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ITSM

SUBJECT:

Service Level Agreement for the Service Desks of the Customs Trans-European Systems between National Administrations and DG TAXUD

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SPECIFIC CONTRACT 05

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TABLE OF CONTENTS

1. INTRODUCTION 7
1.1 DOCUMENT PURPOSE 7
1.2 TARGET AUDIENCE 7
1.3 STRUCTURE OF THIS DOCUMENT 8
1.4 TERMINOLOGY 8
1.5 REFERENCE AND APPLICABLE DOCUMENTS 13
1.6 HOW TO READ THE PROCESS DIAGRAMS? 14
2. SCOPE AND OBJECTIVES OF THE NATIONAL SERVICE DESKS 16
2.1 SCOPE OF THE NATIONAL SERVICE DESKS 16
2.2 OBJECTIVES OF THE NATIONAL SERVICE DESK 16
3. SERVICE DESK MINIMAL REQUIREMENTS 17
4. CONTEXT OF THE SERVICE DESK 18
4.1 THE E-CUSTOMS CONTEXT 18
4.2 CALL/INCIDENTS TO THE NATIONAL SERVICE DESK 20
4.3 NSD INTERFACE WITH THE CENTRAL SERVICE DESK 20
4.4 NSD INTERFACE WITH OTHER NATIONAL SERVICE DESKS 20
4.5 EXTERNAL INTERFACES OF THE NATIONAL SERVICE DESK 21
5. NATIONAL SERVICE DESK MANAGEMENT 22
5.1 SETTING-UP THE NATIONAL SERVICE DESK 22
5.2 NSD TEAM ORGANISATION 23
5.3 NSD SERVICE MANAGEMENT 24
5.4 QUALITY MANAGEMENT 26
6. SERVICE DESK PROCEDURES 28
6.1 FALLBACK MANAGEMENT 28
6.2 NCA CONFIGURATION MANAGEMENT 28
6.3 MAINTENANCE OF THE CONTACT MAPS 28
6.4 CALL/INCIDENT MANAGEMENT 29
APPENDIX A. SERVICES FOR THE CUSTOMS TRANS-EUROPEAN SYSTEMS (TES) – SLA APPLICABILITY 34
APPENDIX B. WORKING HOURS OF THE SERVICE DESKS 36
APPENDIX C. SERVICE DESK TARGETS FOR THE CUSTOMS TRANS-EUROPEAN SYSTEMS 37
APPENDIX D. REPORTING ON THE SERVICE DESK TARGETS FOR THE CUSTOMS TRANS-EUROPEAN SYSTEMS 39
APPENDIX E. CALL/INCIDENT MANAGEMENT – PROCESSES 41

LIST OF TABLES

Table 1: List of acronyms and abbreviations 11
Table 2: Glossary of Terms 13
Table 3: Reference Documents 13
Table 4: Applicable Documents 14
Table 5: Business Process Modelling Notation 15
Table 6: National Service Desk Minimal Requirements 17
Table 7: Contact details of the CSD 24
Table 8: contact points for the NSDs (links to CIRCABC web site) 25
Table 9: National Service Desk deliverables 26
Table 10: National Service Desk call priorities 30
Table 11: The possible values of the call Status 31
Table 12: Time frames for reminders 33
Table 13: Services for the Customs TES – National Administrations 34
Table 14: Services for the Customs TES – DG TAXUD 35
Table 15: NSD - Target and limit values for sending the ACK and for the call/incident management. 37
Table 16: CSD - Target and limit values for call/incident management and action analysis 38

LIST OF FIGURES

Figure 1: Relationship of the NSD with the other e-Customs involved parties 19
Figure 2: High level process flow of the Central 1st level Service Desk 41
Figure 3: High level process flow of the Central 2nd level Service Desk 43
Figure 4: High level process flow of the Central 3rd level Service Desk 46
Figure 5: High level process flow of the Call/Incident Closure process 48

1. INTRODUCTION

This document is the Service Level Agreement (SLA) for the Service Desk(s) – National and Central - operations for all the *Customs trans-European systems* (TES). The document must be read as the extension of the *Terms of Collaboration* between the participants of the Customs TES (see [AD1]), document accepted by the National Administrations and the Commission.

This document replaces the document that defined the requirements for the NCTS National Service Desk[1], to cover not only the NCTS domain, but also other Customs TES projects (including the transit, export and import business by the economic operators).

1.1 Document Purpose

The purpose of the document is to define a substantial set of mandatory requirements that all National Service Desks (NSDs) and the Central Service Desk (CSD) must satisfy in common. This SLA defines the interface between the Central Service Desk (CSD) and the NSDs, as well as between the NSDs of different National Administrations. In addition, the Appendix A lists the services covered by this SLA, and the Appendix B defines when the National Service Desks are available via phone. The document also sets the target and limit values for the call/incident acknowledgement and for the call/incident management to be performed by both the NSD and the CSD (Appendix C), and how the reporting is performed (Appendix D). Finally, the document presents the call/incident management process flows for the Central Service Desk 1st, 2nd and 3rd Levels Service Desks (Appendix E) and the 'Guidelines for the National Service Desk Set-up and Operation for Customs Trans-European Systems' for the National Service Desk [RD03].

This document does not discuss the interface procedures between the NSD and the Economic Operators. This is defined at national level, and may or may not be linked to the standard procedures of each NSD.

The SLA document frequently refers to the 'Guidelines for the National Service Desk Set-up and Operation for Customs Trans-European Systems' [RD03] which was initially created in the NCTS context, and updated to take into account the past experience.

1.2 Target Audience

Readers of this document are assumed to have read the *Terms of Collaboration* and to:

- Have a comprehension of the e-Customs operational environment;
- Understand the interactions with the CSD for matters related to requests for support;
- Be familiar with the ITSM Portal, CIRCABC and the services that are offered by those.

The intended audience for this document is:

- for the National Administrations:
  - the National Project Managers (NPM);
  - the National Operations teams.
- for DG TAXUD:
  - the members of the Central Project Team (CPT);
  - the management of DG TAXUD IT Units;

[1] '*National Helpdesk Requirements'* (TCE-NHD-L1CRD) becomes obsolete.

- the IT Service Level Manager of DG TAXUD.

and any individual, organisation, third party or General Directorate of the European Commission, including the European Anti-Fraud Office (OLAF) and the Directorate General for Health and Food Safety (DG SANTE), involved in providing the service for the Customs TES.

1.3 Structure of this Document

This document is structured as follows:

Chapter 1: provides an introduction, presenting the content of the SLA;

Chapter 2: defines the scope, objectives of the National Service Desk activities;

Chapter 3: describes the minimal requirement for any NSD;

Chapter 4: describes the context in which the Service Desks will work;

Chapter 5: explains how the NA should set up and manage their NSD;

Chapter 6: list how the Service Desks should manage the calls/incidents, a contact map and the configuration information;

Appendix A: lists the Customs TES for which the various parties will set up and operate a Service Desk, meeting this service level agreement;

Appendix B: lists the business days and hours of the National Service Desks in the participating countries;

Appendix C: lists the targets for the availability, the call/incident management and the management of the information related to the national configurations;

Appendix D: defines the reporting performed by the Commission and the NAs;

Appendix E: illustrates various key processes related to the call/incident management that could be adopted by Central Service Desks.

1.4 Terminology

1.4.1 Acronyms and Abbreviations

A list of acronyms and abbreviations used in this document follows in the table below.

Abbreviation or Acronym	Description
ACK	Acknowledgment
AEO	Authorised Economic Operator
AG	Assignment Group (in SYNERGIA SMT)
BPMN	Business Process Modelling Notation
CCN/CSI	Common Communication Network/Common Systems Interface
CCN2	Common Communications Network 2 (middleware)
CDCO	Centrally Developed Centrally Operated
CDMS	Customs Decisions Management System
CET	Central European Time
CI	Configuration Item

Abbreviation or Acronym	Description
CIRCABC	Portal of collaborative workspace for partners of the European Institutions
COL	Customs Office List
COPIS	anti-COunterfeit and anti-Piracy Information System
COTS	Commercial Off the Shelf Software
CPT	Central Project Team
CS/MIS	Central Services / Management Information System
CS/RD	Central Services / Reference Data
CS/RD2	Central Services / Reference Data 2
CSD	Central Service Desk
CSDO	Central Service Desk Operator
CT	Conformance Testing
CTP	Conformance Test Protocol
CUST/DEV Contractor	DG TAXUD contractor responsible for the production and maintenance of technical and security specifications and development and maintenance of the centrally developed applications
DBA	Database Administrator
DDNA	Design Document for National Application
DIGIT	Directorate General Informatics
DG TAXUD	Directorate General of Taxation and Customs Union
DQR	Delivery and Qualification Report
ECS	Export Control System
EDIFACT	Electronic Data Interchange for Administration, Commerce and Transport
EO	Economic Operator
EORI	Economic Operators Registration and Identification
EOS	Economic Operator System
ESS	Employee Self Service (part of SYNERGIA SMT) (https://itsmtaxud.europa.eu/smt/ess.do)
EU SW-CVED	European Union Single Window - Common Veterinary Entry Document
FMB	Functional MailBox
NIAM	National Identity and Access Management System
ICS	Import Control System

Abbreviation or Acronym	Description
IRF	Incident Report Form
INC	Incident
IT	Information Technology
ITIL	Information Technology Infrastructure Library
ITSM	IT Service Management
ITSM/Business Monitoring	DG TAXUD contractor responsible for the monitoring of the Business
ITSM/CCN-OPS	Information Technology Service management / Common Communications Network - Operations
ITSM Contractor	DG TAXUD contractor responsible for among other operating Central Services and testing the centrally developed applications
MSA	Member State Administration
N/A	Not Applicable
NA	National Administration
NCA	National Customs Application
NCTS	New Computerised Transit System
NPM	National Project Manager
NSD	National Service Desk
NSDM	National Service Desk Manager
QA	Quality Assurance
REX	Registered Exporters System
RFC	Request for Change
SAT	Site Acceptance Test
SDO	Service Desk Operator
SLA	Service Level Agreement
STTA	Standard Transit Test Application
SW	Single Window
SYNERGIA SMT	DG TAXUD Service Desk Management Tool
TEMPO	Quality Management System of DG TAXUD IT (TAXUD Electronic Management of Projects On-line)
TES	Trans-European Systems

Abbreviation or Acronym	Description
TOC	Terms of Collaboration
TTA	Transit Test Application
UUM&DS	Uniform User Management and Digital Signatures
XLS	Microsoft Excel™ file type
XML	eXtensible Markup Language

Table 1: List of acronyms and abbreviations

1.4.2 Definitions

In the context of these specifications, the following definitions apply.

