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THE EUROPEAN UNION**

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EUROPOL 19

NOTE

From: Europol
To: Delegations
Subject: Europol Work Programme 2011

1. Article 37(10) (b) of the Council Decision establishing the European Police Office¹ mentions that the Europol work programme is to be adopted by the Europol Management Board, after having obtained the Commission's opinion, and is to be submitted to the Council for endorsement. The Council shall forward the Europol work programme to the European Parliament for information.
2. The Europol work programme 2011 was adopted by the Management Board at its meeting on 10 September 2010 and was sent by letter from the Chair of the Management Board to the Council dated 27 September 2010.
3. The Law Enforcement Working Party/CATS are invited to endorse the aforementioned work programme and to forward it to COREPER / Council, for it to be endorsed by the Council and to be forwarded by the Council to the European Parliament for information.

¹ OJ L 121, 15.5.2009, p. 37.



EUROPOL PRELIMINARY WORK PROGRAMME 2011

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Executive Summary

Whereas 2010 will be primarily a year of transition for Europol, we expect 2011 to be marked by the delivery of increased operational results in line with the new Europol Strategy. Europol's new legal framework, new strategy and improved organisational structure will make the organisation more flexible, more operationally focused and better able to respond to emerging criminal threats.

A period of consolidation during 2010 and early 2011 will be necessary in order to embed the important changes the organisation has undertaken. However, effective planning will ensure that this does not lead to any notable disruption of the Agency's core business. Ambitious plans are underway to implement the new Europol Strategy, the structure of which is reflected in the Work Programme 2011.

Goal 1 of the Strategy foresees the delivery of **increased support for law enforcement operations**. In 2011, this will be characterised by the further development of Europol's 24/7 operational support and coordination centre in line with a dedicated business needs assessment, and via improved arrangements to coordinate operational actions between Member States and EU agencies. Work will also continue to improve cooperation with countries outside the EU, and with the private sector.

Under **Goal 2** – to develop as the **EU criminal information hub** – Europol will deliver its biennial Organised Crime Threat Assessment (OCTA) as well as a growing number of thematic threat assessments to address priorities and fill intelligence gaps. The management of analysis work files (AWFs) should be refined during 2010 to allow, in 2011, analytical reporting which delivers more value in terms of timeliness, quality and relevance. Recognising that Europol's strategic and operational output is largely reliant on the information it receives, targeted and continuous information gathering will be developed. Europol's information management tools are a crucial prerequisite for both the gathering and dissemination of intelligence, so Europol will continue to develop effective, secure and reliable solutions.

While information exchange, analysis and support to operations lie at the heart of Europol's core business, the organisation's mandate also foresees the development of new techniques and expertise, and the promulgation of these among the EU law enforcement community. **Goal 3** of the strategy addresses this role. In 2011 the focus will be on the development of the Europol Platform of Experts (EPE) – a secure online forum for the exchange of knowledge between law enforcement practitioners – and the establishment of forensic facilities at the new Europol headquarters.

Finally, **Goal 4** of the strategy covers the organisational activities which are needed to ensure that Europol has the right capabilities to achieve its operational goals. Since 2010 will be the first year when Europol benefits from the input of new governing and supervisory bodies, there will be a focus in 2011 on strengthening transparency and accountability. 2011 will also see the culmination of the new headquarters project, ensuring that the relocation does not disrupt operational services and that the benefits of the new headquarters are realised as fully and as quickly as possible.

List of Abbreviations

| | |
|--------|--|
| CEPOL | <i>Collège européen de police</i> (European Police College) |
| COSI | <i>Comité opérationnel de sécurité intérieure</i> (Standing Committee on operational cooperation on internal security) |
| COSPOL | <u>C</u> omprehensive, <u>O</u> perational, <u>S</u> trategic Planning for the <u>P</u> olice |
| DPO | Europol Data Protection Officer |
| EAS | Europol Analysis System |
| ECA | European Court of Auditors (financial “external” audit) |
| ECD | Europol Council Decision |
| ECDC | European Centre for Disease Prevention and Control |
| EDPS | European Data Protection Supervisor |
| EMCDDA | European Monitoring Centre for Drugs and Drug Addiction |
| ESRIF | European Security Research and Innovation Forum |
| EU | European Union |
| FCIC | Financial Crime Intelligence Centre |
| HR | Human Resources |
| IAF | Europol Internal Audit Function |
| IAM | Identity and Access Management |
| IAS | Internal Audit Service of the Commission |
| ICT | Information and Communication Technology |
| IFOREX | Internet and Forensics Experts |
| IS | (Europol) Information System |
| JSB | Joint Supervisory Body |
| KMC | Knowledge Management Centre |
| KPI | Key Performance Indicator |
| MB | Management Board |
| OLAF | <i>Office européen de Lutte Anti-fraude</i> (EU Anti-Fraud Office) |
| SDRP | Staff Development and Review Process |
| SIENA | Secure Information Exchange Network Application |
| SitCen | EU Joint Situation Centre |
| SpLET | Specialised Law Enforcement Techniques |

Introduction

The Work Programme is Europol's annual business plan. Its purpose is to translate the Organisation's strategy into annual objectives and to provide the basis for budgetary planning. It is used to communicate the Organisation's objectives to the European Union (EU) Member States in a transparent and structured manner.

