the Eastern neighbourhood.

The developments described below are only a projection of potential IT systems development in the coming years, on the basis of the current EU policy and legislative framework, but may be amended during the life of the ITSM2 contract. It should be underlined that this list does not reflect current formal requirements or priorities of the Commission or Member States in the field of Excise, Taxation, and Customs, nor is it exhaustive. It remains to be established if MSAs would be favourable to some of these initiatives. It is merely indicative of the type of future evolutions possible.

In the *Customs* area, the implementation of the Modernised Customs Code constitutes a comprehensive exercise, going beyond the adoption of implementing provisions, and includes in particular the development of the necessary IT applications within the framework of the e-Customs Decision. Their implementation will involve the test, deployment and monitoring of evolutions of existing systems or of development of new systems such as:

- Single Window, Single Electronic Access Point (SEAP), Registered Exporters (REX);
- Centralised Clearance at Import and Export;
- The adaptation of safety & security for small consignments;
- The evolution of ECS, ICS and NCTS;
- Customs Decisions (standard procedure and specific decisions as required);
- Possible evolutions on AEO and EORI;
- Adaptation of BTI system to include new functions including trader access;
- Possible evolutions of risk management;
- Guarantee management;
- Evolutions of Export and Transit (simplified procedures);
- Additional systems may be developed for exchange of data between the EU and third countries, and existing systems may be extended to third countries.

In *Taxation*, several activities are envisaged in the foreseeable future:

- In Indirect Taxation, the main changes envisaged are the introduction of the Mini-One-Stop-Shop system (mini1SS) and the VAT on e-Services system (VoeS), both of which are to start operations in 2015.

- In the field of VAT the main changes in the next few years will be the implementation of the Recast in Directive 904/2010. After this the current public consultation about the Green Paper on the Future of VAT may result in a very significant change to the VIES system. These changes, if any, are not expected to become operational before 2015.

- In the field of Direct Taxation a Feasibility Study is to be launched on the implementation of the FISCO Recommendation. This could lead to the launch of a new Trans-European FISCO system, with possible interactions with OECD members

across the world. If the project continues, it is expected that a FISCO system would not become operational before 2015

Possible smaller systems in the 2015-2020 timeframe could include an IT system to support taxation on road transport means, on financial transactions or to support own resource taxation of the EU, for instance on CO^2 emissions.

- Regarding administrative cooperation among the Member States, new IT systems may be requested to support the EUROFISC information exchanges. It is possible that an extensive overhaul would take place of the e-Forms and other administrative cooperation tools currently in place.

  Frequent requests are received to extend administrative cooperation with members of the OECD. The most notable of these requests were to extend CCN/Mail and the exchanges of e-Forms, as well as to extend the possible future FISCO system. At the moment, international agreements are not in place to enable such an extension; but if the political decision is taken within the next few years, the EU/OECD exchange over CCN/Mail could then be expected to start operations in the period 2015-2020.

Beyond 2013, there are at this stage no formal requirements yet for evolution of EMCS and/or future Excise applications.

By analogy to similar evolutions in the taxation and customs areas, a number of initiatives could be taken, either extension of the existing systems or harmonisation with other sectors.

- The extension of EMCS to duty paid and distance selling;

- The globalisation in EMCS; follow-up of movements/quantities under simplified procedures;

- In the direction of harmonisation across sectors and simplification: the computerisation of Excise Simplified procedure authorisations, and the potential merge of SEED into AEO/EORI with a view of consolidating Economic Operators' registers; the harmonisation of guarantee management across customs/tax/excise;

- The development of new functionalities, such as common risk assessment.

- Further possible developments of EMCS: the creation of a Single window, allowing multinationals to make declarations from any MSA for all their movements; the set-up of 1 stop-shop, so that payments as well can be made in any MSA; this could cover both duty paid and duty suspension movements (or actually abolish the difference);

The Customs 2013 and Fiscalis 2013 programmes provide for **an increased annual budget** to support much of this growth (from **55,5** Mio Euro initially foreseen for IT systems in 2009 up to **73,6** Mio Euro in 2013).

In order to cope with the new IT systems and the expected growth of the traffic, the **common private communication network (CCN) will need to be upgraded** as well. This concerns not only its capacity but also its security and its overall architecture.

3.3   IT organisation in DG TAXUD

The **Information Technology Steering Committee** (**ITSC**) of DG TAXUD acts to ensure high-level authorisation for IT projects in line with the principles of good management and financial governance, under the overall supervision of the IT governance bodies of the Commission.

The **Stakeholders** for DG TAXUD information systems are the Commission, National Administrations, traders or the public in general.

The Information Technology Units (**R4** and **R5**) are responsible for administering the computerisation activities of DG TAXUD in line with the policies of the DG. This includes the provision of business-critical operational services and central information systems necessary for the support of the National Administrations and Commission services.

The **mission** of the Information Technology Units is to:

- Develop and operate secure Information Systems (IS) and transmission services appropriate to beneficiaries in DG TAXUD, Commission services and Member States' administrations;

- Maintain and develop a coherent Information Systems Architecture consistent with the Commission standards policy, allowing interoperability of administrations in the EU and partner countries for the benefit of the Customs and Tax policies;

- Provide and support efficient office automation facilities for approximately 550 staff of the DG TAXUD.
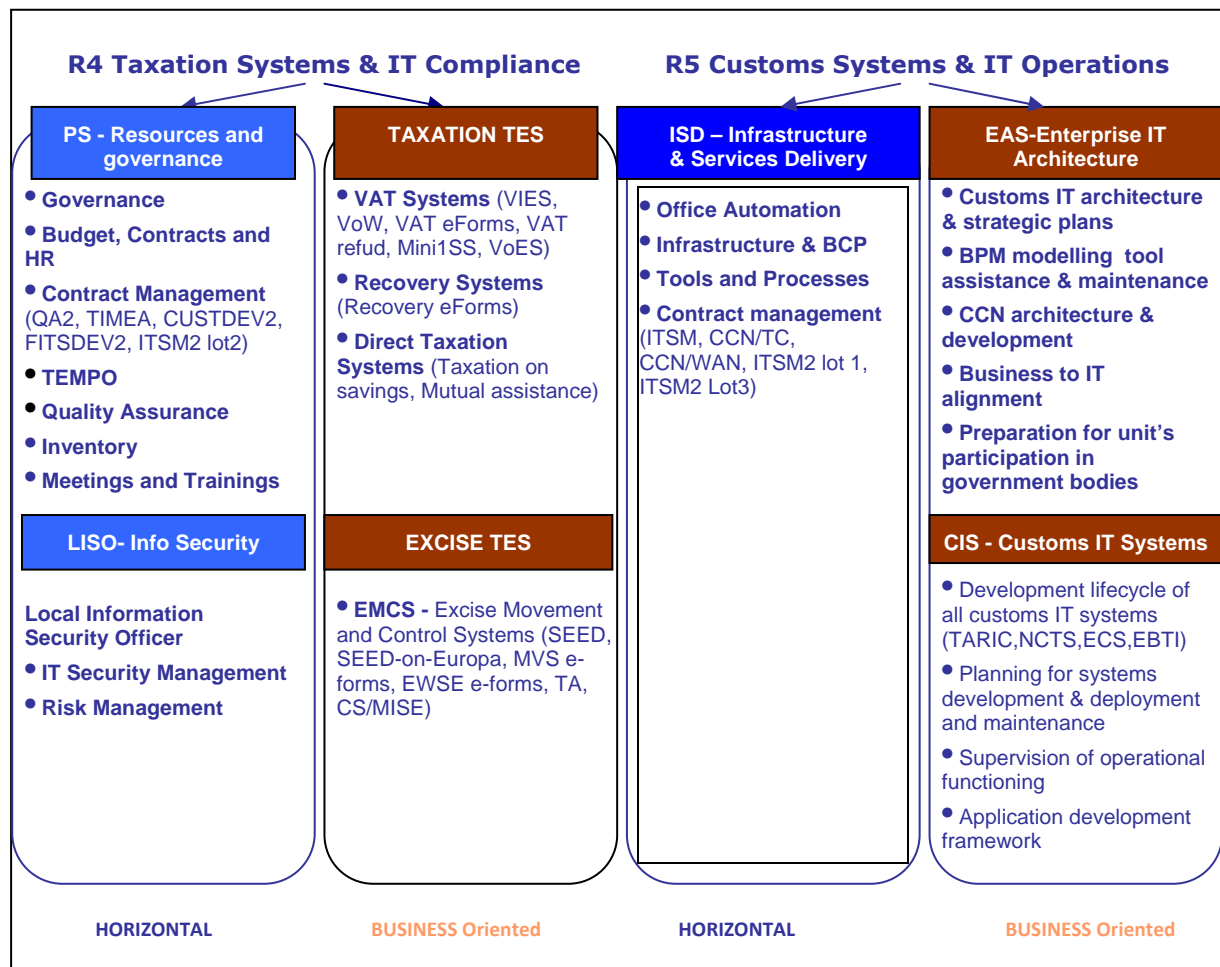
Figure 2: IT organisation in DG TAXUD

The **Unit R4** is divided in four sectors:

- **Resources and governance sector (R4/PS)**: is a "horizontal" sector involved with governance, budget, contracts and project management, human resources and support to other sectors of DG TAXUD IT Units from Quality Assurance and Quality Control point of view. R4/PS will be in charge of the management of the relationship between TAXUD and the ITSM2 Lot2 contractor;

- **Excise Trans-European Systems sector (R4/EMCS)**: defines, maintains and evolves, in close cooperation with the Member States and on the basis of the EU legislation in place, the IT systems related to the monitoring of movements of excise goods under suspension of excise duty within the EU. These systems are designed to simplify the administrative procedures for the traders involved in intra-EU movements of excise goods, while securing the fiscal revenue of the Member States. The sector also coordinates with the Member States to ensure the constant level of quality and correct functioning of these trans-European systems while in their operational phase;

- **Taxation Trans-European Systems sector (R4/TAX)**: defines and creates EU-wide IT systems aiming at supporting the fight against fraud or simplifying the VAT compliance obligations, in close cooperation with the Member States. In the field of VAT the two main systems are VIES and VAT Refund. Part of the functionality of VIES is also used by the general public via the VIES-on-the-Web application. The sector has also developed standardised e-forms to smoothen and fasten the administrative cooperation in the field of VAT, Recovery of Claims and mutual assistance for Direct Taxation. The sector has developed and maintains the Taxation on Savings system and the Taxes in Europe database;

- **Local Informatics Security Officer (LISO):** defines the DG TAXUD-specific Information Security Policy, oversees the development of security plans approved by DG TAXUD and monitors its implementation, develops information security awareness and training programmes, maintains an inventory of information systems, with a description of security needs, advises and reports on information systems security matters.

The **Unit R5** is divided in three sectors:

- **Infrastructure & Service Delivery** (**R5/ISD**): The sector is responsible for :

  - Providing office automation services (supply the office automation equipment, user support, helpdesk, management of IT logistics including acquisition, move and decommissioning);

  - Managing the infrastructure used by the Information Systems in support of the Customs and Tax policies, the DG TAXUD specific administrative processes;

  - Assuring continuity of operation of the IT function in case of disaster;

  - Operating the infrastructure allowing interoperability of administrations in the EU and partner countries for the benefit of the Customs and Tax policies (CCN contracts);

  - Managing the IT Operations (ITSM contract);

  - Designing and implementing the IT operation processes in DG TAXUD and all its suppliers.

- **Customs IT systems (R5/CIS)**: The sector is responsible for :

  - The system development lifecycle of all Customs IT systems;

  - The maintenance of the operational planning for systems development and deployment;

  - The co-ordination of the implementation and maintenance of all Customs IT systems in EU in collaboration with internal and external stakeholders;

- The supervision of their operational functioning and the production of related statistics, dashboards etc.

- The system development lifecycle methodology for all Customs IT systems;

- The application development framework of all Customs applications;

- The maintenance of a repository of all artefacts of Customs IT systems.

- **Enterprise IT architecture and Strategy (R5/EAS)**: The sector is responsible for :

- The overall Customs IT architecture and IT strategic plan;

- Providing assistance to Customs business units for the correct use of the modelling tool ARIS;

- Maintaining in ARIS, in close cooperation with the Customs units and CIS, a coherent view of the enterprise architecture, including its business data, business processes, business rules and technical IT plan;

- Providing advice to Customs policy units for the optimal use of IT in reaching their policy objectives; to assure this duty, the section shall represent the unit in coordination groups created either internally or with the participation with MS in view of policy coordination and development;

- The technical studies, architecture and development of the CCN platform;

- The overall coherence of IT architecture of DG TAXUD, which is operationally implemented by the sections ISD and CIS;

- Assuring the secretariat of DG TAXUD's architecture board and through this body promoting business to IT alignment;

- Preparing the unit's participation in governance bodies, such as the "ECG IT and legal", the IT steering committee, the High-level group for the MCC, etc.

In addition to the above, DG TAXUD **Unit A3** is in charge of **MCC and BPM functional structure**: to define, in close cooperation with the Member States, the requirements and business process models of the customs IT systems related to the Modernised Customs Code and its implementing provisions.

Some changes in this organisation may occur during the course of the ITSM2 contract.

3.4   Contractual aspects

3.4.1 External contractors

DG TAXUD relies on the Commission's DG for Informatics (DIGIT) for hosting part of the IT systems. In parallel, DG TAXUD **outsources the bulk of its IT activities to external service providers** which are contracted through public procurement procedures in compliance with the Financial Regulation. The products and services supplied are all subject to a systematic quality control and testing as part of the acceptance procedures.

Units **R4** and **R5** rely on several **external contractors** to perform their duties (refer to figure 4 below for a graphical representation of the current contracts):

- Two development contractors (CUSTDEV2 for Customs, FITSDEV2 for Taxation)

- One IT service management contractor (ITSM)

- One common network provider (CCN-WAN2)

- One network technical centre (CCN/TC)

- One quality assurance/control contractor (QA2)

- Several consulting contractors to perform strategic studies and analyses

3.4.2 Interaction rules between the ITSM2 contractors and DG TAXUD

Concerning the **ITSM2** activities (i.e. the subject of this call for tenders), it is foreseen that:

- **ITSM2 Lot1** will be managed by **R5**, and will provide services to units **R4** and **R5;**

- **ITSM2 Lot2** will be managed by **R4** and will provide services to **R5/Customs Information Systems**, **R4/EMCS**, **R4/TAX**, **A3/Modernised Customs Code** and on a need basis to other sectors from unit **R5;**

- **ITSM2 Lot3** will be managed by **R5**, will provide services to unit **R5** and may provide services to unit **R4** as well upon request.

In terms of demand management, DG TAXUD will be solely responsible to order services from the **ITSM2** contractors. It means that:

- TAXUD orders services from **Lot1**, **Lot2** and **Lot3**, relying on Specific Contracts and Request for Actions;

- **Lot2** will use the tools/test application/etc. made available by **Lot1** in order to run its services. **Lot2** will report to TAXUD and indicate what needs to be ordered from **Lot1** to support the **Lot2 TES** activities.

DG TAXUD Unit R3 will also be a stakeholder under the three lots as the unit is responsible for the management and implementation of the Customs 2013 and Fiscalis 2013 co-operation programmes.

3.4.3 Role of QA2 contractor

DG TAXUD is supported by the QA2 contractor, which performs quality control over the activities of the others IT contractors of DG TAXUD. The QA2 contractor:

- Performs (on-site) audits of the **ITSM2** contractors (quality/security/ad hoc);

- Coordinates the review by DG TAXUD of the **ITSM2** deliverables, and performs technical reviews of these deliverables;

- Monitors the service levels provided by the **ITSM2** contractors;

- Performs (on-site) quality control of the testing activities (application testing, conformance testing);

- Attends meetings, workshops, training sessions organised by the **ITSM2** contractors.

The QA2 contractor is also responsible for quality assurance. It maintains the TEMPO methodology, provides technical expertise and assists DG TAXUD for the continuous improvement of its IT maturity and of its contractors.

In this context, the **ITSM2** contractors must be ready to collaborate with the QA contractor.

3.4.4 Demand management

Services are ordered in accordance with the following :

- The Framework Contract (FC) identifies the services available and offers a price catalogue: services with a unit price, services to be quoted in man/days together with the unit price of the profiles available, hardware and software licenses unit prices, rules for reimbursement of travel expenses;

- Following the FC, Specific Contracts (SC) can then be signed. They specify the list of services concerned and the way these will be ordered:

  - The "**Fixed Price**" services: are the services (of any type) which may start with the signature of the SC;

  - The "**On-Demand**" services: are the services with a unit price, which may be ordered by means of a "**Request for Actions – RfA**". Once a RfA has been issued by DG TAXUD, quantity of the corresponding services becomes available for consumption; these services are then "triggered" by DG TAXUD according to the needs. Once completed the service is accepted normally via the acceptance of the monthly progress report where the related deliverables are listed. Accepted quantities may then be

invoiced. This mechanism enables DG TAXUD to better align the services (and budget) with the needs; it implies a proper "demand management" process is put in place to closely follow the quantities available, services consumption and related ordering, and quantities formally accepted ready for invoicing;

- The **"Quoted-Time-and-Means"** services: are the services to be quoted in man/days which may be ordered by means of a **"Request for Action - RfA"** following an acceptable offer received from the contractor. The offer is meant to answer to a **"Request for Estimate - RfE"** to be issued by DG TAXUD;

- The **"Infrastructure"** services: the hardware and software licenses, which may be ordered by means of RfEs and RfAs.

The SC may as well foresee a budget provision for travels, based on the travels needed for the estimated services. **Travels** are ordered by means of RfAs either individually or in a pool. A careful monitoring of the travel budget consumption is required by both the contractor and DG TAXUD in order to keep overall travel costs within the budget provision.

If, during the course of the SC, a budget provision becomes insufficient to cover the real needs, the SC may be amended either by revising the distribution of the overall budget between the different budget provisions (On-Demand, Quoted Times and Means, Travels) or by adding additional budget where needed (the pre-condition for this alternative is that external budget still remains available from the operational budget lines of DG TAXUD).

The tenderers should refer to the **Price List Table** annexed to the call for tenders to get the pricing strategy to be used in each of the **ITSM2** lots.

DG TAXUD is developing a tool, TASMAN (Tool for Automated Supply management), to manage the ordering and acceptance of the deliverables and services related to the development and operation of the trans-European IT systems. The **ITSM2** contractors will use this tool when available (expected in the course of 2012).

3.5 TEMPO documentation

DG TAXUD wants to ensure that the different projects are well managed with deliverables on time and within budget and high-level Quality Assurance and Quality Control, and that cooperation between DG TAXUD and its service providers is optimal. To do so, DG TAXUD has created, develops and maintains the **TAXUD Electronic Management of Project Online** (TEMPO) quality management system. This methodology is fully part of the technical specifications.

The **TEMPO** documentation is hosted on Europa web site (CIRCA pages) and is available for members of the TEMPO Interest Group. Account registration can be requested via the Project Support Office TEMPO mailbox. A specific account has been set-up for the tenderers to access the documentation. See section "References" for the details of this account.

The tenderers are invited in particular to read the following TEMPO documentation:

- **General documentation:**

  - Introduction to TEMPO

  - Project Management reference manual

  - Quality Management reference manual and Quality Policy

  - Information Security reference manual and Information Security Policy

  - Specific Contract management reference manual and Deliverables acceptance reference manual, and procedures

- **Trans-European systems:**

  - Trans-European Systems (TES) reference manual

  - TES high-level security policy, and TES Security Plan reference manual

  - Application Management reference manual

  - Application Development reference manual

  - Business Perspective reference manual

  - IT Strategic and Tactical Planning reference manual

  - Planning to Implement Service Management reference manual

  - Testing reference manual

  - Conformance Test procedure

  - Service Delivery reference manuals (Service Level, Availability, Continuity, Financial, and Capacity management)

- Service Support reference manuals (Service Desk, Incident, Release, Change, Configuration, and Problem management), and related procedures

- Risk management reference manual

- ICT Infrastructure reference manual

Additionally TEMPO provides for supporting documentation such as fact sheets, procedures, guides and templates.