Term	Definition
Application	Software that provides Functions that are required by an IT Service. Each Application may be part of more than one IT Service. National Applications are developed and maintained by National Operations teams, UUM&DS is developed and maintained by DIGIT, while Central Applications by the CUST/DEV Contractor of DG TAXUD.
Assignment action	For each call opened at the CSD or NSD that cannot be resolved immediately by the 1st level Service Desk, an *Assignment action* is opened to the 2nd level Service Desk or another Service Desk to proceed with the analysis of the call. From that point on, the SDO assigns, as needed, actions to involved parties, until they are confident that a satisfactory solution to the call has been reached.
Blocking Call	Call or Incident related to one application, preventing from performing further the customs clearance.
Call/Incident	Each request for support to the Service Desk is raised by an *Issuer*. This request is logged by the 1st level SDO in the form of a call, which incorporates standardised information related to the specific request.
Call Category	The call category identifies the nature of each call.
Call Context	Incidents may be encountered and reported as calls during several operation phases. The call context identifies the operation phase under which the specific incident is reported (e.g. ”pSAT”, “SAT”, ”Conformance Testing”, “Operation”).
Call Issuer	The *Call Issuer* is the person who is registered in the SMT, and submits the call to the CSD/NSD.
Central Service Desk	The CSD is a function of the ITSM operations. The CSD provides a single entry point for NSDs. Incidents, Problems or Requests are documented, resolved or dispatched by CSD staff, referring to the level of support (first/second/third level support) needed.
Change	The addition, modification or removal of anything that could have an effect on IT Services. The scope should include all IT Services, Configuration Items, Processes, Documentation etc. For any potential change in technical/security specifications or features of either the centrally developed applications (that are maintained by the CUST/DEV

Term	Definition
	Contractor of DG TAXUD), or the UUM&DS (that is maintained by DIGIT), a new RfC submission form should be completed. This form is used to optimise the process of collecting the requests for change. The template can be found on CIRCABC under the following link: https://circabc.europa.eu/w/browse/ea9b6600-4443-44e4-b209-e4dc02fde1f7.
Duplicate call	A call is considered to be a duplicate if its description matches the one of a previous call or if the analysis of the cause of the incident concludes it is a duplicate. Note the previous call could have been resolved or still being analysed.
EC Business Days	From Monday to Sunday, irrespective of any official or national holidays.
EC Business Hours	07:00 – 20:00 CET of each EC Business Day.
Incident	Any event reported as part of the standard operations (central or national) that causes, or may cause, an interruption to, or a reduction in, the quality of the overall service. In SMT terms, the Incident can be the result of an escalated Interaction (see Interaction).
Interaction	Every user contact with the ITSM Support is logged as an Interaction. These Interactions can be escalated to Incidents, Service Requests, Requests for Information and Requests for Changes reported by users who communicate with the ITSM Support by using preferably the ESS or another existing communication channel (e-mail, phone or fax).
Issuer	An Issuer is every user that requests support from a Service Desk and submits an issue to be registered in SMT by the Call Issuer. An Issuer may be Economic Operators and their Representatives (including users from both EOs and Representatives) registered in the NIAM of this Member State, National parties or another NSD. An Issuer may also be the CSD (i.e. an action part of a call issued by another NA or by the Commission).
Known Error	A Known Error is a Problem that has a documented Root Cause and a Workaround. Known Errors are created and managed throughout their Lifecycle by Problem Management.
Levels of Service Desk	The Service Desk (CSD and NSD) should be organised in three levels: • 1st level Service Desk, • 2nd level Service Desk, and • 3rd level Service Desk. The responsibilities of each Service Desk level are defined in Appendix E.
NA Business Days	By default, from Monday to Friday, excluding public holidays. Could be any five (or more) consecutive days defined by the National Administration, during which the customs activity is maximum.
NA Business Hours	Hours defined by each National Administration as a 12 hours (or more) timeframe in accordance with the local time and the local trader culture. This timeframe has to cover the business hours during which an unavailability of application/service can have a major impact, and it is not necessarily linked to the physical presence of the National Service Desk.
National Service Desk	A service component of the National Support Centre provided by every NA to provide support to both internal end-users (NA officers) and external end-users (local Economic Operators) in the daily use of the

Term	Definition
	National Customs Application(s).
Priorities (Call __)	The *Priority of the Call* provides an indication of the urgency and impact on operations of the reported incident. The call priorities can be "Critical", "High", "Medium" and "Low".
Problem	A Problem is the cause of one or more Incidents. The cause is not usually known at the time a Problem Record is created, and the Problem Management Process is responsible for further investigation.
Resolver	An Assignment action may be opened for any e-Customs involved party. This party becomes the resolver (owner) of the specific action. When this party provides a final solution to the problem raised under a call, then the action owner and the call resolver are concurrent. The *Resolver* is expected to provide resolution/analysis to the action or call within a pre-defined time interval.
Status (Assignment action __)	The *Assignment action Status* attributes are used as a means of tracking the progress of a specific action at all times.
Status (Call __)	The *Call Status* attributes are used as a mean of tracking the progress of a specific call at all times.

Table 2: Glossary of Terms

The other terms used in this reference manual are compliant with the TEMPO Glossary of Terms [RD2].

1.5 Reference and Applicable Documents

1.5.1 Reference Documents

Ref.	Title	Originator	Version	Date
[RD1]	ITIL – Best Practice	AXELOS[2]	3.0	2011
[RD2]	TEMPO - Glossary of Terms TMP-GEN-GLS	DG TAXUD	3.11-EN	31.01.2014
[RD3]	Guidelines for National Service Desk Set-up and Operation ITS-IGDL-eCUST-NSD.OPS	DG TAXUD	2.80-EN	03.11.2017
[RD4]	D.22 External Processes Evolutive Maintenance	DG TAXUD	v1.00	19.01.2015

Table 3: Reference Documents

[2] Joint venture between Capita and the Cabinet Office.

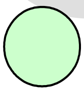
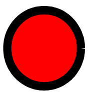
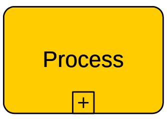
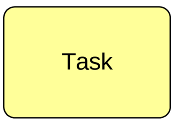
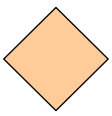
1.5.2 Applicable Documents

Ref.	Title	Originator	Version	Date
[AD1]	Terms of Collaboration for the Customs Trans-European Systems ITS-ITOC-eCUST-TES	DG TAXUD	4.80-EN	03.11.2017

Table 4: Applicable Documents

1.6 How to Read the Process Diagrams?

The Availability Management process is closely based on the corresponding ITIL process, fully described in the ITIL “Service Design Lifecycle Phase (see [RD1]). Some of the diagrams presented in this SLA are Business Process Diagrams making use of the Business Process Modelling Notation (BPMN), version 1.0. These diagrams show the involved parties and the sequence of actions that each party performs in the context of a process (scheduled unavailability process for example). To allow an easy understanding of the diagrams, the used notation is detailed hereunder. For the sake of clarity, only basic BPMN elements are being used:

BPMN Notation	BPMN Element Name	Description
	Pool	A pool represents a participant in a process. It acts as a "graphical container" used for partitioning a set of activities from other pools.
	Lanes	Lanes are sub-partitions of a pool, used to organise activities. Lanes can be represented horizontally or vertically.
	Start Event	Event that indicates the start of the process activities.
	End Event	Event that indicates the end of the process activities.
	Sub-process	Represents a sub-process for which the lower level of details is not shown in the diagram.
	Task	Indicates atomic activity within the process, i.e. task which is not broken down to a finer level of detail.
	Gateway	Decision box, used to control the process flow, i.e. to decide whether the process flow must follow one direction or another.

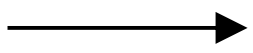
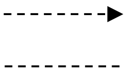
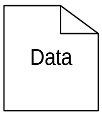
BPMN Notation	**BPMN Element Name**	**Description**
	Sequence Flow	Used to show the order in which activities are performed.
	Association	Used to associate information (e.g. a Data Object) to an Event, an Activity or a Gateway. An Association can be directional (arrow) or not.
	Data Object	Represents a document (spreadsheet, form, reference manual, etc.) or a database.

Table 5: Business Process Modelling Notation

More information about BPMN can be found on http://www.bpmn.org/.

2. SCOPE AND OBJECTIVES OF THE NATIONAL SERVICE DESKS

2.1 Scope of the National Service Desks

The National Service Desks (NSDs) are the national support line to all the national e-Customs participants. It includes the end-users of the National Customs Applications (NCA), the NCA developers, the NCA testers, and the Economic Operators and their Representatives (including users from both EOs and Representatives). They are responsible for managing the NCA incidents at the national level, with the possibility of passing them on to the Central Service Desk (CSD) managed by the Commission (DG TAXUD).

Each National Service Desk:

- is operated by one NA;
- forms a liaison (single point of contact) to the CSD and the other Service Desks;
- receives requests for support and manages those requests until their proper solution, or dispatches requests for support to the CSD;
- dispatches to the responsible national e-Customs participants the mass e-mail communication received by CSD (e.g. announcement of operational issues in another NA or unavailability notifications).

The present document takes into account the various options offered to the National Administration to organise their Service Desk(s) in the e-Customs context. Indeed, the NA can set-up one NSD per domain (i.e. one NSD for transit, one NSD for export, etc.), or one single NSD to cover all or multiple customs TES.

2.2 Objectives of the National Service Desk

The main objective of each NSD is to deliver a level of support, as described in the scope of this document and expanded according to the national quality and service standards.

For this purpose, the NSD will:

- provide efficient support to their national users in accordance to the NSD service standards;
- address and manage the requests for support within the target times, issued by the CSD (or other NSDs).

3. SERVICE DESK MINIMAL REQUIREMENTS

The following table lists the minimum set of common requirements that all NSDs must satisfy and must operate in accordance with. For each requirement, more details are available in the section(s) referenced.

Req. ID	Requirement Description	Reference in this document
1	A NSD organisation must be in place, with a NSDM and at least one SDO appointed.	Section 5.2
2	The NSD must interface with the CSD and other NSDs.	Sections 4.3, 4.4, 4.5
3	All requests for support must be logged in a Service Desk Management Tool (SMT).	Section 5.3.4
4	The NSD must act as a single point of contact to the CSD (and other Service Desks).	Section 5.3.1
5	English should be used to facilitate the communication with the other NSD via the CSD. French and German may be used by the NSD to communicate with the CSD.	Section 5.3.3
6	The NSDs should operate on business days and hours defined in Appendix B. The period of international overlap is defined also in Appendix B.	Section 5.3.2
7	The NSD must follow strict procedures for call and action management.	Section 6.4
8	The NSD should provide services according to agreed target and limit values, common to all NAs.	Appendix C
9	The NSD must produce the Monthly Service Report, delivered to the National Service Desk Manager (NSDM) and the NPM of the customs TES.	Section 5.4.1
10	The NSD must maintain a database of contacts.	Section 6.3

Table 6: National Service Desk Minimal Requirements

4. CONTEXT OF THE SERVICE DESK

4.1 The e-Customs Context

The context might be different from one country to the other. All Member States are participating to all e-Customs projects, while some countries are only active for one or more domain(s) (e.g. Transit only).

The following figure presents the relationship of the NSD with the other e-Customs involved parties[3]:

[3] The end-users of the Customs TES include the Customs Officers, the NCA Administrators, and the Economic Operators.

