

Technical specifications for Lot 2

“IT specialised support and consultancy services”

**OPEN CALL FOR TENDERS
ACER/OP/ADMIN/12/2012**

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1. Introduction

This document contains detailed technical specifications for services requested under Lot 2 “IT specialised support and consultancy services” and describes the following:

- the current situation
- the technical requirements for activities and outcomes
- the staff profiles that is required.

2. Overview of the current situation

According to article 22(2) of Regulation (EU) No 1227/2011¹ of the European Parliament and the Council on wholesale energy market integrity and transparency (hereafter: REMIT), data collection pursuant to article 8(1), (3), (4) and (5) of REMIT will depend on the entry into force of the relevant implementing acts referred to in article 8(2) and (6) REMIT. The Agency will start collecting trading and other data within six months after the date on which the relevant implementing acts are adopted. For the adoption of these implementing acts, no deadline is indicated in REMIT. The Agency, following consultations with the interested parties, in particular national energy regulatory authorities (NRAs), may make recommendations to the European Commission as to the records of transactions for the relevant implementing acts.

REMIT implementation roadmap will have to respect the aforementioned deadlines, but to a large extent depends on REMIT implementing acts to be provided by the European Commission following a comitology procedure.

The Agency, according to article 7 of REMIT, shall monitor wholesale energy markets and, according to article 16 of REMIT, has a strong coordinating role to ensure consistency and coherence of monitoring and enforcement at the regional and national levels.

Monitoring of wholesale energy markets will have to cover both the wholesale electricity market and the wholesale gas market. For both markets, several market segments will need to be covered, both for products with physical delivery (energy products and transportation services) and for products with financial settlement (derivatives), always including exchange-based as well as OTC transactions.

3. Technical specifications

Lot 2 concerns IT consultancy services for the development of studies related to all types of information technology (IT) and all areas. It includes two main areas:

- a. IT consultancy services for market monitoring software,
- b. IT overall consultancy services on IT security, IT architecture, etc.

An expertise with commercial tools for financial market monitoring (e.g. AWACS, Capital Markets Compliance, Scila Surveillance, TransacTzar, Fovea, Capizar MSS & RCP, Radar, MIT Surveillance, SMARTS Integrity Platform, SMARTS.broker, Actimize, Trade Exception Radar, Mantas, Market Surveillance & Monitoring Accelerator, Red Eye, SIA Eagle, Protegent) is mandatory.

¹ Regulation (EU) No 1227/2011 of the European Parliament and the Council on wholesale energy market integrity and transparency, OJ L 326, 08.12.2011, p.1

3.1 Requirements for IT consultancy services for market monitoring software

IT consultancy services for the development of high-level activities relate to the implementation of wholesale market monitoring software and shall include the following activities:

- Defining the functional and technical requirements for market monitoring software:
 - “core” functional requirements for identifying “anomalous events” via an automated screening;
 - additional functional “cross-market” requirements deriving from the variety of markets considered (physical and financial, auctions and continuous trading, spot and OTC);
 - additional requirements deriving from the data-sharing functionality according to articles 10 and 12 of REMIT.
- Comparison/selection of existing software tools for market monitoring under several criteria of cost and performance:
 - Installation, setup and/or licensing schemes and all linked on-going costs,
 - capability to be customised and maintained on an open basis,
 - availability of data sharing functionalities with other (remote and geographically-connected) authorities,
 - adequacy for integration with sector-specific fundamental databases.
- Assessment of different IT solutions for wholesale market monitoring software as for HW sizing, hosting and networking, scalability of IT Implementation, deployment studies

3.2 Requirements for IT consultancy services on IT security, IT architecture and other IT-related matters

The overall IT consultancy services for the development of studies related to all types of information technology (IT) issues shall include the following activities, but not limited to that only:

IT Security

- Security requirements analysis according to REMIT requirements for data collection and operational reliability (according to article 12 of REMIT, the Agency shall take all necessary measures to prevent any misuse of, and unauthorised access to, the information maintained in its systems)
- Risk analysis of operational environment and assessments
- Support with the aim to obtain an ISO 27001 certification

IT Functional and Technical Requirement analysis

- Detailed analysis and design of information systems, starting from high-level analysis provided by the Agency
- Detailed analysis and re-design of business processes (existing and new)
- Data flow analysis and standardisation of communication protocols, formats and codes