4 Overview

The IT Services to be provided by the **ITSM2** contractors for **Lot1**, **Lot2** and **Lot3** are depicted in the following diagram:
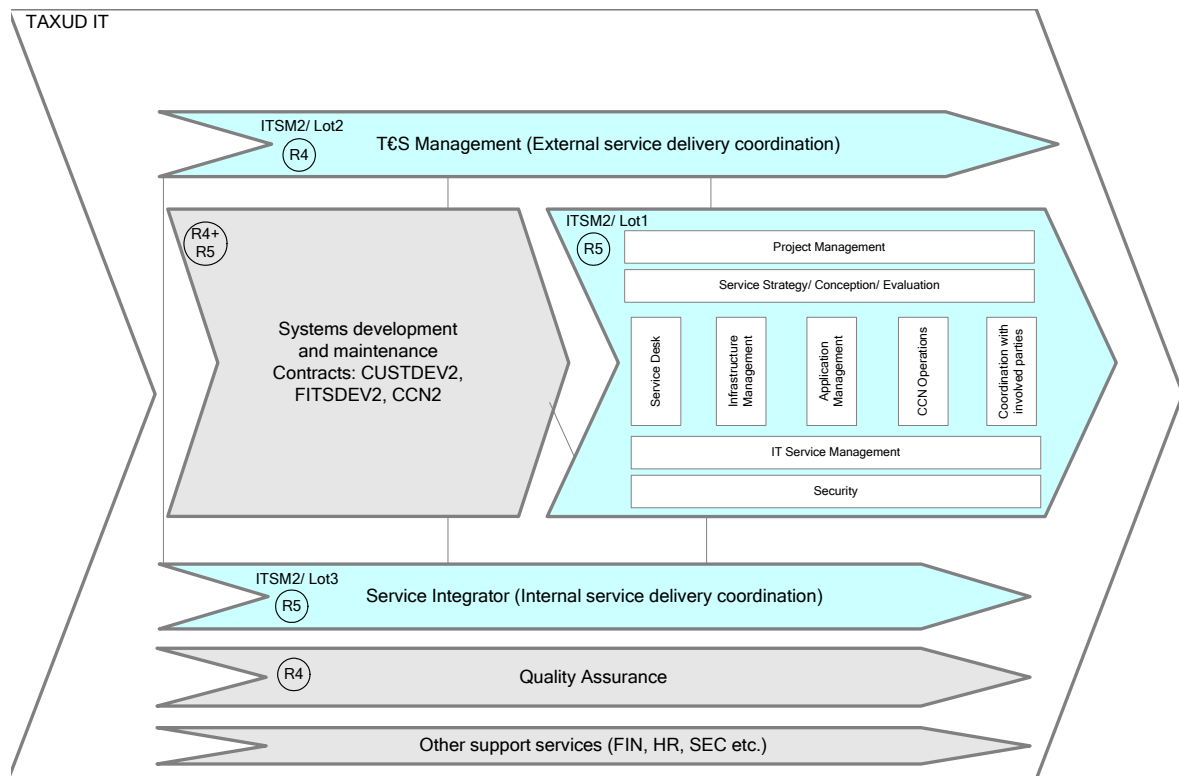
Figure 3: **ITSM2** Contract's Structure with the three Lots: **Lot1**, **Lot2** and **Lot3**.

The different lots are:

a) **Lot1:** IT Service Management 2, covering applications management, operations, infrastructure and building infrastructure for both CCN and central applications.
These activities are currently sourced from the ITSM and CCN/TC contracts. In addition to the services depicted in the figure above, transition services such as Take-Over and Hand-Over and other supporting services, such as Service Management Tools development and maintenance, translations, organisation and provision of training and missions are foreseen. **ITSM2 Lot1** is under the responsibility of unit **TAXUD/R5**.

b) **Lot2:** Trans-European Systems management (**TES**): this lot will provide support services for the coordination of implementation of trans-European systems in members States. **ITSM2 Lot2** is under the responsibility of unit **TAXUD/R4**.

c) **Lot3:** Operations integration and control including application architecture board, architecture choice, product choice, overall change management across different Lots and benchmarking. **ITSM2 Lot3** is under the responsibility of unit **TAXUD/R5**.

Compared to the current ITSM contract, for **ITSM2** the sourcing of the future **TES** management service is separated from operations into two lots: **ITSM2 Lot2** and **ITSM2 Lot1** respectively, while **ITSM2 Lot3** is an addition.

Another major difference between the ITSM contract and the future **ITSM2** contract is the addition or merge of CCN applications management, operations, infrastructure and Data Center into **ITSM2**.

The IT value chain of DG TAXUD is depicted below:
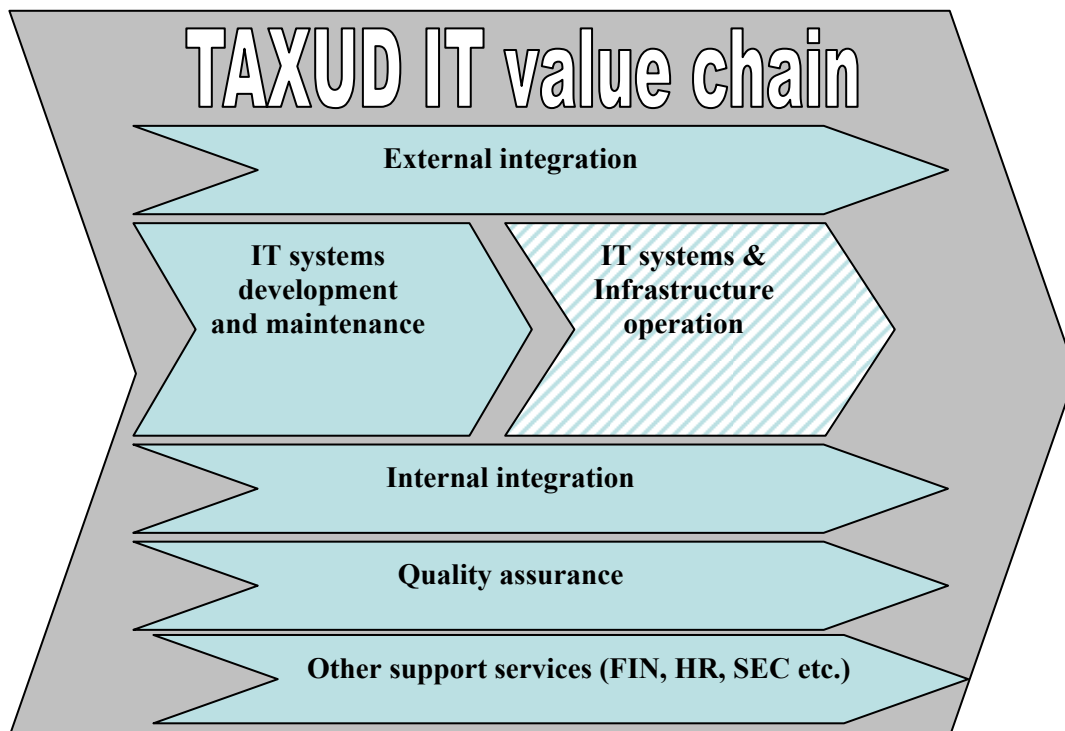
Figure 4: DG TAXUD IT Value Chain

Hence, essentially the **ITSM2 Lot1** contractor will have to deal with the shaded part of the above value chain. **ITSM2 Lot2** with "External integration" and **ITSM2 Lot3** with "Internal integration".
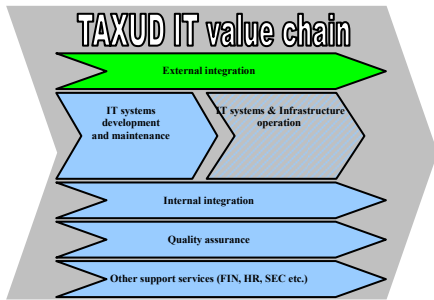
External Integration is defined as the set of activities that are needed to integrate DG TAXUD's IT systems with those of the NAs to deliver the expected business solutions. These comprise planning, scope definition, systems definition, and specification; follow up of NA activities, synchronisation, enterprise architecture town plan, and others.
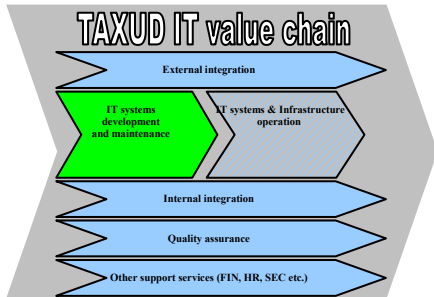
IT systems development and maintenance is one of the two main production activities of the IT units of DG TAXUD, it includes the multitude of development and maintenance activities for all Customs, Taxation, Excise systems as well as for CCN.
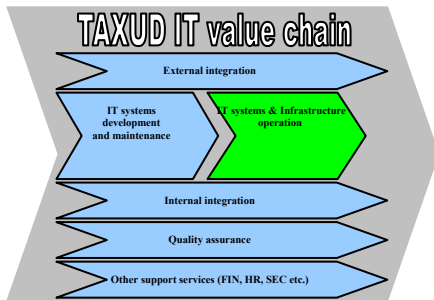
IT systems & Infrastructure operation is the second main production activity of the IT units of DG TAXUD, providing:

- The operations of all applications;
- A stable, documented, managed and secure ICT infrastructure.
- The setup and maintenance of harmonised processes and service management tools.
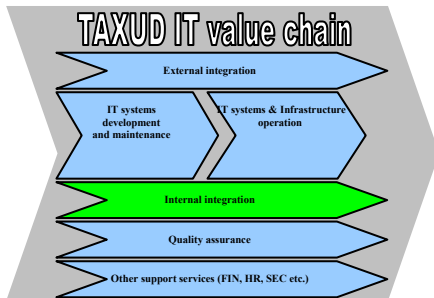
Internal integration is the set of activities that **TAXUD/R5** has to do internally to streamline and harmonise its architecture and services delivery. Much of this process is supported by TEMPO, internal governance arrangements, planning, reporting etc. However, the operational interactions between DG TAXUD and its suppliers and among its suppliers themselves are insufficiently streamlined whilst this is a key requirement to increase the maturity, efficiency, and effectiveness of the organisation. This is the object of the **ITSM2 Lot3** call for tenders.
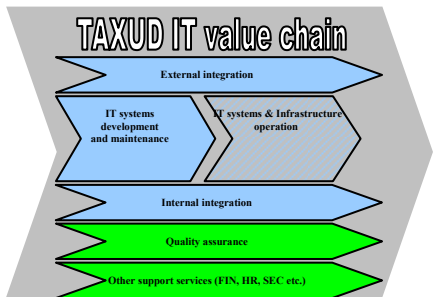
Quality Assurance and other support services (FIN, HR, SEC, etc.) are activities and processes that are shared activities between **TAXUD/R4** and **TAXUD/R5** and performed by the sector **TAXUD/R4/PS and TAXUD/R4/LISO**. QA is quality assurance and quality control of the IT services and deliverables supplied to DG TAXUD by all its suppliers including conducting regular security and quality audits of them.

The existing structure of DG TAXUD contracts[5] is depicted in the diagram below. Development services are delivered by the CCN/TC, CUSTDEV2, FITSDEV2 and ITSM contracts, the later being restricted to support "Service Management related tools" and facilities necessary for the IT service management and related activities.

Operations rely on ITSM, CCN/TC, CCN/WAN2 contracts and the data centre service of DIGIT.
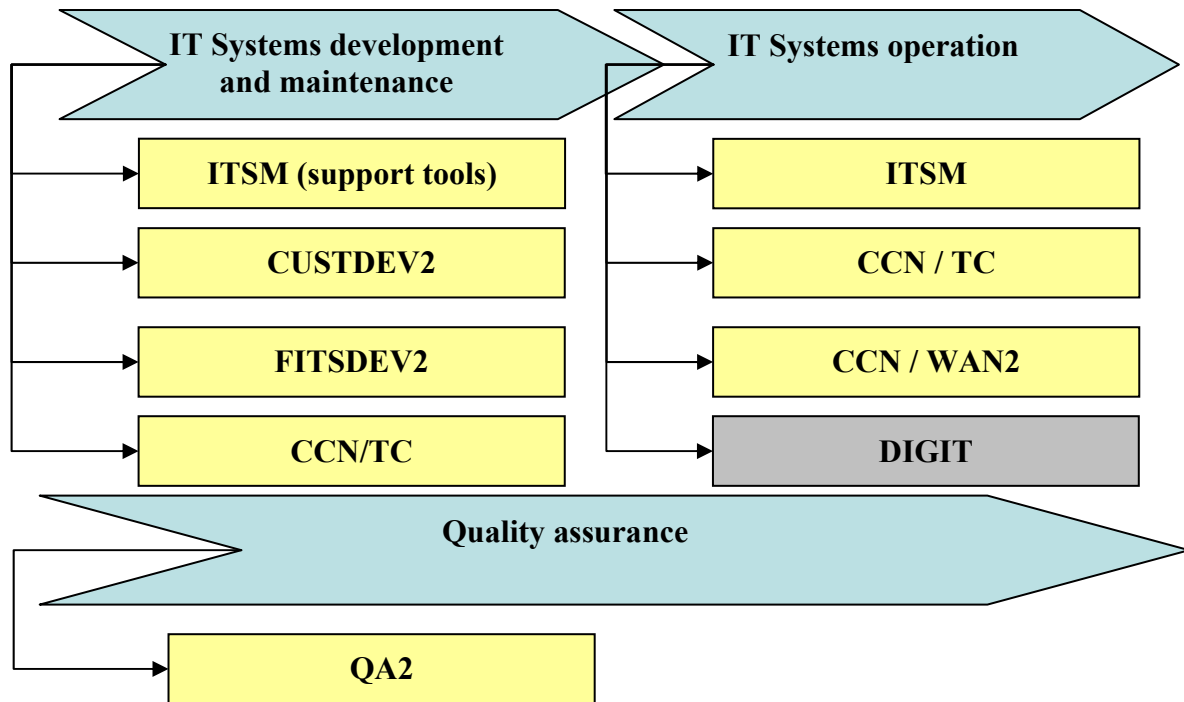
Figure 5: DG TAXUD's Current Contracts

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[5] With the exception of DIGIT as there is no contract between DG TAXUD and DIGIT.
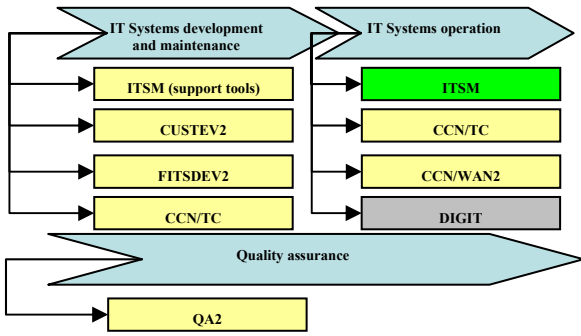
The ITSM contractor is the current provider of IT Service Management on behalf of DG TAXUD for excise, taxation, and customs business threads, except for the CCN/CSI service. The contract includes development and maintenance of its own "Service Management related tools" used.
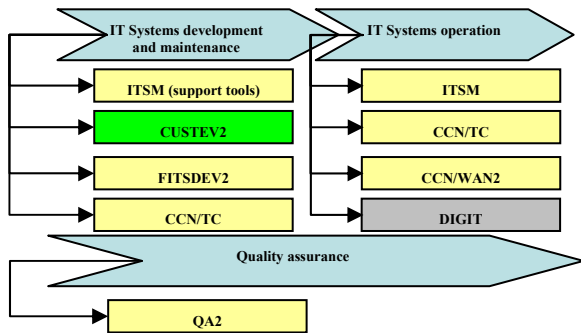
CUSTDEV2 is a development and maintenance contract, which consolidates all customs-related development. The CUSTDEV2 contractor provides specification, development, maintenance and support services for all customs IT systems.
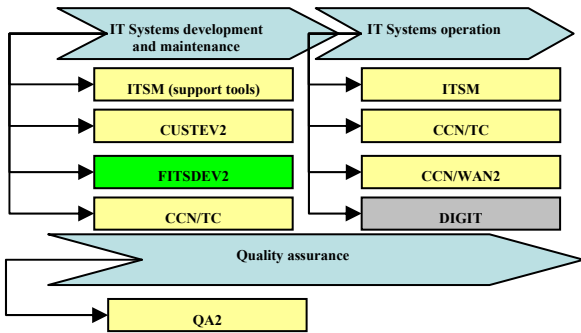
The **FITSDEV2** contractor provides specification, development and maintenance services for the taxation and excise systems and applications as it is currently in operation.
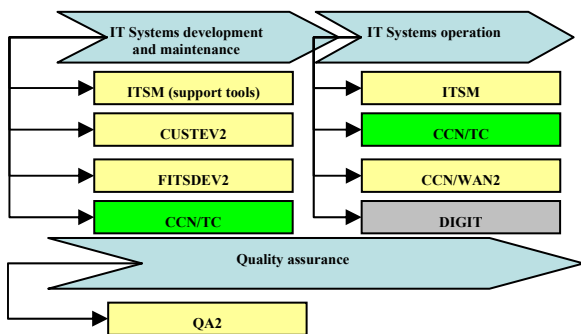
The **CCN/TC** contractor provides CCN/CSI service management including its service desk for the NAs and various contractors of DG TAXUD, service delivery and support, ICT Infrastructure management, operations management, security management as well as its application development.
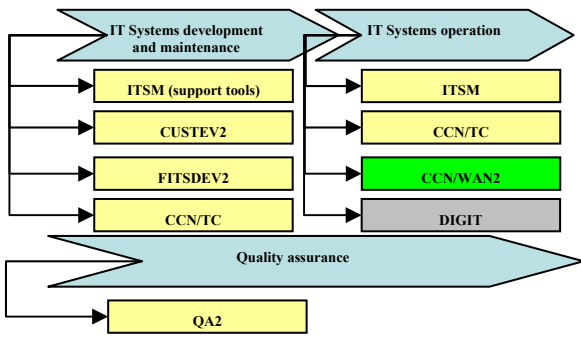
The **CCN/WAN2** contractor provides the private secured IP network services of CCN including their maintenance.
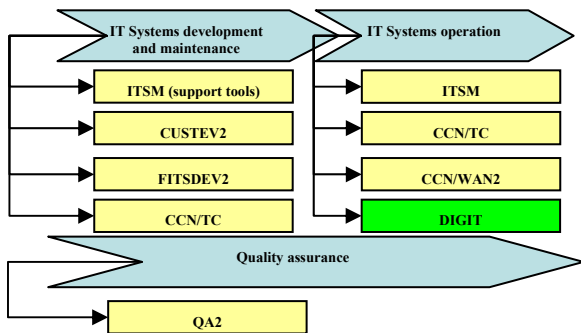
DIGIT is the IT General Directorate of the Commission. DIGIT has responsibility for the Commissions Data Centre (DIGIT/DC) which hosts part of the DG TAXUD information systems.
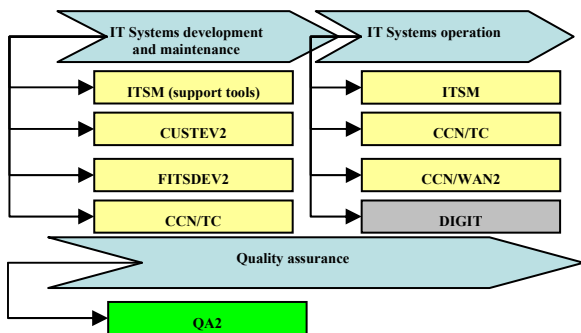
QA2 contractor is responsible for TEMPO maintenance quality assurance and quality control of the IT services and deliverables provided by the others IT contractors of DG TAXUD. This includes services supplied by the current ITSM and the new **ITSM2** contractors.

The target organisation represents the current vision of DG TAXUD, without prejudice to further evolution as the need may arise.