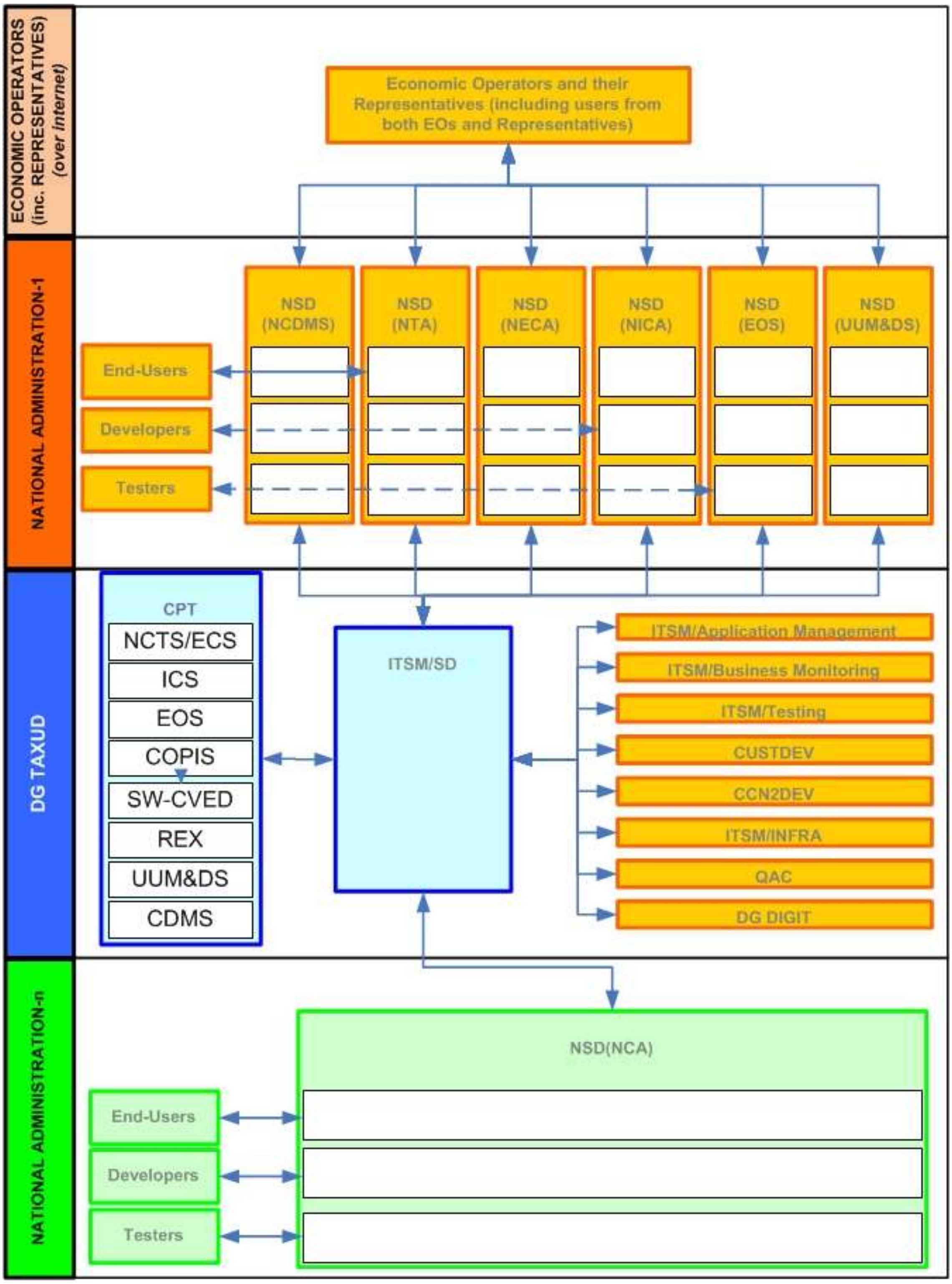


Figure 1: Relationship of the NSD with the other e-Customs involved parties

The role of the NSDs and CSD is crucial for the rapid solution of open questions, issues or problems. For example:

- One developer in one NA has a question on the NCTS or ECS specifications that must be answered by the DG TAXUD's CUST/DEV Contractor;

- One end-user in one NA has a question on error messages received from another NCA;
- One end-user in one NA has a question on error messages received when attempting to authenticate using UUM&DS for accessing a Central Service provided by DG TAXUD.

In all cases, the procedures explained below will facilitate the smooth management of these calls.

In this context, the respect of the SLA will reinforce the success of the customs TES.

4.2 Call/Incidents to the National Service Desk

The NSD may receive requests for support from four different sources:

- Internal calls from the national e-Customs actors, including the Economic Operators (EO)[4] and Representatives acting on behalf of EOs that are registered nationally;
- Actions within calls originated by another NSDs of the same NA, in charge of another TES;
- Actions within calls originated by the NSDs of another NA, in most cases for the same TES (recommended to proceed via the CSD);
- Other actions within calls managed by the CSD.

On the other hand, the NSD may:

- Initiate calls to the national e-Customs participants, for incidents found or questions raised by the Service Desk itself;
- Initiate calls for incidents encountered with or reported by the end-users (e.g. Economic Operators, Customs Officers, National Project Manager, the national application management team);
- Assign actions within calls to other NSDs (via the CSD);
- Issue new calls to the CSD for actions by DG TAXUD or another NA.

The requests for support may come via various communication channels, namely e-mail, fax, telephone, regular post or (web-based) Service Desk database clients. However, the preferred method for issuing requests is via a (web-based) Service Desk database client.

For relevant calls, the e-mails exchanged for actions handled between the NSD of different NAs, should be copied to the CSD. So, the CSD may also inform the ITSM/Business Monitoring team, for a better monitoring of the Customs TES.

4.3 NSD Interface with the Central Service Desk

The NSD is the central point of communication between the NA and the e-Customs involved parties. As part of this communication, the NSD interacts with the CSD for matters related to call/incident management, operational issues, and NA configuration updates. The role and responsibilities of the NSD, as well as a discussion of the interface between the NSD and the CSD, is described in details in [RD3].

4.4 NSD Interface with other National Service Desks

The NSD may directly interact with other NSDs on items concerning their daily business transactions within the e-Customs. Examples are provided in [RD3].

[4] It also includes the EO employees and Representative employees.

4.5 External Interfaces of the National Service Desk

In the context of the e-Customs, a NA might cooperate with external parties[5]. This cooperation is carefully monitored by the NSD, who may then selectively disseminate the related material nationally, to other NSD, or to the CSD.

[5] This may include a National Identity and Access Management system that relies on external Identity Provider, which provides for Customs purposes, identity information for users that want to access a Central Service. This cooperation also addresses the involvement of the NSD and the CSD of the external Identity Provider.

5. NATIONAL SERVICE DESK MANAGEMENT

The NSD is viewed as a separate entity within the NA. It is considered as the single point of contact to the NA; at national level, it should be regarded as the team responsible for the dissemination of any piece of information related to:

- The system's smooth operations;
- The requests for support circulated within the national participants of the Customs TES.

As such, a National Service Desk Manager (NSDM) should be appointed for each NSD.

The procedures and rules mentioned in this document should be followed in order to ensure a uniform support provided throughout the various customs TES.

5.1 Setting-up the National Service Desk

A number of steps must be followed, in order to set-up the NSD. The most important activities, that have to be accomplished before starting the operation of the NSD, are listed below.

- **Identify the needs for resources.** This covers both human and infrastructural resources. More specifically:
  - The tools that need to be purchased and the environment that needs to be set up for the smooth and efficient operation of the NSD are identified at this stage (refer to [RD3] for some information on the functionalities that a Service Desk Management Tool (SMT) should offer);
  - The organisation of the NSD team and the resources, for performing the activities and delivering the services required by the NSD, should be identified. Concerning the size of the team, it will depend on the expected workload of the NSD and the service targets the NA will set for its NSD operation. In particular, it must be decided if one single NSD is managing all the NCAs or if a distinct NSD is created for each NCA (intermediate solutions are possible).
- **Acquire and set up the infrastructure.** This involves purchasing the required tools and hardware, and setting up the infrastructure, including the necessary office and telecom links (at least, authorised access to the CSD, CIRCABC and the ITSM Portal must be guaranteed; if offered by the tool, the e-mail notifications and alerts, and the web access to the NSD tool should be enabled);
- **Define and document all procedures.** The procedures that will determine the efficient running of a NSD should be clearly defined and documented. The documentation will include any agreed service levels and targets plus a full explanation of the fallback procedures and when they should be used. In addition the document could compile, and be used as guidance for, the operational procedures;
- **Team set-up and training.** The team is set up according to the organisational needs and the size derived from the national e-Customs context. In addition, all the team members should be trained to use the tools and procedures that would govern the operation of the NSD;
- **Set up the interfaces with the other parties.** Before starting the operation of the NSD, all interfaces should be defined and set up. In particular, the database of contacts should be created, and the groups of authorised persons from CSD and the other NAs that will interact with the NSD are communicated to the NSD (and vice versa).

5.2 NSD Team Organisation

An adequate team organisation should be established for performing the activities and deliver the services required by the NSD. The two main profiles that should compose this team are briefly described in this section.

5.2.1 Service Desk Manager

The role of the National Service Desk Manager (NSDM) is to design, manage and monitor those methods and responsibilities that allow for a smooth and efficient service. The NSDM should:

- Allocate the resources required for the everyday operation of the Service Desk depending on the expected request load and movement traffic;
- Design and remain responsible for the submission of the reports delivered by the Service Desk team to the National Project Manager;
- Measure regularly the productivity of the team through quality indicators or other metrics and plans for proactive and reactive actions towards the improvement of the quality of service.

5.2.2 Service Desk Operators

One of the main responsibilities of the Service Desk Operators (SDO) is the dissemination of the appropriate piece of information to the appropriate recipients. In addition, the SDO should perform the following tasks:

- To receive and record the new requests of support and to proceed with all necessary actions related to the ownership of the call;
- To answer the actions assigned to the NSD, or to escalate the resolution to the appropriate national or international parties;
- To contribute to the production of the Service Desk deliverables (cf. Table 9).

The seniority and level of e-Customs knowledge of a SDO will depend on the range of activities that this person would be asked to perform. If the scope of the SDO is limited to call/incident management, no specific e-Customs knowledge is required. On the other hand, if the goal is to have the majority of the calls analysed and resolved at this level, then the SDO should have specific knowledge, such as:

- Comprehensive knowledge of the Functional System Specifications for the various e-Customs systems, including NCTS, AES, AIS, EOS, COPIS, UUM&DS, CDMS, CRS, REX, EU SW-CVED as well as the System Design Principles for the said systems including the DDCOM, DDNTA, DDNXA, DDNIA, EOS DDNA, UUM&DS Technical System Specifications, CDMS Logical Data Model and COPIS DDNA;
- Knowledge of the national IAM processes and procedures for Economic Operators and their Representatives to support UUM&DS;
- Knowledge of the Customs procedures;
- Basic to in-depth knowledge on the technical architecture of the national e-Customs environment;
- Basic to good knowledge of EDIFACT/XML that would allow for analysing erroneous messages.

Following the registration and after an initial evaluation of the call the SDO should be able to redirect the calls to either the NSD 2nd level of support, or to the Central Service Desk (ITSM Support).

A good practice is to support more than one level: The SDOs can usually cover levels 1-2 (with the help of a knowledge database) but more complex incidents may require assistance from procedural/legal experts or external contractors, who are normally not part of the CSD structure. The SDO should be capable of requesting solutions from those experts.

Note that the NSDM and the SDO should be fluent in the English language.

