

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

REF: ITSM3-TES-ToR

TAXUD ITSM3 TES – ANNEX 2b – TERMS OF REFERENCE

Section: Acronyms and definitions

ITSM3 TES ORIGINATOR:

TAXUD/C5

ISSUE DATE:

04/07/2016

VERSION:

FINAL

## Invitation to tender TAXUD/2016/AO-01

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

# ITSM3 Transeuropean (ITSM3 TES)

## Annex 2b: Terms of Reference

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## 1 Acronyms and definitions

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

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

<b>Acronyms and Definitions</b>	
<b>Acronym</b>	<b>Definition</b>
BL	Baseline
BMM	Bilateral Monthly Meeting
BPM	Business Process Management
CCN	Common Communications Network
CCN2	Common Communications Network 2
CCN2-DEV	Development Contractor for CCN2
CIRCA	Communication and Information Resource Centre Administrator
COBIT	Control Objectives for Information and related Technology
CQP	Contract Quality Plan
CSIP	Continuous Service Improvement Programme
CUSTDEV	Development contractor for Customs systems (currently CUST-DEV3)
DAC1, DAC2, DAC3	Dispositions d'Application du Code
DC	Data Centre
DG	Directorate-General
DG TAXUD	Directorate-General Taxation and Customs Union
DIGIT	Directorate-General for Informatics
DIGIT/DC	Data Centre of the European Commission / DIGIT Data Centre
ECAS	European Commission Authentication Service
ECS	Export Control system
EIS	European Information Systems
EMCS	Excise Movement and Control System
ESTAT	Eurostat
EU	European Union

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FATCA	Foreign Account Tax Compliance Act
FITSDEV	Development contractor for Fiscalis systems <sup>1</sup> (currently FITSDEV3)
FP	Fixed Price
FQP	Framework Quality Plan
FYROM	Former Yugoslav Republic of Macedonia
ICS	Import Control system
ICT	Information & Communications Technology
ISO	International Organisation for Standardisation
IT	Information Technology
ITIL	IT Infrastructure Library
ITSC	IT Steering Committee
ITSM	IT Service Management
ITSM2	IT Service Management 2 ( <b>ITSM2</b> Programme preceding <b>ITSM3</b> )
ITSM3	IT Service Management 3 ( <b>ITSM3</b> Programme following <b>ITSM2</b> )
ITSM3 Operations	ITSM3 Operations ( <b>ITSM3</b> Programme following <b>ITSM2 Lot1</b> )
ITSM3 TES	ITSM3 Trans-European ( <b>ITSM3</b> Programme following <b>ITSM2 Lot2</b> )
ITSM3 Integration	ITSM3 Integration ( <b>ITSM3</b> Programme following <b>ITSM2 Lot3</b> )
IWP	Internal Working Procedures
LISO	Local Information Security Officer
MASP	Multi-Annual Strategic Plan
MPR	Monthly Progress Report
MRA	Mutual Recognition Agreement
NA	National Administration
NCTS	New Computerised Transit System
OD	On Demand services
OHIM	Office for Harmonization in the Internal Market
OLA	Operational Level Agreement

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<sup>1</sup> Covering Direct Taxation, Indirect Taxation, Recovery of Claims and Excise

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OLAF	European Anti-Fraud Office
QTM	Quoted Time and Means
RfA	Request for Action
RfC	Request for Change
RfE	Request for Estimation
RfO	Request for Offer
SC	Specific Contract
SMT	Service Management Tool
SMT Tool (Synergia)	Service Management Tool
SPEED2	Single Portal for the Entry and Exit of Data Version 2
SPOC	Single Point of Contact
SURV	Surveillance system
T&S	Travel and Subsistence
TA	Technical Annex
TAXUD	Taxation and Customs Union
TEMPO	TAXUD Electronic Management of Projects Online
TES	Trans-European System
TESM	Trans-European System Management
TIR	Transports Internationaux Routiers
ToC	Terms of Collaboration
ToR	Terms of Reference
UCC	Union Customs Code
URL	Uniform Resource Locator
USA	United States of America
VAT	Value-Added Tax
VIIES	VAT Information Exchange System
WP	Work package
xDEV	Development contractors ( <a href="#">FITSDEV</a> , <a href="#">CUSTDEV</a> , CCN2-DEV)

**Table 1: List of acronyms**



TAXUD/C5 – INVITATION TO TENDER TAXUD/2016/AO-01	REF: ITSM3-TES-ToR
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## 2 Reference documents

Reference Documents				
Ref.	Title	Reference	Version	Date
[R1]	Call for tenders-ITSM3-TES-Tendering Specifications	Call for tenders-ITSM3-TES-Tendering Specifications	1.00	TBD
[R2]	Call for tenders-ITSM3-TES-Technical Annex	Call for tenders-ITSM3-TES Annex 2a	1.00	TBD
[R3]	Call for tenders-ITSM3-Operations-Technical Annex	Call for tenders-ITSM3-Operations Annex II.A	1.00	06/11/2015
[R4]	Call for tenders-ITSM3-Operations-Terms of Reference	Call for tenders-ITSM3-Operations Annex II.B	1.00	06/11/2015
[R5]	ITSM2 Lot2 Technical Annex	ITSM2 Lot2 Technical Annex	FINAL	21/11/2011
[R6]	ITSM2 Lot2 FQP & Annexes	ITSM2 Lot2 FQP & Annexes	4.0	13/05/2016

**Table 2: Reference Documents**

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

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

with the following parameters to sign in:

Domain: External  
 User Identifier: itsm2lot2BL  
 Password: TbyNx\_in0P

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

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

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

- [R1] and [R2], which are part of the technical specifications of this Invitation to Tender
- [R3] and [R4], which are part of the technical specifications of the call for tenders **ITSM3 Operations** available here:

[http://ec.europa.eu/taxation\\_customs/common/tenders\\_grants/tenders/ao\\_2015\\_03\\_en.htm](http://ec.europa.eu/taxation_customs/common/tenders_grants/tenders/ao_2015_03_en.htm)

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

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

with the following parameters to sign in:

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

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### 3 Foreword

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

- The **Terms of Reference (ToR)** – this document – provides an overview of the current services that need to be taken over by the **ITSM3 TES** contractor from **ITSM2 Lot2**, and insights on expected evolutions in the medium and long term;
- The **Technical Annex (TA, document [R2])** defines the **ITSM3 TES** requirements in terms of quality, services, staffing and infrastructure. It also describes the Service Level Agreement (SLA, with indicators), and a preliminary list of deliverables to be provided by the **ITSM3 TES** contractor;
- The **ITSM2 Lot2 Framework Quality Plan and its Annexes (FQP, document [R6])** provide an exhaustive and detailed description of the services provided by the incumbent **ITSM2 Lot2** contractor, as they must be taken over without degradation of service by the **ITSM3 TES** contractor. These documents are completed by **Internal Working Procedures (IWP)** that can be also found in the baseline.

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

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

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

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

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

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

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

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## 4 Background information

### 4.1 IT activities of DG TAXUD

#### 4.1.1 IT IN SUPPORT TO POLICY

**DG TAXUD** is responsible for the customs and taxation policies of the EU. The taxation policy includes the excise, indirect and direct taxation policies. **DG TAXUD** is also a key player in the preparation of enlargements, in particular concerning Turkey (for the customs transit regime), Serbia, and the former Yugoslav Republic of Macedonia (fYRoM). In addition, due to the international nature of the customs activity, a number of agreements with third countries (such as the USA, Japan, China, and Russia) exist and are being developed to support international trade. In order to facilitate exchanges with these countries, **DG TAXUD** operates the Single Portal for the Entry and Exit of Data (SPEED2) that allows secure data exchange with these partners. It already supports or will do so in future all external message flows (Single Window, Transit, Mutual recognition, International exchanges for taxation, etc.).

**DG TAXUD** also collaborates with OLAF, OHIM, ESTAT, Norway, Switzerland, and others to allow use of its CCN infrastructure, either for customs and taxation related matters or, for ESTAT, in the course of a pilot project connecting national statistical offices.

The functioning of the internal market has necessitated in the last 25 years the development of a significant number of major IT systems in the areas of taxation and customs. These IT systems assure a rapid information flow to provide further facilitation to economic operators and to implement 'e-government' facilities in the customs and taxation areas whenever appropriate.

**DG TAXUD** provides the National Administrations<sup>2</sup>, economic operators<sup>3</sup>, citizens and the Commission internal staff with a wide portfolio of IT services. The quality of these services is critical for the sustainability of EU policies and objectives in the field of customs and taxation.

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

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

**DG TAXUD** IT systems have a legal basis and receive budgetary support from EU current (and successor) programmes for which they represent a significant part (more than 80%) of the expenditure:

- The **Customs 2020 Programme** offers Member States a Union framework to develop, facilitate, and enhance co-operation between customs authorities, which is more cost-efficient and effective than if each Member State were to set up individual co-operation frameworks on a bi-lateral or multi-lateral basis. The IT capacity building aspect of the Programme covers the development, maintenance, operation, and quality control of Union components of the European Information Systems set out in

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

<sup>3</sup> The terms "economic operators", "traders" and "businesses" are used as synonyms in the context of this document.

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Section A of Annex II of the Customs 2020 Regulation, and new European Information Systems established under Union law.

- The **Fiscalis 2020 Programme** offers Member States a Union framework to develop, facilitate, and enhance co-operation between tax authorities, which is more cost-efficient and effective than if each Member State were to set-up individual co-operation frameworks on a bi-lateral or multi-lateral basis. The European Information Systems building aspect of the Programme covers the development, maintenance, operation, and quality control of Union components of the European Information Systems set out in point A of the Annex of the Fiscalis 2020 and new European Information Systems established under Union law, with a view to interconnecting tax authorities efficiently.

The Union Customs Code (UCC) provides the legal basis for the completion of the computerisation of customs. The UCC was adopted on 09/10/2013 as Regulation (EU) No 952/2013 of the European Parliament and of the Council. The adoption of the new legal provisions accelerated and supported the activities of Member States and the Commission as from 2014.

In order to support the development of the electronic systems, Commission Implementing Decision of 29/04/2014 establishing the Work Programme for the Union Customs Code (UCC) was adopted. The UCC Work Programme provides high-level descriptions of the projects known as the 'UCC Projects and related Electronic Systems'. The content of the UCC Work Programme is closely linked to the Multi-Annual Strategic Plan (MASP), which is a management and planning tool drawn up by the European Commission in partnership with Member States, as referred in Article 8(2) of the e-Customs Decision.

A Communication from the Commission, which followed on from the Council Resolution on the simplification of customs procedures, as well as the Commission Communication on a strategy for the Customs Union and the related Council Resolution, proposed to make procedures and controls more efficient by simplifying Customs legislation and making better use of electronic tools in customs procedures.

#### 4.1.2 IT 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 2020, Fiscalis 2020 committees, and the Standing Committee on Administrative Co-operation. These groups are each supported by a sub-committee dedicated to IT matters. Each IT sub-committee meets several times a year under **DG TAXUD**'s chairmanship with the participation of heads of IT from National Administrations.

**Working groups with the National Administrations** deal with technical-related project matters and meet with a frequency from monthly to quarterly according to the pace of development. Each TES and IT service from the Commission are overseen by such a working group (e.g. Electronic Customs Co-ordination Group, Customs Business Group, Customs EIS Operations Group, IT Systems Development Group, IT Technology and Infrastructure 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. For this reason, **DG TAXUD** applies internally strong IT governance. All the IT systems are managed under the supervision of an **IT Steering Committee (ITSC)**, chaired by the Director General, and composed of the board of Directors and of selected heads of unit. The IT Steering Committee meets regularly (quarterly on average) and takes decisions on IT working plans, priorities and resource allocation upon submission of proposals from the IT units.