Enterprise IT architecture

- Development and enhancement of IT architecture
- Costs/benefits analysis for different solutions of IT architecture
- Assistance with the implementation of the architecture
- Architecture maturity assessment
- Technical studies and evaluations

IT Quality

- IT quality plans and assessment
- IT functional and quality tests

- IT development cycle quality control and evaluation
- Assistance in project management and change management for new IT systems

SW functional sizing

- Function Point (FP) Counting according to IFPUG v. 4.3
- FP Baseline documentation keeping
- Advise for controversial cases in FP counting

This lot requires experience at least with:

- RUP (Rational Unified Process)
- UML
- Enterprise architecture tools
- Business process analysis and reengineering (BPR) tools
- Business process management (BPM) tools
- ITIL
- IFPUG FP counting practice.

4. Request for services and implementation of specific contracts

The "person/day quoted" method shall be used for consultancy services. The services will be ordered for a maximum number of days and will be divided into various sub-tasks (or "quoted person-day").

In the request for services, the Agency shall provide the Contractor with a detailed description of each sub-task. The Contractor shall submit a draft offer which shall include an estimate of the number of days needed to carry out the sub-task and the expected delivery date(s). When the estimate is accepted by the Agency, it shall become binding for both parties; only the number of days indicated in the estimate which will be a subject of a specific contract, shall be chargeable.

The payment, approved by the Agency, will be carried out on the basis of each sub-task fully delivered and accepted by the Agency in writing.

The acceptance period will run up to a maximum of thirty (30) working days from the day of signature of a delivery note by the Agency. During this acceptance period, the Agency may notify the Contractor in writing of any defaults in the result or deliverable.

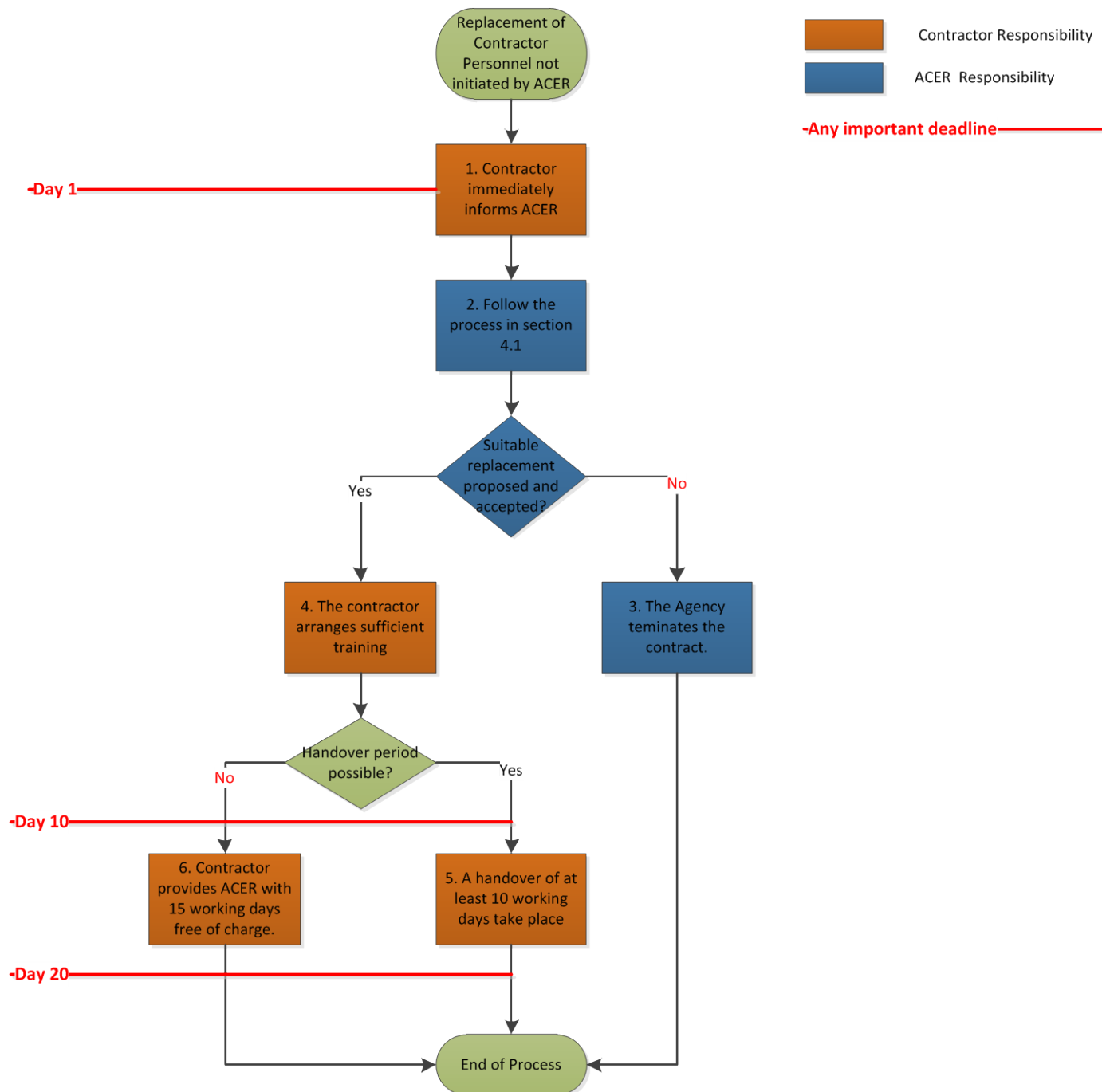
4.1 Replacement of Contractor's personnel not initiated by the Agency