5.3 NSD Service Management

A sound organisation must be established to ensure that NSD operates efficiently. Tasks and responsibilities should be clear to all involved parties and the procedures should be followed and respected. The role of the NSD in a NA organisation is vital, as it is the central point for communicating issues and is responsible for the management and follow-up of all operational issues to ensure their timely and proper resolution.

In the following sections, some tasks and responsibilities of the NSD are presented.

5.3.1 Single Point of Contact

From a designated physical area specified by the NA, the NSD constitutes a single point of contact for:

- all the national participants, and;
- the international participants of one or more Customs TES.

by communicating and exchanging material required for the solution of an issue.

A specific functional mailbox, telephone number and fax number are used and specified in every communication to and from the NSD. The NSD is responsible to immediately notify, to CSD, any change to the contact information of the NSD that occurs.

The contact details for the CSD are given in the table below.

e-Customs collaborating party	Name	Contact
DG TAXUD	Central Service Desk (ITSM Support)	Phone: +800 7777 4477, +48 71 760 8502 Fax: +48 71 760 0177 e-mail: Support@itsmtaxud.europa.eu SYNERGIA SMT ESS

Table 7: Contact details of the CSD

The contact points for the NSDs can be found on the following links of the CIRCABC web site:

Customs TES	CIRCABC Logical Path	CIRCABC Link
NCTS	/CircaBC/Taxation & Customs Union/e-Customs - IT aspects/Library/02_NCTS/50_OPS/02_Contacts_NSD	https://circabc.europa.eu/w/browse/47fa1167-8630-477f-8454-b27e0bc18f2e
ECS	/CircaBC/Taxation & Customs Union/e-Customs - IT aspects/Library/03_ECS/50_OPS/01_NSD_Contacts	https://circabc.europa.eu/w/browse/ce1bcdb3-7f61-4e1c-8668-85905210c144
ICS	/CircaBC/Taxation & Customs Union/e-Customs - IT aspects/Library/04_ICS/50_OPS/02_Contacts_NHD	https://circabc.europa.eu/w/browse/1663c5d7-7ca6-4f47-8176-a3d2a3188717
EOS/ COPIS	/CircaBC/Taxation & Customs Union/e-Customs - IT aspects/Library/05_EOS/06. NSD Contacts	https://circabc.europa.eu/w/browse/ccb10575-0f8f-408e-a1c5-8311ee98514e
REX	/CircaBC/Taxation & Customs Union/e-Customs - IT aspects/Library/12_REX/50_Operations/02_NSD	https://circabc.europa.eu/w/browse/9debb79b-1547-4759-baac-7b706cde4d8b
CDMS	/CircaBC/Taxation & Customs Union/e-Customs - IT aspects/Library/11_CDMS/50_Operations/02_NSD	https://circabc.europa.eu/w/browse/6c50c587-d8a6-4fb1-a748-d5e0554ecb31
UUM&DS	/CircaBC/Taxation & Customs Union/e-Customs - IT aspects/Library/10_UUM&DS/50_Operations/02_NSD	https://circabc.europa.eu/w/browse/6cf35481-f4f4-4141-9d85-9337792b7118

Table 8: contact points for the NSDs (links to CIRCABC web site)

The National Service Desk will regularly inform CSD (via SYNERGIA SMT ESS) if an update of those documents is needed.

5.3.2 Service Desk Availability

In order to facilitate the communication and speed up the resolution of incidents, a *Common Daily Time Interval* is defined. During this common period of international overlap (defined in Appendix C), all the NSDs and the CSD must be operational.

Operations on a broader schedule are to be organised nationally and are dependent upon the volume, desired quality of service and availability of resources. The Appendix B lists per NA the period during which the NSD can be reached on National Business Days (phone calls are effectively answered).

It is proposed that the NSD maintains a rotation system as far as the total service provided is concerned. This means that the NSD may be available outside the normal business hours. It is also recommended that back-up personnel are available during the National Public holidays and weekends. The final schedule of the business days and hours outside the common period of international overlap is decided at national level and communicated to all parties via the CSD.

5.3.3 Service Desk Languages

English is recommended as the common communication language between the CSD and the NSDs. The CSD is also able to manage communication in German and French. Additionally the English language is recommended as the communication language among two or more NSDs, since a third party (e.g. other NSDs, the CSD and/or the CPT) may be added in the information exchange at any time. The communication language between the NSD and the EOs[6] and Representatives acting on behalf of EOs that are registered nationally, is a national matter.

5.3.4 Service Desk Management Tool

It is recommended that the NA acquires a Service Desk Management Tool (SMT) to support the NSD processes.[7]

The design and implementation of the SMT is a national matter. As a minimum, the following call information should be maintained: title and description, application(s)/version(s) involved, category and context, issuer, resolver, status and priority, date opened/solved and solution provided. The SMT should also maintain any information on call redirection to either the NSD 2nd level or 3rd level of support, or the ITSM/Support – CSD.

5.4 Quality management

Quality Management refers to the methods, standards, and activities necessary to control the quality of the offered services and deliverables. It is the responsibility of the NAs to define the applicable quality standards for measuring the quality of the services offered by the NSD. Suggestions on the Service Desk metrics and quality indicators for assessing the quality of the services and deliverables are available in document [RD3].

5.4.1 NSD Deliverables

In the context of the quality management, the NSD delivers the various items to the National Project Manager during the period of the service delivery. The scope and content of those deliverables should be further defined at the national level.

Deliverable	Type	Language	Reference
National Service Desk support	Service	National language / English	This document (and [RD03])
Monthly Service Report	Document	National language	Nationally defined
Participation in Customs TES related meetings	Meeting	English[8]	N/A (Minutes of those meetings provided by the CPT)

Table 9: National Service Desk deliverables

A brief description of the above deliverables follows:

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[6] It also includes the EO employees and Representative employees.

[7] Please refer to Appendix A.2 of [RD03], for a description of the main functionality that such tool should provide.

[8] Interpretation facilities may be available for these meetings.

National Service Desk support

The NSD service to be provided is described in section 6 (*SERVICE DESK PROCEDURES*). See also Appendix E (*Call/Incident management – Processes*) of this document.

Monthly Service Report

At the beginning of the next month, through the Monthly Service Report, the NSDM monitors whether the corresponding Service Desk activities reach the targets set and review the calculation of the corresponding quality indicators. Those measurable results will trigger any corrective actions.

Participations in Customs TES related meetings

These Customs TES related meetings could be one of the annual Customs TES Evaluation Workshop, or an ad-hoc Operation Workshop. The participants of the meetings may include one representative from each NSD, and representatives of DG TAXUD (including responsible persons from the CSD). The purpose of these meetings would be to discuss major blocking issues and serious problems and incidents that were encountered on the operations among the NAs. It can also cover the interaction with Economic Operators and Representatives acting on behalf of EOs that are registered nationally, network incidents, UUM&DS, Customs Decisions, REX, CS/RD, CS/RD2 or CS/MIS relevant matters, or any other interesting issue that has come to the attention of the NSDs.

6. SERVICE DESK PROCEDURES

To enable and to facilitate the daily work of the National Service Desks, the fallback procedures should be defined and tested, the configuration management should be carried out, and the contact map must be maintained by the NSD.

The Service Desks are responsible for handling all incoming requests for support and for following up the progress of those requests until their solution. The NSD, as the CSD, operates under strict and thorough procedures.

As Customs IT may rely for authentication purposes of Economic Operators and their Representatives (including users from both EOs and Representatives), on identity data provided by external to customs Identity Provider systems, the NSD must ensure that the Service Desk procedures of these Identity Providers follow the organisational model agreed with the NAs for Customs TES.

Various flowcharts illustrating the functions of both NSD and CSD related to the call and action management are introduced in Appendix E (*Call/Incident management – Processes*) and specifically for the NSD are further explained in [RD3].

6.1 Fallback Management

Contacting the Service Desks may be carried out via e-mail and/or fax 24 hours per day, 7 days a week. The Service Desks may receive telephone calls within the normal office hours (defined in Appendix B).

During non-office hours, holidays and weekends if backup personnel are not allocated to support the service, the phone calls should be forwarded to an answering machine.

When e-mail and/or fax access is not possible, the NSD will inform the CSD accordingly, within a maximum of one working hour delay. The NSD will inform all involved parties in advance, should an interruption in the service be anticipated, due to e.g., scheduled maintenance activities. On the other hand the CSD will inform all involved parties in advance, should an interruption in the service be anticipated, due to e.g., scheduled maintenance activities or as soon as possible should an unexpected interruption in the service occurs.

The National Service Desks should maintain the fallback procedures applicable to its operational standards. Each National Service Desk shall confirm to the CPT the existence of a national fallback procedure applicable to the Service Desk.

6.2 NCA Configuration Management

The configuration management must ensure a proper version control during each of the implementation and operation phases of each Customs TES.

The NSD needs to be kept up-to-date with the configuration management of the NCA as well as the pertinent COTS utilised. In particular, the NSD should receive, from the National Project Team, a maintenance list that contains, for each version of the NCA, the set of versions of the COTS and other infrastructure items (system software and hardware) required, including CCN/CSI, CCN2, UUM&DS and any other external infrastructure components to the TES.

The NSD must communicate to the CSD, by using CS/MIS, any change to the alignment to the various RFCs (RFC List).

6.3 Maintenance of the Contact Maps

The NSD and CSD should maintain a database of contacts, for all parties involved in the e-Customs system and interacting with the NSD. The contact maps are maintained internally at the NSD and do not have to be published to the end-users. The NSD will inform CSD about any changes in personal contacts used for receiving notifications and information from Central Customs Systems or from distribution lists maintained by CSD. The following information should be kept:

- Organisation (e.g. NSD, CSD, Contractors): Organisation name and contact information including postal address, telephone and fax numbers, e-mail address;
- Contact information for persons within the organisation: Name and position, as well as contact information including telephone and fax numbers, e-mail address.

6.4 Call/Incident Management

The following sections give an overview of procedures and rules that should be followed by the NSD to manage ‘calls’ or ‘incidents’. The term ‘incident’, according to ITIL, has a double meaning. First any registered event of the Service Desk is called an incident. This includes both ‘incidents’ in the sense of ‘failures’, and ‘service requests’. After the ‘incident’ is registered, the NSD decides whether this shall remain an incident where a restoration of a failure is needed, or whether the received incident is a ‘service request’, where a deliverable (in terms of service or artefact) is requested.

As Customs IT may rely for authentication purposes of Economic Operators and their Representatives (including users from both EOs and Representatives), on identity data provided by external to customs Identity Provider systems, the NAs must ensure that the call and incident management procedures of these Identity Providers follow the organisational model agreed with the NAs for Customs TES.

More complex procedures and rules may be defined and applied if required in the National or Commission context.

6.4.1 Call/Incident Category and Context

The nature of a new request for support is identified once this request is received at the Service Desk. Identifying the nature of a new request helps the NSD in determining the solution path selected for each call. For example, requests for information should be treated differently from application incidents, since the first implies documentation research and the second implies reproduction of the incident.

A broad first categorisation of requests of support towards the NSD is: the **Internal Calls**, (i.e. calls that are managed completely by the NSD), and the calls that will be **dispatched to the CSD**. Regardless of this separation, a ‘Category’, and ‘Context’ should be assigned to each call.