#### 4.1.3 TEMPO

In addition to a technological infrastructure and systems, **DG TAXUD** has developed over the years a quality system, **TEMPO**. This quality system prescribes the functioning of all IT processes and the related contract management processes. This quality system allows the functioning of the IT organisation of **DG TAXUD** in a repeatable and trusted manner.

**TEMPO** is mainly based on ITIL v2 for service management processes. **TEMPO** also describes project management processes.

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During the lifetime of the **ITSM3 TES** Framework Contract, **TEMPO** should evolve to comply with a newer release of ITIL and towards PM<sup>2</sup>, the internal project management methodology of the Commission.

**4.1.4 IT SYSTEMS**

**DG 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 of the IT systems are to:

- **Support the uniform management of the Customs Union and maintain the fluidity of the flow of goods at the border of the EU** through the availability of customs trans-European systems (TES), such as the New Computerised Transit System (NCTS), the Export Control System (ECS), and the Import Control System (ICS). 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, expiry of perishable goods, distortion in the application of legislation, increased risk of fraud and loss in revenue collection, etc.
- **Contribute to the fight against fraud:**
  - In the area of customs: **DG TAXUD**'s IT systems support the sharing of risk profiles amongst Member States and 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:
    - **VIES**: information in the field of VAT;
    - **Taxation on Savings**: information about savings income in the form of interest payments;
    - **DAC1** : information in the following categories:
      - Income from employment;
      - Director's fees;
      - Life insurance products not covered by other Union legal instruments on exchange of information and other similar measures;
      - Pensions;
      - Ownership of and income from immovable property.
    - **DAC2**: information about some categories of revenue that a beneficial owner who is a natural person received in a Member States in which he is not resident;
    - **DAC3**: information about advance cross-border rulings and advance pricing arrangements;
      - Administrative co-operation and mutual assistance;
      - Better control movement of excise goods across the EU.
- **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 the IT systems, on the Commission's Europa website. Some economic operators have integrated the availability of the information in their daily processes. Therefore, they heavily rely on these services. The success of these services is constantly increasing.

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Most of the IT systems of **DG TAXUD** are trans-European systems (TES) spanning all Member States of the EU. The users are the national administrations, the traders' communities, 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 website).

A TES is a collection of collaborating (orchestrated and choreographed) systems with responsibilities distributed across the National Administrations and the Commission. The concept of TES includes processes, applications, services, and infrastructure. There are two main architectural patterns of TES:

- **Distributed TES:** exchanges of information and IT services take place directly between the National Administrations at EU level (NA $\leftrightarrow$ NA). In this case, the system forms a set of interoperable business systems implemented and operated by the National Administrations; the National Administrations are meant to integrate into their own national systems according to the business processes agreed at EU level;

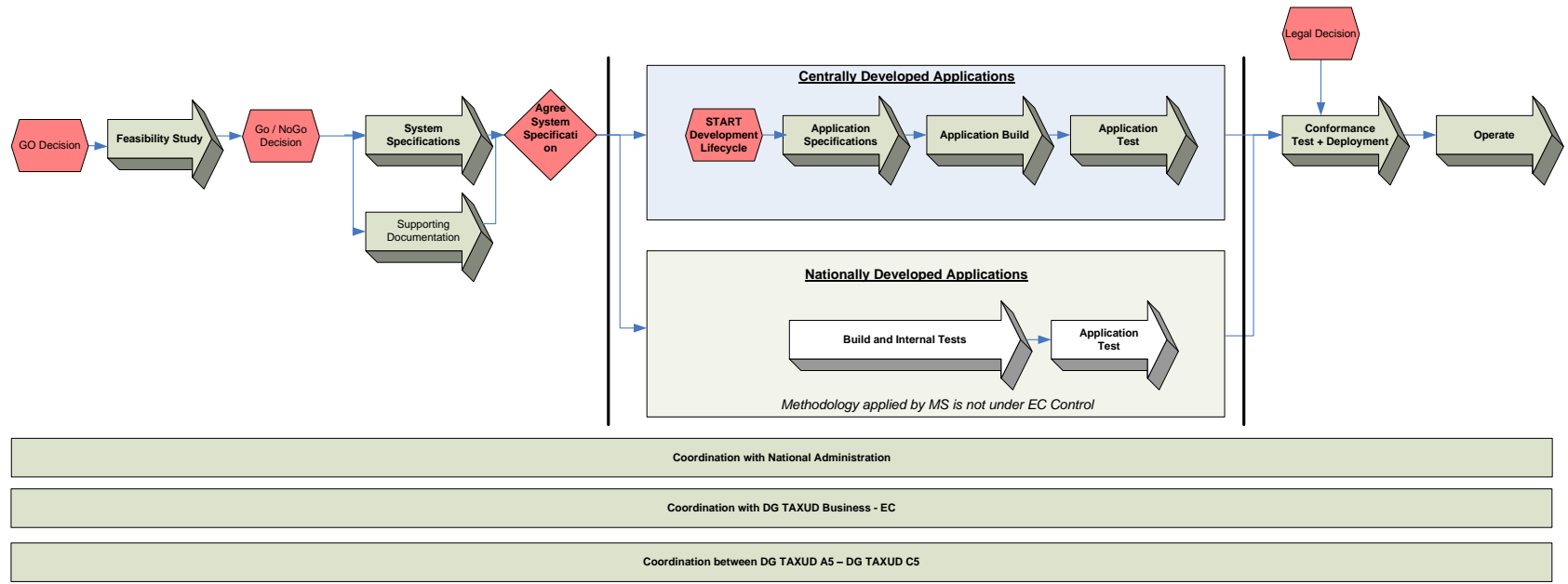
And/or

- **Centralised TES** (or 'Hub and Spoke' model): exchanges of information or IT Services take place between National Administrations and the Commission (NA $\leftrightarrow$ EC); business processes being orchestrated by a Central Application operated by the Commission.

Exchanges of information and IT services take place on a secured Common Communication Network (CCN currently migrating to CCN2), according to agreed systems specifications (defining protocols and data formats) and Terms of Collaboration (ToC) to comply with legal bases and meet policy objectives (e.g. export control, transit, excise control, VAT information exchange...). Each IT service, should it be under NA or Commission responsibility, is connected to the CCN/CSI network via an asynchronous queue, a mailbox, a web service, or a synchronous service.

The development of a TES constitutes a major project running over several years, the full description of which is available from **TEMPO** Trans-European Systems (TES) reference manual. The extract from the documentation provided below introduces the notion of the lifecycle and the respective phases of the trans-European system's development project.

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**Figure 1: Trans-European System Development Lifecycle**



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As examples of some IT systems, one 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 DAC2 system enables Member States to exchange information on some categories of revenues paid to individuals resident in other Member States;
- In the field of **excise**: Excise Movement and Control System (EMCS) allows for the control of movements of products falling under suspension arrangement of excise duties;
- In the field of **customs**: the Quota System enables to publish the tariff quotas and tariff ceiling to the trader community, the New Computerised Transit System (NCTS) enables the customs offices to automatically track and control the movements of goods in transit throughout the EU, the Export Control System (ECS) provides full control on the conclusion of export operations in particular when different Member States are involved, the Import Control System (ICS) is devoted to the import operations, the Surveillance System (SURV) 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.

The most recent operational system with high political visibility is the VAT Mini One Stop Shop (MOSS), which entered operation in the beginning of 2015. It allows a trader to declare electronic services VAT in its Member State and taxes to be collected in the area of consumption of these electronic services.

**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, to query authorised economic operators, to consult the list of transit customs offices, validate VAT numbers, to consult the main taxes in force in the EU Member States or to query excise numbers.

Overall, in 2015 the IT activities generated around 3.2 Billion of exchanges of information between the Member States and the Commission amounting for more than 4.7 Terabytes of information. This information exchange grew by 10 times over the last 5 years and represents an increase of +/- 15% over 2014. NCTS released over 10.18 million transit movements (slight decrease compared to 2014) and ECS handled close to 13.5 million movements (stable in comparison to 2014).

In 2009, 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. The success of this system led to the development of the more modern SPEED2 platform that ensures the secure data exchange with Third Countries. The TIR-Russia system in SPEED shall be migrated in 2015 to the SPEED2 platform, where already other systems are running (e.g. Single Window (EU SW-CVED), MRA China) or will be deployed in the coming months (e.g. FATCA Pilot, MRA with other countries systems).

#### **4.1.5 IT INFRASTRUCTURE**

##### **4.1.5.1 Common Communication Network (CCN)**

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 interoperability infrastructure (CCN/CSI) that **DG TAXUD** has developed and operated for more than 15 years across the Union and that transports a massive amount of messages and information exchanged, e.g. 3.2 billion messages, 4.7 Terabytes of information. Such an infrastructure, given its central role, is indeed a very 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 largest interoperability infrastructure linking the Commission and Member States, and probably among the largest administrative networks worldwide.

In total, the number of IT components across the Member States and the Commission interoperating as part of the Customs and taxation IT trans-European systems exceed 3.600.

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#### 4.1.5.2 **DG TAXUD Datacentres**

**DG TAXUD** adopted in June 2010 a sourcing strategy guiding in the consolidation of its computer infrastructures and operation to progress towards operational excellence. In view of this objective, **DG TAXUD** has set up two Tier IV level Data Centres in Luxembourg that allowed to create the IT infrastructure necessary to migrate its IT operational environments previously scattered among 3 locations. The development infrastructure is also gradually moved to **DG TAXUD**'s own data centres. This will favour a smoother transition from development to acceptance and production. The infrastructure will be operated by the **ITSM3 Operations** contractor.

#### 4.1.5.3 **DIGIT infrastructure services**

**DG TAXUD** makes extensive use of **DG DIGIT** infrastructure services. In fact, the majority of **DG TAXUD** central critical applications are hosted in **DIGIT** Data Centres. The intention is actually to gradually move most of these applications to **DG TAXUD** Data Centres.

**DG DIGIT** offers a complete Service Catalogue of services. The corresponding Infrastructure services used by **DG TAXUD** are summarised below:

- The **Application Housing service** is intended for Customers that need to run an application that is not available through IS hosting services. By using this service, Customers receive a data centre quality platform up to the Operating System (OS) level, compliant with DIGIT rules and standards, which enable them to install, run, and maintain their application.
- **Network infrastructure services** are also used by **DG TAXUD**, in this context it is important to note that all network flows to and from **DG DIGIT** are governed by Security Conventions that require to be maintained and updated in case of connectivity changes.

The award decision for the first Call for Tender for Cloud Services (CLOUD I) was signed in February 2016. This is the first decisive step for the European Commission towards the use of the Cloud for its own systems. The CLOUD I call for tender was divided into 3 lots:

- **Lot 1: Private Infrastructure as a Service (IaaS):** compute and storage facilities hosted by a single provider connected to the EC datacentres by a dedicated private network link;
- **Lot 2: Public Infrastructure as a Service (IaaS):** compute and storage facilities offered over the public Internet;
- **Lot 3: Public Platform as a Service (PaaS):** more than just storage and compute facilities, this lot also includes operating systems and/or database services built upon Cloud infrastructure.

The call imposes that all data and infrastructure are deployed on European Union territory only, for essential security and data protection reasons and to be compliant with EU data handling requirements.

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

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

The providers (and the services available) are mentioned in the award decisions:

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

#### 4.1.6 **IT COLLABORATION**

Reducing tax gaps, providing better services to the public and improving the effectiveness of their administration are on the top of the NAs agendas. As a result, international coordination and cooperation is growing between the EU Member States. In the face of the on-going changes in the field of Customs, VAT, Direct Taxation, Recovery, and Excise, substantial enhancements, and new developments in the area of IT are unavoidable. Taking also into account the budget constraints faced by public administrations, EU Member States agreed that

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the traditional way of developing similar functionalities 28 times is not an efficient use of public funds. Furthermore, such an approach will not cope with the challenging further developments of existing Taxation IT systems in a synchronised fashion.