The tenderer shall note that through this call for tenders DG TAXUD will undertake a transformation of the support contracts, (not shaded in the following figure), aiming at the following target situation:

External integration

Support contract: TES management

Systems development and maintenance

Support contracts: CUSTDEV2, FITSDEV2, CCN/TC, CCN2

Systems Operation

Support contracts: ITSM2, CCN/WAN2, DIGIT, OIL for Data Centers

Internal integration
Support contract: Operations integration and control

Quality assurance
Support contract: QA2
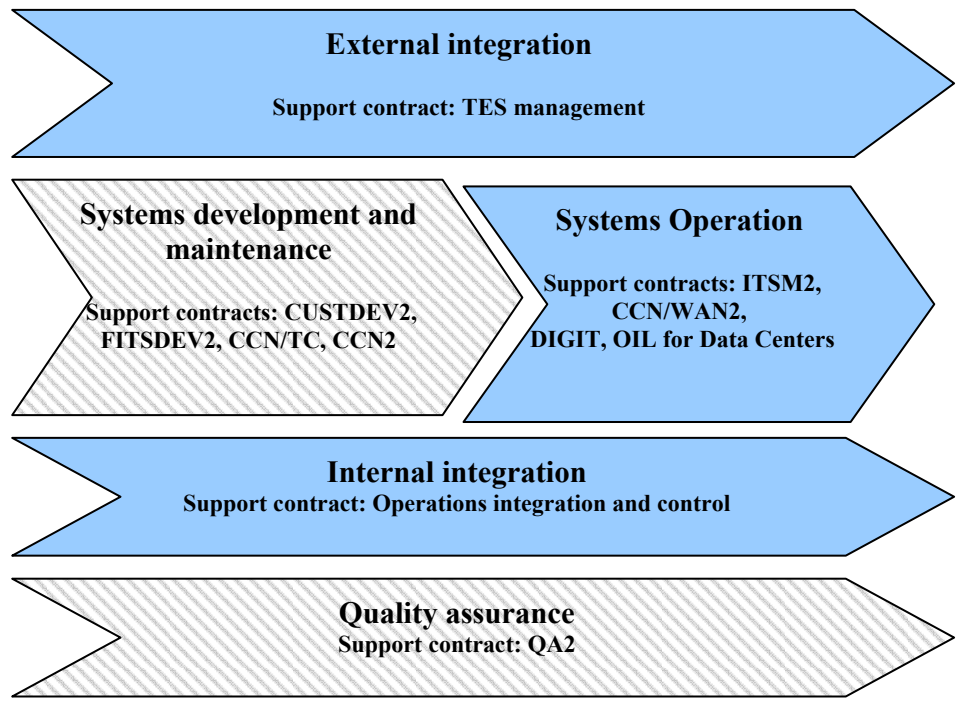
Figure 6: Support Contracts' Target Situation at DG TAXUD

This transformation entails the following:

External integration
Support contract: TES management

Systems development and maintenance
Support contracts: CUSTDEV2, FITSDEV2, CCN/TC, CCN2

Systems Operation
Support contracts: ITSM2,CCN/WAN,2 DIGIT, OIL for Data Centers

Internal integration
Support contract: Operations integration and control

Quality assurance
Support contract: QA2
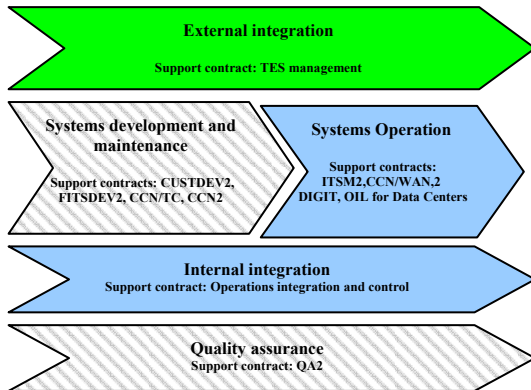
External integration is defined as the services, which are necessary to manage the relations with IT deployment in the NAs. This will be the target of **ITSM2 Lot2** of this call for tenders. Related duties will have to be taken over from the existing ITSM contractor.

External integration
Support contract: TES management

Systems development and maintenance
Support contracts: CUSTDEV2, FITSDEV2, CCN/TC, CCN2

Systems Operation
Support contracts: ITSM2,CCN/WAN,2 DIGIT, OIL for Data Centers

Internal integration
Support contract: Operations integration and control

Quality assurance
Support contract: QA2
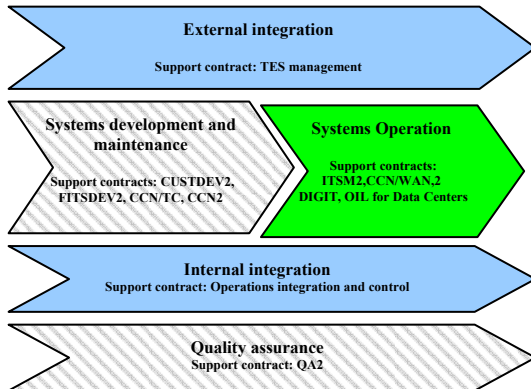
Systems Operations - CCN/TC and ITSM operations will be integrated in **ITSM2 Lot1** of this call for tenders. Related duties will have to be taken over from the existing CCN/TC and ITSM suppliers.

External integration
Support contract : TES management

Systems development and maintenance
Support contracts: CUSTDEV2, FITSDEV2, CCN/TC, CCN2

Systems Operation
Support contracts: ITSM2,CCN/WAN2, DIGIT, OIL for Data Centers

Internal integration
Support contract: Operations integration and control

Quality assurance
Support contract: QA2
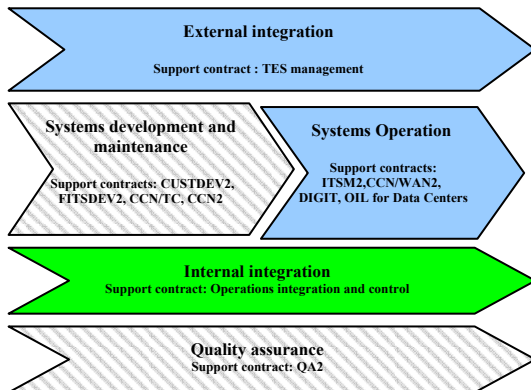
Internal Integration – **ITSM2 Lot3** of this call for tenders concerns the provision of services necessary to the control and integration of the service offered by all DG TAXUD contractors and DG TAXUD itself.

5 Scope of ITSM2 Lot3 in this call for tenders

The **ITSM2 Lot3** contractor will assist DG TAXUD, in supporting the follow-up of activities and actions, as well as providing advice to DG TAXUD. The **ITSM2 Lot3** contractor will be, however, consulted by DG TAXUD. All decision making power resides within DG TAXUD.

These services are new and will be evolving throughout the contractual period. It is expected that the **ITSM2 Lot3** contractor initiates and develops the services and further identifies opportunities to support DG TAXUD in the integration efforts. As these services are currently not being provided, it is impossible to provide the tenderer with an "as-is" situation.

The services to be performed under **ITSM2 Lot3** can be divided as follows:

- Three types of core tasks within **ITSM2 Lot3**:

    - **Technology advisory services** ("Integration Advice"); advice and leadership support on architecture, operations, development, security and QA. Answering to the question: "Are we doing the right things?"

    - **Management support activities** ("Integration Management support"); increasing maturity, effectiveness, efficiency of the operations. Supporting collaboration and coordination between the various stakeholders. Answering questions such as: "Are we doing things right?"

    - **Benchmarking and assessments**; answering the question: "Are we getting sufficient return on investment?"

- Three types of supporting tasks:

    - **Project management** (including contract and internal quality management);

    - **Transition** (tasks covering take-over and hand-over of the activities);

    - **Other services** and deliverables.

The positioning of the **ITSM2 Lot3** in the DG TAXUD IT organisation is as depicted in Figure 7.
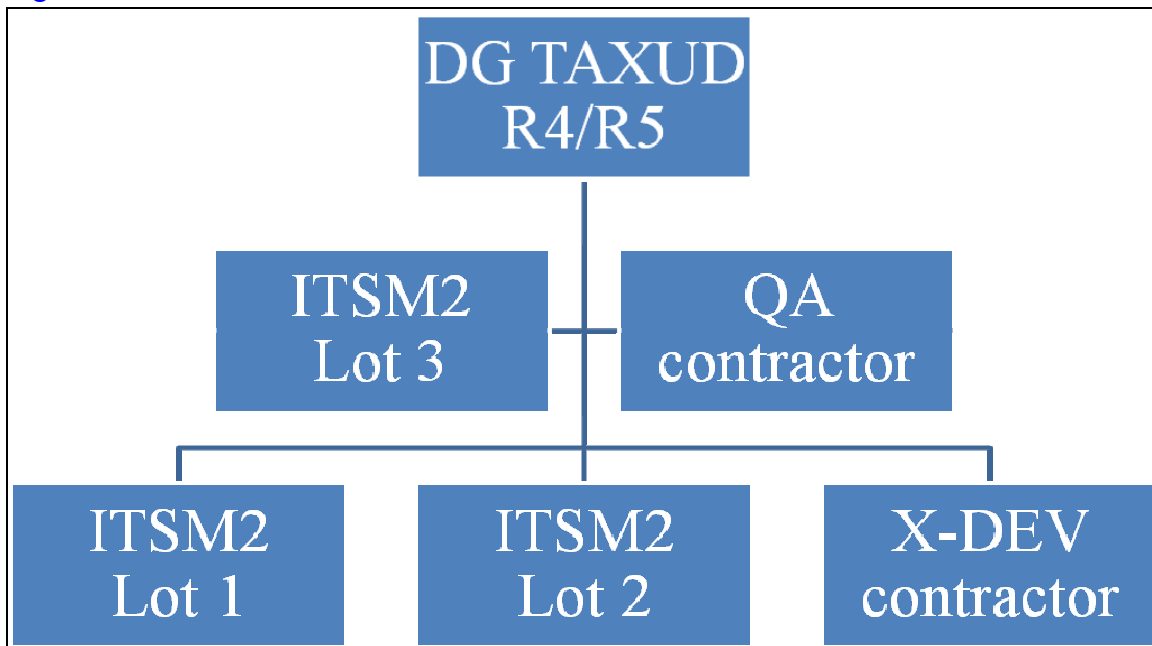
Figure 7: Positioning of the Lots within the DG TAXUD IT organisation

This representation gives a view on the organisational structure. DG TAXUD is supported by multiple contractors, **ITSM2 Lot1**, **Lot2** and **Lot3** falling under the **ITSM2** contract whilst x-DEV and the QA contractor each have a separate contract.

The x-DEV consists of the contractors in charge of the development and maintenance of all DG TAXUD's IT systems and applications.

The QA contractor ensures that the quality assurance and quality control procedures set out by DG TAXUD are followed.

5.1.1 Place of work

The work will be performed primarily at the **ITSM2 Lot3** contractor premises. Meetings with National Administrations are generally held at the Commission's premises..

The **ITSM2 Lot3** contractor should be at the disposal of the DG TAXUD staff at half a day notification. This ensures that urgent meetings with limited upfront notice can be attended.

DG TAXUD may request that (part of) the services (typically the services expressed in man/days in the price model) are performed within the Commission's premises (intramuros).

The overall ratio intramuros vs. extramuros is evaluated at 30%-70% respectively.

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

All meetings at the Commissions's premises (Brussels and Luxembourg) and/or at any other contractor's premises within a distance of ≤ 50 Km of the Commission's premises) are to be included in the fixed price elements, including the travel and subsistence of these meetings. Therefore, no additional travel and subsistence expenses will be reimbursed **between** Commission's premises (Brussels and Luxembourg).

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

5.1.2 Team requirements

As indicated in the call for tenders questionnaire, [A4] for **ITSM2 Lot3**, the tenderer is required to provide a number of CVs to demonstrate its capacity of providing these services. The proposed CVs must reflect the final team, delivering the services. In case the persons mentioned would not be able to provide the services (e.g. force majeure), replacement CVs must be approved by DG TAXUD.

The **ITSM2 Lot3** contractor has the responsibility to have a solid, stable and dedicated core team providing the continuous services. This team should cover a wide range of expertise (not necessary always as FTE): project management, contract management, quality management, integration office support, architecture expertise, security expertise, IT operations expertise, technology expertise. The core team is roughly estimated to be composed of **10 FTE's**.

The resources providing on demand support will be part of a pool of expertise. Typically, this type of expertise would cover various technology aspects, which do not necessarily require in-depth knowledge of the DG TAXUD environment. The on demand activities would be roughly estimated to be around **5 FTE's**.

The tenderer is requested to present its plan for knowledge management, team training and learning and to elaborate other measures it proposes to take to ensure service continuity.

In case of staff replacement, it should be noted that the tenderer is required to provide a thorough Hand-over, at no extra cost for the Commission. Typically this could be done by providing a **10 working day unpaid overlap** between the old and new resource.

Each staff member assigned by the **ITSM2 Lot3** contractor must sign a declaration of confidentiality and a compliance statement to the security rules in compliance with article III.2.2. of the General terms and conditions for IT contracts, annexe to the FC, article 4 of the Commission decision on protection of information systems [C (2006) 3602] and with article 23 of Regulation (EC) N° 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data.

Please refer to Section 9 – "Staff profiles" for details on the staff profiles.

5.2   Deliverables and services to be produced

Please refer to Section 7.4 – "List of Deliverables/Services" for the list of deliverables to be produced by **ITSM 2 Lot3**.

6 Services to be provided by the ITSM2 Lot3 contractor

The services of **ITSM2 Lot3** have been grouped into six logical blocks as described in the table below:

SERVICE BLOCK	SERVICES	DETAILS
1 **Project Management**	• **Governance:** o Task 1.1 - Governance and relationship management o Task 1.2 - Project reporting • **Contract management:** o Task 1.3 - Contract management • **Quality management:** o Task 1.4 - Internal Quality Assurance o Task 1.5 - Quality Control o Task 1.6 - Risk Management o Task 1.7 - Internal Audit and Self-Assessment o Task 1.8 - Cooperation during audits o Task 1.9 - Production of FQP and CQP o Task 1.10 - Maintenance of FQP and CQP	6.1
2 **Integration Advice**	o Task 2.1 - IT architecture office o Task 2.2 - Advice and support in business continuity o Task 2.3 - Deliverable reviews o Task 2.4 - Technology choice support for DG TAXUD	6.2

SERVICE BLOCK	SERVICES	DETAILS
3 **Integration Management Support**	o Task 3.1 - Support in integration management – Alignment o Task 3.2 - Organisation overview– Maintenance o Task 3.3 - Organisation communication and change management o Task 3.4 - Integration issue, action and scope management o Task 3.5 -Reviews – integration aspects o Task 3.6 - Support in risk management o Task 3.7 - Support in **ITSM2** planning o Task 3.8 - Coordination of actions, planning and progress o Task 3.9 - Support in **ITSM2** status tracking and management o Task 3.10 - Transition support for **Lot1**/**Lot2**	6.3
4 **Benchmarking and assessments**	o Task 4.1 – Benchmarking o Task 4.2 – Assessments	6.4
5 **Transition**	o Task 5.1 - Planning of the inception or hand-over services o Task 5.2 - Set up and maintenance of **ITSM2** **Lot3** contractor's resources o Task 5.3 - Phased inception of services o Task 5.4 - Phased hand-over of services	6.5
6 **Other deliverables and services**	o Task 6.1 - Training, Workshops and Demonstrations o Task 6.2 - Service improvement initiatives o Task 6.3 - Missions o Task 6.4 - Other ad hoc services and deliverables in the scope of **ITSM2** **Lot3**	6.6

Table 2: Overview of Service Blocks

The six service blocks are described in further detail below. Each section contains a description of the tasks followed by:

- SQI's – (cf. Section 8.9)

- Pricing structure [A3]

- Deliverables – (cf. Section 7)

- Volumetric (cf. Section 10).

6.1 Project management (Service Block 1)

6.1.1 Definition

The management tasks and services are considered to be continuous Services (FP[6]) except for Task 1.9 (which is a one-off) and can be divided into three areas:

- Governance:

    Task 1.1 - Governance and relationship management – (cf. Section 6.1.2.1.1)
    Task 1.2 - Project reporting – (cf. Section 6.1.2.1.2)

- Contract management:

    Task 1.3 - Contract management – (cf. Section 6.1.2.1.3)

- Quality management:

    Task 1.4 - Internal Quality Assurance – (cf. Section 6.1.2.1.4)
    Task 1.5 - Quality Control – (cf. Section 6.1.2.1.5)
    Task 1.6 - Risk Management – (cf. Section 6.1.2.1.6)
    Task 1.7 - Internal Audit and Self-Assessment – (cf. Section 6.1.2.1.7)
    Task 1.8 - Cooperation during audits – (cf. Section 6.1.2.1.8)
    Task 1.9[7] - Production of FQP and CQP – (cf. Section 6.1.2.1.9)
    Task 1.10 - Maintenance of FQP and CQP – (cf. Section 6.1.2.1.10)

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[6] Fixed price activities pricing table
[7] One-off activity

6.1.2 Service requirements

6.1.2.1 <u>Service descriptions</u>

The following section details the three main areas of Service Block 1. Further details on the estimated resource needs and service types can be found in Section 10 – "Volumetric".

6.1.2.1.1 <u>Task 1.1: Governance and relationship management – (Governance)</u>

The objective of this service is to monitor the progress and build a clear understanding of the IT needs of DG TAXUD. Much of the coordination activity between the **ITSM2 Lot3** contractor and DG TAXUD is performed through meetings[8], but e-mail and telephone will also be important communication tools. E-mail and telephone will support the ad hoc communication, while the formal decision points and coordination typically take place during meetings. The set of meetings listed below, combined with an agreed interaction model, form the basis for contract governance.

The following meetings will be held:

- Steering Committee meeting – Management meeting;

- Bilateral Monthly Meeting (BMM) – Management meeting;

- Ad hoc meetings.

The meetings above provide a vehicle for coordination, discussions and alignment. The alignment of the goals of **ITSM2 Lot3** and DG TAXUD integration efforts is crucial. The **ITSM2 Lot3** contractor will have a facilitator role, acting as a trusted partner for DG TAXUD.

In order to perform all its duties in the most efficient way possible, the **ITSM2 Lot3** contractor will need to have a clear view and understanding of the business needs and environment of DG TAXUD and of other contractors involved. The following pages provide the reader with a detailed description of the above-mentioned meetings.

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[8] Meetings are typically held in DG TAXUD premises in Brussels (currently Rue Joseph II 79, B-1000 Brussels) and/or at other contractor's premises in the immediate vicinity (i.e. a radius of 30 Km from DG TAXUD's premises). Meetings held at other locations will be subject to travel and subsistence provisions as laid down in § 5.1.1.

Meeting #1.   Steering Committee meeting – Management meeting
Quarterly meeting or by Mutual Agreement
TAXUD/R5 - Head of Unit   TAXUD/R5/ISD - Head of Sector   TAXUD/R5/ISD – Person responsible for major projects where the Steering Committee Meeting is linked to strategic project(s)   **ITSM2 Lot3** counterpart of the DG TAXUD function(s) above
R5/HoU
Estimated duration: 2-3 hours
ITSM2 Lot3 contractor

Table 3: Steering Committee meeting typographical representation

Scope:

Steering Committees are held (at the request of the **ITSM2 Lot3** contractor or DG TAXUD) between DG TAXUD **Head of Unit R5** and the **ITSM2 Lot3** contractor's top management (the **ITSM2 Lot3** contractor's representative(s) at director level). Steering Committee meetings are chaired by the DG TAXUD **Head of Unit R5**. Meetings will focus on the strategic aspects of contract and risk management.

The Committee discusses:

- High-level progress;

- Issues escalated from the BMM.

The frequency is typically every quarter for standard Steering Committees meetings but can be changed based on the criticality of the topics that need to be addressed (e.g. escalated issues, pain-points, critical activities, major risks).
Steering Committees will be organised for the general follow up of the activities, but can also be organised for strategic projects.

Input to be prepared by the ITSM2 Lot3 contractor:

- Agenda;

- Slides supporting the meeting;

- Minutes of the previous meeting;

- Actions list[9] (For actions tagged as "STEERCO");

- Risk Register[10] (For Risks tagged as "STEERCO").

Output to be prepared by the ITSM2 Lot3 contractor:

- Updated Actions list (With actions tagged as "STEERCO") - online as well as annexed to the Minutes of the meeting;

- Updated Risk Register (With risks tagged as "STEERCO");

- Minutes of meeting.

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[9] The **ITSM2 Lot3** contractor will maintain a list of actions that need to be followed, with their deadlines
[10] The **ITSM2 Lot3** contractor will maintain a Risk Register.