Two main call categories should be utilised by the Service Desks: the Service Calls and the Incidents.

- **Service calls:** Those calls relates to handling of organisational questions and requests for documentation, publications, business information, User Rights Management, management and delivery of translations, organization of conference calls/virtual meetings, remote/on-site technical support, ad hoc support, training management, qualification, conformance testing, testing of full release, installation management notifications of scheduled or unscheduled unavailability and requests for mass emails;
- **Incidents:** Those calls relate to technical incidents (failures or deviation of expected behaviour in software, connectivity, performance, application configuration, operations, capacity management, connection issues, for the managed applications) and they may lead to changes to Specifications and/or NCA as part of corrective maintenance, or they may constitute requests for evolutive maintenance. Calls reported for failed Conformance Testing scenarios also constitute incidents.

Problems may be encountered and reported as calls during several operation phases. Thus, the ‘Context’ under which a call should be reported might be one of the following: the *pre-Site Acceptance Test* (pSAT), the *Site Acceptance Test* (SAT), the *Conformance Test* (CONF) or the *Operations* (OPER).

6.4.2 Call/Incident Priorities

The call priority should reflect the criticality and impact on operations of the reported incident. The call priority may be downgraded or upgraded at any time during the call life cycle. The call issuer and resolver are entitled to request modification of the call priority, provided that a proper justification is submitted for this change.

For the sake of simplicity, the same priority levels should be defined by all Service Desks. The priorities to be assigned to requests for support sent to the Service Desk, taking into account the urgency and impact of the call are previewed in the following table:

Call Priorities		IMPACT		
		Low	Medium	High
URGENCY	Low	4	3	2
	Medium	3	2	1
	High	2	1	1

Table 10: National Service Desk call priorities

Legend: *(1) = **Critical** priority call* *(3) = **Medium** priority call*
*(2) = **High** priority call* *(4) = **Low** priority call*

To help evaluate the impact, the following information should be used:

For incidents:

- Non-blocking within the NA ➔ Low
- Blocking for one individual, or
- non-blocking for more than one NA ➔ Medium
- Blocking within the NA, or blocking
- for more than one NA ➔ High

For service calls:

- Affecting one NA ➔ Low
- Affecting more than one NA ➔ Medium

For CT mode 1 calls:

- Diagnostic Request ➔ Medium
- Request for Information ➔ Low

For CT mode 2 calls:

preCT

- Diagnostic Request ➔ Medium
- Request for Information ➔ Low

actualCT

- Diagnostic Request ➔ High
- Request for Information ➔ Medium

6.4.3 Call/Incident and Assignment action Status

6.4.3.1 Call/Incident Status

The progress monitoring of each call is achieved through the assignment of the call status. The call status provides initial evidence on the call life cycle. Attributes that are utilised by the Service Desks for the call/incident management must include **at least** the following status:

	Status	**Description**
1	Open	A Call has been created in the database and an ACK mail has been sent to the *Call Issuer*. The 'Open' status is the initial status given to the Incident when it is created in the SMT tool. This status remains until the incident is assigned for solution.
2	Owned	The CSD has assigned this incident to CSD internal staff for resolution or action.
3	Dispatched	The Service Desk has assigned the incident to a party, external to the CSD for investigation or resolution.
4	Pending	The CSD requests additional information for the continuation of the resolution. While waiting for the requested information to be delivered, the incident remains 'Pending'.
5	Parked	The solution is agreed to be delivered by a third party in a next release. While waiting for it, the incident remains 'Parked'[9].
6	Suspended	This status is used by the SDO only, on incidents where activities must be performed and require scheduling, it stops the reminders on assignments. The assignment of the action stays with the current assignee. If reactivation time is reached on an incident that is Suspended, the status will automatically return to the status before the suspension.
7	Closed	The CSD has received a confirmation from the Call Issuer that the solution is satisfactory. The CSD may also close the incident following agreed automatic closure procedure.
8	Resolved	The resolver considers that the Incident can be closed, and the confirmation is requested to the Issuer.
9	Inactive	This status is being automatically used by SMT when an incident assigned to specific AG is not updated for a defined period of time.

Table 11: The possible values of the call Status

6.4.3.2 Assignment action Status

In order for the NSD to monitor the progress of each action, assignment action status attributes should follow the very same rules as defined at the call Status.

[9] An alternative approach consists in closing the Call and opening a related Know Error (or a defect).

6.4.4 Response Times

6.4.4.1 Call Acknowledgement Time

The Call Acknowledgement time measures the time elapsed between the reception of a new request for support in the Service Desk, and the time the SDO acknowledges the request by issuing a confirmation e-mail to the Call Issuer. The e-mail should be sent once the new request is opened in the SMT and should contain the unique identifier of the new call, to be used in future reference.

The target and limit values, per call priority, for the Call Acknowledgement Time are given in Appendix C.

6.4.4.2 Call/Incident Management Time

The call/incident management time measures the time elapsed between the registration of the call in the SMT, until the closure of the call, during which the call was effectively assigned to either the 1st level, or the 2nd level of the Service Desk. For example, it does not include the period of analysis by the 3rd level Service Desk or the time during which the call was parked or resolved (waiting for the closure confirmation), or transferred to the CSD or another NSD.

The target and limit values, per call priority, for the call/incident management time are given in Appendix C.

6.4.4.3 Global Resolution Time

The Global Resolution Time is specified as the whole time elapsed between the opening of the call and the closure of this call by the same Service Desk. Target and limit values may be defined by each NSD.

6.4.5 Reminders

Regular reminders shall be sent from the CSD to NSD in specific time intervals for the cases a response is not received regarding an interaction that it is assigned to an NSD.

The new Reminder Procedure is a practice created to improve the handling of the tickets assigned - among others - to the National Service Desks. Its basic purpose is to raise automatic reminders to the assignment groups, having the ticket assigned for unusual long period of time with any answer.

The procedure covers the 'work in progress' status tickets registered in SYNERGIA SMT system (incidents, requests for service, and requests for information) and is applicable for the calls with MEDIUM and LOW priorities.

The reminder process has 2 possible paths to proceed:

1) Standard reminder process, that consists of 4 consecutive reminder emails (R1, R2, R3 and R4) sent to National Service Desk FMB on regular, predefined time frames, depending on call priority (see table below). If no reaction is registered and after the 4th reminder is sent, the call is set to 'inactive' status and is added to the monthly report, distributed for further DG TAXUD and NPM information, review and possible corrective actions or ticket closure decision;
2) Escalated reminder process, that consists of 2 reminder emails (R1 and R2) sent to National Service Desk FMB on regular, predefined time frame, depending on call priority (see table below). If there is no reply to the 2nd reminder, the E1 - Escalation reminder no. 1, and after another time frame the E2 - Escalation reminder no. 2, are sent to the personal mailboxes of concerned National Project Manager with clear request to proceeds with appropriate action, indicated in the latest update of the call. If no reaction

is registered and after the E2 reminder is sent, the call is set to 'inactive' status and is added to the monthly report for further DG TAXUD and NPM information, review and possible corrective actions or ticket closure decision.

The table below lists the time frames for the incidents reminders issued by SMT tool:

Number of reminder	MEDIUM Priority: After how many days is being sent?	LOW Priority: After how many days is being sent?
R1	5	10
R2	15	25
R3 / E1	30	45
R4 / E2	50	70

Table 12: Time frames for reminders

It is up to NPM or dedicated DG TAXUD sector decision whether 'standard' or 'escalated' reminder process is to be selected for a NA (it will be applied to concerned AG on SYNERGIA).

CSD analyses regularly the open incidents and may send an additional reminder after confirmation of its necessity by DG TAXUD.

6.4.6 Re-assignments

Re-assignments within the context of the NSD occur when an action is assigned to an action resolver, but the nature of this task is out of the area of responsibility of the specific party. In this event, the action resolver notifies the CSD, who approves the request for re-assignment and performs the necessary updates. In case of disagreement, the CSD is responsible for the final assignment of the specific task. Ultimately, the Service Desk Manager or the NCA Project Manager will resolve any long-term disputes on task allocations.

6.4.7 Call/Incident Solution

This step should be followed when the SDO judges that the call/incident solution is reached. In this case, the SDO should:

- Ensure that all actions within this call are closed;
- Update the call details in the SMT tool with the call/incident solution;
- Send the solution e-mail to the call issuer;
- Update the call status to “Resolved”.

More information, including the flowchart outlining these tasks involved in the “Call/Incident Management Closure” is available in section E.4.

Appendix A. Services for the Customs Trans-European Systems (TES) – SLA Applicability

This annex details the Customs TES for which the Service Desk operations are managed by the current SLA.

National Administrations

Customs TES	Responsible Parties - Participating National Administrations	Start date & Duration
NCTS Service Desk	All MSA	- On-going - Duration defined by TOC
	- Andorra - Iceland - Norway - San Marino - Serbia - Switzerland - The former Yugoslav Republic of Macedonia - Turkey	- On-going - Duration defined by TOC
	Other participating NA	No National Service Desk
ECS Service Desk	All MSA	- On-going - Duration defined by TOC
ICS Service Desk	All MSA	- On-going - Duration defined by TOC
EOS Service Desk	All MSA	- On-going - Duration defined by TOC
COPIS Service Desk	All MSA	- On-going - Duration defined by TOC
UUM&DS Service Desk	All MSA	- From 02/10/2017 - Duration defined by TOC
Customs Decisions Service Desk	All MSA	- From Q4 2017 - Duration defined by TOC
REX Service Desk	All MSA	- From 01/01/2017 - Duration defined by TOC
	- Norway - Switzerland - Turkey	- From 01/01/2017 - Duration defined by TOC

Table 13: Services for the Customs TES – National Administrations

EUROPEAN COMMISSION – DG TAXUD

Customs TES	Responsible Party	Start date and Period
All Customs TES	DG TAXUD (ITSM Service Desk)	- On-going[10] - Duration defined by TOC

Table 14: Services for the Customs TES – DG TAXUD

[10] Start Date to be determined for REX, Customs Decisions and UUM&DS system.

Appendix B. Working Hours of the Service Desks

This appendix defines the hours during which the Service Desks can be reached via phone, in the various countries operating a NSD for one or more Customs trans-European system(s).

It is recommended that the NSD maintains a rotation system as far as the total service provided is concerned. This means that the NSD may be available outside the normal business hours. It is also recommended that back-up personnel are available during the National Public holidays and weekends.

The final schedule of the business days and hours outside the common period of international overlap (09:00 CET -15:00 CET) is decided at national level.

More detailed practical information on how to reach the NSD during and outside the normal working hours are collected, maintained and published by the CSD on CIRCABC[11]:

NCTS: https://circabc.europa.eu/w/browse/47fa1167-8630-477f-8454-b27e0bc18f2e

ECS: https://circabc.europa.eu/w/browse/ce1bcdb3-7f61-4e1c-8668-85905210c144

ICS: https://circabc.europa.eu/w/browse/1663c5d7-7ca6-4f47-8176-a3d2a3188717

UUM&DS: https://circabc.europa.eu/w/browse/6cf35481-f4f4-4141-9d85-9337792b7118

CDMS: https://circabc.europa.eu/w/browse/6c50c587-d8a6-4fb1-a748-d5e0554ecb31

REX: https://circabc.europa.eu/w/browse/9debb79b-1547-4759-baac-7b706cde4d8b

CSD is available 7d/24h.