A managed IT Collaboration allows increasing the number of shared IT activities between the Member States as well as increasing the number of reusable components across the Taxation silos. This reduces the costs for IT implementation, deployment, and operation in the Member States while offering increased agility in responding to the EU policy expectation.

**DG TAXUD** is supporting the NAs to organise IT Collaboration, Member States sharing and reusing of resources and knowledge for a common objective by facilitating and speeding up the development of working arrangements between Member States interested in IT Collaboration. Providing experience-based best practices can serve Member States as a starting point and create a common understanding of the scope and expectations.

Most of the IT collaboration activities are managed through IT Collaboration Projects Groups.

#### **4.1.7 IT SUPPORTING TOOLS**

##### **4.1.7.1 ARIS**

The Specifications phases of any **DG TAXUD** project create the foundation documents to be used throughout the development. The ARIS Business Process Management (BPM) tool provides features for modelling of specifications items and cartography of IT systems. It also generates outputs in standard interoperable formats, which facilitates the collaboration with National Administrations of the Member States.

The total amount of models increases every year, reaching 12.700 at the beginning of May 2016. A bit less than 100 users are modelling with ARIS, and 900 are reviewing the ARIS models (main group being the Member States users).

##### **4.1.7.2 SYNERGIA**

Synergia Service Manager is the **DG TAXUD** IT Service Management Tool (SMT) to support IT operations. It allows interchange of operational information and assignment of operational tasks related to the **DG TAXUD** systems, applications, and environments that are in scope of **ITSM2** Framework contracts. Synergia is used by **DG TAXUD**, the IT support teams of the various **TAXUD** subcontractors and other stakeholders (National Administrations). Synergia SMT is in production since June 2011. It includes Service Management Tool (SMT) based on HP service Manager, ITSM Portal to interface with Member States National Administrations, SAP Business Objects (BO) as the reporting tool, User Management Tool (UMT) and LDAP for user and access rights management.

## **4.2 Future developments**

IT priorities relate to the assurance of the functioning of the customs and fiscal policies through assurance of business continuity in its IT function. Nevertheless, major improvements of existing systems and implementation of new ones are foreseen in the coming years.

### **4.2.1 DIRECT AND INDIRECT TAXATION**

The scope of this section provides an overview of provisional IT activities foreseen in the Taxation and Excise areas in the next years. This strategy is aligned with the strategy of the business units and aims to tackle the tax-related inefficiencies and obstacles to cross-border economic activity in the Internal Market.

The start of several activities is conditioned by a 'go decision' date, which relies on the result of negotiations with Member States, for example in Tax Committees or Council. When the 'go decision' date has not been fixed yet, the planning assumes the most suitable date in order to spread the workload of the different projects over time.

For the coming years, the IT activities to be achieved in Taxation are articulated around the following main axis:

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1. **Indirect Taxation Related projects:** In the field of VAT, all proposals and new projects are aiming at addressing the significant increase of VAT requests on Europa increasing the efficiency of the internal market and safeguarding the tax base and national tax revenue. They are grouped in following main categories of projects, which all require operations and evolutive/corrective maintenance:
  - a. VAT eForms, for which a technological evolution from a distributed to a web application is ongoing, Multilateral Cooperation (EUROFISC), Invoicing Rules and VAT Rates Exchanges (both under TIC project);
  - b. VAT Refund and Mini-One-Stop-Shop (MOSS): It is likely that MOSS, covering electronic services, will evolve into a full One-Stop-Shop system, i.e. covering other goods and services, after 2020;
  - c. VIES and VIES-on-the-Web for which monitoring and performance improvements are ongoing;
  - d. The introduction of an EU VAT Portal, including a clear and binding list of goods and services not covered by MS standard rates (feasibility study ongoing);
  - e. The Self-Service Testing System (SSTS) supporting conformance testing, which will be incorporated in CTA (see below);
  - f. The Taxation Information and Communication (TIC);
  - g. The Taxation Statistics System (TSS);
  - h. The SCAC Statistics eForms (part of TIC).
  
2. **Recovery of Claims:**
  - a. Evolution of the forms to make them more easy to use and efficient, and a technological evolution from a distributed to a web application;
  - b. Recovery eForms will be extended to non-EU MS, pending a suitable legal base for this (see 4.b);
  - c. Given the increased number of notification assistance requests, and the need to ensure data protection when notifying tax documents abroad, it has been suggested to develop an EU electronic notification blackboard for notification of tax documents ('Portal for Official Registration of Tax Orders (PORTO)-notifications');
  - d. Vehicle information exchange: The development of automatic exchange of information with regard to vehicle registrations, with the EUCARIS system used as a basis. This may also be of interest to Indirect Taxation.
  
3. **Direct Taxation related projects.** The activities are articulated around four main axis:
  - a. The main axis of activity is oriented towards transparency.

In February 2013, OECD and G20 countries, working together on an equal footing, adopted a 15-point Action Plan to address Base Erosion and Profit Shifting (BEPS), some of these actions leading to automatic exchange of information (AEOI) between the tax jurisdictions. This is particularly the case for the exchanges of rulings that will take place under the BEPS Action 5 and the country by country reporting that will take place under BEPS Action 13. In September 2013, the G20 formally requested the OECD to develop a common reporting standard (CRS). The developed CRS was formally approved by the OECD and was subsequently endorsed by the G20 in September 2014.

The EU is following very closely the developments of AEOI under the OECD framework and in March 2013, the Council concluded in the need for close cooperation with the OECD and the G20 to develop internationally agreed standards for the prevention of BEPS and in particular its call for the European Union to coordinate its positions. As a consequence, in December 2014, the EU adopted the text of the CRS by amending the Directive on Administrative Cooperation (DAC2), in December 2015 a new amendment (DAC3) to cover the exchanges of rulings, and is about to adopt another amendment (DAC4) to cover the country by country reporting.

Both the OECD and the EU are therefore having a very similar approach, leading to very close practical measures to deal with tax erosion. Therefore, in several fora, the EU Member States have voiced for putting in place IT systems that would cover both the exchanges under the

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OECD framework and the EU legislation

- b. The second axis of activity relates to the improvements in the tools supporting the exchange of forms and the forms themselves, including the migration from the stand-alone Java nationally deployed application to the so-called eForm Central Application (eFCA: see below).
- c. The third axis of activity concerns the operations and evolutive maintenance of the existing systems such as TIN-on-the-Web, DAC1 and Taxation of Savings.
- d. The fourth axis of activities is oriented towards the facilitation of the exchanges between the Member States and third countries by setting in place appropriate communication channels. The Commission is for example working on interconnecting, via the SPEED2 platform, the CCN network to the IDES platform provided by the US IRS to support the FATCA exchanges. A similar activity will take place in the near future to interconnect with the CTS (Common Transmission System) that the OECD is putting in place to support the exchanges under the CRS and other BEPS actions. The Commission has also launched a study to investigate the possibility to extend CCN/Mail to cover the exchanges between the Member States and third countries.

The projects that may start in the short / medium terms are:

- i. Standard Audit File for Taxation (SAF-T);
- ii. Implementation of a EU Tax Identification Number (TIN) following the conclusion of the on-going feasibility study;
- iii. Cross-border Withholding Tax Relief at source: FISCO, the equivalent of the OECD TRACE (Treaty Relief and Compliance Enhancement) system.

4. **Other Taxation related projects:**

- a. The Taxes in Europe Database application (TEDBv2), aiming at providing the citizens with access to the information on the taxes, which is at the time of writing being reviewed to enhance the accuracy and relevance of the information it contains and as well the user experience (TEDBv3).;
  - b. An eForm Central Application project has been launched and will aim at reducing Member States deployment costs and efforts by centrally providing the eForms currently used in the VAT, Direct Taxation, and Recovery areas. This will also ensure homogeneity of the versions used by the MS. The Commission is also investigating how the eForms application could be extended to OECD Countries;
  - c. Financial Tax Transactions (FTT);
  - d. ORBIS – Central Server;
  - e. Effective Tax rates.
5. **Excise:** Future changes to EMCS and related excise business domains, including ‘duty paid’ need to be timed to align forthcoming legislative changes (possible revisions of Directive 2008/118/EC in 2016, possible changes to Council Regulation (EU) No.389/2012 in 2017, and the implementation of the Union Customs Code from 2016 to 2020).

To achieve a higher level of uniformity between legal provisions and IT implementation, and improved effectiveness and efficiency, excise makes use of the Business Process Modelling methodology, thus identifying automated and non-automated Excise Business Domains and the gaps between the automated business processes and their translation into functional requirements.

The Business Domains and related future potential projects are listed below:

- Currently automated Excise Business Domains and related activities:
  - EMCS Core business, consisting of Core business and Interfaces with Customs systems.
    - a. Implementation of bar code for the ARC on printout;

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- b. Definition of a uniform fall back document layout;
  - c. Definition of ‘journey time’;
  - d. Need for standard procedural simplifications for trusted traders, based on Article 31 of Directive 2008/118/EC;
  - e. Handling of exceptions, ‘time limit’ issues;
  - f. Establishing automated links between EMCS, the Export Control System (ECS), and national import system.
    - Administrative Cooperation;
      - a. Alignment of the data items and messages for administrative cooperation requests for duty paid and duty suspended goods;
      - b. Clarification of the gaps and the relationship between claims, guarantee management and the Recovery Directive;
    - Registration and Authorisation Data management - EMCS Economic Operator registration and reference data (SEED);
    - Customs Office List management and Reference Data management- CS/RD;
    - Statistics management and Availability management - Central Services/Management Information System for EMCS (CS/MISE);
    - EMCS Test Application, to be integrated in the CTA project (see below);
    - EMCS Converter.
  - Excise Business Domains, Candidates for Automation:
    - Duty Paid Business to Business;
    - Duty Paid Distance Selling;
    - Risk Management System;
    - Exemption management.
  - Excise Business Domains, the automation of which is currently not part of central planning (national or possible collaborative development projects):
    - Guarantee management;
    - User access management (except for Common Domain applications);
    - Business continuity management (except for Common Domain applications).
  - Other possible functionalities supporting non-automated Excise business domains or non-excise requirements
    - Support for carrying of Agricultural compliance information;
    - Tobacco track and trace.
6. **Common projects.** With Communication COM(2012)722 final, the Commission presented an action plan and set out how it is possible to improve tax compliance and reduce fraud and evasion, through better use of existing instruments and the adoption of pending Commission proposals. It also emphasised the rationalisation of the IT tools with the aim to reduce IT costs for the Member States. Moreover, other projects are foreseen to improve the IT collaboration of Member States Administrations on delivering their national projects or to de-silo taxation domains. The main projects foreseen in the next years are the following:
- a. Housing of FITSDEV3 development environment;
  - b. Housing of MS development environment for IT collaboration projects;
  - c. Conformance Test Application (CTA). This will support all conformance-testing activities for trans-European systems across all areas of Taxation and Customs. It will support preparing, executing, monitoring, and reporting the conformance test activities of National Administrations. Automation of conformance testing for National Administration using their trader interface may be envisaged where applicable.

**4.2.2 CUSTOMS**

The **ITSM3 TES** does **not** have in its scope the management of the lifecycle of the customs central business applications. Nevertheless, the Commission reserves its right during the lifetime of the Framework Contract to

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place – partially<sup>4</sup> or totally – under the services of the **ITSM3 TES** contractor any of the existing and/or future customs central business applications. Therefore, it is important that **ITSM3 TES** contractor stays aware of the existence of all customs applications of the Commission placed under the management of the **ITSM3 Operations** contractor and of the MASP (Multi-Annual Strategic Plan)<sup>5</sup> to maintain a holistic understanding of the IT services ecosystem in which it has to deliver its services. Information about the existing Customs applications and the future developments are available in [R4].