Meeting #2.   **Bilateral Monthly Meeting (BMM) – Management meeting**
Monthly meeting
TAXUD/R5/ISD - Head of Sector TAXUD/R5/ISD – **ITSM2 Lot3** Contract Manager **ITSM2 Lot3** counterpart of the DG TAXUD function(s) above[11]
ISD/HoS
Estimated duration: 2 hours up to 1/2 day up depending on the number of comments to be discussed linked to the MPR (Monthly Progress Report)
ITSM2 Lot3 contractor

Table 4: Bilateral Monthly Meeting typographical representation

Scope:

The BMM focuses on reviewing the progress made by the **ITSM2 Lot3** contractor during the previous month, discussing any problems and issues encountered during the reporting month and setting targets for the following month. BMM meetings are normally planned a few months in advance (for the SC covering the Continuous Services).
Participation in the BMM includes the following tasks:

- Preparation of the BMM agenda including the actions list and supporting slides to be delivered for information one working day in advance of the BMM;

- BMM Preparation, i.e. all the preparatory actions (e.g. listing recent issues or items to be discussed, …);

- BMM Participation;

- Discussion of progress achieved in the previous month;

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[11] As a rule, it is important that the parity in the number of participants on both sides be respected in order to hold efficient meetings.

- Make a decision on all comments issued by DG TAXUD the MPR submitted for review. Special attention to be paid to:

    - GQI correction by DG TAXUD allowed where the provided justification is deemed adequate;

    - Quantities correction by DG TAXUD is allowed where the provided justification is deemed adequate.

- Discussion of issues requiring clarification or further elaboration. Any other Business in accordance to Meeting Agenda;

- Discussion of issues escalated from other **ITSM2 Lot3** meetings − such as ad hoc meetings;

- Decision on further action. This will include the planning timetable for the next month with priority to problems encountered during the previous month and problems expected to arise during the forthcoming one;

- Review the "BMM-related actions list";

- Compilation of BMM minutes. This activity involves the production of minutes summarising all discussions, findings, decisions, risks (Project Risk Register) and actions (Project Actions List) decided during the BMM.

Input to be prepared by the ITSM2 Lot3 contractor:

- Agenda;

- Slides supporting the meeting;

- Minutes of previous meeting;

- **Full** Actions list;

- **Full** Risk Register;

- MPR.

Output to be prepared by the ITSM2 Lot3 contractor:

- Updated Actions list - annexed to the minutes of the meeting;

- Updated Risk Register;

- Minutes of meeting bundled with the MPR of the reporting period concerned.

Meeting #3. Ad hoc meeting
Ad hoc – on request of DG TAXUD
To be defined based on addressed topic
To be defined based on addressed topic
Estimated duration: 2-4 hours
ITSM2 Lot3 contractor

Table 5: Ad hoc meeting typographical representation

Scope:

Beyond the pre-defined meetings, ad hoc meetings may be organised if needed as requested by DG TAXUD. DG TAXUD will attempt to plan these meetings in advance in order to allow the **ITSM2 Lot3** contractor to prepare it.

This type of meeting does not replace any other meeting covered by Continuous Services, where **ITSM2 Lot3** has a role of taking minutes and following up actions, e.g. **ITSM2 Lot1** meetings, kick-off and exit meetings relating to testing/deployment activities …

Input to be prepared by the ITSM2 Lot3 contractor:

- Agenda;

- Previous minutes (if any);

- Any supporting material deemed necessary[12].

Output to be prepared by the ITSM2 Lot3 contractor:

- Updated Actions list (With actions tagged as "AD HOC") annexed to the Minutes of the meeting;

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[12] Any documented input that will be used during the meeting should be provided to the participants at least 24 hours before the meeting.

- Updated Risk Register (With risks tagged as " AD HOC");

- Minutes of meeting.

6.1.2.1.2 Task 1.2: Project reporting – (Governance)

On a monthly basis, the **ITSM2 Lot3** contractor provides DG TAXUD with a report on the contractual situation during month "m-1". This document, the Monthly Progress Report (MPR), covers:

- Status of RfAs;

- Progress made for each task;

- Any possible issue, problem and/or risk;

- A detailed summary of forecast plans for the next three months and, additionally, when the specific contract is valid for more than three months, a high level planning timetable until the end of the specific contract (SC).

A series of annexes should be included into the MPR, providing detailed information on topics, such as:

- Quality indicators;

- Deliverable Tracking Matrix (DTM);

- Risk register;

- Actions list.

The exact list of annexes will be agreed with DG TAXUD and documented in the FQP/CQP.

The minutes of the BMM meetings are also bundled with the MPR delivery.

6.1.2.1.3 Task 1.3: Contract management

A Framework Contract (FC) is executed via Specific Contracts (SC) covering mainly the following types of services:

- Continuous services – fixed price activities including management, integration advice (partly) and integration management support (except for transition support);

- On-demand activities – specific on demand activities to cover service provision for request, such as advice on technology selection, benchmarking, assessments and transition and other ad hoc services;

- In order to trigger the services, DG TAXUD issues a:

  - Request for offer (RfO) for specific contracts (SC);

  - Request for estimate (RfE) for request for actions (RfA).

The quotes must be expressed in unit prices (these can be fixed price, monthly fees or man-days depending on the service requested/to be delivered – see Section 11 with reference to the Annex III: Price Table of the Tendering specifications.

The **ITSM2 Lot3** contractor produces proposals on request of DG TAXUD following the steps as defined in TEMPO.

In addition, missions can be performed in the scope of this contract. These missions will have to be approved by DG TAXUD, as they require engaging specific budget defined in the Mission request.

6.1.2.1.4 Task 1.4: Internal Quality Assurance – (Quality management)

In the internal quality management activities, the **ITSM2 Lot3** contractor is welcome to use the methodologies and tools they have in place. Nevertheless, in order to ensure a smooth collaboration, the **ITSM2 Lot3** contractor should ensure adherence to DG TAXUD's quality assurance methodology, TEMPO. The TEMPO methodology embodies extensive knowledge; best practices and templates gathered and adhered to by DG TAXUD, which therefore requires the same behaviour of adherence from all contractors. The spirit of this Quality Management needs to be adhered to. However, where applicable, and if agreed upon, the existing templates may be simplified.

The FQP and CQP should be based on the TEMPO templates ("TEMPO Framework Quality Plan" and "TEMPO Contract Quality Plan").

The **ITSM2 Lot3** contractor will provide Quality Assurance (QA) of its activities ensuring that the FQP and CQP are adhered to and consistently applied across all activities.
The **ITSM2 Lot3** contractor will provide an Internal QA service, providing Quality Assurance on all activities (not limited to deliverables).

Certain improvement actions may be defined (through different channels) that will be recorded in the Service Improvement Initiative (cf. Section Section 6.6.2.1.2 – "Task 6.2: Service improvement initiatives"). It is a key task of the internal Quality Assurance that the actions and results are followed up. This follow-up is necessary to have a positive evolution of the effectiveness of the services provided by means of the execution of the actions.

6.1.2.1.5   Task 1.5: Quality Control – (Quality management)

The **ITSM2 Lot3** contractor will provide Quality Control (QC) of all deliverables and services prior to their delivery to DG TAXUD in order to ensure that all quality criteria are consistently complied with. This is achieved by performing internal reviews of all deliverables before they are sent to DG TAXUD or its representatives (The QA contractor), for review and final acceptance.

6.1.2.1.6   Task 1.6: Risk Management – (Quality management)

The **ITSM2 Lot3** contractor must carry out a comprehensive and traceable Risk Management in compliance with the techniques explained in the "TEMPO Risk management reference manual" and "Risk management technique".

The risk register will be annexed to the MPR and will be reviewed during the BMM and the Steering Committee Meeting.

6.1.2.1.7   Task 1.7: Internal quality audit and Self-Assessment – (Quality management)

The **ITSM2 Lot3** contractor appoints an internal quality auditor and performs Internal Quality Audits and a Self-assessment, at least once a year, covering all the service processes, in order to ensure that the established processes and procedures are adhered to.

Self-Assessment will be conducted by the **ITSM2 Lot3** contractor staff responsible for delivering the services. Internal Quality Audits are performed by the **ITSM2 Lot3** contractor's internal quality auditor, not by the team in charge of the contract delivery.
The **ITSM2 Lot3** contractor prepares and sends Audit Plans to DG TAXUD for information **before** performing internal quality audits.

The result of these activities and their related reporting is communicated to DG TAXUD.
Certain improvement actions will also be able to be distilled from the day-to-day application of the FQP and CQP.

The **ITSM2 Lot3** contractor must introduce the necessary plan for implementing the service improvements via the Service Improvement Initiative (cf. Section 6.6.2.1.2 – "Task 6.2: Service improvement initiatives"). This covers activities from identification through planning to the implementation of the corrective actions. The **ITSM2 Lot3** contractor must follow up the implementation of the prioritised actions agreed with DG TAXUD resulting from these quality audit and self-assessment processes. This is needed to guarantee the evolution of the effectiveness of the services provided by means of the execution of the actions.

6.1.2.1.8   Task 1.8: Cooperation during audits – (Quality management)

DG TAXUD reserves its right to conduct audits, on the **ITSM2 Lot3** contract, including, but not limited to, security audits, either directly or via DG TAXUD's internal audit services or indirectly through externally contracted services e.g. the QA contractor (generally once a

year) in order to audit the adherence of the processes and procedures towards the Framework Contract technical specifications, TEMPO and ISO 20000-2:2005 and ISO 27002:2005.

The **ITSM2 Lot3** contractor is required to facilitate this exercise by providing the external audit team with all necessary elements (interviews with personnel, documents, logs …) during the entire duration of the audit.

The audit report will be provided to the **ITSM2 Lot3** contractor; corrective actions will be jointly agreed during a meeting and will be followed-up via an action plan. Special attention must be paid to the follow-up of the corrective actions.

6.1.2.1.9 Task 1.9: Production of FQP and CQP – (Quality management)

6.1.2.1.9.1 *Production of the Framework Quality Plan (FQP)*

The **ITSM2 Lot3** contractor produces, delivers and maintains the Framework Quality Plan (FQP), ensuring that all activities in this Framework Contract (FC) comply with the Programme Quality Plans (PQP) of Customs, Taxation and Excise, valid at the time the FQP is drawn up.

The FQP will contain as a minimum:

- Task descriptions of the activities, using theses Technical Specifications as reference;

- A Deliverable Tracking Matrix (DTM);

- The internal processes of the **ITSM2 Lot3** contractor applicable to the contract, including team organisation and composition, Quality Assurance and Control procedures, the escalation process and rules;

- The contact details of all internal and external parties involved on the **ITSM2 Lot3** contractor and customer sides, along with their role and the communication processes describing all interfaces, channels of communication and the communications flow;

- The meta description of:

  - The Monthly Progress Report (MPR);

  - The internal procedures;

  - The internal procedures themselves; related to QA, QC and Internal Auditing, escalation in the first version of the FQP;

  - The approach to the **ITSM2 Lot3** service improvements in the execution of the contract;

  - The **ITSM2 Lot3** contractual Service Level Agreement (SLA), which defines service quality requirements, quality of services, quality targets, objective metrics to measure

performance achieved and the means to be used for monitoring all services to be provided during the execution of the FC. It includes the generic definition of the SQI's which will be commonly reused across all Specific Contracts (SCs). The generic SQI's can be instantiated in every CQP.

6.1.2.1.9.2 _Production of the Contract Quality Plan (CQP)_

The **ITSM2 Lot3** contractor will produce, deliver and maintain the CQP for each Specific Contract (SC) issued under the Framework Contract. This defines the specifics applicable for the SC. The CQP must be compliant with the FQP (cf. Section 6.1.2.1.9 – "Task 1.9: Production of FQP and CQP – (Quality management)").

The CQP will include at least the following:

- The detailed description of the activities;

- The Planning of the activities in PERT and GANTT presentations;

- The Deliverable Tracking Matrix (DTM) in the context of the SC;

- The structure of the Monthly Progress Reports (MPR);

- Any deviation from/addition to the FQP;

- Maintenance is regarded as part of the Continuous Services.

6.1.2.1.10 Task 1.10: Maintenance of FQP and CQP – (Quality management)

The FQP and the CQP will need periodic revisions to reflect the evolution of the project, contractual SLA(s) and changes in internal procedures (for which the Meta description has been provided or has to be added). The maintenance of the FQP and the CQP is, as a minimum, requested once per SC as part of the Continuous Services.

6.1.2.2 Pricing Units

Section 11 – "Pricing Model" contains the complete list of services provided by **ITSM2 Lot3**.

Price ID	Description
P.1.1 to P.1.8 & P.1.10	The following tasks in this Service Block are priced as Continuous Services: • Tasks 1.1 to 1.8 & 1.10;
P.1.9	Task 1.9 is priced as a One off price.

Table 6: Pricing Units: Service Block 1:Project Management

6.2 Integration Advice (Service Block 2)

6.2.1 Definition

The services under Service Block 2, Integration advice, can be listed as follows:

- Task 2.1 - IT architecture office – (cf. Section 6.2.2.1.1) – (**FP**)

- Task 2.2 - Advice and support in business continuity – (cf. Section 6.2.2.1.2) – (**FP**)

- Task 2.3 - Deliverable reviews – (cf. Section 6.2.2.1.3) – (**FP**)

- Task 2.4 - Technology choice support for DG TAXUD – (cf. Section 6.2.2.1.4) – (**OD[13]**)

6.2.2 Service requirements

6.2.2.1 Service descriptions

6.2.2.1.1 Task 2.1: IT architecture office

The IT architecture office will support DG TAXUD/R5 in coordinating and decision making on all aspects related to DG TAXUD's enterprise and IT architecture. Below are some tasks, which should be taken up by **ITSM2 Lot3**. Nevertheless, it should be noted that this list is not exhaustive and might evolve during the term of the contract.

The **ITSM2 Lot3** contractor will:

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[13] On-demand activities pricing model

- Contribute in the evolution of the new J2EE architecture framework of DG TAXUD applications;

- Define in collaboration with DG TAXUD the application architecture principles for DG TAXUD;

- Define in collaboration with DG TAXUD the deployment architecture (i.e. the technical architecture supporting the operational information systems);

- Support in architecture aspects related to CCN, such as security, identity and access management, cloud computing, integration broker, queuing, SOA, SOA governance...

- Support the building of the future CCN platform, referred to as **CCN2** that will most likely be based on off-the-shelf software, probably based on a standard market SOA/ESB platform and technology. The **ITSM2 Lot3** contractor should bear this in mind when defining the staff profiles and expertise associated to the project;

- Support the design of functional application and technology architecture at DG TAXUD, taking into account the current status, and building the new IT architecture overview together with DG TAXUD/R5;

- Define, support and optimise the business processes modelling and Enterprise Architecture initiatives with ARIS or equivalent tool support.

Toor achieve these goals, the **ITSM2 Lot3** contractor will be required to provide advice to DG TAXUD on any IT architecture or technology issue on the basis of not only the supplied staff's experience, but also of its own knowledge of the market best practices that is the foundation of the advice ultimately provided.

The tenderer is requested to detail the way that the knowledge base is fed and maintained up to date.

These requests for advice can cover topics such as:

- The requirements of the application;

- The requirements for purchase, update, upgrade or optimisation of infrastructure (e.g. upgrade to Oracle 11);

- The complete development lifecycle and all related processes and plans (IT continuity, capacity management…). Many of the items noted here need to be prepared by **ITSM2 Lot1**; **ITSM2 Lot3** may be asked to provide support or advice on the conception of these documents;

- The surrounding features such as authorisation and security;

- Any other feature that might serve as an enabler to operational excellence;

- The verification of all laid-out processes by the several available documents to pinpoint whether there are conflicts between the Lots: e.g. conflicting SLAs, OLAs, memoranda of understanding or terms of collaboration or alternatively, gaps in the coverage;

- The provision of advice on security, quality and management of the operations.

These requests for advice can be made for a new application as well as for applications already in production.

Moreover, since the **ITSM2 Lot3** contractor will be well aware of the existing and to-be IT architecture, their presence will be required at the Enterprise Architecture Board of DG TAXUD/R5. The **ITSM2 Lot3** contractor will attend the meetings and give clarifications or briefings (also to be made available on paper) on specific topics to be discussed during enterprise architecture board meetings. When needed a slide presentation may be requested.

As for taking minutes of the various meetings and activities, the **ITSM2 Lot3** contractor will ensure that all meetings are duly documented and related actions correctly followed up.
Further details can be found in the tasks and deliverables related to Section 6.3 – "Integration management support (Service Block 3)".

6.2.2.1.2   Task 2.2: Advice and support in business continuity

The **ITSM2 Lot3** contractor will assist in the coordination of business continuity activities from the DG TAXUD/R5 perspective. The **ITSM2 Lot3** contractor may also be asked to facilitate coordination on these aspects with DG DIGIT.

6.2.2.1.3   Task 2.3: Deliverable reviews

The **ITSM2 Lot3** contractor will participate in reviews of technical deliverables. This service is considered as a Continuous Service. However, it is to be performed on a selective set of documents (to be agreed with DG TAXUD) based on the available resources and the criticality of the subject matter. Please refer to Section 10 – "Volumetric" for more details.

6.2.2.1.4   Task 2.4: Technology choice support for DG TAXUD

The **ITSM2 Lot3** contractor will have an important role to play in supporting DG TAXUD in validation of technology choices and approaches. The **ITSM2 Lot3** contractor will provide an independent, second opinion when technology choices are being discussed. This requires that the **ITSM2 Lot3** contractor have access to, and possess up-to-date and practical technology knowledge on the topics of the IT architecture of DG TAXUD. This architecture is composed of CCN and the applications of DG TAXUD, which are detailed in the **ITSM2** call for tenders baseline documentation.

The **ITSM2 Lot3** contractor will be consulted in the evaluation of proposals from other ITSM2 Lots. The **ITSM2 Lot3** contractor should give advice on the sizing and technology choices and challenge the feasibility of the proposals received from **ITSM2 Lot1**.

Currently, it is estimated that DG TAXUD will receive between **10 and 20** requests of this kind per year.

6.2.2.2 Pricing Units

Section 11 – "Pricing Model" contains the complete list of services provided by **ITSM2 Lot3**.

Price ID	Description
P.2.1 to **P.2.3**	**Tasks 2.1 to 2.3** are covered by the Continuous Services:
P.2.4	**Task 2.4** is an On-demand service.

Table 7: Pricing Units: Service Block 2: Integration Advice

6.3 Integration management support (Service Block 3)

6.3.1 Definition

This Service Block includes the following services:

- Task 3.1 - Support in integration management – Alignment – (cf. Section 6.3.2.1.1) – (**FP**)

- Task 3.2 - Organisation overview– Maintenance – (cf. Section 6.3.2.1.2) – (**FP**)

- Task 3.3 - Organisation communication and change management – (cf. Section 6.3.2.1.3) – (**FP**)

- Task 3.4 - Integration issue, action and scope management – (cf. Section 6.3.2.1.4) – (**FP**)

- Task 3.5 -Reviews – integration aspects – (cf. Section 6.3.2.1.5) – (**FP**)

- Task 3.6 - Support to risk management – (cf. Section 6.3.2.1.6) – (**FP**)

- Task 3.7 - Support to **ITSM2** project / activity planning – (cf. Section 6.3.2.1.7) – (**FP**)

- Task 3.8 - Coordination of actions, planning and progress – (cf. Section 6.3.2.1.8) – (**FP**)

- Task 3.9 - Support in **ITSM2** status tracking and management – (cf. Section 6.3.2.1.9) – (**FP**)

- Task 3.10 - Transition support for **ITSM2 Lot1 and Lot2** – (cf. Section 6.3.2.1.10) – (**OD**)

6.3.2 Service requirements

6.3.2.1 <u>Service descriptions</u>

6.3.2.1.1 <u>Task 3.1: Support in integration management - Alignment</u>

The **ITSM2 Lot3** contractor will support DG TAXUD in the following alignment tasks through:

- Activity and policy integration by ensuring alignment between DG TAXUD's IT objectives, **ITSM2** activities and other IT activities contracted;

- Prioritisation of initiatives and projects to reflect the IT objectives and goals;

- Cross-team integration – integration and alignment between the different Lots of **ITSM2** and other DG TAXUD contractors;

- Process and common activity – ensuring alignment between processes, activities and changes.

6.3.2.1.2 Task 3.2: Organisation overview – Maintenance

The **ITSM2 Lot3** contractor will keep an up-to-date view of the organisations involved in **ITSM2** delivery so that it is possible to identify at all times the right contact persons in the various organisation involved, to identify the roles and responsibilities and correct decision making points, and furthermore to maintain up a dependency matrix, allowing the stakeholders to easily see which changes or decisions would impact which stakeholders.