This point is applicable only for cases where the services are performed at the Agency's premises.

In case there is a need to replace personnel working under a specific contract, and such replacement is not initiated by the Agency, the following process shall apply:

1. As soon as the Contractor learns that the person implementing services at the Agency will no longer be able to carry out the work, the Contractor is obliged to immediately inform the Agency. The Contractor shall give one month's notice to the Agency.
2. The replacement, approved by the Agency, shall be present at the Agency's premises ten working days before the end of the period of notice of the predecessor.
3. In case the Contractor does not propose a suitable replacement in due time, the Agency may either:

- a. immediately cancel the specific contract or
 - b. apply a penalty of 10 working days free of charge.
4. The Contractor shall arrange sufficient training during a handover period to guarantee the continuity of service provided to the Agency.
5. The handover period of at least 10 working days, free of charge for the Agency, will take place.
6. If no handover is possible, at least 15 working days must be provided by the successor free of charge for the Agency. The days free of charge will be the first working days of the successor.
7. Any such replacement will not represent any additional cost to the Agency.



5. Professional profiles

5.1 A-level profiles

A-level profiles are those which have senior experience in IT consultancy and are able to manage and/or intensively interact with stakeholders.

IT senior consultant	
Minimum education	University degree in the field of Economics, Computer Science, Engineering
Tasks	<ul style="list-style-type: none">– Provision of advice and assistance in any area associated with the procurement, provision, delivery, maintenance, deployment, hosting, effective use of information systems and their environments, in particular for market monitoring software.– Provision of quality plans, service level agreements, quality tests, quality control and evaluation, quality assessments or other quality matters associated with information systems projects.– Assistance in the implementation of project management methodology.– Provision of security studies, security assessments or other security matters associated with information system projects– Functional requirements and business case analysis.– Elaboration of vision documents.– Risk analysis.– Provision of technical studies, technical expertise, technical evaluations in relation with information systems.
Knowledge and skills	<ul style="list-style-type: none">– Ability to participate in high-level meetings, excellent communicator.– Capability of working in an international environment.– In depth knowledge of information systems matters.– Excellent writing and presentation skills (presenting studies).
Experience	<ul style="list-style-type: none">– Minimum 10 years' experience in IT consultancy, covering a similar position for at least 7 years.– Extensive experience in the domain of studies (e.g. IT quality, IT security, requirement analysis, technical domain) and experience in quality assurance procedures.– Must have successfully completed the project management for at least 2 international projects of which at least one was in the area of wholesale market surveillance.

5.2 B-level profiles

B-level profiles are those which have senior experience in IT consultancy of at least 7 years in middle management and are able to intensively interact with stakeholders, internal and external,) and coordinate the activities of a small team of people.