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<sup>4</sup> Customs Central applications might use partially the services of **ITSM3 TES**. At the time this technical annex is written, decision has just been taken to implement additional services delivered by **ITSM2 Lot2** on top of the application management layer managed by **ITSM2 Lot1** for the customs applications COPIS, EOS and CRMS. The supporting vision documents are provided in the **ITSM2 Lot2** Baseline.

<sup>5</sup> MASP can be found in the **ITSM2 Lot1** baseline.

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## 5 Services provided by the incumbent contractor

The **ITSM2 Lot 2** services may be summarised as follows (refer to the **ITSM2 Lot2** Technical Annex [R5] for a detailed list and description):

- Trans-European systems management (applying same processes as for application management);
- Content management for the web-based communication with the National Administrations (via CIRCA, EUROPA, Lot 1 web tool...);
- Upon request, remote and on-site technical support to National Administrations;
- Second line support for trans-European systems, the first line being provided by **ITSM2 Lot1** contractor;
- Support **DG TAXUD** for ensuring business relationship management with the National Administrations (business modelling, business monitoring, project follow-up);
- Support **DG TAXUD** for liaison with the National Administrations (coordination meetings and missions, training);
- Plan the deployment of the Trans-European systems;
- Testing:
  - Management and performance of the conformance testing (with the National Administrations), relying on the test applications when available;
  - Performance of the functional tests of the applications part of the trans-European systems (e.g. test application to be used during the CT campaigns);
- Coordination with the National Administrations (follow-up of national IT planning, testing, deployment...);
- Operations of the trans-European systems, IT Services and TESH tools under Lot 2 scope:
  - Monitoring;
  - Statistics and reporting;
- Security and Business Continuity coordination;
- Technical reviews of deliverables from other contractors (e.g. studies, specifications, application testing reports, operations reports, ...);
- Support **DG TAXUD** in tactical and strategic planning, relying on all available sources of information (**ITSM2 Lot2** consolidated planning, National Administrations planning, other contractors' planning...).

Even if **ITSM2 Lot2** was not meant to develop software a specific Work Package (**WP.7 – Development of TESH tools**) was foreseen to undertake some ad-hoc development activities to fill gaps in the portfolio of IT services of **DG TAXUD**. This WP was never used.

The **ITSM3 TES** call for tender is the successor of **ITSM2 Lot2** Framework contract signed in August 2012, with the following major exceptions:

- Reorganisation of the Work Packages to increase the readability of the **ITSM3 TES** services. **Annex 1** of this document provides a correspondence matrix mapping **ITSM2 Lot2** and **ITSM3 TES services and deliverables**;
- Better description of **DG TAXUD** expectations per Work Package;
- Revamping of SQI/KPI per Work Package;
- Addition of internal incident, change and risks management processes focused on **ITSM3 TES** services and distinct from the support processes of TES;
- The update of the FQP becomes a continuous service and the CQP is no longer requested;
- The Continuous Services of activities now include activities that were covered by yearly RfAs on **ITSM2 Lot 2** (National Deviation, Specimen Management System support, eCustoms annual report and CUSUMS BUSINESS STATISTICS (CUBUS) for NCTS, ECS and ICS);
- **Introduction of Transformation Projects**, to which the **ITSM3 TES** contractor will have to contribute.



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## 6 Pricing Model and volumetric estimates

### 6.1 Pricing model

The pricing model is divided in four categories:

- Continuous Services;
- On-Demand Services;
- Quoted Time and Means;
- Travels & Subsistence.

#### 6.1.1 CONTINUOUS SERVICES

Continuous Services are the services that take place on a daily basis. They are covered by a Fixed Price (FP) for the duration of a Specific Contract (SC). The fixed price (FP) elements target to acquire a certain capacity from the **ITSM3 TES** contractor to provide the service of the day-to-day activities whilst being able to level out peak activities. These activities are FP and are referred to hereinafter as 'continuous services'.

The price of the Continuous Services is based on contract metrics (also called 'service parameters' and defined in the **Annex 3 'Price Table'**), which are evaluated at the beginning of a Specific Contract, during the Request for Offer lifecycle as described in the **Annex 2a 'Technical Annex'**. The service parameters consumptions are reported on a monthly basis, in the MSR.

Each service parameter is linked to a Work Package WP.X.Y and the price of a service parameter is intended per quarter, based on the BASIC service windows. **DG TAXUD** might request ad-hoc extension of some of the services to NIGHT or WEEKEND or FULL service windows.

The values of the Service Parameters over the lifetime of **ITSM2 Lot2** contract are included in the **Annex 10 – Baseline**.

#### 6.1.2 ON-DEMAND SERVICES

Some services and deliverables are requested on an ad-hoc basis, typically workshops, trainings, or meetings. On-Demand services take place on explicit request by **DG TAXUD** and are covered by a Request for Action (RfA) identifying the number of units requested per Work Package / Service or per Work Package / Deliverable.

The evolution of the On-demand service and deliverables over the lifetime of **ITSM2 Lot2** contract is included in the **Annex 10 – Baseline** – provides information about the Service Parameters of the Continuous Services. The **Annex 3 - Price table** provides the best estimates by **DG TAXUD** with regard to volumes that the **ITSM3 TES** contractor will have to face during the life of the FWC.

#### 6.1.3 QUOTED TIME AND MEANS

Per Profile services correspond to activities that cannot be covered by Continuous or On-Demand services, and will be used on an exceptional base. They take place on explicit request by **DG TAXUD** and should be covered by a Fixed Price (FP) per profile, in the context of an RfA.

#### 6.1.4 TRAVELS AND SUBSISTENCE

Travels and subsistence costs are reimbursed according to the Article I.5.3. Reimbursement of expenses of the **Annex 9 - Model framework contract**.

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## 6.2 Explanations to fill in the Annex 3 'Price table' to the Tendering Specifications

The Total Budgetary Provision (TBP) is the budgetary provision necessary to perform all the activities and to provide all specified services and deliverables according the estimated quantities over the maximum duration of the framework contract. The TBP is the upper limit of budget that the Commission will engage over the duration of the framework contract.

The Commission provides the estimated quantities for the duration of the framework contract in order to proceed to the financial comparison of the financial offers received and to calculate the ceiling of the framework contract. The estimated quantities provide as well an indication of the upper bound of the services quantities that the Commission envisages to order over the duration of the contract. The Commission does not take any commitment to order the totality of the estimated quantities set in the spreadsheets. During the validity of the framework contract, the Commission will order quantities of services according its understanding of its needs at the time of the request for offer for the Specific contracts, Request for Actions or Quoted Time and Means.

The budgeted quantities provided in the sheet are the resulting sum for each metric when applied over the whole scope of the framework contract, across all business threads, all TES and all ITS. They are an upper limit for what will be eventually ordered in several deliverables during the duration of the framework contract. They are based on a duration of 32 quarters for continuous services and are resulting from a sum over these 32 quarters (not an average!!!).

Tenderers must complete annex "**a3\_price\_table.xlsx**" provided in the tender package of the Commission, referred to hereafter as 'the price table'. The tenderers must deliver the price table on paper and electronically:

- The paper version of this price table must be provided in a separate binder or folder, clearly labelled;
- The electronic version of the price table must be provided on a separate hard support (CD/DVD-ROM/USB Key), also clearly labelled.

The tenderer must fill in the **blue cells** in the price table. The yellow cells are the results of calculation and the orange ones are values set by the Commission (estimation of quantities). The tenderer is not allowed to change either the estimated quantities or the embedded formulas and formats of the price table, unless otherwise requested by **DG TAXUD**. The price table contains the necessary formulas to calculate automatically the ceiling of the framework contract. All cells are locked and protected against change except for the ones to be filled in by the tenderer. The tenderer must refer to the **Annex 2a 'Technical Annex'** for a detailed description of the services, deliverables, and related Work Packages.

The tenderer is and remains responsible for the correctness of all the pricing information in its offer. The attention of the tenderer is drawn to the fact that the price table is provided as it is by the Commission, without guarantee of any sort. The Commission disclaims any responsibility in case of damage incurred when using it.

The Total Budget Provision (TBP) is divided into the following components (refer to the **TBP** sheet of the price table):

### 6.2.1 TBP/IS-OO - SERVICES AND DELIVERABLES PRICED AT "ONE OFF" PRICE

The unit prices are to be entered by the tenderer in the 'TBP' sheet of the price table.

The price for Takeover has to be all-inclusive and shall cover:

- All services and deliverables as defined in the WP.1.1 – Takeover per Business Thread of the Annex 2a – Technical Annex;
- The related travel and subsistence costs to the incumbent ITSM2 Lot2 contractor's premises in Athens, to DG TAXUD's or any other contractor (ITSM2 Lot1, QA...) premises in Brussels or to DG TAXUD Data Centres in Luxembourg.

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## 6.2.2 TBP/IS-CS - CONTINUOUS SERVICES

They cover the whole of the Continuous Services listed in the 'TBPIS-CS' sheet of the price table. The tenderer must specify its price for Continuous Services, in the 'TBPIS-CS Pricing' sheet as a sum of:

- a flat rate per quarter, and
- a set of quantity (metric) per quarter multiplied by an associated unit price.

The sum is automatically copied in the 'TBP' worksheet.

**DG TAXUD** has selected the set of units of quotation with the aim of restricting it to those that can be easily quantified and unambiguously counted. The tender may quote unit prices for some or all of the entries proposed for the metrics. The tender is free to select the metrics of its choice amongst those proposed in the price table to elaborate the pricing model. The tender will leave the unit price to 0 for those metrics it considers as irrelevant for the pricing model. The metrics are defined in the sheet 'Continuous Services Parameters' of the price table 'a3\_price\_table.xlsx'.

## 6.2.3 TBP/IS-OD - SERVICES AND DELIVERABLES PRICED PER UNIT

The tender must specify its unit prices of services and deliverables in the 'TBP' sheet of the price table. Refer to the Technical annex for the definition/description of the unit of services and deliverables.

## 6.2.4 TBP/IS-EXT - SERVICES AND DELIVERABLES DELIVERED ON AN EXTENDED TIME COVERAGE PRICED PER UNIT

The tender must specify its unit prices of services and deliverables in the 'TBP' sheet of the price table. Refer to the Technical annex for the definition/description of the unit of services and deliverables.

## 6.2.5 TBP/IS-QTM - SERVICES AND DELIVERABLES PRICED PER AVERAGE PROFILE UNIT PRICE

A set of Work Packages are to be priced on the basis of the unit price per man-day of the team average profile (Pqa (Quality Assurance), Psec (Security), Pdepl (Deployment), Pbus (Business), Pbussec (Business & Security), Ptool (T€SM tools) and Ptest (Tester). The tenderer must specify in the 'Profile Pi Pricing' sheet the weighted average of its own profiles that builds up the daily price for each average profile. The tenderer is invited to add as many entries as required (up to a maximum of 35) for its own profiles. The resulting prices for the average profile are automatically transferred from the 'Profile Pi Pricing' sheet into the 'TBP' sheet of the price table.

The Tenderer has also to enter the percentage to be applied on the daily price for services to be delivered during **NIGHT, WEEKEND and FULL** service windows<sup>6</sup>, upon request of the Commission.

**The profiles must be the same as those referred to in Section 4.3.2 last bullet and Section 5.2.1 last bullet of Annex 1 – Questionnaire.**

## 6.2.6 TBP/IS-TO - CORRECTIVE MAINTENANCE OF THE ACCEPTED T€SM TOOLS PRICE

To be expressed per quarter as percentage of the price of accepted T€SM tools and their specifications, to be specified by the tenderer in the 'TBP' sheet of the price table.