[11] As Customs IT may rely for authentication purposes of Economic Operators and their Representatives (including users from both EOs and Representatives), on identity data provided by external to customs Identity Provider systems, the NAs must ensure that the business hours of these Identity Providers follow the organisational model agreed with the NAs for Customs TES.

Appendix C. Service Desk targets for the Customs Trans-European Systems

Targets for the National Administration:

1. AVAILABILITY

The common period of international overlap starts at 09:00 CET and finishes at 15:00 CET on every EC Business day.

As a minimum, all NSDs must be operational during the international overlap period on every National Business day.

In addition, the NSD should remain operational during the periods defined in Appendix B.

2. CALL/INCIDENT MANAGEMENT

Target and limit values are expressed in working hours or working days, and should be calculated taking into account the content of the Appendix B.

Call/Incident Acknowledgement Time (ACK)		
Priority	**Target Time**	**Limit Time**
4 – Critical	30 minutes	1 hour
3 – High	1 hour	1 hour
2 – Medium	1 hour	1 hour
1 – Low	1 hour	1 hour
Call/Incident Management Time		
Priority	**Target Time**	**Limit Time**
4 – Critical	2 hours	4 hours
3 – High	1 business day	1 business day
2 – Medium	2 business days	3 business days
1 – Low	4 business days	5 business days

Table 15: NSD - Target and limit values for sending the ACK and for the call/incident management.

3. NATIONAL RFC ALIGNMENT

The NSD must publish on CS/MIS any changes to the national alignment to the specifications (including the alignment to the RFCs) for any customs TES.

Upgrade planning information (before the planned NCA upgrade)

Target time: 1 month before the planned NCA upgrade.

Limit time: 5 working days before the planned NCA upgrade.

Realised upgrade information (after the NCA upgrade)

Target time: 2 working days after the NCA upgrade is completed

Limit time: 5 working days after the NCA upgrade is completed.

Concerning the alignment to the RFCs and after the implementation of a change with status PLANNED on CS/MIS, the NSD must always update the status of the related entry to CONFIRMED (status AFTER the deployment is completed).

4. KNOWN ERROR TARGET RESOLUTION DATE

The NSD communicates to the CSD the target resolution date of registered (Call) Known Errors in their National Customs TES.

In 90% of the cases, the NSD should communicate the target resolution date for a Known Error within 10 days from the confirmation of the Known Error.

Targets for DG TAXUD:

1. AVAILABILITY

The CSD must be operational between 07:00 and 20:00 CET, from Monday to Sunday, irrespective of any official or national holidays. The CSD service extends to 7d/24h only for the supported systems with the respective service window.

2. CALL/INCIDENT MANAGEMENT

Target times and limit times:

Interaction Acknowledgement Time (ACK)		
Priority	**Target Time**	**Time Limit**
4 – Critical	30 minutes	1 hour
3 – High	30 minutes	1 hour
2 – Medium	30 minutes	1 hour
1 – Low	30 minutes	1 hour
Call/Incident Management Time		
Priority	**Target Time**	**Limit Time**
4 – Critical	2 hours	5 hours
3 – High	1 business day	1 business day
2 – Medium	2 business days	3 business days
1 – Low	4 business days	5 business days

Table 16: CSD - Target and limit values for call/incident management and action analysis

Note: All targets and limits defined in this annex may be adapted if all collaborating parties (all National Administrations and DG TAXUD) agree to modify the above values, after having analysed the consolidated reports produced by the National Administrations. The tickets that are logged as RfS do not follow the targets above, are handled on best effort approach.

Appendix D. Reporting on the Service Desk targets for the Customs Trans-European Systems

Reporting by National Administration:

1. AVAILABILITY

The NPM shall inform the CPT on ad-hoc basis, if the need is felt, on any availability problem related to a National Services Desk.

2. CALL/INCIDENT MANAGEMENT

The NPM may inform the CPT on a yearly basis of any results obtained by the NSD, for the call/incident management time.

3. NATIONAL CONFIGURATION MANAGEMENT

The NPM shall inform the CPT on ad-hoc basis, if the need is felt, on any configuration management problem related to a National Customs Application.

4. ACCESS INCIDENTS INVESTIGATION

Following requests from DG TAXUD, the NPM shall inform the CPT on ad-hoc basis, on any security incident related to accessing a National Customs Application.

Reporting by DG TAXUD:

1. AVAILABILITY

The CPT will report yearly to the NPM on the performance of the CSD. The CPT will also report monthly to the NPM on any problem of availability of the CSD that would have been identified.

2. CALL/INCIDENT MANAGEMENT

The performance of the CSD is monitored by DG TAXUD. The monthly evolution of the call/incident management time performance will be communicated, if the need is felt, to the NPM.

In addition the following reports are published on CIRCABC:

On a weekly basis:

For the Customs TES in operation, DG TAXUD shall publish a list of **incidents** in the context of operations, including:

- all the closed calls during the week;
- all the calls pending at the reporting date and time.

On a monthly basis:

For all Customs TES, DG TAXUD shall report on all **service calls** related to the TES as follows:

- All the closed Calls during the month, per NA that issued the call;
- All the Calls created during the month, per NA that issued the call;
- All the Calls pending at the reporting date and time, with the possibility to easily sort/filter per issuer and/or per resolver.

3. NATIONAL RFC ALIGNEMENT

The CPT shall indicate in the Monthly Report (produced for NCTS, ECS and ICS) the completeness of the information published for RFC alignment.

4. KNOWN ERROR TARGET RESOLUTION DATE

The CPT shall indicate in the Monthly Report (produced for NCTS, ECS and ICS) the accuracy of the information received from the NSD.

Appendix E. Call/Incident management – Processes

This annex includes – for information purpose only – the generic description of the processes for the management of the calls and actions. This is an extract from the document [RD3]. DG TAXUD and the National Administrations may decide to adopt different procedures or adapt these processes to optimise the performance of the service delivered by the CSD. This would not impact the validity of this SLA. Each collaborating party will inform the other parties if its own procedures are significantly diverging from the processes below. The interactions between ITSM and external parties for third level of support are defined in [RD4].

E.1 Central Service Desk – 1st level

The Central 1st level Service Desk is responsible for handling all requests for support forwarded from the 1st level NSD, and entering the details of those requests in the Service Desk tool of CSD. The flowchart below summarises the functions of the Central 1st level Service Desk.

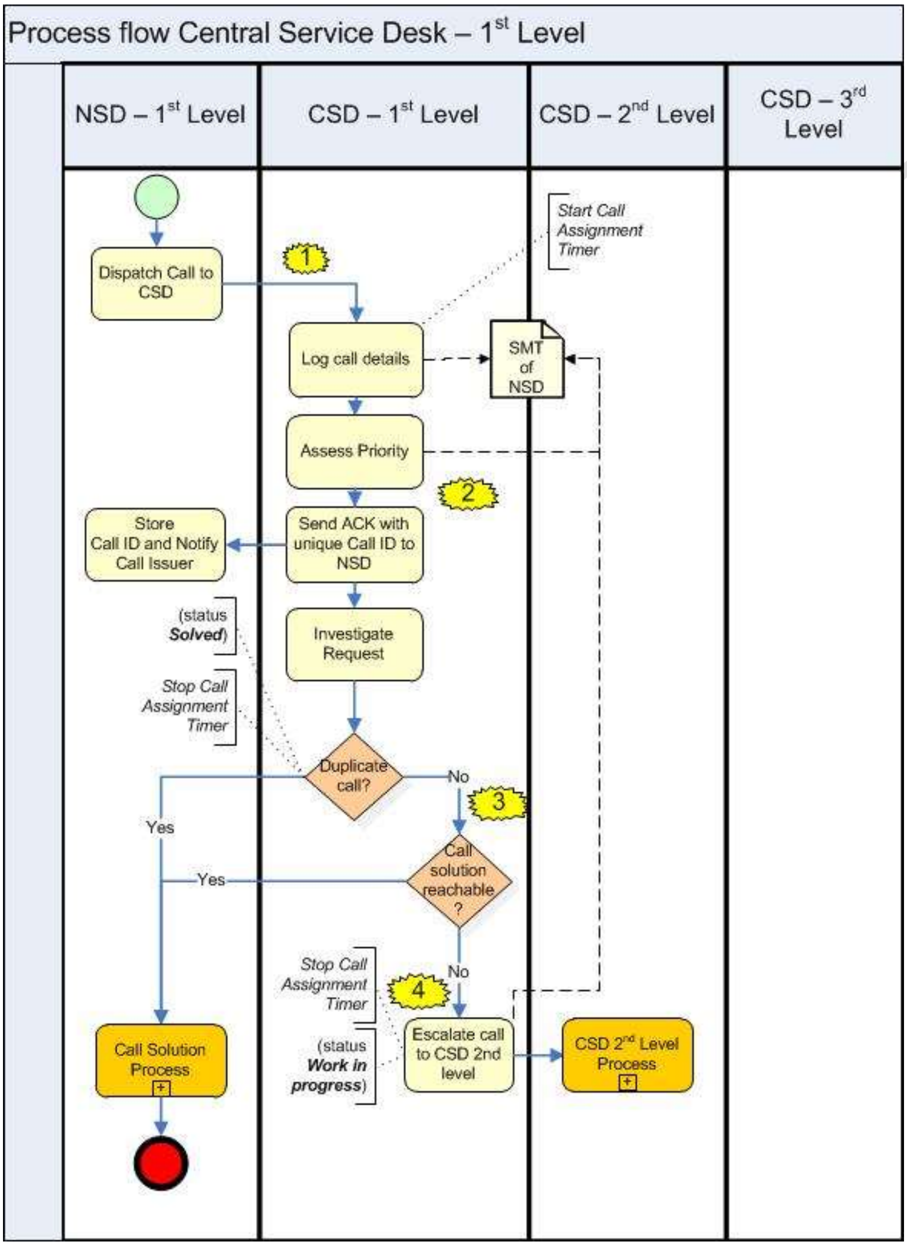

Figure 2: High level process flow of the Central 1st level Service Desk

1. A new request for support arrives from the 1st level NSD. When a new request for support arrives, then the CSD "Call Assignment" timer starts. The request is recorded in the CSD SMT and the call status is updated to "Pending". The new call is checked for duplication. If the new call is found to be a duplication of an older one, the 1st level CSDO records this information in the CSD SMT tool. The call status is then updated to "Resolved" and the "Call Assignment" timer stops. The 1st level CSDO then proceeds with the call/incident closure tasks (please refer to section E.4);
2. The priority of the call is assessed by the 1st level CSDO. An automatic notification is sent to the 1st level NSD, informing them on the Internal Call ID so as to inform the Call Issuer;
3. If this is a new request to be further processed, then the 1st level CSD decides on whether it is capable of providing the call/incident solution, or if the call needs to be escalated to the 2nd level CSD. In the first case, the "Call/Incident Management Closure" path is followed (please refer to section E.4);
4. In the latter case, the call is escalated to the 2nd level CSD: a new action is assigned to the 2nd level CSD to proceed with the analysis of the call. The ownership of the call is thus passed to the 2nd level CSD, which is automatically notified accordingly. The action status is "Work in progress"; the "Call Assignment" timer stops.