IT consultant	
Minimum Education	University degree in the field of Economics, Computer Science, Engineering
Tasks	<ul style="list-style-type: none">– Provision of advice and assistance in any area associated with the procurement, provision, delivery, maintenance, deployment, hosting, effective use of information systems and their environments, in particular for market monitoring software.– Provision of quality plans, service level agreements, quality tests, quality control and evaluation, quality assessments or other quality matters

	associated with information systems projects. <ul style="list-style-type: none"> – Assistance in the implementation of project management methodology. – Provision of security studies, security assessments or other security matters associated with information system projects. – Functional requirements and business case analysis. – Elaboration of vision documents. – Risk analysis. – Provision of technical studies, technical expertise, technical evaluations in relation with information systems.
Knowledge and skills	<ul style="list-style-type: none"> – Ability to participate in high-level meetings. – Capability of working in an international environment. – Proven knowledge in information systems matters. – Good writing and presentation skills (presenting studies).
Experience	<ul style="list-style-type: none"> – Minimum 7 years' experience in IT consultancy, covering a similar position for at least 4 years; – Good experience in the domain of the study (e.g. IT quality, IT security, requirement analysis, technical domain) and experience in quality assurance procedures.

5.3 C-level profiles

C-level profiles are those which have experience of at least 4 years in IT consultancy.

IT junior consultant	
Minimum education	University degree in the field of Economics, Computer Science, Engineering
Tasks	<ul style="list-style-type: none"> – Provision of advice and assistance in any area associated with the procurement, provision, delivery, maintenance, deployment, hosting, effective use of information systems and their environments, in particular for market monitoring software. – Provision of quality plans, service level agreements, quality tests, quality control and evaluation, quality assessments or other quality matters associated with information systems projects. – Assistance in the implementation of project management methodology. – Provision of security studies, security assessments or other security matters associated with information system projects. – Functional requirements and business case analysis. – Elaboration of vision documents. – Risk analysis. – Provision of technical studies, technical expertise, technical evaluations in relation with information systems.
Knowledge and skills	<ul style="list-style-type: none"> – Ability to participate in high-level meetings. – Capability of working in an international environment. – Proven knowledge in information systems matters. – Good writing and presentation skills (presenting studies).
Experience	<ul style="list-style-type: none"> – Minimum 4 years' experience in IT consultancy; – Good experience in the domain of the study (e.g. IT quality, IT security, requirement analysis, technical domain) and experience in quality assurance procedures.

6. The content of the Service Level Agreement

The Service Level Agreement (SLA) shall establish the minimum standards and values for the performance of the requested services from the ordering phase, to project execution phase and audit.

The draft SLA sets benchmarks for minimum standards and values for the framework contract as well as specific contract(s).

The SLA for the framework contract shall apply to the ordering phase for each request for services, whereas the SLA for a specific contract shall apply to project execution phase and audit. A specific SLA shall include general conditions as well as benchmarks which describe the minimum expected quality level. In case a benchmark applies to a specific condition, this shall be clearly indicated.

A specific SLA will form an integral part of a contract.

6.1 Quality monitoring

A benchmark is a point of reference for measuring the performance of an activity according to which the Contractor shall be assessed at a certain observation time. The benchmarks below shall be used to measure the quality of the service delivered.

For better understanding penalties are stated in the benchmark cards. These shall be applied when the Contractor fails to meet quality expectations either by a substantial margin in a single instance or consistently over a period of time.

In the case of an SLA for a specific contract, the Agency shall apply the benchmarks only in respect to the ordered services and not to all the orders.

6.2 General rules and provisioning applying to the quality monitoring during project execution

In general terms, monitoring of the quality of work delivered by resources will measure the delivery of the services required in respect of their timeliness and the extent to which they meet the qualitative expectations of the Agency.

Monitoring will be carried out in the following manner:

1. Quality of the work of a resource;
2. Before commencing a task, the Contractor's personnel will agree on the scope of the task, the technical approach and the workload estimate with the Agency's staff.
3. Progress monitoring: all resources will report on a weekly basis via timesheets showing the number of hours spent per agreed task and progress on the task.
4. Monitoring of deliverables: upon delivery of a deliverable, Agency staff will review the quality of what was delivered on the basis of its fitness for purpose.

Note:

Whether expectations are met will be established by adherence to the profile description, the service level agreement and the quality of code (inter alia established via peer reviews). Where the resource either fails to meet the benchmarks by a substantial margin in a single instance or consistently over a period of time, the Agency may terminate the collaboration with this resource immediately. The Contractor will be required to replace the affected resource immediately.

6.3 Benchmark cards for Service Level Agreement

With the aim to define a modular and customizable Service Level Agreement framework the Agency set a list of benchmarks which will be used during the contract implementation to continuously check that the Contractor, when performing the specific services is performing on commonly agreed quality standards.