Some of the obvious tasks are listed below:

- Keeping an up-to-date view of: organisation structure, roles & responsibilities within organisations involved in **ITSM2** delivery (taking into account the FQP and CQPs of the other contractors within **ITSM2**);

- Dependency Tracking – maintaining an up-to-date dependency matrix of all activities within the project that are somehow linked together (e.g. check if the dependencies for the SAT testing cycle to start are all present and fulfilled);

- Sending alerts in case of gaps or conflicts.

6.3.2.1.3 Task 3.3: Organisation communication and change management

The **ITSM2 Lot3** contractor will support DG TAXUD in communication and change management.

Typical tasks are listed below:

- Support in **ITSM2** Internal communication (between different Lots and DG TAXUD);

- Support external stakeholder communication (other contractors (x-DEV and QA), other DG TAXUD units);

- Create a sense of belonging to a community for all parties involved by means of a "community of practice". **ITSM2 Lot3** may possibly be asked to create (or help create together with **ITSM2 Lot1**) this platform. This can be done via existing tools or by tools brought on by the different lots. Also the making of a newsletter (if so requested) for different audiences (other lots within **ITSM2**, DG TAXUD, x-DEV, QAC) will be part of the actions to create this sense of belonging to a community;

- Maintenance of the information on the above-mentioned platform;

- Support in change management related communication, coordination and follow-up;

- Facilitate expectations management by communicating and ensuring awareness of changes;

- Support in business process impact analysis (changes to processes due to changes in the environment);

- Provide regular awareness sessions on topics, such as issue management, risk management and mitigation, best practices. The **ITSM2 Lot3** contractor will also support provision of the necessary reporting templates, processes and schedules.

The reporting on this service is to be done in the MPR.

6.3.2.1.4   Task 3.4: Integration issue, action and scope management

The **ITSM2 Lot3** contractor will have a key role in supporting DG TAXUD in integration issue and scope management.

Actions follow-up will be one of the core activities of the **ITSM2 Lot3** contractor. These actions can result from any activity undertaken by **ITSM2 Lot3** (thus not only limited to the follow-up of actions resulting from a meeting).

The list of possible tasks below is not exhaustive:

- List actions and follow-up;

- Issue tracking and support in management;

- Provide advice and support on scope management;

- Help in issue/scope escalation/resolution.

6.3.2.1.5   Task 3.5: Reviews – Integration aspects

The **ITSM2 Lot3** contractor will be asked to review deliverables from other stakeholders in the **ITSM2** programme from an integration perspective.

This task focuses on the integration aspects of the deliverables like planning and management of activities being reported and aligned.

Examples regarding reporting of planning and management activities are the DTMs and planning delivered by other contractors, these can be cross-checked against each other and if needed can lead to updates in the dependency matrix or the outcome may serve as input for Section 6.3.2.1.7 – "Task 3.7: Support to ITSM2 Project / activity planning" in which the **ITSM2 Lot3** contractor provides support for the **ITSM2** programme planning.

6.3.2.1.6 Task 3.6: Support to risk management

The **ITSM2 Lot3** contractor will be requested to provide regular support at **ITSM2** programme level with risk assessment (planning, architecture, technology, etc.). The **ITSM2 Lot3** contractor will have to identify possible risks, support the identification of mitigation strategies, follow up the resulting actions and if needed, raise alerts and propose corrective actions. It might well be that the above-described duties are resulting from any of the actions performed under Section 6.3.2.1.4 – "Task 3.4: Integration issue, action and scope management".

The following three tasks (3.7 – 3.9) relate closely to each other.

6.3.2.1.7 Task 3.7: Support to ITSM2 Project / activity planning

This task involves maintaining the overview of the planning files of various stakeholders. This is a high level planning overview, indicating the major milestones, dependencies and the critical path between the stakeholders.

In this task, the **ITSM2 Lot3** contractor will provide assistance to the DG TAXUD/R5 in:

- Maintaining **ITSM2** Programme-level work planning;

- Maintaining an overview of the dependencies in planning between the various stakeholders;

- Identifying the critical path amongst the stakeholders;

- Identifying high-level resource requirements;

- Providing alerts on risks/issues identified or reminders of milestones approaching.

6.3.2.1.8 Task 3.8: Coordination of actions, planning and progress

This task involves coordinating the planning described above, and when dependencies between the stakeholders are identified, following-up and coordinating the activities to ensure that all stakeholders are aware of the planning and its impact on other stakeholders.

The **ITSM2 Lot3** contractor will:

- Contact the stakeholders;

- Ensure awareness of the planning and impact of the actions;

- Ensure awareness of the critical path;

- Alert the stakeholders if this critical path is in danger;

- Ensure, via reminders and contacts that the actions are being taken and that progress can be achieved.

The progress on this task will be reported in the MPR.

6.3.2.1.9 Task 3.9: Support in ITSM2 Programme status tracking and management

Following the activities described above, the **ITSM2 Lot3** contractor will report on the status and assess the progress.

The **ITSM2 Lot3** contractor will keep an overview of the status and progress of the **ITSM2** programme (comprising **Lot1**, **Lot2** and **Lot3**). The following (non-exhaustive) list of activities could be seen as a part of this task:

- Work progress and status – review and analysis of the delivery focus and challenge;

- Deliverables/milestone tracking;

- Take corrective actions or formulate recommendations when identified risks or issues need to be reported to DG TAXUD.

6.3.2.1.10 Task 3.10: Transition support for ITSM2 Lot1 and Lot2

The **ITSM2 Lot3** contractor will have clearly defined support activity during the take-over and hand-over periods (start of **ITSM2 Lot1** and **Lot2**). This activity is an item that has to be initiated by DG TAXUD and is therefore considered as an on-demand service. The initiation of the request will follow the normal RfE/RfA process.

Some of the relevant activities would be:

- Take minutes of the take-over/hand-over meetings and update actions lists accordingly;

- Assess together with DG TAXUD take-over/hand-over risks and possible problem points;

- Follow-up of the progress of the hand-over plans, checking that acceptance criteria are met and major deviations escalated;

- Provide stakeholders with a training on transition-related topics;

- Perform verification and validation of the hand-over material (checks for correctness, completeness, applicability,... of the hand-over package, the trainings, the plans,...) and produce an Assessment report;

- Identify common interests and action points between the different stakeholders.

6.3.2.2 Pricing Units

Section 11 – "Pricing Model" contains the complete list of services provided by **ITSM2 Lot3**.

Description
Tasks 3.1 – 3.9 are covered by the Continuous Services: **Task 3.10** is an On-demand service.

Table 8: Pricing Units: Service Block 3: Integration management support

6.4 Benchmarking and Assessments (Service Block 4)

6.4.1 Definition

This Service Block includes the following tasks:
- Task 4.1 – Benchmarking – (cf. Section 6.4.2.1.1) – (**OD**)
- Task 4.2 – Assessments – (cf. Section 6.4.2.1.2) – (**OD**)

6.4.2 Service requirements

6.4.2.1 <u>Service descriptions</u>

6.4.2.1.1 <u>Task 4.1: Benchmarking</u>

The benchmarking exercises can be launched in order to obtain usable answers to several concerns, such as but not limited to:

- Is DG TAXUD paying a fair price for the received quality of the supplies and/or the services during the term of the contract?

- Does the price paid correspond to the evolution of market prices for similar supplies or services?

- Is DG TAXUD receiving the best possible quality of supplies or services at a given price?

- Can DG TAXUD get the same supplies or services for less, or better supplies or services for the same price or less?

- Is the **ITSM2 Lot1** contractor performing the various IT services according to the market IT best practices (technical and organisational) and professional standards?

Benchmarking is seen as a structured comparative analytical process that delivers reliable and independent information on the services that DG TAXUD receives from **ITSM2 Lot1** in terms of costs (see full listing and description of those services in "**ITSM2 Lot1** Scope of Activities", [A1]). However, DG TAXUD may also request a benchmark on the quality of service delivered if it deems this necessary.

The purpose of the benchmarking activities in this call for tenders is to help DG TAXUD to identify opportunities to improve the **ITSM2** service provision by comparing the performance cost of the **ITSM2 Lot1** contractor with other similar service providers on the market.

It is required that the **ITSM2 Lot3** contractor maintains a database of research data that is relevant to the areas of action of **ITSM2**.

The benchmarking must have a consistent approach, methodology and taxonomy.

It is expected to follow the steps described below:

1. **Planning and kick-off:** definition of objectives, set-up of benchmarking project, establishment of the timeline and preparation of the materials, set up data collection questionnaire…
2. **Data collection:** collect data, conduct stakeholder interviews, submit data;
3. **Data analysis:** validate data, generate performance comparisons, confirm gaps with DG TAXUD, draft report;
4. **Executive presentation:** present results to stakeholders, review recommendations, provide conclusions, discuss next steps and provide final report.

The approach presented above gives **an example** of a benchmarking approach.

The tenderer is requested to present its own approach/methodology, or improve the above as necessary.

Any actions resulting from the benchmarking exercise will be followed-up by the process initiated under Section 6.3.2.1.4 – "Task 3.4: Integration issue, action and scope management".

6.4.2.1.2 Task 4.2: Assessments

Assessments typically take place at the request of DG TAXUD on a specific topic that requires extra attention or assessment. This could be in relation to (non-exhaustive list):
- upcoming changes,
- service provision maturity,
- provision of a "second opinion" on a matter,
- assessment towards a certain methodology,
- assessment of purchase prices/offers linked to infrastructure/services provided by the **ITSM2 Lot1** contractor.

Figure 8 below illustrates a possible process for assessments.
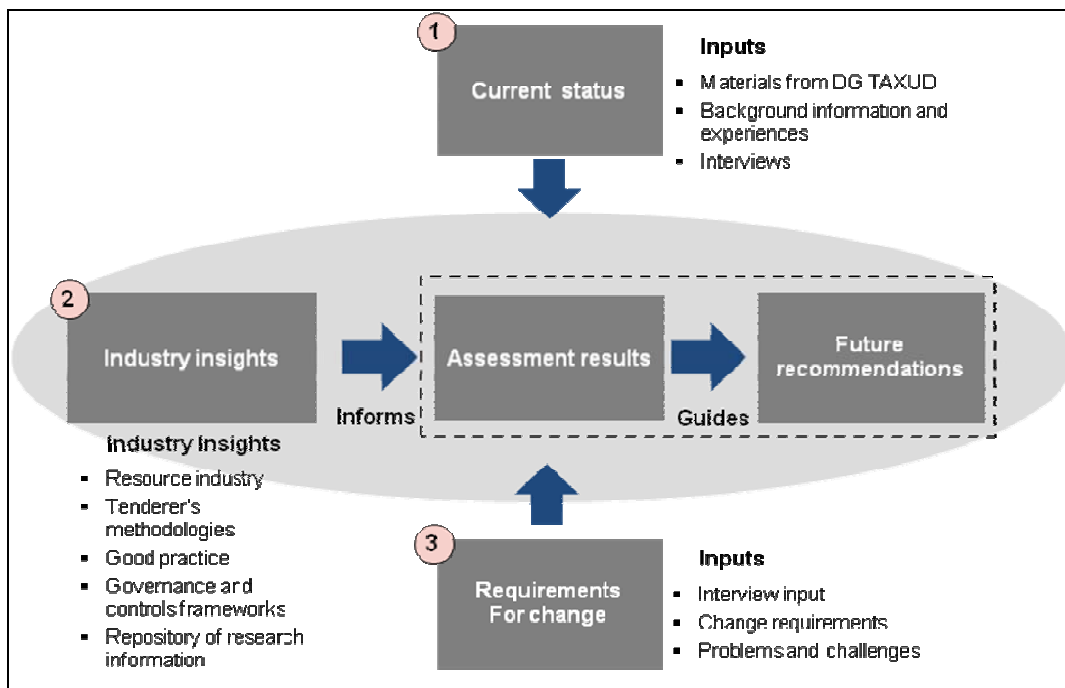
Figure 8: Assessment process

The starting point **(1)** will be the current situation, based on material and background information received from DG TAXUD and from possible other sources. As a second step **(2)** the **ITSM2 Lot3** contractor should take into account relevant methodologies, best practice and experience, and then **(3)** collect requirements for change and challenges to identify the desired future stage.

By comparing the current status, with the desired future stage and supporting this with **ITSM2 Lot3** contractor's methodologies and approaches, the assessment results can be formulated and improvement action identified.

An assessment could be supported by various tools, checklists, best practice and/or assessment methodologies.

Tenderers are encouraged to suggest their own approaches and methodologies to conduct assessments.

In the context of **ITSM2,** the assessment requested from the **ITSM2 Lot3** contractor could typically cover topics such as: IT service maturity, provision, improvements, and impact and implementation of service improvements. In principle, an assessment could cover any of the services provided by **ITSM2 Lot1** or **Lot2** or integration aspects between various lots of **ITSM2**.

Any actions that result from the assessments exercise will be followed-up by the process initiated under Section 6.3.2.1.4 – "Task 3.4: Integration issue, action and scope management".

6.4.2.2 Pricing Units

Section 11 – "Pricing Model" contains the complete list of services provided by **ITSM2 Lot3**.

Price ID	Description
P.4.1. **P.4.2.**	All services are priced as on-demand services.

Table 9: Pricing Units: Service Block 4: Benchmarking and Assessments

6.5 Transition (Service Block 5)

6.5.1 Definition

This Service Block comprises the following services:

- Task 5.1 - Planning of the inception and hand-over services – (cf. Section 6.5.2.1.1)

- Task 5.2 - Set up and maintenance of **ITSM2 Lot3** contractor's resources – (cf. Section 6.5.2.1.2)

- Task 5.3 - Phased inception of services – (cf. Section 6.5.2.1.3)

- Task 5.4 - Phased hand-over of services – (cf. Section 6.5.2.1.4)

6.5.2 Service requirements

The services described below do not differ in essence from what is described in the TEMPO hand-over take-over activities.

It has to be noted that the term "inception" is used in this section. Normally this section would cover the hand-over and take-over activities from one contractor to another. However, in this particular case, the services described within this document are currently **not** performed by any contractor. The service delivery needs to be created hence the phrasing "inception" and not "take-over".

All deliverables, outputs and value created (or taken over) directly and indirectly by the **ITSM2 Lot3** contractor - including all assets purchased through the **ITSM2 Lot3** contractor – which is related to the services in the scope of the respective Framework Contract - remain/become property of the European Commission.

6.5.2.1 <u>Service descriptions</u>

6.5.2.1.1 <u>Task 5.1: Planning of inception and Hand-over</u>

6.5.2.1.1.1 <u>*Planning of the Inception*</u>

The inception activities need to be planned and agreed upon with DG TAXUD. The inception is the setting up of the new services; in this case, from DG TAXUD to the **ITSM2 Lot3** contractor.

The **ITSM2 Lot3** contractor will have to propose the detailed Inception Plan in the relevant SC, which will be refined in terms of resources, schedule, deliverables and acceptance.

An Inception Plan must cover at least the following items:

- The scope of the activities to be set up, including the list of the different stakeholders involved;

- The planning of the inception;

- The tests and criteria to use to carry out the inception and set-up the FAT.

6.5.2.1.1.2 *Planning of the Hand-over*

The hand-over period represents the period, during the contract, when the ITSM2 Lot3 contractor is required to transfer the project information and knowledge to DG TAXUD or to any specified third parties on its behalf. It is considered that this period should last between **3 to 6** months.

During the hand-over period, the **ITSM2 Lot3** contractor will make available the totality of the knowledge acquired during the contract to DG TAXUD or to any specified third parties on its behalf. He will hand over **all** the tools, documentation, deliverables, scripts, and other internal procedures, tools and packages, and provide appropriate training and coaching to allow the new supplier to take-over whilst assuring continuity.

The hand-over process includes the following phases:

- **Planning:** to set-up the list of all activities, resources, deliverables and milestones required to perform successfully the hand-over to DG TAXUD or to any specified third parties on its behalf;

- **Preparation:** to identify, collect and store all deliverables required to allow a smooth and complete transfer of knowledge from the ITSM2 Lot3 contractor to DG TAXUD or to any specified third parties on its behalf; to prepare, when required, the training sessions for the project team of the next service provider;

- **Implementation:** to perform effectively the transfer of project knowledge (using planned training and ad-hoc technical meetings) and deliverables (documents, software, hardware) from the ITSM2 Lot3 contractor to DG TAXUD or to any specified third parties on its behalf;

- **Follow-up:** to provide "help" to DG TAXUD or to any specified third parties on its behalf during the hand-over process. All the support activities related to the transfer of knowledge (ad-hoc technical meetings) from the ITSM2 Lot3 contractor to DG TAXUD or to any specified third parties on its behalf must be included. The ITSM2 Lot3 contractor **may not** ask DG TAXUD or any specified third parties on its behalf to pay (within a bi-lateral contract) for the support during the hand-over phase due to the fact, among others, that intellectual property generated during the current Framework Contract belongs to the Commission.

⚠ Failure to pass on the information and knowledge to the new contractor or DG TAXUD will result in non-payment of the continuous services of the incumbent contractor during the hand-over period.

6.5.2.1.2 Task 5.2: Set-up and maintenance of ITSM2 Lot3 contractor's resources

The new team must demonstrate that it has the minimum skills, experience and expertise that are necessary to carry out the requested services and activities, and produce the required deliverables in a professional way.

Among others, the team must demonstrate capabilities to:

- Manage international and multi-partner projects;

- Demonstrate technical expertise and experience in the core activities of the **ITSM2 Lot3** contractor;

- Possess a mindset that is goal and quality oriented.

⚠ The selected team is required to be dedicated (for a full 100%) to the activity or to be available up to the degree that was foreseen in the call for tenders.

6.5.2.1.2.1 *Train and support the team*

The **ITSM2 Lot3** contractor is responsible for providing staff with the adequate level of qualification and therefore for their training. The **ITSM2 Lot3** contractor must ensure that its staff is fully aware of, its own quality system, the TEMPO Quality Methodology, the project security requirements as well as the project goals, context, planning and policy impact.

Some examples of induction trainings that the **ITSM2 Lot3** contractor could attend are:

- DG TAXUD organisation and stakeholders;

- **ITSM2 Lot1** activities;

- **ITSM2 Lot2** activities;

- **Lot QA** activities;

- Methodologies and tools.

6.5.2.1.2.2 *Set up and maintain the office infrastructure and the necessary telecom resources*

The **ITSM2 Lot3** contractor must foresee the setting up of the necessary office infrastructure: PC's including office automation tools, printers, printer and e-mail-servers, all modern connectivity facilities (internet, e-mail, phone, and fax).

Access to the office infrastructure must be restricted to pre-defined authorised persons (**ITSM2 Lot3** contractor's team members, DG TAXUD's representatives and occasional accompanied visitors, such as representatives of the other contractors involved).

6.5.2.1.3 Task 5.3: Inception of services

The **ITSM2 Lot3** contractor will define the **ITSM2 Lot3** activities in collaboration with DG TAXUD (and possibly to some extent with other contractors). It is expected that the inception period will last at least **3 months.**

The inception period will start as soon as the related Specific Contract has been signed and will end by the acceptance of the FQP, the CQP and the Inception Report.

The key objectives are to:

- Achieve a thorough integration of the **ITSM2 Lot3** contractor's team and the involved DG TAXUD representatives;

- Define clearly the new services to be developed and provided and formalise the support requested for the different activities;

- Be ready to perform all the services (with the required level of service support);

- Ensure that proper coordination and collaboration procedures are put into place with the other project stakeholders (e.g. other contractors, Commission's internal services);

- If needed, organise meetings to meet the key actors and confirm the coordination processes;

- Ensure a thorough induction of the team working on this assignment. The induction includes, among other things, the assessment and transfer of knowledge, material and information. Induction activities should contribute to optimise the quality framework of the contract.

The **ITSM2 Lot3** contractor is responsible for taking all the steps required to achieve a rapid inception and a seamless start of activities in order to meet the planning requirements of DG TAXUD. As the take-over period of **ITSM2 Lot1** and **ITSM2 Lot2** and the inception period of **ITSM2 Lot3** may overlap, it is critical that all parties do their utmost to provide an operational and optimal service as planned.