## 6.2.7 TBP/IS-OTH - PROVISION FOR WP.7 - OTHER DELIVERABLES & SERVICES IN THE SCOPE OF THE CONTRACT

Set by **DG TAXUD**.

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<sup>6</sup> As defined in §6.1 - Service windows of Annex 2a – ITSM3 TES Technical Specifications

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#### **6.2.8 TBP/IS-MGT - MANAGEMENT COSTS AS A PERCENTAGE OF ALL SERVICES AND DELIVERABLES**

This entry covers the pricing of the block of work packages, deliverables and services enumerated in the 'Management' sheet as single management overhead to be applied on top of the TBP/IS excluding Management costs. The tenderer must enter its offer regarding the management percentage into the 'TBP' sheet of the price table.

#### **6.2.9 TBP/T&S - TRAVEL & SUBSISTENCE COSTS REIMBURSEMENT**

Set by **DG TAXUD**.

#### **6.2.10 TBP/TP - TOTAL BUDGETARY PROVISION TO COVER DG TAXUD MAXIMUM CONTRIBUTION TO TRANSFORMATION PROJECTS**

Set by **DG TAXUD**.

#### **6.2.11 TBP-CONT - CONTINGENCY**

15% overall contingency set by **DG TAXUD**.

### **6.3 Volumetric estimates**

The **Annex 3 'Price table'** provides the best estimates by **DG TAXUD** with regard to volumes that the **ITSM3 TES** contractor will have to face during the life of the FWC. The Commission provides these estimates in order to proceed to the financial comparison of the financial offers received and to estimate the upper bound of the budget of the FWC. The estimated quantities provide as well an indication of the upper bound of the services quantities that the Commission envisages to order over the duration of the contract. The Commission does not take any commitment to order the totality of the estimated quantities set in the spreadsheets. During the validity of the framework contract, the Commission will order quantities of services according its understanding of its needs at the time of the request for offer for the Specific contracts, Request for Actions or Quoted Time and Means.

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## 7 Governance of the ITSM3 TES Framework contract

### 7.1 Contract and Demand management rules

The horizontal Sector **PS 'Resources and governance'** of the IT unit **C5 'Taxation Systems & IT Compliance'** will be in charge of the management of the relationship between **DG TAXUD** and the **ITSM3 TES** contractor.<sup>7</sup>

#### 7.1.1 INITIAL SET-UP (AND MAINTENANCE) OF THE QUANTITIES TO BE ORDERED IN A SPECIFIC CONTRACT

The overall quantities (service parameters for continuous services and number of On-Demand units) are estimated by the contractor at the time of preparation of the new specific contract to be signed, based on figures experienced from the past and of discussions with each sector about the perspectives. A provision is foreseen to cover travel and subsistence costs reimbursement.

Once the specific contract is signed, services with unit price are available for consumption and the follow-up by the contractor of the corresponding quantities starts (weekly coordination meeting with PS sector). As soon as a specific quantity for a given service is about to be fully consumed, an RFA may be issued by PS sector to ensure continuity of service, according to revised estimates provided by the contractor;

#### 7.1.2 SIGNATURE OF SPECIFIC CONTRACTS

**PS sector** manages the issuing of Request for Offer in collaboration with the other sectors. **Unit R1** in **DG TAXUD** (contractual and financial matters) will be responsible for the specific contract signature process.

#### 7.1.3 DEMAND MANAGEMENT PROCESS

**PS sector** will monitor the overall quantities consumption and regularly request business sectors to update the forecast of their needs.

**ITSM3 TES** contractor shall send alerts to **PS Sector** in due time in case of a potential shortfall. This risk should be limited by weekly meetings between PS sector and **ITSM3 TES** contractor. During the BMM, the demand will be reviewed by **DG TAXUD** and the **ITSM3 TES** contractor and compared against the actual supply.

#### 7.1.4 CONSUMPTION OF ORDERED SERVICES

The consumptions of ordered services are under the responsibility of the sectors. As a rule, no activity can be started on contractor's side without the appropriate contractual coverage.

#### 7.1.5 ORDERING OF ADDITIONAL SERVICES (RfE/RfA PROCESS)

**PS sector** manages the issuing of RfE and RfA in collaboration with the other sectors. The concerned sectors are involved in the review of offers

#### 7.1.6 PAPERLESS ELECTRONIC MEANS

Paperless electronic means may be put in place during the lifetime of the Framework contract to manage totally / partially the financial process (RfO, RfE, RfA and Invoicing).

**The ITSM3 TES contractor will have to adapt its internal procedures to these new procedures or tools without additional costs.**

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<sup>7</sup> Refer to §2.1 – IT organisation in DG TAXUD of the Tendering Specifications [R1]

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## 7.2 Progress follow-up

### 7.2.1 MPR/MSR AND BMM

**PS sector** organises the review of the monthly progress, services reports (MPR and MSR), and organises the progress meeting (BMM, Bilateral Monthly Meeting). The agenda and the timing of the BMM are discussed beforehand between the contractor and **PS sector**.

Sectors from units **C5/A5/A3** are invited to review the monthly progress and services reports dedicated to its business (in particular to verify in the MPR the consumed quantities, the dates of services, the deliverables to be accepted), and sends their comments to **ITSM3 TES** contractor directly. They are also invited to the BMM.

### 7.2.2 STEERING COMMITTEE

A quarterly Steering Committee is organised between the Head of Unit **C5** and the contractor, focusing on the strategic aspects of the contract and the risk management. By default, **PS sector** attends the steering committee meetings and represents the other sectors. A specific sector may attend the steering committee meeting e.g. in case of major issue.

Usually one or two preparatory meetings between the contractor and the **PS sector** are planned the month before the Steering Committee to ensure a good alignment between contractor and **DG TAXUD** expectations.

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## 8 Annex 1 – Mapping ITSM3 TES services with ITSM2 Lot2 services

WP#	Service / Deliverable	Description of the Service / Deliverable	ITSM2 Lot2 WP	ITSM2 Lot2 SE / DLV
WP.0.1	SE.0.1.1	Continuous maintenance of the FQP, its annexes and IWPs	WP.0.1	NEW SERVICE
WP.0.1	DLV.0.1.2	1st version of Framework Quality Plan (FQP), its annexes and IWPs along with an FQP test plan and its FAT report (Bundled with DLV.1.1.3.2.x)	WP.0.1	DLV.0.1.1
WP.0.1	DLV.0.1.3	Maintenance version of the FQP, its annexes and IWPs	WP.0.1	NEW DELIVERABLE
WP.0.1	DLV.0.1.4	Evolutive version of the FQP, its annexes and IWPs	WP.0.1	DLV.0.1.2
WP.0.2	DLV.0.2.1	Forecasts on Service Parameters	WP.0.4	NEW DELIVERABLE
WP.0.2	DLV.0.2.2	SC Offer	WP.0.4	DLV.0.4.1
WP.0.3	DLV.0.3.1	RFA Offer	WP.0.4	DLV.0.4.2
WP.0.3	DLV.0.3.1.x.y	Interim or Closure Report for RfA-QTM x, milestone y	WP.0.4	NEW DELIVERABLE
WP.0.4.1	SE.0.4.1.1	Demand Management across all threads	WP.0.11	SE.0.11.1
WP.0.4.1	DLV.0.4.1.2	Demand Schedule across all threads (annexed to the MPR)	WP.0.11	DLV.0.11.2
WP.0.4.1	DLV.0.4.1.3	Monthly Forecast report across all threads (annexed to the MPR)	WP.0.11	NEW DELIVERABLE
WP.0.4.1	DLV.0.4.1.4.x	Closure Report for RfA-OD x	WP.0.11	NEW DELIVERABLE
WP.0.4.2	SE.0.4.2.1	Demand management for DG TAXUD IT services needed by ITSM3 TES contractor	WP.0.12	SE.0.12.1
WP.0.4.2	DLV.0.4.2.2	Demand schedule for DG TAXUD IT services needed by ITSM3 TES contractor (annexed to the MPR)	WP.0.12	DLV.0.12.2
WP.0.4.2	DLV.0.4.2.3	Monthly Forecast report for DG TAXUD IT services needed by ITSM3 TES contractor (annexed to the MPR)	WP.0.12	NEW DELIVERABLE
WP.0.4.2	DLV.0.4.2.4.x	Closure Report for RfA-OD x	WP.0.11	NEW DELIVERABLE
WP.0.5.1	SE.0.5.1.1	Internal Quality Assurance (QA)	WP.0.5	SE.0.5.1
WP.0.5.1	DLV.0.5.1.2	Quality records, filed in contractor's premises, on request from the Commission	WP.0.5	DLV.0.5.1.1
WP.0.5.2	SE.0.5.2.1	Internal Quality Control (QC)	WP.0.5	SE.0.5.1
WP.0.5.2	DLV.0.5.2.2	Quality Control checks, filed in contractor's premises, on request from the Commission	WP.0.5	DLV.0.5.1.1
WP.0.5.3	DLV.0.5.3.1	Self-Assessments reports	WP.0.5.4	DLV.0.5.4.1
WP.0.5.3	DLV.0.5.3.2	Internal Audit reports	WP.0.5.5	DLV.0.5.4.2
WP.0.6	SE.0.6.1	Internal Risk Management	WP.0.5	SE.0.5.1

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WP.0.6	DLV.0.6.2	Internal risk analysis records, in contractor's premises, on request from the Commission.	WP.0.5.3	DLV.0.5.3.1
WP.0.6	DLV.0.6.3	Internal Risk Register (annexed to the MPR)	WP.0.5.3	DLV.0.7
WP.0.7	SE.0.7.1	Internal Incident Management	NEW WP	NEW SERVICE
WP.0.7	DLV.0.7.2	Incident Log (annexed to the MPR)	NEW WP	NEW DELIVERABLE
WP.0.7	DLV.0.7.3	Complaint Log (annexed to the MPR)	NEW WP	NEW DELIVERABLE
WP.0.8	SE.0.8.1	Internal Change Management	NEW WP	NEW DELIVERABLE
WP.0.8	DLV.0.8.2	Change Log (annexed to the MPR)	NEW WP	NEW DELIVERABLE
WP.0.8	DLV.0.8.3	Change Impact Analysis report containing: - the due diligence report; - The service plan; - The detailed implementation plan; - The financial impact.	NEW WP	NEW DELIVERABLE
WP.0.9.1	SE.0.9.1.1	Attendance at Steerco, BMM and weekly meetings	WP.0.6	SE.0.6.1 SE.0.6.6 SE.0.6.8
WP.0.9.1	SE.0.9.1.2	Attendance at ad-hoc meetings	WP.0.6	SE.0.6.2
WP.0.9.1	SE.0.9.1.3	Implementation of actions agreed with the Commission	WP.0.6	SE.0.6.7
WP.0.9.1	DLV.0.9.1.4	Agenda of Steering Meeting (including supporting material)	WP.0.6	DLV.0.6.3
WP.0.9.1	DLV.0.9.1.5	Minutes of Steering Committee	WP.0.6	DLV.0.6.5
WP.0.9.1	DLV.0.9.1.6	Agenda of Bilateral Monthly Meeting	WP.0.6	DLV.0.6.3
WP.0.9.1	DLV.0.9.1.7	Minutes of Bilateral Monthly Meetings (annexed to the SfA of the MPR)	WP.0.6	DLV.0.6.4
WP.0.9.1	DLV.0.9.1.8	Minutes of weekly and adhoc meetings	WP.0.6	DLV.0.6.5
WP.0.9.1	DLV.0.9.1.9	Action log (annexed to the MPR)	WP.0.7	DLV.0.7
WP.0.9.2	SE.0.9.2.1	Co-operate with the Commission (and any third party elected by it) during quality, process and security audits	WP.0.9	SE.0.9.1
WP.0.9.2	SE.0.9.2.2	Implementation of actions agreed by the ITSM3 TES contractor at the outcome of the audit.	WP.0.9	SE.0.9.3
WP.0.9.2	DLV.0.9.2.3	Positions of the ITSM3 TES contractor on the audit report	WP.0.9	DLV.0.9.2