The Contractor can propose additional benchmarks before the signature of a specific contract. The proposed benchmarks must be accepted in written by the Agency but should follow the following basic rules:

- cannot override or modify any part of the benchmarks defined in these technical specifications;
- cannot be expressed in a way that makes the benchmarks in these technical specifications unusable for the purpose of the contract implementation;
- must be supported by relevant literature and with a descriptive paper describing the use of the new benchmark.

For editorial reasons, the benchmark cards are gathered in two groups:

- benchmark cards related to the ordering phase
- benchmark cards related to the execution and audit phase of the projects to give a better reading and understanding of the quality framework and of the phase in which each benchmark will intervene.

Project phase	Benchmark code
Order process	O1.01
	O1.02
	O1.03
	O1.04
	O1.05
Execution process	E1.01
	E1.02

6.3.1 Benchmarks related to the ordering phase

Benchmark O1.1 - Compliance with timeline to indicate willingness to submit an offer or decline	
Service quality indicators	Compliance with timeline to indicate the willingness to submit an offer or decline.
Unit of measure	Working days
Source of measurement data	E-mail exchanges between the Agency and the Contractor.
Observation period	6 months
Frequency of measure	Each time a new request for services is sent to the Contractor
Data to measure	<ul style="list-style-type: none">– Date and time of the e-mail delivery receipt requesting services– Date and time of receiving the reply to declare willingness to submit an offer or decline
Rules for measuring	None
Formula (if any)	$O1 = \text{Date_Willingness_Email} - \text{Date_Received_Request}$
Thresholds	$O1 \leq 2$
Contractual actions	The Agency will send the request for services to the next contractor on the list for a period of 12 months following the observation period, excluding the contractor in question.
Exceptions	No exception

Benchmark O1.02 - Compliance with timeline for sending the response to offer request	
Service quality indicators	Compliance with timeline for sending the response to offer request
Unit of measure	Working days
Source of measurement data	E-mail exchanges between the Agency and the Contractor.
Observation period	6 months
Frequency of Measure	Every time a new request for offer is sent to the Contractor and reply received
Data to measure	<ul style="list-style-type: none"> – E-mail with the response and a formal offer from the Contractor – Date and time of arrival of the reply to declare willingness to provide an offer
Rules for measuring	None
Formula (if any)	$O2 = \text{Date_Received_Offer_Email} - \text{Date_Deadline_Submission}$
Thresholds	$O2 \leq 0$ in working days
Contractual actions	The Agency will send the request for services to the next contractor on the list for a period of 12 months following the observation period, excluding the contractor in question.
Exceptions	No exception

Benchmark O1.03 - Success or failure to provide the requested service	
Service quality indicators	Success or failure to provide the requested service
Unit of measure	Percentage
Source of measurement data	Report on the outcome of the offer evaluated by the Agency
Observation period	12 months
Frequency of Measure	When every new request is sent to the Contractor
Data to measure	Report on the outcome of the offer evaluated by the Agency from a qualitative and quantitative perspective, in line with the Agency request.
Rules for measuring	After 12 months from the start of framework contract and every 12 months period following the start of the framework contract, per each contractor who submitted an offer. The Agency shall take into account the evaluation reports and shall count the number of occurrences in which the Contractor has submitted the offer for the services requested and the number of occurrences in which the Contractor failed to submit the offer.
Formula (if any)	$O3 = \frac{[\text{positive_outcomes} - (\text{positive_outcomes} + \text{negative_outcomes})]}{\text{total_requests}} * 100\%$
Thresholds	$O3 > \text{Yes in 75\% of the total requests}$
Contractual actions	The Agency will send the request to the next contractor on the list for a time period of 12 months following the observation period, excluding the contractor in question.
Exceptions	No exception

Benchmark O1.04 - For provision of qualitative CVs	
Service quality indicators	For provision of qualitative CVs
Unit of measure	Percentage
Source of measurement data	Report on the outcome of the offer evaluated by the Agency
Observation period	12 months
Frequency of Measure	When every new request for services is sent to the Contractor
Data to measure	Report on the outcome of the offer evaluated by the Agency with a focus on the quality of the CVs proposed, in line with the Agency request.
Rules for measuring	After 12 months from the start of the framework contract and every 12 months period following the start of the framework contract, per each contractor who submitted CVs, the Agency, after taking into account the reports, will count the number of occurrences in which the Contractor has forwarded qualitative acceptable CVs in response to a request, and the number of occurrences in which the Contractor failed.
Formula (if any)	$O4 = [positive_outcomes / (positive_outcomes + negative_outcomes)] * 100\%$
Thresholds	$O4 > \text{Yes in 75\% of the total requests}$
Contractual actions	The Agency will send the request for services to the next contractor on the list for a time period of 12 months following the observation period, excluding the contractor in question.
Exceptions	No exception