The **ITSM2 Lot3** contractor will be responsible for:

- Acquiring the necessary understanding and knowledge to perform the assignment, including the induction of the teams;

- Proceeding with the inception according to the agreed plan;

- Running the Inception Plan and to produce an Inception Report during the activities and submit a final version at the end of each of the inception period.

During the inception period, DG TAXUD will provide the **ITSM2 Lot3** contractor with the following:

- Access to all relevant baseline documentation and deliverables. This concerns items that can also be found referred to in the "Scope of Activities of **Lot1** document", [A1] but also other items that are currently used on a day to day basis by DG TAXUD and that will serve as an input for the activities described within this document;

- Whenever deemed necessary by DG TAXUD, invitations to participate in Working Committee meetings and technical meetings with other contractors involved;

- The possibility to attend meetings or training sessions with the relevant representatives of DG TAXUD and/or other contractors to ensure understanding of the operating environment, to address inception questions, with a pre-defined maximum number of persons attending from the **ITSM2 Lot3** contractor's side.

6.5.2.1.4 Task 5.4: Hand-over at the end of the contractual period

At the end of the contractual period, the **ITSM2 Lot3** contractor will hand over to DG TAXUD, or any specified third parties on its behalf, in accordance with instructions to be given by DG TAXUD, the totality of the **ITSM2 Lot3** services, the totality of the live and historical data and information detailing the services provided, the up to date version of any tools (if any) developed/maintained by the **ITSM2 Lot3** contractor, free of any rights, unless otherwise agreed by DG TAXUD.

The **ITSM2 Lot3** contractor will take all steps required to hand over part or all of his activities to the Commission or to a third party at the end of the **ITSM2 Lot3** contractor's framework contract, or earlier on upon request from the Commission.

6.5.2.1.4.1 Hand-over of all artefacts

The **ITSM2 Lot3** contractor will hand over to the Commission, or any third parties on its behalf, upon completion of the contract, all reports and data such as maps, diagrams, drawings, specifications, plans, statistics, calculations, databases, software and supporting records or materials acquired, compiled or prepared by the **ITSM2 Lot3** contractor.

6.5.2.1.4.2 Training and support during hand-over

The **ITSM2 Lot3** contractor must provide training and support to a third party, if necessary, taking over the service. This includes support to the "shadowing" of the **ITSM2 Lot3** contractor's activities by the third party. The shadowing and trainings will be provided on request, and if so requested, for duration of **3 months**.

Examples of training that the **ITSM2 Lot3** contractor may be requested to give are:

- DG TAXUD organisation and stakeholders;

- **ITSM2 Lot3** activities;

- Methodologies and tools.

6.5.2.1.4.3 *Production of the hand-over report*

The **ITSM2 Lot3** contractor has to provide a hand-over report to the Commission for review, and acceptance at the end of the hand-over activity.

6.5.2.2 **Pricing Units**

Section 11 – "Pricing Model" contains the complete list of services provided by **ITSM2 Lot3**

Price ID	Description
P.5.1. to P.5.4	All services are priced as one-off prices.

Table 10: Pricing Units: Service Block 5: Transition

6.6   Other deliverables and services (Service Block 6)

6.6.1 Definition

The services covered under this section are:

- Task 6.1 - Trainings, Workshops and Demonstrations – (cf. Section 6.6.2.1.1) – (**FP**)

- Task 6.2 - Service improvement initiatives – (cf. Section 6.6.2.1.2) – (**OD**)

- Task 6.3 – Missions – (cf. Section 6.6.2.1.3) – (**FP**)

- Task 6.4 - Other ad hoc services and deliverables in the scope of **ITSM2 Lot3** – (cf. Section 6.6.2.1.4) – (**OD**)

6.6.2 Service requirements

6.6.2.1   Service descriptions

6.6.2.1.1 Task 6.1: Trainings, Workshops and Demonstrations

The **ITSM2 Lot3** contractor will provide training/workshops on request from DG TAXUD. DG TAXUD may request the training/workshops to be held in **English or French**.
The training and workshops could be attended by **up to 20 participants**/per session designated by DG TAXUD.

The training sessions would be related to coordination and collaboration between the stakeholders of the **ITSM2** contracts. They could cover topics such as processes, issues and changes related to the integrator role. Typically, they will be topics that involve multiple stakeholders and that fall under the scope of **ITSM2 Lot3** activities and expertise.

The **ITSM2 Lot3** contractor will prepare, coordinate and provide training sessions in accordance with the Contract Quality Plan. The training sessions will be held either at the Commission premises or at the **ITSM2 Lot3** contractor's premises. An average of **2 days per training** session is foreseen.

The **ITSM2 Lot3** contractor will provide:

- Training in English or French;

- Training material (e.g. training notes, evaluation forms) to be distributed to all participants;

- Training Evaluation Reports including the original evaluation forms filled in by the participants in the training session;

- The **ITSM2 Lot3** contractor will also prepare the agenda/briefing for the training/workshop and confirm items presented or discussed in the workshop with DG TAXUD.

Demonstrations are assumed to be live visualisations and exhibitions of methodologies, tools or applications. All actions and deliverables applicable for a training or workshop are also applicable to demonstrations with the necessary adaptations. For example, the questions in the evaluation form have to reflect the aim of the demonstration.

6.6.2.1.2 Task 6.2: Service improvement initiatives

The **ITSM2 Lot3** contractor should drive initiatives and actions to improve the collaboration and coordination between the various stakeholders. The **ITSM2 Lot3** contractor will be expected to suggest improvement projects to DG TAXUD, which in turn authorises these actions. The **ITSM2 Lot3** contractor should be targeting the ideal "operating model" in the **ITSM2** environment.

6.6.2.1.3 Task 6.3: Missions

The **ITSM2 Lot3** contractor may be requested by DG TAXUD to participate in missions in order to coordinate and collect information related to the activities of the other stakeholders of the **ITSM2** contracts.

It covers:

- Preparation of agenda, briefing;

- Preparation of mission material;

When the mission is completed, the **ITSM2 Lot3** contractor is requested to deliver the mission report to DG TAXUD.

Travel and subsistence expenditure other than meetings at Commission premises and/or TAXUD contractors in the Brussels region will be subject to reimbursement according to the rules specified in the Annex to the Framework Contract. The Commission will allocate a budget provision to cover the Travel & Subsistence costs related to the meetings and missions mentioned in Section 5.1.1.

6.6.2.1.4 Task 6.4: Other ad hoc services and deliverables in the scope of ITSM2 Lot3

This Service Block relates to any activities in the scope of the **ITSM2 Lot3** contract not specified elsewhere.

These activities will be defined and ordered on a case-by-case basis via the SC and RfA procedure initiated by DG TAXUD.

6.6.2.2 Pricing Units

Section 11 – "Pricing Model" contains the complete list of services provided by **ITSM2 Lot3**.

Price ID	Description
P.6.1. to P.6.4	These tasks are On demand services

Table 11: Pricing Units: Service Block 6: Other deliverables and services

7   Deliverables and services

7.1   Classification of the impact of a late delivery

The deliverables and services are classified on the impact that the late SfR or SfA delivery has on the project and its participants and possible stakeholders. There are 4 categories that are applicable: **Major**, **High**, **Medium**, and **Low**.

The Commission may request other parties involved in the business threads (BT) (like the operations contractor, the QA contractor) to review deliverables submitted by the **ITSM2 Lot3** contractor. The comments from the Commission will include the comments of these third parties. If comments are delivered in various batches, the date of the last batch of comments is considered as the start of the T2 period.

Furthermore, DG TAXUD reserves the right to mutually agree (and record in the DTM) with the **ITSM2 Lot3** contractor a review cycle different from the one originally agreed upon in the Specific Contract.

The delivery to DG TAXUD is measured by a SQI. The late delivery impact is classified, by DG TAXUD, as one of the following values:

- Major;

- High;

- Medium;

- Low.

The default classification is "Medium".

The following sections provide a list of the deliverables to be provided for each Service Block. The deliverables are qualified by their planning, acceptance mechanism and the impact of their late delivery (SQI).

7.2   Planning Mechanism

The planning information will relate:

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

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

The planning of the services and activities will be agreed in the Specific Contract, in compliance with this technical annex, using the following mechanisms, **in order of decreasing precedence**:

- In the SC, with a planning schedule specified in reference to T0, the starting date of the activity of the SC, and/or possibly to other internal/external dependencies. When applicable, the planning specifies for a deliverable if the date is for submission for review or for acceptance;

- In an RfA within an SC;

- In the CQP;

- In the CSIP;

- Mutual agreement (Mutual agreement) between the DG TAXUD and the **ITSM2 Lot3** contractor during the course of the SC, each planning agreement being recorded in the MPR of the month when the agreement took place;

- Up to the **ITSM2 Lot3** contractor to take the initiative to provide the deliverable/service whenever an external event triggers the need for it (usually call/action driven).

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

All the agreed planned dates, foreseen date and actual date of delivery are reported in the monthly progress report.

7.3   Acceptance mechanism

7.3.1 Acceptance of deliverables

The acceptance procedures applicable to the deliverables and services are specified hereafter. The Quality plans (FQP and CQP) may specify further the acceptance process details of the deliverables but in case of conflict between these documents, the Specific Contract and these Technical Specifications, the following decreasing precedence will prevail: SC, Technical Specifications, CQP, and FQP.

No formal acceptance applies for deliverables for which neither these Technical Specifications nor the SC define an acceptance procedure.

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

T1 period:

- The **ITSM2 Lot3** contractor Submits for Review (SfR) its deliverable to the Commission, and any nominated party[14], at the agreed date, starting T1;

- The Commission reviews the SfR deliverable and returns its comments to the **ITSM2 Lot3** contractor at the end of T1;

- The Commission reserves its right to reject the review in case the deliverable SfR is not fit for review, ending T1;

 T2 period:

- T2 starts with the reception by the **ITSM2 Lot3** contractor of the review comments from the Commission[15];

- The **ITSM2 Lot3** contractor submits his author positions for each of the comments submitted by the Commission;

- The Commission may call a review meeting with the **ITSM2 Lot3** contractor to resolve outstanding review issues;

- The review meeting decisions are submitted by:

  - The **ITSM2 Lot3** contractor in case of minor or medium size review;

  - The Commission (or any other third party designated by it, such as the QA contractor) in case of major size review.

- The **ITSM2 Lot3** contractor Submits for Acceptance (SfA) his deliverable before the end of the T2 period, closing temporarily the T2 period, the final closure of T2 being subject to the approval of the deliverable (the time stamp of the delivery of the accepted version constitutes the final closure of T2).

T3 period:

- T3 starts with the reception of the SfA deliverable by the Commission;

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[14] The Commission may use the support of the QA contractor for the management of the review cycles of submitted deliverables.

[15] The Commission may request other parties involved in the business threads (like the development contractors, the QA contractor) to review deliverables submitted by the **ITSM2 Lot3** contractor. The comments from the Commission will include the comments of these third parties.

- The Commission will then verify the SfA deliverable and inform the **ITSM2 Lot3** contractor of any deviation of the SfA deliverable from the author positions and meeting decisions, within a pre-agreed period T3;

- In case of deviation, the T2 period is re-opened, up to the time that the **ITSM2 Lot3** contractor submits the version of the deliverable that the Commission will accept.

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

The FQP defines some of those pre-agreed periods (review cycles), while the CQP and the Requests for Action will define additional periods if required and will set the pre-agreed dates for delivery.

The Commission draws the attention of the **ITSM2 Lot3** contractor to the fact that the T1/T2/T3 review cycle is tightly related to the contractual planning. Indeed, a contractual date qualified for acceptance implies that the T1/T2 part of the cycle must be completed for the deliverable by that date, while a date qualified for review implies that the T1/T2/T3 cycle for the deliverable starts at that date.

7.3.1.1 <u>Individual acceptance</u>

The deliverables marked for Individual Acceptance (IA) in the SC or RfA will be subject to an individual acceptance letter by the Commission.

7.3.1.2 <u>Deliverables accepted via the Monthly progress report</u>

The deliverables specified with an acceptance mechanism MPR ("to be accepted via the Monthly Progress Report") are formally accepted through the formal acceptance of the MPR in which they are proposed for acceptance. The MPR should contain a list of all deliverables presented for acceptance through it.

7.3.2 Services

The definition and the targets for the Quality of Services are set in the contractual documents, in the FQP/CQP and/or in the contractual OLA (Framework Contract, Specific Contract, RfA), which itself may refer to other applicable SLAs/OLAs.

The Monthly Service Report must report the actual QoS of all the provided services and justify any deviation from target. The SQI is compiled from the target and actual QoS to quantify the deviation of reality from target and is also recorded in the Monthly Service Report.

The correctness of the reported QoS and SQI is accepted by the acceptance of the Monthly Service Report.

Note that it is the factual correctness (alias integrity) of the reported QoS and associated SQI, which are subject to acceptance via the MSR and not the service itself. The accepted QoS and SQI become then the indisputable bases for computing the Liquidated Damages where applicable.

7.3.3 Monthly Progress report (MPR) and the Bilateral Monthly Meeting (BMM) minutes

The Commission will formally accept on a monthly basis the bundle made of the MPR, which includes the various Monthly Service Reports and the minutes of the Bilateral Monthly Meeting (BMM). The Commission will not issue a separate acceptance for these deliverables.

The acceptance of the bundle will trigger the acceptance by default of the deliverables presented for acceptance in the accepted MPR.

In case of conflict between the MPR and the BMM minutes (even when accepted by the Commission) on the one hand and the contractual documents, FQP and CQP on the other hand, the latter will always take precedence.

7.3.4 FQP, Inception and Hand-over.

The acceptance of the FQP and the Inception will be subject to a FAT, the aim of which is to verify the integrity between the FQP and Inception reports with the set up of the **ITSM2 Lot3** contractor.

The acceptance of the Hand-over will be subject:

- Firstly, to a FAT performed in the premises of the **ITSM2 Lot3** contractor;

- Secondly, to a SAT in the premises of the third parties nominated by the Commission to take-over from the **ITSM2 Lot3** contractor after the transfer of knowledge.

7.3.5 Bespoke Software

Acceptance of new applications or extensions of existing applications is performed according to a FAT/preSAT/SAT scheme, unless the Commission decides to go through a simple qualification.

7.3.6 ICT infrastructure services

The ICT infrastructure services will be accepted after reception of the delivery notification and by the formal acceptance of the Site Acceptance Test report delivered by the **ITSM2 Lot3** contractor following an on-site verification of the report quality.

7.3.7 Review and acceptance by the National Administrations

In the context of deliverables, which issue recommendations to and/or place obligations on the NAs, the NAs are invited to submit their comments (in EN, FR or DE) within a given period (from 2 to 10 weeks according to the volume of the deliverables and their importance).

The **ITSM2 Lot3** contractor will have to translate the comments received in FR or DE into EN, consolidate the comments, and for each of them propose an "author position" to the Commission according to a SfR/SfA cycle.

The Commission will call a review workshop with the NAs, the outcome of which is a "workshop decision" on each of the received comments.

The **ITSM2 Lot3** contractor will deliver the minutes of the workshop also according to a SfR/SfA cycle.

The Commission will then submit the bundle made of the documents as accepted by the Commission, and of the "workshop decision" for the approval of the National Administrations and Candidate Countries.

Once the NAs and the Candidate Countries accept the bundle, the **ITSM2 Lot3** contractor will consolidate the "workshop decision" into the deliverables and deliver the final version of the document, again according to a SfR/SfA cycle. This final version becomes part of the documentation baseline of the project.

All deliverables produced by the **ITSM2 Lot3** contractor under this step will be in EN only.

The timing of the consecutive SfR/SfA cycles can be defined in the FQP, Specific Contracts, their associated CQP and the Requests for Action.

7.4 List of Deliverables/Services

The table below lists the deliverables/services together with an indication of the impact that a late SfA may have.

Task ID	Deliverable ID	Description	Planning	Acceptance mechanism	Impact of a late SfA
1.1	**D.1.1.1**	Agenda of a meeting	SfR meeting – 5 working days	IA	High
1.1	**D.1.1.2**	Material supporting the meeting	SfR meeting – 5 working days	IA	High
1.1	**D.1.1.3**	Minutes (including Actions list and Updated Risk Register) of meeting	SfR meeting + 2 working days	IA	High
1.2	**D.1.2.1**	Monthly Progress report (MPR)	SfR: Max (end of the reporting period + 5 working days, Date of BMM – 5 working days) SfA: Date of BMM + 10 working days	MPR	High
1.2	**D.1.2.1**	Project Actions list	As needed, MPR	MPR	High
1.3	**D.1.3.1**	SC Proposal in answer to a RfO	SfR RfO + 10 working days	MPR	Major

Task ID	Deliverable ID	Description	Planning	Acceptance mechanism	Impact of a late SfA
1.3	D.1.3.2	Estimate for Action (EfA) in answer to an RfE	SfR RfE + 5 working days (offer for less than 20 working days) SfR RfE + 10 working days (offer for 20 working days or more)	MPR	Major
1.4	D.1.4.1	Quality Assurance records, filed on contractor's premises, upon request from DG TAXUD	Request + 2 working days	MPR	Low
1.5	S.1.5.1	Quality Control	Request + 2 working days	MPR	Medium
1.6	D.1.6.1	Internal risk analysis records, on contractor's premises, upon request from DG TAXUD	Request + 2 working days	MPR	Medium
1.7	D.1.7.1	Self-Assessment reports	At least twice per year	IA	Medium
1.7	D.1.7.2	Internal Quality Audit reports	At least twice per year	MPR	Medium
1.8	D.1.8.1	Contractor's position on the audit report	20 working days after reception of the audit report, for acceptance	IA	Medium
1.9	D.1.9.1	Framework Quality Plan (FQP) - production	SC01 T0 + 4 months for acceptance	IA	Major
1.9	D.1.9.2	Framework Quality Plan (FQP) - maintenance	SC	IA	Major

Task ID	Deliverable ID	Description	Planning	Acceptance mechanism	Impact of a late SfA
1.10	**D.1.10.1**	Contract Quality Plan (CQP) - production	D.1.9.1	IA	Major
1.10	**D.1.10.2**	Contract Quality Plan (CQP) - maintenance	SC	IA	Major
2.1	**D.2.1.1**	Opinion or advice to support the Architecture board meeting as an answer to a request from DG TAXUD.	Request + 2 working days, Mutual agreement	IA	Major
2.2	**D.2.2.1**	Advice in supporting the business continuity	Request + 2 working days, Mutual agreement	IA	Major
2.3	**D.2.3.1**	Technical review of Deliverable produced by third party.	As per review cycle	IA	Medium
2.4	**D.2.4.1**	Report on specific topics as requested by DG TAXUD	Request + 2 working days, Mutual agreement	IA	Major
3.1	**D.3.1.1**	Weekly alignment checkpoint report	Weekly	MPR	Major
3.2	**D.3.2.1**	List and roles of stakeholders	Request + 2 working days, Mutual agreement	MPR	Low
3.2	**D.3.2.2**	List of dependencies among the stakeholders	Request + 2 working days, Mutual agreement	MPR	Low
3.3	**D.3.3.1**	Newsletter to External stakeholders	Request + 2 working days, Mutual agreement	IA	Low
3.3	**D.3.3.2**	Communication on changes	Request + 2 working days, Mutual agreement	MPR	High

Task ID	Deliverable ID	Description	Planning	Acceptance mechanism	Impact of a late SfA
3.4	D.3.4.1	Issue log (issues related to integration aspects, scope issues, change issues)	Request + 2 working days, As needed	MPR	High
3.5	D.3.5.1	Comments on deliverables as outcome of the Review process	As per review cycle, Mutual agreement	IA	Medium
3.6	D.3.6.1	Updated risk logs, mitigation plans	Request + 2 working days, As needed	MPR	High
3.6	D.3.6.2	Actions list – updated with risk-related actions	Request + 2 working days, MPR	MPR	Medium
3.7	D.3.7.1	**ITSM2** programme Planning (Gant chart)	Request + 2 working days, MPR	MPR	Medium
3.8	D.3.8.1	Dependencies and critical path identification between the planning timetables of various stakeholders	As needed	MPR	Medium
3.8	D.3.8.2	Reminders and alerts in the event the planning is in danger	As needed	MPR	Medium
3.9	D.3.9.1	Progress review - Review comments to DG TAXUD	Daily	MPR	Medium
3.10	D.3.10.1	Take-over/hand-over meeting minutes and actions	Meeting + 1 working day	IA	High