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WP.0.A.1	DLV.0.A.1.1	Monthly Progress Report, bundled with all Monthly Service Reports.	WP.0.7	DLV.0.7 DLV.8.1 DLV.8.2
WP.0.A.2	SE.0.A.2.1	Keep the planning of the ITSM3 TES contractor activities up to date and available to the Commission for information.	WP.0.8	SE.0.8.2
WP.0.A.2	DLV.0.A.2.2	Monthly Planning with updated activities, services and deliverables (annexed to the MPR)	WP.0.8	DLV.0.8.1
WP.0.B.1	DLV.0.B.1.1	Quarterly DVD-ROM with all deliverables from the past quarter in the context of each SC	WP.0.10.1	DLV.0.10.1
WP.0.B.2	DLV.0.B.2.1	DVD-ROM with the full baseline of ITSM3 TES contractor since the start of the contract	WP.0.10.2	DLV.0.10.2
WP.1.1.2	DLV.1.1.2.1.x	Takeover plan per business thread (including support threads)	WP.2.1	DLV.2.1.1-x
WP.1.1.2	DLV.1.1.2.2.x	Takeover FAT Test plan per business thread (including support threads)	WP.2.1	NEW DELIVERABLE
WP.1.1.3	SE.1.1.3.1.x	Takeover per business thread (including support threads)	WP.2.1	SE.2.1.3-x
WP.1.1.3	DLV.1.1.3.2.x	Takeover FAT report per business thread (including support threads)	WP.2.1	DLV.2.1.2-x
WP.1.1.3	DLV.1.1.3.3.x	SAT report of the ICT Infrastructure	WP.2.1	DLV.2.1.2-x
WP.1.2.1	DLV.1.2.1.1.x	Handover Plan per business thread (including support threads)	WP.2.2	DLV.2.2.1-x
WP.1.2.1	DLV.1.2.1.2.x	Handover FAT test plan per business thread (including support threads)	WP.2.2	DLV.2.2.2-x
WP.1.2.1	DLV.1.2.1.3.x	Handover SAT test plan per business thread (including support threads)	WP.2.2	DLV.2.2.3-x
WP.1.2.2	SE.1.2.2.1.x	Handover per business thread (including support threads)	WP.2.2	SE.2.2.1-x
WP.1.2.2	DLV.1.2.2.2.x	Handover FAT Report per business thread (including support threads)	WP.2.2	NEW DELIVERABLE
WP.1.2.2	DLV.1.2.2.3.x	Handover SAT Report per business thread (including support threads)	WP.2.2	NEW DELIVERABLE
WP.1.2.3	SE.1.2.3.1	Provision of training and support to a third party	WP.2.2	NEW SERVICE
WP.1.2.4	SE.1.2.4.1.x	"After Handover" support per business thread	WP.2.2	SE.2.2.4-x
WP.1.2.4	DLV.1.2.4.2.x	Final Hand-over report	WP.2.2	DLV.2.2.5-x
WP.1.2.5	SE.1.2.5.1.x	Handover exercise (per business thread)	WP.2.2	NEW DELIVERABLE
WP.1.2.5	DLV.1.2.5.2.x	Handover exercise Plan (and update)	WP.2.2	NEW DELIVERABLE
WP.1.2.5	DLV.1.2.5.3.x	Handover exercise FAT test plan (and update)	WP.2.2	NEW DELIVERABLE
WP.1.2.5	DLV.1.2.5.4.x	Handover exercise SAT test plan (and update)	WP.2.2	NEW DELIVERABLE

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WP.1.2.5	DLV.1.2.5.5.x	Handover exercise FAT test report	WP.2.2	NEW DELIVERABLE
WP.1.2.5	DLV.1.2.5.6.x	Handover exercise SAT test report	WP.2.2	NEW DELIVERABLE
WP.2.1.1	SE.2.1.1.1	Continual Service Improvement of ITSM3 TES Services	WP.8.7	SE.8.7.2
WP.2.1.1	DLV.2.1.1.2	CSIP production and maintenance (Quarterly delivery)	WP.8.7	DLV.8.7.3
WP.2.1.1	DLV.2.1.1.3	Monthly service report regarding CSIP tactical planning (annexed to the MPR)	WP.8.7	DLV.8.7.1
WP.2.1.1	DLV.2.1.1.4	Yearly Maturity Assessment	NEW WP	NEW DELIVERABLE
WP.2.1.2	SE.2.1.2.1	Contribution to the harmonization of processes, procedures and tools	NEW WP	NEW SERVICE
WP.2.1.2	DLV.2.1.2.2	Addendum to the CSIP production and maintenance (Quarterly delivery) as referred in WP.2.1.1 - Continual Service Improvement of ITSM3 Services	NEW WP	NEW DELIVERABLE
WP.2.1.3	SE.2.1.3.1	Contribution to the optimisation of TES	WP.8.4.1.6	SE.8.4.1.6.1
WP.2.1.3	DLV.2.1.3.2	Addendum to the CSIP production and maintenance (Quarterly delivery) as referred in WP.2.1.1 - Continual Service Improvement of ITSM3 Services	WP.8.7	DLV.8.7.3
WP.3.1.1	SE.3.1.1.1	Co-ordination between development and service management	WP.8.4.1.2.1 WP.8.4.2.2.1	SE.8.4.1.2.1 SE.8.4.2.2.1 SE.8.4.3.2.1
WP.3.1.2	SE.3.1.2.1	Attendance at review meetings to clarify review comments issued	WP.8.4.1.2.2	SE.8.4.1.2.2.2 SE.8.4.2.2.3
WP.3.1.2	DLV.3.1.2.2	Technical review reports of artefacts submitted for review by the Commission or other contractors, containing the list of review comments	WP.8.4.1.2.2	DLV.8.4.1.2.2.1 DLV.8.4.2.2.2
WP.3.2.1	SE.3.2.1.1	Coordination of the NAs, the Commission and other contractors	WP.8.4.2.2	SE.8.4.1.3.1 SE.8.4.2.2.1
WP.3.2.2	SE.3.2.2.1	Functional and Technical Support of the NAs	WP.8.4.1.3	SE.8.4.1.5.1 SE.8.4.2.5.1
WP.3.2.3	SE.3.2.3.1	Conformance Testing monitoring	WP.8.4.1.3	SE.8.4.1.3.1 SE.8.4.1.3.6
WP.3.2.3	SE.3.2.3.2	Ad-hoc Conformance Testing support	WP.8.4.1.3	SE.8.4.1.3.1 SE.8.4.1.3.1

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<b>WP#</b>	<b>Service / Deliverable</b>	<b>Description of the Service / Deliverable</b>	<b>ITSM2 Lot2 WP</b>	<b>ITSM2 Lot2 SE / DLV</b>
WP.3.2.3	DLV.3.2.3.3.y	Conformance Test Mode 2 <ul style="list-style-type: none"> <li>• Pre-Conformance test report per NA preCT (y=1)</li> <li>• Conformance test report per NA CT (y=2)</li> <li>• Conformance test campaign report (y=3)</li> <li>• Weekly status report</li> </ul>	WP.8.4.1.3	DLV.8.4.1.3.1.y
WP.3.2.3	DLV.3.2.3.4	Conformance test organisation (CTOD) document, submitted to a review cycle by the NAs.	WP.8.4.1.3	DLV.8.4.1.3.2
WP.3.2.3	DLV.3.2.3.5	Template for a Start of Operations check list	WP.8.4.1.3	DLV.8.4.1.3.3
WP.3.2.3	DLV.3.2.3.6	Start of Operations check list	WP.8.4.1.3	DLV.8.4.1.3.4
WP.3.2.3	DLV.3.2.3.7	Frequently Asked Questions (pertaining to CT), kept up to date and available on line for the stakeholders involved in the Conformance Test campaign.	WP.8.4.1.3	DLV.8.4.1.3.5
WP.3.2.3	DLV.3.2.3.8	Result of the NA survey	WP.8.4.1.3	NEW DELIVERABLE
WP.3.2.4	SE.3.2.4.1	CTA support	NEW WP	NEW DELIVERABLE
WP.3.2.5	DLV.3.2.5.1	National deviation per Business Thread / TES (Annexed to the MSR)	WP.8.4.1.3	NEW DELIVERABLE
WP.3.3.1	SE.3.3.1.1	Coordination of the NAs, the Commission and other contractors	WP.8.4.1.2.1	SE.8.4.2.3.1 SE.8.4.3.3.1
WP.3.3.1	DLV.3.3.1.2	IT Service deployment plan	WP.8.4.1.3	NEW DELIVERABLE
WP.3.3.2	SE.3.3.2.1	Ad-hoc Attendance at FAT	NEW WP	NEW DELIVERABLE
WP.3.3.2	DLV.3.3.2.2	FAT - Addendum to the test plan and test specifications	NEW WP	NEW DELIVERABLE
WP.3.3.3	SE.3.3.3.1	Ad-hoc Attendance at PreSAT	NEW WP	NEW DELIVERABLE
WP.3.3.4	SE.3.3.4.1	Ad-hoc Attendance at SAT	NEW WP	NEW DELIVERABLE
WP.3.3.4	DLV.3.3.4.2	SAT - Addendum to the test plan and test specifications	NEW WP	NEW DELIVERABLE
WP.3.3.5	SE.3.3.5.1	Functional Testing	WP.8.4.2.3	SE.8.4.2.3.1 SE.8.4.3.3.1
WP.3.3.5	DLV.3.3.5.2.x	Functional testing <ul style="list-style-type: none"> <li>• Addendum to the test plan and test specifications (x=0)</li> <li>• Comprehensive functional test report (x=1);</li> <li>• Functional qualification report (x=2)</li> </ul>	WP.8.4.2.3	DLV.8.4.2.3.1.y

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WP.3.4	SE.3.4.1	Populate SMT/CMDB, maintain its data up to date and improve the CMDB for all CI's in the scope of the contract.	WP.8.1.5	SE.8.1.5
WP.3.5	SE.3.5.1	Change Management, including creation/update/follow-up of the RfCs in the SMT/CMDB, management of the CAB, and production of Release scope document and RfC lists in line with information in SMT/CMDB and availability of the schedule of changes	WP.8.1.6	SE.8.1.6.1 SE.8.1.6.2
WP.3.5	SE.3.5.2	Release Management, including creation/update of release records in the SMT/CMDB, availability of the release schedule.	WP.8.1.6	SE.8.1.6.3
WP.3.5	DLV.3.5.3.x	Manage the CAB meeting: <ul style="list-style-type: none"> <li>• Briefing (x=1)</li> <li>• Agenda (x=2)</li> <li>• Facilitation and attendance</li> <li>• Minutes (x=3)</li> </ul> Or run the CAB by written procedure	WP.8.1.6	DLV.8.1.6.2.y
WP.3.5	DLV.3.5.4	List of Request for Changes per CI	WP.8.1.6	NEW DELIVERABLE
WP.3.5	DLV.3.5.5	Release scope document	WP.8.1.6	NEW DELIVERABLE
WP.3.6.1	SE.3.6.1.1	Event monitoring	WP.8.4.1.4	SE.8.4.1.4.1
WP.3.6.2	SE.3.6.2.1	Update Operational Production data	WP.8.4.2.4	SE.8.4.2.4.1
WP.3.6.3	SE.3.6.3.1	Business monitoring and Statistics	WP.8.3.1.1	SE.8.3.1.1.1
WP.3.6.3	SE.3.6.3.2	Daily and weekly report on monitoring business operations and statistics	WP.8.3.1.1	SE.8.3.1.1.2 SE.8.4.1.4.2
WP.3.6.3	DLV.3.6.3.3	Monthly Service Report - Reporting on business monitoring and statistics	WP.8.3.1.1	DLV.8.3.1.1.3
WP.3.6.3	DLV.3.6.3.4	Quarterly Service Report - Reporting on business monitoring and statistics	WP.8.3.1.1	DLV.8.3.1.1.3
WP.3.6.3	DLV.3.6.3.5	Ad hoc business analysis and reporting	WP.8.3.1.1	DLV.8.3.1.1.4
WP.3.7.1	SE.3.7.1.1	Second level SD and associated support team available during the basic time coverage	WP.8.1.1	SE.8.1.1.1
WP.3.7.1	SE.3.7.1.2	Management of the contact list for external users (NAs, traders) and Distribution list per Business Threads / TES / IT Services	NEW WP	NEW SERVICE
WP.3.7.1	DLV.3.7.1.3	Contact list for the NAs and Traders	NEW WP	NEW DELIVERABLE
WP.3.7.1	DLV.3.7.1.4	Distribution list per Business Threads / TES / IT Services	NEW WP	NEW DELIVERABLE