Benchmark O1.05 - For availability of resources	
Service quality indicators	For availability of resources
Unit of measure	Percentage
Source of measurement data	Report on the outcome of the offer evaluated by the Agency
Observation period	12 months
Frequency of Measure	When every new request for services is sent to the Contractor
Data to measure	Report on the outcome of the offer evaluated by the Agency with a focus on the availability of resources, from a quantitative perspective, in line with the Agency request.
Rules for measuring	After 12 months from the start of the framework contract and every 12 months period following the start of the framework contract, for each contractor who submitted an offer, the Agency, after taking into account the reports, will count the number of occurrences in which the contractor has offered quantitatively acceptable amount of resources in response to a request for services, and the number of occurrences in which the contractor failed.
Formula (if any)	$O5 = [positive_outcomes / (positive_outcomes + negative_outcomes)] * 100\%$
Thresholds	$O5 > \text{Yes in 75\% of the total requests}$
Contractual actions	The Agency will send the request for services to the next contractor on the list for a time period of 12 months following the observation period, excluding the contractor in question.
Exceptions	No exception

Benchmark E1.1 - Timely delivery in consultancy projects	
Service quality indicators	For timely delivery
Unit of measure	Dates
Source of measurement data	Report on the outcome of the offer evaluated by the Agency
Observation period	Once, at the end of the specific contract
Frequency of Measure	See " <i>Observation period</i> "
Data to measure	<ul style="list-style-type: none"> – Estimated date of the Agency's acceptance must be mentioned in the detailed plan accepted by the Agency. – End of the specific contract is defined as the final acceptance of deliverables at the end of the specific contract and is signed by the Contractor and the Agency.
Rules for measuring	This is a single measure at the end of any specific contract.
Formula (if any)	<i>Date of the Agency's acceptance</i> <= <i>Estimated date of the Agency's acceptance</i>
Thresholds	This measure should not be false
Contractual actions	In case the value is above the threshold, the Contractor will have a penalty of 3% on the total amount of development on the complete value of the specific contract.
Exceptions	No exception

Benchmark E1.2 - Non conformities in a consultancy project	
Service quality indicators	Non conformities in the handover phase
Unit of measure	Written report
Source of measurement data	Written report
Observation period	Consultancy project period
Frequency of Measure	Once per specific consultancy contract
Data to measure	No data to measure
Rules for measuring	Will be considered every written report from the Project Manager and sent to the Contractor regarding the hand-over phase.
Formula (if any)	<i>NCHO = Total number of written reports</i>
Thresholds	<i>Threshold 1</i> $NCHO \leq 3$ <i>Threshold 2</i> $3 < NCHO \leq 5$
Contractual actions	In case the value exceeds the threshold 1: a penalty of 5% of the total amount of activities related to the handover; In case the value exceeds the threshold 2: the Agency could invoke the right to terminate the contract.
Exceptions	None

6.4 Quality audits

The Agency will audit the Contractor's processes related to the delivery of the service. Three types of audits are foreseen.

1. Short-notice point audit:

Notice period: 24 hours Content: Request to provide documented evidence that a specific step in the processes related to the delivery of the service has been provided. Maximum frequency: One per month
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2. Shallow system audit announced in advance:
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Notice period: 5 working days Content: On-site (Contractor's premises) audit of all auditable processes and systems (cf. Infra) Maximum duration: 0.5 days Maximum frequency: One per quarter
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3. In-depth system audit announced in advance:

Notice period: 10 working days Content: On-site audit (Contractor's premises) of all auditable processes and systems Maximum duration: 2 days Maximum frequency: One per year
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The auditable processes will be a part of the SLA with a possibility of revision on conclusions of a specific contract. The set of auditable processes and systems will consist of at least the processes and systems required in these technical specifications (process for ordering services, replacement of Contractor's personnel not initiated by the Agency, reporting requirements) and the processes the Contractor shall describe in his tender and/or in an offer to a specific request for services in case this shall be relevant to the delivery of services.