In addition to the call registration and action handling, the 1st level CSD, acting as the CSD single point of contact (SPOC), also handles the communication flow to and from the NA passing via the CSD functional mailbox. This exchange of information may include version updates, CT and operational planning, etc. (see also section 5.1.4.1 for National 3rd level Service Desk activities in Guidelines for National Service Desk Set-up and Operation for Customs Trans-European Systems [RD3].

E.2 Central Service Desk – 2nd level

The main role of the Central Service Desk 2nd level is to analyse and reproduce support requests. The secondary role of the Central Service Desk 2nd level is to manage and follow up the actions within calls owned by the CSD. The flowchart below summarises the functions of the Central 2nd level Service Desk.

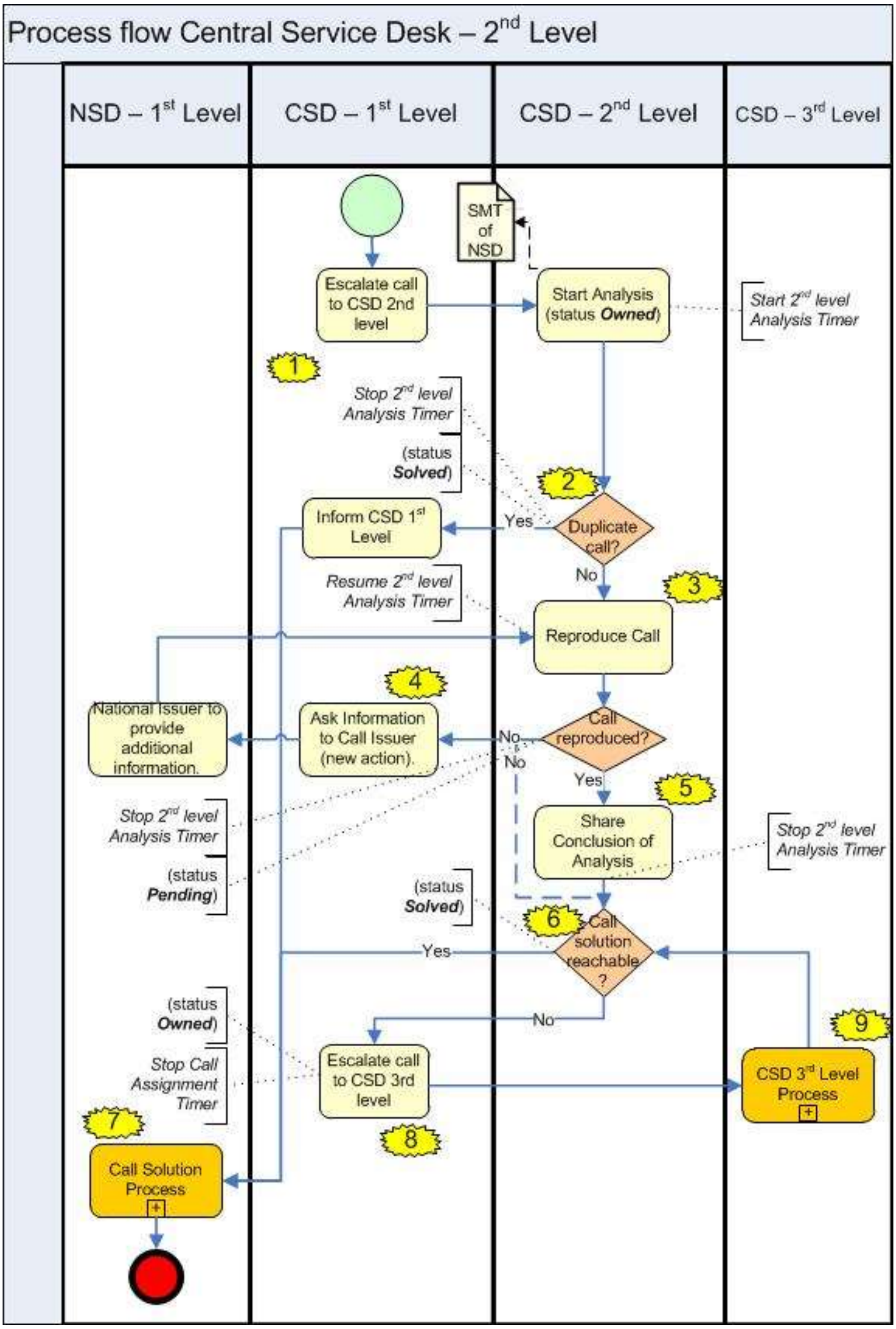

Figure 3: High level process flow of the Central 2nd level Service Desk[12]

[12] When an Incident cannot be resolved by the 1st level support then the Incident is escalated in the 2nd or the 3rd level support. These service desks are supportive teams that are binding with different contracts and separate SLAs and for that reason the incident resolution time may be longer than the time frame indicated in Appendix C.

Call/Incident Management

The 1^{st} level CSD passes ownership of the calls received by National 1^{st} Level Service Desk to 2^{nd} level CSD (see section E.1 above). This means that the 2^{nd} level CSD becomes responsible for the follow-up of the call. It is essential that each internal call be owned by one 2^{nd} level CSDO, who is responsible for the proper follow-up of its progress and solution.

The 2^{nd} level CSDO carries out the following tasks:

- Performs the call analysis within the first action of the call that is assigned to it by the 1st level CSD, within the time frames allocated by the Central Service Desk procedures;
- Records information related to the call in the CSD Service Desk tool;
- Checks at any step of the call life cycle on whether the call/incident solution is reached.

Call/Action Analysis

1. When the first action is assigned to the 2^{nd} level CSD by the 1^{st} level CSD so as to proceed with the call analysis, the “2^{nd} level Analysis” timer starts. It should be mentioned that the analysis step described below is followed every time an action is assigned to the 2^{nd} level CSD;
2. Initially, the 2^{nd} level action resolver checks the priority assigned already to the call;
3. A check follows on whether the incident reported under the specific call is a duplicate to a previously reported one. In case the call is found to be duplicate to an older one, the 2^{nd} level CSDO records the duplication information in the action details of the CSD SMT tool and the procedure for “Call/Incident Management Closure” is followed (please refer to section E.4);
4. If the new call is found not to be duplicated to a previous one, the 2^{nd} level CSD action resolver is responsible for providing an analysis to the incident reported in the specific call. The nature of the analysis provided depends on the call/incident category, being a request for information or incident. For **information calls**, the 2^{nd} level action resolver must be able to pinpoint the exact documentation/configuration/specifications item the call refers to and present a clear and thorough answer. The analysis is then recorded in the action details and the call follows the “Call/Incident Management” sub-process.
   In case of a **trouble call**, the 2^{nd} level CSD action resolver is responsible for reproducing the reported incident or providing detailed clarification on the cause of the reported incident. Call reproduction may occur in the test or training environment of the operations contractor, keeping in mind that the environmental parameters affecting the call reproduction should be the similar to the original (reported) ones, including the NCA version and configuration settings;
5. If the call cannot be analysed (i.e., the incident cannot be reproduced, or some additional clarification is needed):
   a) A request for more information is sent to 1^{st} level NSD to forward it to the Call Issuer or other party and the CSD tool is updated accordingly (i.e. a new action is opened to the 1^{st} level NSD requesting for any additional information);
   b) The action for the 2nd level CSD is put in status “Pending” and the “2nd level Analysis” timer stops;
   c) Upon reception of the requested information, the “2nd level Analysis” timer resumes and the 2nd level CSD proceeds with the call reproduction and/or further analysis.
6. If the 2nd level CSD is not able to reproduce the reported case, even after additional information has been received by the 1st level NSD (and the forwarded information from the Call Issuer), then it proceeds to the next step;
7. When the 2nd level CSD has performed their analysis (or the incident cannot be reproduced), the action details are updated, the action status becomes “Resolved”, the

"2nd level Analysis" timer stops and the "2nd level Analysis" time is calculated. Once the analysis is performed, an analysis e-mail is generated by the tool, containing the analysis details. This e-mail may be enhanced to contain attachments related to the analysis (e.g. log files). The analysis is automatically dispatched to the pertinent parties including the CSD functional mailbox;

8. Upon reception of the analysis, the CSD judges if the solution to the call has been reached. If so, then the 2nd level CSD follows the procedure for "Call/Incident Management Closure" (refer to section E.4);
9. If the 2nd level CSD is unable to provide the call/incident solution, a new action is assigned by the CSDO 1st level to the 3rd level CSD for them to analyse and provide a solution.

Action Updating

1. When an answer to an action is received by the 3rd level CSD, the 2nd level CSDO has to proceed with the assessment of this answer. The main objective of this step is to ensure that the answer provided is consistent with the information requested and that no ambiguity exists;
2. When the assessment of the action is complete, the action status is updated to "Answered". In case the 2nd level CSD finds that the answer provided by the action resolver is not in accordance with the requested information, the action resolver is contacted and is requested to provide the pertinent piece of information;

   The 2nd CSDO will keep assigning actions to action resolvers until the call/incident solution has been reached. The management of those actions (e.g., open actions, update action statuses, etc.) falls under the responsibilities of the 2nd level CSD. Note that all action resolvers are automatically notified via e-mail, upon assignment of a new action to them (see also section 5.1.4.2 for National 3rd level Service Desk activities in Guidelines for National Service Desk Set-up and Operation for Customs Trans-European Systems [RD3].

E.3 Central Service Desk – 3rd level

The Central 3rd level Service Desk is allocated with the task of answering to actions assigned to it and providing the solutions to reported incidents. The team involved in and acting as the 3rd level Service Desk should possess in-depth knowledge of the specifications and development maintenance of each CDCO application. The flowchart below summarises the functions of the Central 3rd level Service Desk (see also section 5.1.4.3 for National 3rd level Service Desk activities in Guidelines for National Service Desk Set-up and Operation for Customs Trans-European Systems [RD3].