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WP.3.7.2	SE.3.7.2.1	2nd level incident management, including ensuring integrity of the SMT/CMDB from an incident perspective.	WP.8.1.2	SE.8.1.2
WP.3.7.3	SE.3.7.3.1	Problem management, including ensuring integrity of the SMT/CMDB from a problem perspective	WP.8.1.4	SE.8.1.4
WP.3.7.3	DLV.3.7.3.2	Ex-post analysis of critical incidents	WP.8.1.2	NEW DELIVERABLE
WP.3.7.3	DLV.3.7.3.3	Weekly Dashboard per TES	NEW WP	NEW DELIVERABLE
WP.3.7.4	SE.3.7.4.1	Service Request Management from inception to closure	WP.8.1.3.1	SE.8.1.3.1
WP.3.7.5	SE.3.7.5.1	Access Right management to the IT services	WP.8.1.3.2	SE.8.1.3.2
WP.3.7.6	SE.3.7.6.1	Remote support	WP.8.1.3.4	SE.8.1.3.4 SE.8.4.3.5.1
WP.3.7.6	SE.3.7.6.2	On-site technical support including: <ul style="list-style-type: none"> <li>• Deliver the agenda</li> <li>• Preparation of the on-site support material</li> <li>• Performance</li> <li>• Mission report</li> </ul>	WP.8.1.3.5	SE.8.1.3.5
WP.3.7.6	SE.3.7.6.3	Ad-hoc support	WP.8.1.3.6	SE.8.1.3.6
WP.3.6.3	SE.3.7,6,4	Frequently asked questions related to operation for each TES and ITS in operation available up to date on line.	WP.8.3.1.1	SE.8.4.1.4.3 SE.8.4.2.4.2
WP.3.8.1	SE.3.8.1.1	Organise, facilitate and minute conference calls/virtual meetings/video conference, including the provision of the supporting telco services	WP.8.1.3.3	SE.8.1.3.3
WP.3.8.2	SE.3.8.2.1	Web mastering the web environments for the supported business threads.	WP.8.1.1.2	SE.8.1.1.2
WP.3.8.3	SE.3.8.3.1	General support/maintenance of the SMS application	NEW WP (QTM on ITSM2 Lot2)	NEW SERVICE (QTM on ITSM2 Lot2)
WP.3.8.3	SE.3.8.3.2	Process the Data Input Requests (DIR)	NEW WP (QTM on ITSM2 Lot2)	NEW SERVICE (QTM on ITSM2 Lot2)
WP.3.8.3	DLV.3.8.3.3	SMS Monthly Service Report	NEW WP (QTM on ITSM2 Lot2)	NEW SERVICE (QTM on ITSM2 Lot2)

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WP.3.8.4	SE.3.8.4.1.x	Processing of statistical information coming from the Member States	NEW WP (QTM on ITSM2 Lot2)	NEW SERVICE (QTM on ITSM2 Lot2)
WP.4.1.1	SE.4.1.1.1	TES and associated IT services portfolio management, up to date portfolio available on-line	WP.8.4.1.1	SE.8.4.1.1.1 SE.8.4.2.1.1
WP.4.1.2	SE.4.1.2.1	Support IT Collaboration activities: <ul style="list-style-type: none"> <li>• Consolidated project planning;</li> <li>• Consolidated action lists;</li> <li>• Communication and interaction with Member States regarding planning and actions;</li> <li>• Periodic coordination calls.</li> </ul>	NEW WP (QTM on ITSM2 Lot2)	NEW SERVICE (QTM on ITSM2 Lot2)
WP.4.1.3	SE.4.1.3.1	Capacity Management of the TES	WP.8.2.2	SE.8.2.2.1
WP.4.1.3	DLV.4.1.3.2	Monthly Service Report - Capacity statistics	WP.8.2.2	DLV.8.2.2.1
WP.4.1.3	DLV.4.1.3.3	Evolutionary maintenance of Capacity plan for the trans-European systems including review cycle with the NAs	WP.8.2.2	DLV.8.2.2.3
WP.4.1.4	SE.4.1.4.1	Availability Management of the TES	WP.8.2.4	SE.8.2.4.1
WP.4.1.4	DLV.4.1.4.2	Monthly Service Report - Availability	WP.8.2.4	DLV.8.2.4.2
WP.4.1.4	DLV.4.1.4.3	Evolutionary version of the Availability Plan for the trans-European IT services, including review cycle with the NAs	WP.8.2.4	DLV.8.2.4.4
WP.4.2.1	SE.4.2.1.1	MCP Maintenance per business thread	WP.8.3.4.1	SE.8.3.4.1.1
WP.4.2.1	DLV.4.2.1.2	Monthly Consolidated Plan (and all its views as defined in WP.4.2.1) per business thread	WP.8.3.4.1	DLV.8.3.4.1.2
WP.4.2.2	SE.4.2.2.1	ITOP Update per business thread	NEW WP	NEW SERVICE
WP.4.2.3	SE.4.2.3.1	Produce on-demand TES Progress and Status Reports	WP.8.3.4.2	NEW SERVICE
WP.4.2.3	DLV.4.2.3.2	TES Progress and Status Reports	WP.8.3.4.2	DLV.8.3.4.2.1
WP.4.2.4	DLV.4.2.4.1	TES Risk Register (annexed to the MPR)	WP.0.7	DLV.0.7
WP.4.3.1	SE.4.3.1	Service Level Management	WP.8.2.1	SE.8.2.1.1
WP.4.3.1	DLV.4.3.1.1	Service Report, including exceptions about the services from the Commission per customer/user community within each business thread and support threads against SLAs (annexed to the MSR)	WP.8.2.1	DLV.8.2.1.2
WP.4.3.1	DLV.4.3.1.2	Evolutionary maintenance of Service Catalogues & SLAs	WP.8.2.1.2	DLV.8.2.1.2.2

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WP.4.3.2	DLV.4.3.2.1	Service Report, including exceptions about the services exchanged amongst NAs and Commission across the Common Domain, per business thread and support thread, against Terms of Collaboration (annexed to the MSR)	WP.8.2.1	DLV.8.2.1.2
WP.4.3.2	DLV.4.3.2.2	Evolutionary version of Terms of Collaboration	WP.8.2.1.4	DLV.8.2.1.4.2
WP.4.3.3	SE.4.3.3.1	Periodic survey of each of the National Administrations	WP.8.3.1.2	SE.8.3.1.2.1
WP.4.3.3	DLV.4.3.3.2	Bi-yearly periodic briefing report on "voice surveys"	WP.8.3.1.2	DLV.8.3.1.2.1
WP.4.3.3	DLV.4.3.3.3	Yearly NA satisfaction survey material and planning	WP.8.3.1.2	DLV.8.3.1.2.2
WP.4.3.3	DLV.4.3.3.4	Yearly NA satisfaction survey report	WP.8.3.1.2	DLV.8.3.1.2.2
WP.4.3.4	SE.4.3.4.1	Periodic survey of each of DG TAXUD roles	NEW WP	NEW SERVICE
WP.4.3.4	DLV.4.3.4.2	Quarterly periodic briefing report on "voice surveys"	NEW WP	NEW SERVICE
WP.4.3.4	DLV.4.3.4.3	Yearly DG TAXUD roles satisfaction survey material and planning	NEW WP	NEW SERVICE
WP.4.3.4	DLV.4.3.4.4	Yearly DG TAXUD roles satisfaction survey report	NEW WP	NEW SERVICE
WP.4.3.5	SE.4.3.5.1	Monitor and report on contractual OLA	WP.8.2.1.3	SE.8.2.1.3
WP.4.3.5	DLV.4.3.5.2	Monthly Service Report, including exceptions about the services provided by the ITSM3 TES contractor, per business thread and support thread as applicable against contractual OLA (annexed to the MSR)	WP.8.2.1	DLV.8.2.1.2
WP.4.3.6	SE. 4.3.6.1	Monitor and report on the service quality of the IT services delivered to the ITSM3 TES contractor (OLAs)	WP.8.2.1.3	SE.8.2.1.3
WP.4.3.6	DLV.4.3.6.2	Monthly Service Report, including exceptions about the services provided by third parties, per business thread and support thread, as appropriate, against OLAs (annexed to the MSR)	WP.8.2.1	DLV.8.2.1.2
WP.4.4.1	DLV.4.4.x	NAs Progress Reports	NEW WP	NEW DELIVERABLE
WP.4.5.1	SE.4.5.1.1	NA Working group meeting - Performance	WP.8.3.2.1	SE.8.3.2.1.6
WP.4.5.1	SE.4.5.1.2	NA Working group meeting - Attendance	WP.8.3.2.1	SE.8.3.2.1.7
WP.4.5.1	DLV.4.5.1.3	NA Working group meeting - Draft agenda	WP.8.3.2.1	DLV.8.3.2.1.1
WP.4.5.1	DLV.4.5.1.4	NA Working group meeting - Briefing	WP.8.3.2.1	DLV.8.3.2.1.2
WP.4.5.1	DLV.4.5.1.5	NA Working group meeting - Summary Record including list of actions & agreements	WP.8.3.2.1	DLV.8.3.2.1.3
WP.4.5.1	DLV.4.5.1.6	NA Working group meeting - Minutes	WP.8.3.2.1	DLV.8.3.2.1.4
WP.4.5.1	DLV.4.5.1.7	NA Working group meeting – Preparation of material	WP.8.3.2.1	DLV.8.3.2.1.5