Task ID	Deliverable ID	Description	Planning	Acceptance mechanism	Impact of a late SfA
3.10	**D.3.10.2**	Training materials	Training session – 20 working days for review, -10 working days for acceptance	IA	Medium
3.10	**D.3.10.3**	Assessment report on the hand-over material	Mutual agreement	IA	Medium
4.1	**D.4.1.1**	Benchmarking plan	Request + 2 working days, Mutual agreement	IA	Medium
4.1	**D.4.1.2.**	Intermediary benchmarking report	Mutual agreement	IA	Medium
4.1	**D.4.1.3.**	Presentation of benchmarking results	End of benchmarking exercise + 5 working days	IA	High
4.1	**D.4.1.4.**	Final benchmarking report	End of benchmarking exercise + 10 working days	IA	High
4.2	**D.4.2.1.**	Assessment plan	Mutual agreement, RfA, SC	IA	Medium
4.2	**D.4.2.2**	Intermediary assessment report	Mutual agreement, RfA, SC	IA	Medium
4.2	**D.4.2.3**	Presentation on assessment results	Mutual agreement, RfA, SC	IA	High
4.2	**D.4.2.4**	Final assessment report	Mutual agreement, RfA, SC	IA	High

Task ID	Deliverable ID	Description	Planning	Acceptance mechanism	Impact of a late SfA
5.1	**D.5.1.1**	Inception and set-up Plan	Mutual agreement, RfA, SC	IA	Major
5.1	**D.5.1.2**	Hand-over Plan	SfR and SfA as per SC Normally 6 to 9 months in advance of the anticipated date for the hand-over	IA	Major
5.2	**S.5.2.1**	Set-up of the service environment and resources	Mutual agreement	MPR	Medium
5.3	**D.5.3.1**	Inception Report	SfA 1 month after the end of the inception	IA	High
5.4	**D.5.4.1**	Hand-over training material	2 months before the beginning of the hand-over for review, 2 weeks before for acceptance	IA	Major
5.4	**D.5.4.2**	Inventory of hand-over materials and services to be delivered to DG TAXUD or a third party	3 months before the beginning of the hand-over for review, continuous update	IA	High
5.4	**D.5.4.3**	Hand-over report	SfA 1 month after the end of the support to the hand-over.	IA	High

Task ID	Deliverable ID	Description	Planning	Acceptance mechanism	Impact of a late SfA
6.1	**D.6.1.1**	Training sessions /Workshops/Demonstrations: Agenda, briefing	Date of the Training sessions /Workshops/Demonstrations – 15 working days for review, date of the Training sessions /Workshops/Demonstrations – 5 working days for acceptance, Mutual agreement	IA	High
6.1	**D.6.1.2**	Training sessions /Workshops/Demonstrations: Presentation material	Date of the Training sessions /Workshops/Demonstrations – 5 working days for review, date of the Training sessions /Workshops/Demonstrations – 2 working days for acceptance, Mutual agreement	IA	High
6.1	**D.6.1.3**	Training sessions /Workshops/Demonstrations: Presentation handouts	Date of the Training sessions /Workshops/Demonstrations – 15 working days for review, date of the Training sessions /Workshops/Demonstrations – 2 working days for acceptance, Mutual agreement	IA	High
6.1	**D.6.1.4**	Training sessions /Workshops/Demonstrations: Report (including filled-in evaluation forms)	Date of the training/workshop + 10 working days, SfA	IA	High

Task ID	Deliverable ID	Description	Planning	Acceptance mechanism	Impact of a late SfA
6.2	**D.6.2.1**	Improvement projects and initiatives: Suggestions	As needed	MPR	Medium
6.2	**D.6.2.2**	Improvement projects and initiatives: Planning	As needed	IA	Medium
6.2	**D.6.2.3**	Improvement projects and initiatives: Report (end of activity)	End of activity date + 5 working days for review, Mutual agreement	IA	Medium
6.3	**D.6.3.1**	Mission report	Date of mission + 10 working days for acceptance	IA	High
6.4	**D.6.4.X**	Other ad hoc deliverables in the scope of **ITSM2 Lot3**	As needed, Mutual agreement, SC, RfA	IA	High
6.4	**S.6.4.X**	Other ad hoc services in the scope of **ITSM2 Lot3**	As needed, Mutual agreement, SC, RfA	IA	High

Table 12: List of deliverables

8   Service Level Agreement (SLA))

This SLA commits the **ITSM2 Lot3** contractor to fulfilling the services delivered to DG TAXUD.

The objective is to provide a framework for the delivery of high quality services that meet the needs of DG TAXUD and the customers/users of DG TAXUD, e.g. the National Administrations.

8.1   Intended readership

The target audience for this document includes the parties to this Agreement and their representative bodies, and other interested parties, e.g.:

- European Commission and their representative DG TAXUD;

- The **ITSM2 Lot3** contractor and their representatives;

- The **ITSM2 Lot3** contractor, fulfilling the Quality Check responsibilities (for the parts that do not contain information related to contractual aspects).

8.2   Agreement period

This Agreement will start at the signature of the first Specific Contract. This agreement remains valid as long as the Framework Contract is in force or until it is superseded by a revised agreement.

In each SC, a set of indicators will be selected by DG TAXUD and weight will be defined for each of those that will allow calculating the quality of the services delivered for that SC and eventual Liquidated Damages if service level is not achieved. All indicators should be monitored and reported upon in the Monthly progress report.

8.3   Service description

The SLA covers the continuous and on-demand services described in the **Technical Annex of the Specific Contract based on the Framework Contract**. The service provider commits himself to deliver those services according to the terms of the Framework Contract/Specific Contract.

The Service Provider shall not be liable for any delay in fulfilling or for the failure to fulfil the obligations resulting from this SLA, if this delay or failure is caused by circumstances, which could not have been reasonably foreseen by the parties (see definition of "boundary conditions"). If the Service Provider is not able to fulfil its obligations or is not able to fulfil them in time, he shall immediately inform the Service Requester in writing of the situation and of its expected duration.

8.4   Approval of the SLA

The prerequisite for the acceptance of the SLA is the signature of the Framework Contract. Its entry into force will be associated with the signature of the related specific contract.

8.5   Changes to the SLA

There will be no changes to this SLA during the lifetime of the Specific contract except via an amendment to the Specific Contract.

8.6   Calculation of Specific Quality Indicators

8.6.1   Calculation of the SQI

SQI's are calculated in general using the following steps in sequence.

Note that the indicator related to availability defined later in this document does not follow this general approach.

Collect Measurement of QoS (M)

The Measurement M (or set of measurements) of QoS has to be collected and possibly combined according to the definition of the Measurement of the QoS.

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

Normalise the Measurement (M_{norm})

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

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

Where the M, Target and Limit are values expressed in the same unit and are part of the SQI definition.

SQI_{prof} as a result of the Profiling function

Once the Measurement has been normalised to M_{Norm}, it is **profiled** (using the *f* function) to a SQI_{prof}, which has the following effects:

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

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

below Limit;

3   It sets a grace period (interval defined by the Target and the Limit) which is setting the SQI_{prof} to a neutral level, immunising the SQI from any positive or negative factor.

The profiling function (*f*) is applied on all occurrences of the normalised Measurements. Those calculations are provided in detail in the SQI report attached to the Monthly Project Report.

The profiling function f is defined as follows:

If $\underline{M_{Norm}} > 0 \Rightarrow SQI_{prof} = f(\underline{M_{Norm}}) = 1$ i.e. the QoS leads to a Measurement above *Target*

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

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

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

This profiling function is plotted in the figure below:
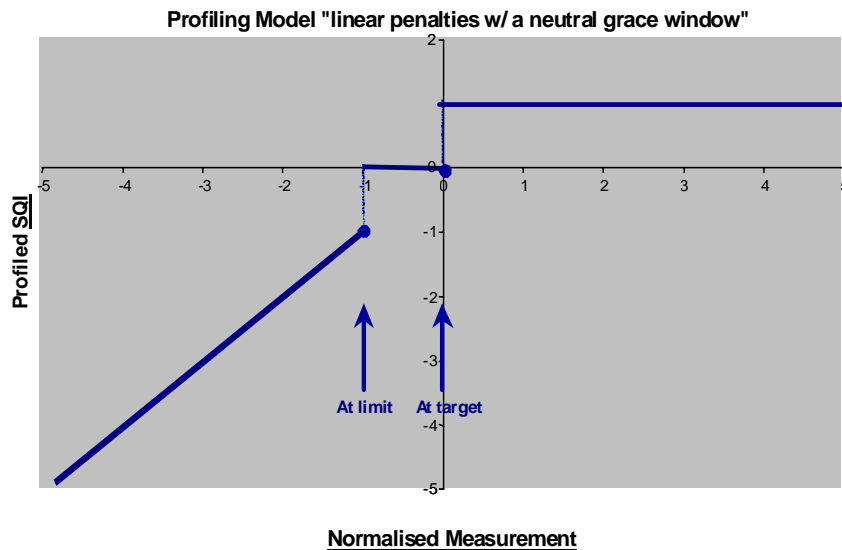
Figure 9: SQI Profiling function representation

Averaged profiled SQI

When a single SQI_{prof} is used to measure the QoS of multiple occurrences of services/delivery of the same nature, it is called an "averaged SQI", which is made of the average of all multiple-SQI_i according to the following formula:

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

Where n is the number of occurrences of the given SQI_{prof} during the application period.

8.6.2   The general quality indicator

The GQI is the weighted average of so-called contractual SQI specified in the Specific Contract /RFA as a subset of all the SQIs defined in SC / RFA. It allows a global assessment of the QoS for all services and deliverables.

8.6.3   Determination of Weights

The choice of the SQI contributing in the GQI calculation and their respective weights will be defined in the SC/RFA. DG TAXUD reserves its rights to change the SQI combination and weights in the GQI for each contract, as an instrument to force the non-regression and continuous improvement of the quality of service.

8.7   Service delivery performance and reporting

The Service Level Management is the process of defining, agreeing, documenting and managing the levels of IT Services to meet the required quality. The **ITSM2 Lot3** contractor manages this SLA and provides DG TAXUD with the following commitments on quality of service and user satisfaction in order to increase confidence that DG TAXUD services quality Level will be met.

8.7.1   Service level reporting

8.7.1.1   <u>Monitor and report services delivered by the contractor to DG TAXUD in compliance with this SLA</u>

The **ITSM2 Lot3** contractor commits to monitor all necessary services in order to be able to calculate the SQIs as defined in this SLA.

The detailed method for monitoring, logging and delivering the necessary data will be mainly described by the **ITSM2 Lot3** contractor in the FQP.

8.7.1.2   <u>Monthly progress and service reporting</u>

The MPR will contain the full calculations for all SQIs described in this SLA, including the normalisation, profiling, and calculation of the provisional value of the GQI. The MSR will contain the actual values of the SQIs.

8.7.1.3   <u>Monitor and report on evolutive maintenance of the SLA</u>

The **ITSM2 Lot3** contractor will maintain the SLA and monitor and report on it as described above.

The **ITSM2 Lot3** contractor will monitor and propose updates to this SLA when needed. All evolutions of this SLA **<u>must be part of an amendment to the specific contract and/or Framework Contract</u>**, and must follow all rules set by the Commission in this case.

8.7.2   Reporting of exceptions and deviations from service levels

In case of exceptions or deviations from the expected service levels, the **ITSM2 Lot3** contractor will escalate the issue to the Commission immediately. The **ITSM2 Lot3** contractor will also propose solutions for the incident(s) in question, and propose solutions to avoid such incidents in the future. All procedures related to this must be described in the FQP

In case of major issue or dispute between the customer and the **ITSM2 Lot3** contractor, a full escalation procedure should be described in the FQP. The escalation path should include at least the service level manager, program manager and the TAXUD R5 Head of Unit.

8.8   DG TAXUD responsibilities

DG TAXUD will ensure that the **ITSM2 Lot3** contractor has timely access to appropriate DG TAXUD personnel and will arrange for **ITSM2 Lot3** contractor personnel to have suitable and safe access to the relevant DG TAXUD facilities and systems, e.g. Circa, meeting facilities when required.

8.9   Full list of SQI's

The table below defines the set of SQIs.

#	Description	SQI	Target	Limit
1	Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a **Low** Impact	SQI-001 cf. Section 8.9.1	0 delay	15 working days
2	Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a **Medium** Impact	SQI-002 cf. Section 8.9.2	0 delay	10 working days
3	Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a **High** Impact	SQI-003 cf. Section 8.9.3	0 delay	5 working days
4	Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a **Major** Impact	SQI-004 cf. Section 8.9.4	0 delay	1 working days
5	Measure the satisfaction of DG TAXUD with the services provided by the **ITSM2 Lot3 contractor**	SQI-005 cf. Section 8.9.5	Very satisfied	Somewhat satisfied
6	Measure that the initial value of the "Total number of months experience in the core team that will be assigned full time to the project" remains at an acceptable level	SQI-006 cf. Section 8.9.6	95%	85%

#	Description	SQI	Target	Limit
7	Measure that **ITSM2 Lot3** contractor does not expose its internal legal organisation to DG TAXUD and their users	SQI-007 cf. Section 8.9.7	0	2
8	Measure that the **ITSM2 Lot3** contractor's team is dedicated to the **ITSM2 Lot3** project without any side activities or projects.	SQI-008 cf. Section 8.9.8 **Liquidated Damage**	100%	90%

Table 13: Full list of Specific Quality Indicators

The **ITSM2 Lot3** contractor will provide all raw data, as an annex to the MPR to DG TAXUD allowing for a verification of the provided figures
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8.9.1 SQI-001 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a <u>Low</u> Impact

SQI Attribute	SQI Attribute description
SQI Name	SQI-001
SQI Description	Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a <u>Low</u> Impact
Unit of Measurement of the SQI	%
SQI Target	0 delay
SQI Limit	15 working days delay
SQI Calculation	The actual delivery date is the date the deliverable is uploaded on Circa. If the deliverable must be uploaded several times on Circa for Review: • The actual delivery date is the date of the last upload for Review; If the deliverable must be uploaded several times on Circa for acceptance: • The actual delivery date is the date of the last upload for acceptance; • For each re-SfA, the number of days to be considered in the calculation of this SQI will be the number of days between the moment the **ITSM2 Lot3** contractor received the IVE_NOK (or the request for re-SfA from DG TAXUD) and the moment the new version of the document has been uploaded on CIRCA. The planned delivery date is defined in the last approved version of the DTM for all deliverables. The SQI will be calculated for every reporting period. The SQI for the reporting period will be normalised, then profiled.

SQI Attribute	SQI Attribute description
	The SQI value for the final GQI will be an average of all profiled SQIs during the SC. $SQI = AVERAGE(A_D - P_D)$ where: A_D is the actual delivery date of each deliverable, which has been tagged as having a delay impact defined in the SQI Description above, which was actually delivered for final acceptance during the reporting period. and P_D is the planned delivery date of the deliverable *Note: if $A_D < P_{D\ then}$ the delay is to be considered as zero.*
Applicable services/deliverables	Please refer to Section 7.1 – "Classification of the impact of a late delivery" for the classification of delay impacts considered in the calculation of this SQI. In the absence of classification, a deliverable is considered to have a delay impact of **Medium**.
Minimum number of Measurements	1 deliverable

8.9.2 SQI-002 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a **Medium** Impact

Please refer to 8.9.1 – "SQI-001 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a Low Impact" replacing:

- SQI ID value by: SQI-002
- SQI Description value: Impact by: Medium
- SQI Limit value by: 10 working days

8.9.3 SQI-003 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay whose delay would have a <u>High</u> Impact

Please refer to <u>8.9.1</u> – "SQI-001 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a Low Impact" replacing:

- SQI ID value by: SQI-003
- SQI Description value: Impact by: High
- SQI Limit value by: 5 working days

8.9.4 SQI-004 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a <u>Major</u> Impact

Please refer to <u>8.9.1</u> – "SQI-001 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a Low Impact" replacing:

- SQI ID value by: SQI-004
- SQI Description value: Impact by: Major
- SQI Limit value by: 1 working day

8.9.5 SQI-005 - Measure the satisfaction of DG TAXUD with the services provided by the ITSM2 Lot3 contractor

SQI Attribute	SQI Attribute description
SQI Name	SQI-005
SQI Description	Measure the satisfaction of DG TAXUD with the services provided by **ITSM2 Lot3**
Unit of Measurement of the SQI	**Notation:** - Very satisfied (Value=5) - Somewhat satisfied (Value=4) - Neither satisfied nor dissatisfied (Value=3) - Somewhat dissatisfied (Value=2) - Very dissatisfied (Value=0)
SQI Target	Very satisfied
SQI Limit	Somewhat satisfied
SQI Calculation	The satisfaction will be measured when requested by DG TAXUD, but at least once a year. It will be measured by a survey based on an agreed set of questions. All answers will be collected and assigned their associated values. One occurrence of both extreme values of the answer set will be removed and the remaining values averaged.
Applicable services/deliverables	ALL
Minimum number of Measurements	5

8.9.6   SQI-006 - Core team experience safeguard

SQI Attribute	SQI Attribute description
SQI Name	SQI-006
SQI Description	Measure that the initial value of the "Total number of months experience in the core team that will be assigned full time to the project" remains at an acceptable level
Unit of Measurement of the SQI	%
SQI Target	95%
SQI Limit	80%
SQI Calculation	Total months of professional experience in similar functions for the core team assigned full time to the project **8** weeks after the signature of the first Specific Contract / Total months of professional experience in similar functions for the core team staff proposed in the tender
Applicable services/deliverables	All
Minimum number of Measurements	1

8.9.7   SQI-007 - Measure that ITSM2 Lot3 contractor does not expose its internal legal organisation to DG TAXUD and their users

SQI Attribute	SQI Attribute description
SQI Name	SQI-007
SQI Description	The number of times the internal organisation through eventual different legal entities (e.g. members of a consortium) is exposed to DG TAXUD, its third party contractors or users of the services.
Unit of Measurement of the SQI	Number of occurrences
SQI Target	0

SQI Attribute	SQI Attribute description
SQI Limit	2
SQI Calculation	Count the number of occurrence of the breach of this SQI notified by DG TAXUD over the reporting period.
Applicable services/deliverables	All
Minimum number of Measurements	0

8.9.8   SQI-008 - Measure that the ITSM2 Lot3 contractor's team is dedicated to the ITSM2 Lot3 project without any side activities or projects – (Direct Liquidated Damage)

SQI Attribute	SQI Attribute description
SQI Name	SQI-008 –**Liquidated Damage**
SQI Description	Measure that the **ITSM2 Lot3** contractor's team is dedicated to the **ITSM2 Lot3** project without any side activities or projects
Unit of Measurement of the SQI	%
Direct Liquidated Damage	⚠ The Direct Liquidated Damag will represent **20%** of the total costs of the Fixed prices services (Continuous Services) for each month where the situation occurs.
SQI Target	100%
SQI Limit	90%
SQI Calculation	The hours spent by the **ITSM2 Lot3 contractor's** team are to be reported in each MPR with a clear split between the hours spent on the **ITSM2 Lot3** project and other activities or projects[16]. A ratio is calculated between the two and reported.
Applicable services/deliverables	All
Minimum number of Measurements	0

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[16] Only allocation of team members to other activities or projects exceeding their announced and agreed **ITSM2 Lot3** allocation ratio (e.g. full time, 4/5…) are to be considered and reported on.

8.10   General Quality Indicators

The following General Quality Indicators (GQI) need to be considered:
- **GQI_Mgnt** measuring the General Quality of the continuous services related to basic management services;
- **GQI_RfAs** including the hand-Over and take-over activities triggered by RfA during the Specific contract.

8.10.1   GQI for the continuous services related to basic management services

The **GQI_Mgnt** is calculated as the sum of the specified f(**SQI**) (profiled SQI) taking their respective weight into account. It is calculated monthly. The final GQI is the **average** of the individual GQIs computed each month during the Specific contract.