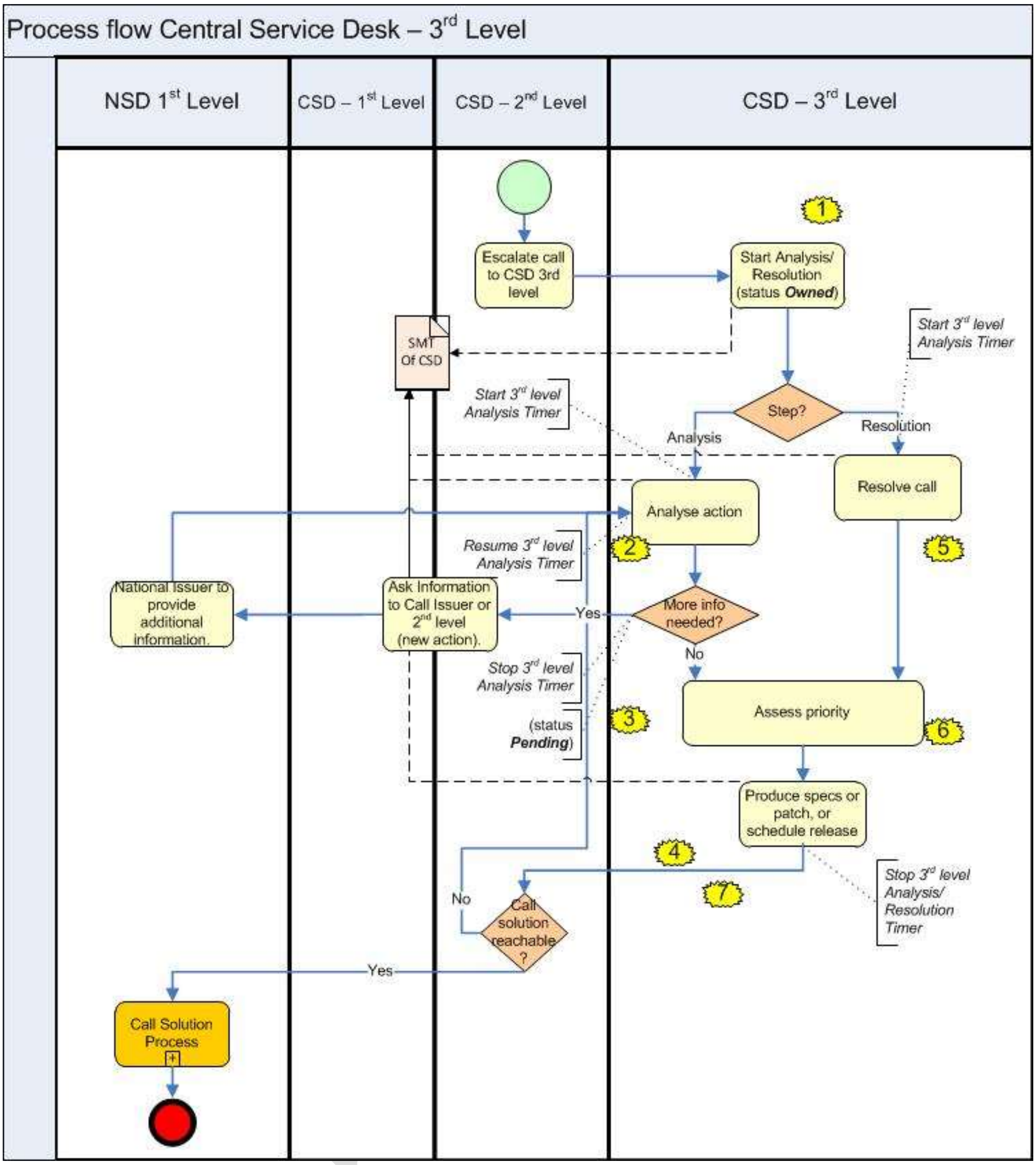

Figure 4: High level process flow of the Central 3rd level Service Desk

The 3rd level CSD is the resolver of actions assigned to it by the 2nd level CSD. Upon receiving an action, the 3rd level CSDO performs the following process steps:

- Checks whether the call description/information and associated log files, are available and adequate for providing a thorough analysis/resolution. If not, the 2nd level CSD is notified;
- Ensures that the action analysis/resolution is done within the pre-defined CSD target times.

Specifications – Call Analysis

1. A new action is assigned to the 3rd level CSD by the 2nd level CSD. The “3rd level Analysis” timer starts.

The 3rd level CSD receives analysis requests related to either specifications or development matters. Depending on the subject of the call, a diagnosis may result to an update of the specifications documentation or an implementation plan. The diagnosis is reviewed by the respective action resolver;

2. Even when the reported incident may eventually lead to the call resolution steps (see following paragraph, 'Development' branch), the 3rd level CSD will first perform an analysis of the call and try to isolate the source of the reported incident. In order to facilitate the isolation of faults in the applications and generally for providing efficient software maintenance services, it is suggested that a reference environment is maintained, similar to the system in operation. This environment is under strict configuration control and follows the evolution of the operational system. Before each change is introduced to the system as a result of a maintenance activity, it undergoes thorough testing on the reference environment;
3. After the 3rd level CSD has isolated the cause of the call, an implementation plan is provided, taking into account the priority of the call. Moreover, the 3rd level CSD has to proceed to an assessment of whether the specific call has affected or may affect any other national or international application or specifications. For the 3rd level CSD, the estimation of the call priority is based on the technical impact that the reported call has on the specifications of the central customs applications;
4. When the 3rd level CSD has identified the cause of the reported incident and has scheduled its implementation, or when the diagnosis to a reported issue has been achieved, the 3rd level CSD records this as the action analysis. This analysis is verified by the 3rd level CSDO acting as the action resolver and the action analysis is dispatched to the 2nd level CSD via the 1st level CSD, who updates the action status to “Work in progress” and stops the “3rd level Analysis” timer.

Resolve– Call/Incident

1. The resolution step applies only to the solution of calls related to the central customs applications development and not to actions regarding specifications issues. The approach to be taken for corrective/evolutive maintenance of the central customs applications is defined by DG TAXUD;
2. The calls are resolved taking into account the priority for each one. The resolution of a call is assigned to the appropriate member(s) of the “development team”, who makes the necessary corrections to the relevant items software unit(s), and records the items that are affected on the Delivery and Qualification Report (DQR) form. The developer also makes an initial assessment of which application(s) document(s) may be affected from these changes, possibly leading to one additional specific Action;
3. When the team member has completed the resolution of an application incident, an action is created for the testing team to verify the patched application. It should be noted that in cases, the resolution of a call affects more than one application or the specifications, distinct resolution actions will be assigned accordingly. Once the patch has been published, the call should be re-assigned to the initial issuer of the call, to verify if the solution meeting expectations (immediate closure should be avoided in case the installation of the new release is not immediate).

E.4 Central Service Desk – Call/Incident Management Closure

This step is followed when the CSD judges that the call/incident solution is reached. In this case, the 1st SDO:

- Ensures that all actions within this call are closed;
- Updates the call details in the Service Desk tool with the call/incident solution;
- Sends the solution e-mail to the call issuer;

- Updates the call/incident status to “Resolved”.

The outlines these tasks involved in the Call/Incident Closure process:

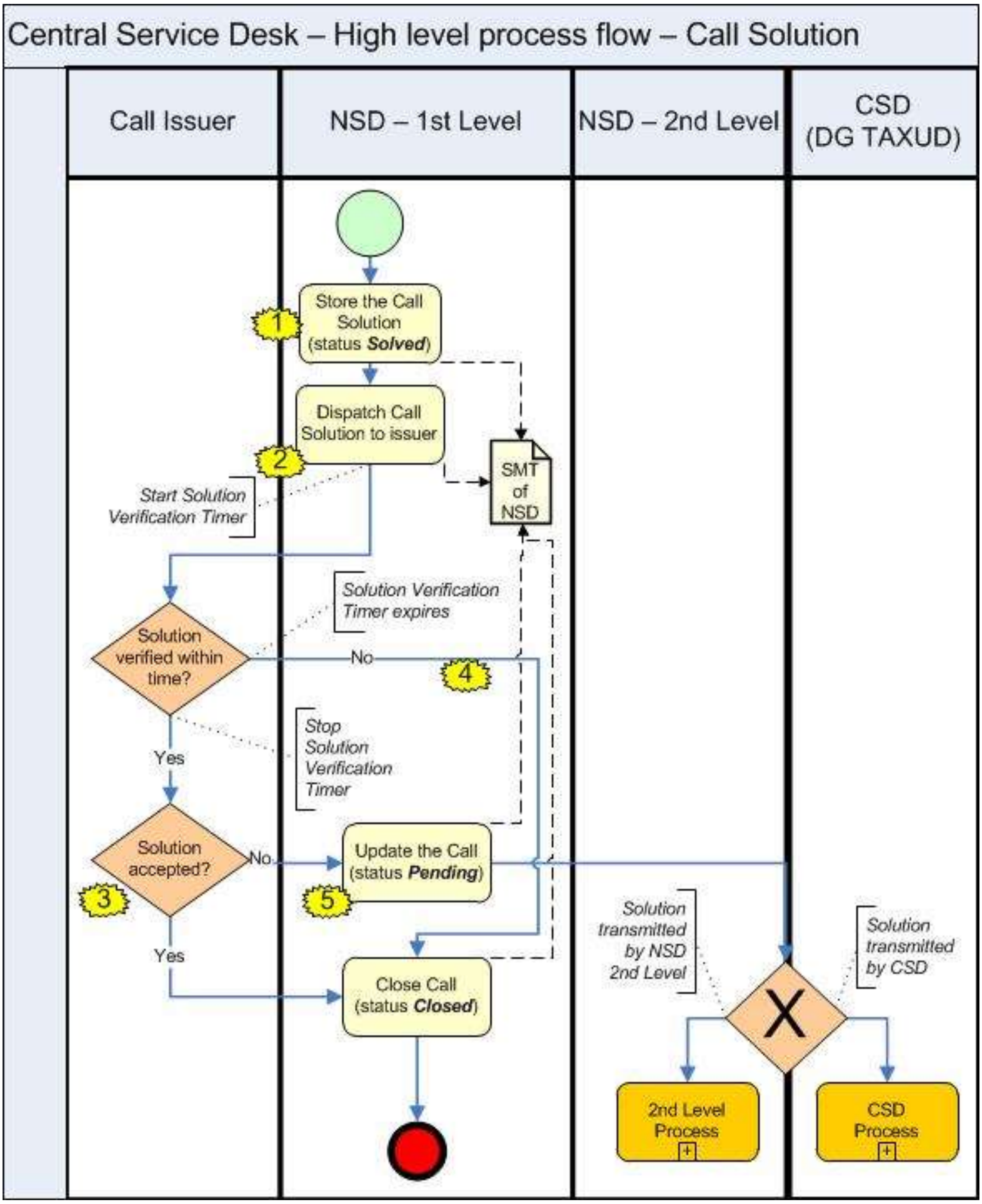

Figure 5: High level process flow of the Call/Incident Closure process

For **Internal Calls**, once the Call/Incident Solution has been reached:

1. The Central 1st level SDO records the solution in the Service Desk tool and updates the call status to “Resolved”;

2. An automatic notification is sent to the call issuer informing on the solution details (For calls dispatched to the CSD, and once the Call/Incident Solution has been reached, the call/incident solution is sent to the NSD functional mailbox from the CSD, via a solution e-mail);
3. The “Solution Verification” timer starts. The call issuer needs to confirm their approval/rejection of the proposed solution;
4. If the call issuer does not respond within the time frame of the “Solution Verification” time, the call is automatically updated to “Closed” after two reminders and a notification e-mail are sent to the call issuer;
5. If the call issuer does not accept the call/incident solution, then the call is re-opened and a new action is assigned to the appropriate action resolver (2nd or 3rd level Service Desk).

The event may arise that the 3rd level Service Desk may not be in a position to resolve a call. This may be either because:

- The call cannot be reproduced by either the 2nd or 3rd level Service Desk;
- The incident can be reproduced but its source cannot be identified or amended.

In the case that a call cannot be resolved by the 3rd level Service Desk, the following courses of action may be taken depending on the subject of the call:

- The call is closed and a new call is opened when the incident is reproduced again. Pertinent log files are kept and analysed in the new call;
- The call remains in 'Parked' status and a new action is opened for the purpose of recording a future call reproduction (for example, in a newer version) or future continuous testing and debugging that may lead to the identification of the nature of the incident and its solution.

*** End of document ***