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WP.4.5.2	SE.4.5.2.1	SMM - Attendance	WP.8.3.2.3	SE.8.3.2.3.4
WP.4.5.2	DLV.4.5.2.2	SMM - Agenda	WP.8.3.2.3	DLV.8.3.2.3.3
WP.4.5.2	DLV.4.5.2.3	SMM - Briefing	WP.8.3.2.3	DLV.8.3.2.3.2
WP.4.5.2	DLV.4.5.2.4	SMM - Minutes	WP.8.3.2.3	DLV.8.3.2.3.1
WP.4.5.3	SE.4.5.3.1	Coordination Mission - Performance	WP.8.3.2.4	SE.8.3.2.4.5
WP.4.5.3	DLV.4.5.3.2	Co-ordination Mission – Preparation of material	WP.8.3.2.4	DLV.8.3.2.4.1
WP.4.5.3	DLV.4.5.3.3	Co-ordination Mission - Agenda	WP.8.3.2.4	DLV.8.3.2.4.2
WP.4.5.3	DLV.4.5.3.4	Coordination Mission- Briefing	WP.8.3.2.4	DLV.8.3.2.4.3
WP.4.5.3	DLV.4.5.3.5	Coordination Mission – Report and evaluation	WP.8.3.2.4	DLV.8.3.2.4.4
WP.4.5.4	SE.4.5.4.1	On-site Training /workshop - Performance	WP.8.3.2.5	SE.8.3.2.5.5
WP.4.5.4	SE.4.5.4.2	On-site Training/workshop - Attendance	WP.8.3.2.5	SE.8.3.2.5.6
WP.4.5.4	SE.4.5.4.3	On-site Training/workshop - Hosting Facilities and infrastructure: Medium sized meeting room at contractor's premises (one delegate per NA plus 20% extra for Commission and its contractors)	WP.8.3.2.5	SE.8.3.2.5.7
WP.4.5.4	SE.4.5.4.4	On-site Training/workshop - Hosting Facilities and infrastructure: Big sized meeting room at contractor's premises (two delegates per NA plus 20% extra for Commission and its contractors)	WP.8.3.2.5	SE.8.3.2.5.7
WP.4.5.4	SE.4.5.4.5	Webinar - Set-up and operation of the Platform	NEW WP	NEW SERVICE
WP.4.5.4	DLV.4.5.4.6	On-site Training/workshop - Preparation material	WP.8.3.2.5	DLV.8.3.2.5.1
WP.4.5.4	DLV.4.5.4.7	On-site Training/workshop - Agenda	WP.8.3.2.5	DLV.8.3.2.5.2
WP.4.5.4	DLV.4.5.4.8	On-site Training/workshop - Briefing	WP.8.3.2.5	DLV.8.3.2.5.3
WP.4.5.4	DLV.4.5.4.9	On-site Training/workshop - Evaluation and report (including video recording of the training session if requested)	WP.8.3.2.5	DLV.8.3.2.5.4
WP.4.5.4	DLV.4.5.4.10	Webinar - Preparation material	NEW WP	NEW SERVICE
WP.4.5.4	DLV.4.5.4.11	Webinar - Agenda	NEW WP	NEW SERVICE
WP.4.5.4	DLV.4.5.4.12	Webinar - Briefing	NEW WP	NEW SERVICE
WP.4.5.4	DLV.4.5.4.13	Webinar- Evaluation and report	NEW WP	NEW SERVICE
WP.4.5.5	SE.4.5.5.1	Technical Meetings with the Commission or other third parties - Conference call	WP.8.3.2.2	NEW SERVICE



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WP.4.5.5	SE.4.5.5.2	Technical Meetings with the Commission or other third parties - Physical Attendance	WP.8.3.2.2	SE.8.3.2.2.2
WP.4.5.5	DLV.4.5.5.3	Technical Meetings with the Commission or other third parties - Minutes	WP.8.3.2.2	DLV.8.3.2.2.1
WP.5.1.1	SE.5.1.1.1	Security management of Contractor's services	WP.8.5	SE.8.5.2
WP.5.1.1	DLV.5.1.1.2	Monthly service report regarding Security of Contractor's Services (annexed to the MSR)	WP.8.5.1	DLV.8.5.1.1
WP.5.1.1	DLV.5.1.1.3	Initial security plan for contractor services, addressing Risk Assessment & Analysis, Security Policy, Security Controls, Security process (Bundled with DLV.1.1.3.2.x)	WP.8.5.1	DLV.8.5.1.2
WP.5.1.1	DLV.5.1.1.4	Maintenance version of the security plan for contractor services, addressing Risk Assessment & Analysis, Security Policy, Security Controls, Security process	WP.8.5.1	<b>NEW DELIVERABLE</b>
WP.5.1.1	DLV.5.1.1.5	Evolutive version of the Security plan for contractor services, addressing Risk Assessment & Analysis, Security Policy, Security Controls, Security process	WP.8.5.1	DLV.8.5.1.3
WP.5.1.2	SE.5.1.2.1	Security management of TES	WP.8.5.2	SE.8.5.2
WP.5.1.2	DLV.5.1.1.2	Monthly service report regarding Security of TES (annexed to the MSR)	WP.8.5.2	DLV.8.5.1.1
WP.5.1.2	DLV.5.1.2.3	Evolutive version of the Security Plan for the Trans-European Systems, including review cycle with the NAs	WP.8.5.2	DLV.8.5.2.2
WP.5.2.1	SE.5.2.1.1	Implementation, deployment and management of the ITSM3 TES contractor IT service continuity plan	WP.8.2.3	SE.8.2.3.1 SE.8.2.3.1.3
WP.5.2.1	SE.5.2.1.2	Testing of the IT service continuity plan for the ITSM3 TES contractor IT services: • Prepare; • Manage and co-ordinate.	WP.8.2.3	SE.8.2.3.1.4
WP.5.2.1	DLV.5.2.1.3	Monthly service report regarding Continuity of Contractor's services (annexed to the MSR)	WP.8.2.3	DLV.8.2.3.1.4.y
WP.5.2.1	DLV.5.2.1.4	Initial Business Continuity Plan (BCP) for the services delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP) (Bundled with DLV.1.1.3.2.x)	WP.8.2.3	DLV.8.2.3.1.1
WP.5.2.1	DLV.5.2.1.5	Maintenance of the Business Continuity Plan (BCP) for the service delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP)	WP.8.2.3	<b>NEW DELIVERABLE</b>
WP.5.2.1	DLV.5.2.1.6	Evolutive maintenance of the Business Continuity Plan (BCP) for the services delivered by the ITSM3 TES contractor, including risk analysis and Disaster Recovery Plan (DRP)	WP.8.2.3	DLV.8.2.3.1.2

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WP.5.2.1	DLV.5.2.1.6.x	Testing of the IT service continuity plan for the ITSM3 TES contractor IT services: <ul style="list-style-type: none"> <li>• Plan, test plan (x=1);</li> <li>• Test report (x=2).</li> </ul>	WP.8.2.3	DLV.8.2.3.1.4.x
WP.5.2.2	SE.5.2.2.1	Deployment & management of the IT service continuity plan for the Trans-European IT Systems	WP.8.2.3	SE.8.2.3.2.3
WP.5.2.2	SE.5.2.2.2	Testing of the IT service continuity plan for the Trans-European IT Systems: <ul style="list-style-type: none"> <li>• Prepare;</li> <li>• Manage and co-ordinate.</li> </ul>	WP.8.2.3	SE.8.2.3.2.4
WP.5.2.2	DLV.5.2.2.3	Monthly service report regarding Continuity of TES (annexed to the MSR)	WP.8.2.3	DLV.8.2.3.2
WP.5.2.2	DLV.5.2.2.4	Evolutive maintenance of the IT Service Continuity plan for the Trans-European Systems including review cycle with the NAs	WP.8.2.3	DLV.8.2.3.2.2
WP.5.2.2	DLV.5.2.2.5.x	Testing of the IT service continuity plan for the Trans-European IT Systems: <ul style="list-style-type: none"> <li>• Plan, test plan (x=1);</li> <li>• Test report (x=2).</li> </ul>	WP.8.2.3	DLV.8.2.3.2.4.x
WP.6.1	DLV.6.1.1	Monthly service report regarding the Specifications activities for the TESM tools (Annexed to the MPR)	WP.7	DLV.7.0
WP.6.1	DLV.6.1.2.x	Specification deliverables, as per TEMPO: <ul style="list-style-type: none"> <li>• Feasibility Studies;</li> <li>• Business processes model;</li> <li>• System Requirement Definition (functional, non-functional/usability) (SRD);</li> <li>• Functional Specifications (FS);</li> <li>• Technical Specifications (TS);</li> <li>• Acceptance Test Specification (ATS).</li> </ul> Costs include the period of guarantee as specified in the contract	WP.7.1	DLV.7.1
WP.6.2	DLV.6.2.1	Monthly service report regarding the Development, Build and deployment activities for the TESM tools (Annexed to the MPR)	WP.7	DLV.7.0

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TAXUD ITSM3 TES – ANNEX 2a – TECHNICAL ANNEX	
Section: Annex 1 – Mapping ITSM3 TES services with ITSM2 Lot2 services	

WP#	Service / Deliverable	Description of the Service / Deliverable	ITSM2 Lot2 WP	ITSM2 Lot2 SE / DLV
WP.6.2	DLV.6.2.2.x	<p>Deliverables related to Design, Build &amp; Deployment support, as per TEMPO:</p> <ul style="list-style-type: none"> <li>• Design documentation, including the System Requirement Overview;</li> <li>• Detailed design, including the interface specification with other applications,</li> <li>• Test plan, test cases, test data, test configuration specification,</li> <li>• Infrastructure requirement;</li> <li>• Documented source code and associated documentation and quality metrics;</li> <li>• Support documentation and training material addressing infrastructure requirements, installation procedures, user and service provision manual;</li> <li>• The FAT report and FAT'ed version, submitted for preSAT;</li> <li>• Training deployment, operation and technical support on the application to be deployed;</li> <li>• Problem fixes during preSAT,</li> <li>• Application &amp; documentation submitted for SAT</li> </ul> <p>Costs include the period of guarantee as specified in the contract</p>	WP.7.2	DLV.7.2
WP.6.3	SE.6.3.1	Corrective maintenance of all artefacts delivered under WP.6.1 and WP.6.2, under the control of the incident/problem/change/release management processes.	WP.7.3	SE.7.3
WP.6.3	DLV.6.3.2	Monthly service report regarding the corrective maintenance activities for the TESM tools (Annexed to the MPR)	WP.7	DLV.7.0
WP.6.4	SE.6.4.1	Operation of TESM tools	WP.8.4.3.4	SE.8.4.3.4.1
WP.6.4	DLV.6.4.2	Monthly service report regarding the operation activities for the TESM tools (Annexed to the MPR)	WP.8.5.1	DLV.8.5.5.1
WP.7	SE.7.x.y	Other services in the scope of the contract	WP.10	SE.10.x
WP.7	DLV.7.x.y	Other deliverables in the scope of the contract	WP.10	DLV.10.x
WP.8.1	SE.8.1.1.x	Incident Management of a CI during NIGHT service Windows	WP.8.8.2	SE.8.8.2.2
WP.8.1	SE.8.1.2.x	Incident Management of a CI during WEEK-END service Windows	WP.8.8.2	SE.8.8.2.1
WP.8.1	SE.8.1.3.x	Incident Management of a CI during FULL service Windows	WP.8.8.2	SE.8.8.2.3
WP.8.1	DLV.8.1.4.x	End of action report	WP.8.8.2	<b>NEW DELIVERABLE</b>
WP.8.2	SE.8.2.1.x	Sanity-check of ITSM3 Operations deployment during NIGHT Service Windows	WP.8.8.2	SE.8.8.2.2
WP.8.2	SE.8.2.2.x	Sanity-check of ITSM3 Operations deployment during WEEK-END Service Windows	WP.8.8.2	SE.8.8.2.1

<b>TAXUD/C5 – INVITATION TO TENDER TAXUD/2016/AO-0x</b>	<b>REF: ITSM3-TES-TA</b>
<b>TAXUD ITSM3 TES – ANNEX 2a – TECHNICAL ANNEX</b>	
<b>Section: Annex 1 – Mapping ITSM3 TES services with ITSM2 Lot2 services</b>	

<b>WP#</b>	<b>Service / Deliverable</b>	<b>Description of the Service / Deliverable</b>	<b>ITSM2 Lot2 WP</b>	<b>ITSM2 Lot2 SE / DLV</b>
WP.8.2	SE.8.2.3.x	Sanity-check of ITSM3 Operations deployment during FULL Service Windows	WP.8.8.2	SE.8.8.2.3
WP.8.3	DLV.8.2.3.x	End of action report	WP.8.8.2	<b>NEW DELIVERABLE</b>

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