The **GQI_Mgnt** indicator during a specific month is calculated as follows:

$$GQI\_Mgnt = \sum_{k=1}^{N} (f_k (\underline{\textbf{SQI}})*weight_k) / \sum_{k=1}^{N} (weight_k)$$

Where: N   is   the   number   of   Service   Quality   Indicators   (SQI);
*f_k (**SQI**) is the value of the profiled SQI number "k";*
$weight_k$ is the weight of the SQI number "k"

The table below summarise the related SQI and their respective weight used to compute the final GQI_Mgnt:

SQI Name	Weight
SQI-001 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a Low Impact	10
SQI-002 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a Medium Impact	15
SQI-003 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay whose delay would have a High Impact	20
SQI-004 - Measure the respect of the deadline for sending for Review/Acceptance (SfR/SfA) a deliverable whose delay would have a Major Impact	25
SQI-005 - Measure the satisfaction of DG TAXUD with the services provided by the ITSM2 Lot3	10
SQI-006 - Core team experience safeguard	10
SQI-007 - Measure that ITSM2 Lot3 contractor does not expose its internal legal organisation to DG TAXUD and their users	10

Table 14: SQIs and their respective weights for GQI_Mgnt

The table below summarises the SQI(s) linked to a Liquidated Damage:

SQI Name	Note
SQI-008 - Measure that the ITSM2 Lot3 contractor's team is dedicated to the ITSM2 Lot3 project without any side activities or projects	**Liquidated Damage**

Table 15: SQI(s) linked to a Liquidated Damage

8.10.2 GQI for the Additional on-demand Services or QTM triggered by RfA (GQI_RfAs)

The **GQI_RfAs** is calculated as the sum of the specified f(**SQI)** (profiled SQI) taking their respective weight into account. It is calculated at the end of each activity, which has been triggered by RfA.

A SQI may be defined, mutatis mutandis, for an RfA, in which case the Liquidated Damages would be calculated at the end of the RfA on the total budget of the RfA and applied on the last payment related to the RfA, when applicable.

The Quality of Service of each RFA will be assessed by calculating a Global Quality Indicator (GQI).The following is an **example** of RfA to which 2 SQIs have been associated.

$$\mathbf{GQI^{RFA} = 0,20 * f(SQI\ x) + 0,80 * f(SQI\ y)}$$

8.10.3 GQI for the hand-over services

The GQI associated to the hand-over services is calculated as follow for the hand-over period.

GQI_HO = 100 % x f(SQI-011[17])

8.11 Liquidated Damages

Liquidated Damages may be applied to the Service Provider in the framework of the current Service Level Agreement. The Liquidated Damages are related to deficient quality of the services provided. They are derived directly from the GQI calculation.

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[17] On the Hand-over report

Liquidated Damages are expressed as a reduction of the amount due by the service requester to the service provider.

8.11.1   Liquidated Damages not linked to GQI

Liquidated Damages, not linked to GQI may be applied and are defined for the following SQI(s):

- SQI-008 - Measure that the ITSM2 Lot3 contractor's team is dedicated to the ITSM2 Lot3 project without any side activities or projects.

8.11.2   From GQI_Mgnt to Liquidated Damages calculation

For the global GQI_Mgnt, the Liquidated Damages are applied at the end of the specific contract and applied on the last payment related to the Specific Contract, when applicable.

If (GQI) < -1	Liquidated Damages = 20% of the Continuous Service amount due for the reporting month
If -1 <= (GQI) < 0	Liquidated Damages = (-(GQI))*20% of the Continuous Services amount due for the reporting month
If (GQI) => 0	Liquidated Damages = 0

⚠ In any case, the total amount of Liquidated Damages to be paid **cannot exceed 100%** of the amount to be paid by the Commission for the delivered continuous services.

8.11.3   From GQI_RfAs to Liquidated Damages calculation

For the GQI_RfAs, the Liquidated Damages are calculated at the end of each RFA as follows (**except for hand-over activities** for which the Liquidated Damages are computed as described below):

If (GQI_RfAs) < -1	Liquidated Damages = 20% of the amount due for the RFA
If -1 <= (GQI_RfAs) < 0	Liquidated Damages = (-GQI_RfAs))*20% of the amount due for the RFA

If (GQI_RfAs) => 0   Liquidated Damages = 0

For the hand-over, the GQI is calculated for the hand-over period.

The Liquidated Damages are calculated as follows and are based on the amount due for the hand-over services:

If GQI_HO < -1   Liquidated Damages = 100% (relates to the amount for the services related to hand-over activities)

If -1 <= GQI_HO < 0   Liquidated Damages = (-GQI_HO) * 100%

If GQI_HO => 0   Liquidated Damages = 0

9   Staff profiles

9.1   STAFFING

It is the tenderer's responsibility to propose an adequate team organisation (including team structure, set of profiles, team sizing, responsibility allocation & reporting lines), and staffing in order to perform the activities and deliver the products and services defined in the current Technical Specifications in full compliance with the quality requirements.

The **ITSM2 Lot3** contractor **must staff in line** with the team organisation that the **ITSM2 Lot3** contractor will propose in the **tender**.

The **ITSM2 Lo3** contractor must include sufficient seniority in the team that will ensure the continuous services and the teams that will be associated to the on demand activities. This seniority is not only expressed in (number of years of) experience but also above all in terms of skills and capacity to lead the teams and to keep a broad knowledge and overview of all activities undertaken by the **ITSM2 Lot3** contractor.

DG TAXUD can – at any point in time – request the CVs of the assigned staff. DG TAXUD reserves the right to request replacements of staff not in line with the present resource requirements expressed hereinafter.

By bidding for this call for tenders, the contractor commits to ensure full transparency to DG TAXUD regarding its staffing. The number of staff, names, location, qualifications, etc. shall be communicated to DG TAXUD on a regular basis and or at a specific request.

As mentioned in the "Annex III – Price table", **[A3]**, the tenderer is requested to provide a daily rate for the staff profiles as listed in Table 16: Staff profiles & required experience levels;

The **ITSM2 Lot3** contractor must demonstrate for each person proposed in the team that his/her CV meets the specification(s) of the profile. For every profile for which CVs are submitted, the following minimum professional experience is required for the area of expertise.

This means e.g. that the Project Managers for whom a CV is submitted must have at least 8 years experience as project managers, even if they started their career as developers or in any other function. The same rule applies to the other profiles.

For all profiles, the **ITSM2 Lot3** contractor will ensure that all staff holds the relevant technical certification, corresponding with the assignment and with the required experience level.

All profiles must have followed the relevant training and/or certifications.

All profiles must have (or acquire within the first **8** weeks of their assignment) knowledge of ITIL and SMT.

The **ITSM2 Lot3** contractor must ensure that technical expertise in line with DG TAXUD's technical development/operations environment is sufficiently available. Expertise with all COTS used by DG TAXUD (e.g. ARIS, ORACLE, Solaris, Linux, HP SMT, IBM MQSeries, TUXEDO, WebLogic, Apache, and all other COTS – shall be identified clearly in the proposed CVs.

Profile	Profile Code	Minimum Experience Level [18]	
		5	8
Project Manager – (cf. Section 9.1.1.1)	**PM**		√
Senior Contract manager – (cf. Section 9.1.1.2)	**SCM**		√
Senior Security Officer – (cf. Section 9.1.1.3)	**SSO**		√
Quality Manager – (cf. Section 9.1.1.4)	**QM**		√
Senior Architect – (cf. Section 9.1.1.5)	**SA**		√
Security Expert – (cf. Section 9.1.1.6)	**SEC**	√	
IT Operations Expert – (cf. Section 9.1.1.7)	**OPER**	√	
Technology expert - (cf. Section 9.1.1.8)	**TECH**	√	
Integration Support Officer – (cf. Section	**ISO**	√	

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18 The experience of the staff is expressed in levels, corresponding to a number of years of relevant experience. Relevant experience means experience specific for the tasks that are related to the profile.

	0	Less than 1 year
	1	More than 1 year
Experience Level	**3**	More than 3 years
	5	More than 5 years
	8	More than 8 years

The experience as a particular profile, expressed in months must be easily verifiable from the CV.

Profile	Profile Code	Minimum Experience Level [18]	
9.1.1.9)			
Benchmarking expert – (cf. Section 9.1.1.10)	**BEN**		√

Table 17: Staff profiles & required experience levels

9.1.1.1 Project Manager – (PM)

High level qualified person with relevant experience responsible in managing similar projects.

Nature of the tasks:

- Responsible to manage the development and implementation of the services to meet the business needs;

- Responsible for managing the team, budget and monitor costs, timescales and resources used, work plan, and all the project management procedures (team management, contract/supply management, scope management, issues management, risk management, quality control, etc.);

- Responsible for managing and coordinating the services according to quality plans (FQP) and according to quality levels agreed in the Service Level Agreement (SLA).

The desired profile should also demonstrate:

- Good knowledge of project management standards and methodologies;

- Usage of project management tools. Willingness to use the project management tools and methodologies as specified by DG TAXUD;

- Good technical knowledge on the projects aspects;

- Good reporting methods;

- Ability to give presentations;

- Ability to apply high quality standards to all tasks;

- Ability to participate in multi-lingual meetings, good communication skills;

- Capability of working in an international/multi-cultural environment, rapid self-starting capability and experience in team working, understanding the needs, objectives and constraints of those in other disciplines and functions;

- Minimum 8 years of IT professional experience;

- Proven experience within a managerial position for at least 5 years;

- Knowledge of project management guidelines;

- Minimum 1 year of experience with a project management methodology.

9.1.1.2 Senior Contract Manager – (SCM)

High-level qualified person(s) In charge of all contract related aspects of the project.

Nature of the tasks:

- Contract negotiations, follow-up, closure and reporting;

- Follow-up of RfAs and quantities

- Follow-up of invoicing.

The desired profile should also demonstrate:

- Proven knowledge and experience in project and contract management;

- Reporting and communication skills;

- Detail oriented;

- Preferably knowledge of the European Commission environment;

- Minimum 8 years of IT professional experience;

- Proven experience within a managerial position for at least 5 years;

- Experience in consulting minimum 4 years;

- Experience in quality assurance and methodologies;

- Proven experience with quality procedures.

9.1.1.3 Senior Security Officer – (SSO)

High-level qualified person with relevant experience responsible for promoting security of the network with regard to security procedures, set-up, implementation, maintenance and improvements. The desired profile should have good knowledge of Communication protocols, firewalls, network security policies implementation and other security and antivirus tools.

Nature of the tasks:

- Ensure that products integrate security requirements and that project-related information is managed securely;

- Providing advice to the local IT team in areas such as risk analysis, contingency planning, IT security audit, security log analysis, security development as well as the support to setup security training and security awareness's.

The desired profile should also demonstrate:

- Good knowledge of tasks related to national security accreditation and security clearance;

- Minimum 8 years of IT professional experience;

- Good experience in carrying out high-level security studies of ICT projects;

- Good reporting methods;

- Ability to give presentations;

- Ability to apply high quality standards to all tasks.

9.1.1.4 Quality Manager – (QM)

High-level qualified person(s) with relevant experience responsible for promoting awareness within the team with regard to quality procedures and methodologies in place, set-up, maintenance and assessment of them through internal audits, and improvement of them through the development and implementation of continuous improvement programmes as well as to provide assistance and support on service level agreements or other quality documents associated to the project.

Nature of the tasks:

- Ensure that the delivery of services and/or products meets or exceeds customer expectations and that, whether or not the document and software deliverables are compliant with the quality requirements and standards stipulated in the quality plans.

The desired profile should also demonstrate:

- Minimum 8 years of IT professional experience;

- Experience in consulting minimum 4 years;

- Experience in quality assurance and methodologies;

- Proven experience with quality procedures.

9.1.1.5 Senior Architect – (SA)

High-level qualified person(s) able to carry out architectural design of network communication system, which includes the backbones, routers, switches, access methods and protocols used. He has also the expertise on all engineering aspects at both nodal and system levels: including capacity planning, node dimensioning, QoS settings, new product & feature introduction, subscriber & services provisioning, translations & routing.

Nature of the tasks:

- Understand, design and implement virtualisation solutions based on multiple vendor technology;

- Develop and generate conceptual, logical, and physical network architectures, resulting documents and drawings, testing analyses, test plans, and risk assessments to ensure sound architecture;

- Evaluate cost analysis and vendor comparisons for large scale projects to ensure cost-effective and efficient operations, and measure feasibility of various approaches;

- Evaluate complex data networking technologies to understand their potential and recommend future direction;

- Research technological advancements to ensure that data networking solutions are continuously improved, supported, and aligned with industry and company standards;

- Participate as the lead Networking subject matter expert in the development of solutions in support of new business and application expansion.

The desired profile should also demonstrate:

- In depth knowledge of enterprise architecture;

- Strong capacity in writing and presenting studies;

- Ability to participate in multi-lingual meetings, excellent communication skills;

- Capability of working in an international/ multicultural environment;

- Strong experience in enterprise architecture models and tools - minimum 8 years;

- Strong experience in the realisation of studies - minimum 8 years;

- Experience in enterprise architecture models and tools - minimum 8 years;

- Strong experience in the realisation of studies - minimum 8 years.

9.1.1.6 Security Expert (SEC)

High-level qualified person(s) able to provide Assistance with decision making in IS security related matters and provide advice and opinions on IS security;

Nature of the tasks:

- Provide Assistance with decision making in IS security related matters;

- Provide advice and opinions on IS security.

The desired profile should also demonstrate:

- Strong capacity in writing and presenting studies;

- Capable to produce concise technical documentation;

- Ability to participate in multi-lingual meetings;

- Excellent communication skills;

- Capable of working in an international/ multicultural environment;

- Proven knowledge in security/BCP aspects of information systems and operational environments;

- Able to cope with the security/BCP needs of multi-language operational environment;

- Ability to cope with the fast changing technologies and security concerns;

- Experience in team working;

- Minimum 5 years of IT professional experience;

- Experience in consulting;

- Strong experience in the realisation of studies;

- Proven experience in IS security.

9.1.1.7 IT Operations Expert – OPER

Nature of the tasks:

- IS Service management;

- Define policies and standard operating procedures to be used by the service management;

- Problem solving in problem; management context;

- Change impact assessment.

The desired profile should also demonstrate:

- Strong capacity in writing and presenting studies;

- Capable to produce concise technical documentation;

- Ability to participate in multi-lingual meetings;

- Excellent communication skills;

- Capable of working in an international/ multicultural environment;

- Ability to cope with the fast changing technologies and security concerns;

- Experience in team working;

- Proven knowledge in support of information systems and operational environments;

- Ability to cope with the fast changing technologies;

- Minimum 5 years of IT professional experience;

- Experience in consulting;

- Strong experience in the realisation of studies;

- Proven experience in IS operations and related methodologies, especially ITIL.

9.1.1.8 Technology Expert – TECH

Nature of the tasks:

- Participation in product evaluation (collaboration with DG TAXUD);

- Problem solving in problem; management context;

- Change impact assessment;

- Perform activities related to analysis, design writing and publication of detailed technical documentation;

- Write minutes of the meetings, and list related actions resulting from the meetings.

The desired profile should also demonstrate:

- Strong capacity in writing and presenting studies;

- Capacity to produce concise technical documentation;

- Ability to participate in multi-lingual meetings;

- Excellent communication skills;

- Ability to cope with the fast changing technologies;

- Experience in team working;

- Deep technical knowledge of the concerned domain (senior level);

- Minimum 5 years of IT professional experience;

- Experience in consulting;

- Strong experience in the realisation of studies;

- Proven experience in technology aspects- deep technology knowledge is required in the technology domains relevant for the **ITSM2** contract (see supported technologies in the scope of activities documents of **Lot1** and **Lot2**).

9.1.1.9 Integration Support Officer – ISO

Nature of the tasks:

- IS Service management;

- Coordination and execution of support activities;

- Coordination between the stakeholders;

- Participation in user, service and project meetings;

- Management of information sites;

- Promotion of information system;

- Organisation and management of IS training;

- Write minutes of the meetings, and list related actions resulting from the meetings.

The desired profile should also demonstrate:

- Ability to cope with the fast changing technologies and integration issues;

- Ability to cope with the needs of a multi-language environment;

- Ability to participate in multi-lingual meetings;

- Good communication skills;

- Capacity to work in an international/ multicultural environment;

- Experience in team working;

- Experience in standard project planning tools and methodologies (earned value, GANTT charts, critical path...);

- Minimum 2 years of relevant professional experience in IS assistance or service management;

- Experience in IS support;

- Notions of information broadcast.

9.1.1.10 <u>Benchmarking expert – BEN</u>

Nature of the tasks:

- Conducting benchmarking activities from planning until the final reporting.

The desired profile should also demonstrate:

- Proven knowledge and experience in benchmarking activities;

- Minimum 8 years of IT/finance professional experience;

- Minimum 8 years experience in consulting;

- Proven experience in IS benchmarking.

9.2   Languages

All deliverables must be delivered in UK English unless otherwise specified. Staff proposed must be capable of communicating, orally and in writing, in this language.
During meetings (bilateral, workshops, steering Committee, etc.), either French or English will be spoken.

9.3   Office infrastructure

The **ITSM2 Lot3** contractor must provide the necessary office infrastructure in its premises for the successful execution of the tasks. It is the **ITSM2 Lot3** contractor's responsibility to define and size this infrastructure.

The tenderer is requested to take into account the office (automation) infrastructure outlined below into account, but to keep the considered "state-of-the art" infrastructure from security and operational excellence point of view for all ITSM teams during the FC at all sites where the **ITSM2 Lot3** contractor is based:

- Secured room(s) for hosting the staff;

- Secured meeting room(s) that are dedicated to **ITSM2 Lot3** activities (capacity up to **15** people) with phone/internet access available to DG TAXUD and/or other contractors;

- An adequate office environment, including phone, fax, scanner, CD-ROM/DVD production, laser colour printing, secure document shredder and colour photocopying facilities;

- An adequate phone/virtual conferencing facility accessible from the internet;

- One industry standard PC (personal computer) per staff member with office automation tools which must be inter-operable with those currently used in DG TAXUD;

- Suitable printing, file and Web server facilities;

- Individual and functional e-mail addresses and web accesses for each person.

⚠ The **ITSM2 Lot3** contractor has to ensure that the security right management is handled so that only authorised users can access the secure zone hosting the above-mentioned facilities and people.

10   Volumetric

The table below closely relates to the other tables within this document and specifically to the table with the overview of tasks and service types. The latter table provides additional volumetric and FTE estimations since the table below only displays the "occurrences" of a certain task per year.

ID	Work Item	Volume estimates
V.1	Coordination meetings (BMMs, and ad hoc)/year	12 BMMs + 52 ad hoc meetings
V.2	SCs/year	1 for Continuous Services, 1 for On demand services
V.3	RfAs/year	~30
V.4	Steering Committees/year	4 – 5
V.5	Audits/year	1
V.6	Internal audit and assessments/year	1 Internal audit 1 Assessment
V.7	Documents to QC/year	All **ITSM2 Lot3** deliverables
V.8	Production of FQP and CQP	1 FQP/FC 1 CQP/SC
V.9	Updates to FQP and CQP/year	FQP: 0 - 1 CQP: 0 – 1
V.10	Pages reviewed/year	~20.000 pages / year
V.11	Requests for advice or opinion/year	8 – 12 requests / year
V.12	DG TAXUD architecture board meetings/year	3 – 5 / year
V.13	Pages reviewed/year	15.000 pages / year
V.14	Meetings to be attended and minutes drafted/year	150 meetings / year

ID	Work Item	Volume estimates
V.15	Actions to be followed up/year	5 – 10 actions / meeting
V.16	Benchmarking exercise/year	1
V.17	Assessment/year	1- 2
V.18	Inception/hand-over plan	1 plan for inception, 1 plan for hand-over
V.19	Induction trainings to attend	5 – 10 training courses
V.20	Assistance to ITSM2 Lot1 FAT mission	1 to 5
V.21	Hand-Over trainings to give	5-10 training courses
V.22	Training, workshop and demonstrations	10 WS/Trainings/Demonstrations à 2 days / year
V.23	Improvement projects	1 – 2 projects / year

Table 18: Table of volumetric

11 Pricing Model

DG TAXUD is aiming at an "all inclusive" pricing model based on the volumetric of all service blocks. By default, any service that is not explicitly excluded in the following definitions is to be considered by the tenderer as "included" in the regarded price element. Please refer to Annex III: Price Table to the Tendering Specifications", **[A3]** for the actual pricing model template.

It must be noted that services expressed in man days will be ordered at the daily rate as indicated in the "Profiles" part of the financial table. The computed "man day of average profile" (i.e the average cost) is only used for calculating the budget envelopes. Man days will not be ordered at this computed average.

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