The Work Programme is produced in accordance with Article 38(4) of the Europol Council Decision (ECD)², in which it is mentioned as one of the Director's responsibilities, and Article 37(10), which foresees that the Management Board (MB) shall adopt the Work Programme "taking into account Member States' operational requirements and budgetary and staffing implications for Europol, after the Commission has delivered an opinion". After adoption by the MB, the document shall be submitted to the Council for endorsement.

Chapter 2 – Methodology – summarises the steps that were taken to prepare the Work Programme. Chapter 3 summarises the main factors which influence Europol's planning for 2011.

Chapter 4 explains the annual objectives for 2011 and includes one-page overviews of the objectives supporting each strategic goal, as well as an estimated allocation of human and financial resources to those objectives. An overview of resource allocation and a strategic risk register are provided in Annexes A and B respectively.

The MB is invited to adopt the draft preliminary Work Programme and forward it to the Commission by 31 March 2010 in accordance with Article 42(5) of the ECD.

² Council Decision establishing the European Police Office (Europol) (2009/371/JHA) OJ L 121, 15 May 2009, p. 37.

Methodology

Based on the relevant requirements and guidelines, the Work Programme identifies a limited number of key objectives, aligned with the Europol Strategy 2010-2014 and structured accordingly to SMART principles (Specific, Measurable, Achievable, Relevant, Timed)³.

The 23 objectives in the draft Work Programme 2011 have been identified based on corporate planning for the implementation of the Strategy, taking into account the influencing factors described in chapter 0 below.

Multi-annual Key Performance Indicators (KPIs), as presented in the Implementation Plan for the Strategy 2010-2014⁴, are used for monitoring Europol's performance against each of its strategic objectives.

The tables contained in chapter 4 of this document list the strategic objectives set out in the Europol Strategy 2010-2014 and the strategic KPIs set out in the implementing document⁵. Annual targets for these KPIs will be communicated in the course of 2010, once the relevant baseline data is available.

The Work Programme 2011 has been developed "in the slipstream" of the preparation of the Europol Strategy 2010-2014, which was adopted by the Management Board (MB) on 17-18 November 2009.

The extensive consultations for the development of the Strategy were therefore used to provide the basis for operational priorities and annual objectives for 2011.

³ Principle of Sound Financial Management, Chapter 7 of Commission Regulation No 2343/2002 of 23 December 2002.

⁴ "Implementing the Europol Strategy", The Hague, 2 November 2009, file number 1424-73r1. With regard to the KPIs it will be important to verify – as underlined by the European Commission in its opinion on the present Preliminary Work Programme – whether these indicators provide a satisfactory measurement of progress achieved and impacts obtained.

⁵ Idem.

Analysis of the Work Programme process during 2009 identified a number of areas for improvement that were addressed in the elaboration of the Work Programme 2011, including in regard to:

- Performance management;
- Evaluation of corporate planning and implementation of objectives;
- Interdependencies of objectives and budget.

Influencing Factors

The **Europol Strategy 2010-2014** provides a clear framework for the strategic development of the Organisation. The implementation of the strategy will take place via the achievement of objectives on an annual basis, as expressed in this and future Work Programmes.

Detailed internal and external consultation exercises in the second half of 2009 provided valuable input for the elaboration of the strategy and the Work Programme 2011. Based on this provisional multi-annual planning, prioritised objectives have been defined for 2011.

The **external factors** below have been taken into account in the preparation of the Work Programme 2011:

- The entry into force of the Treaty of Lisbon;
- “The Stockholm Programme – An open and secure Europe serving and protecting the citizens”⁶ (the new multiannual EU Justice and Home Affairs Programme scheduled for adoption in December 2009);
- The draft Internal Security Strategy for the European Union: “Towards a European Security Model”⁷
- Council Conclusions setting the EU's priorities for the fight against organised crime based on the 2009 Organised Crime Threat Assessment and the Russian Organised Crime Threat Assessment⁸.

⁶ Doc. 16484/1/09 REV 1 JAI 866 + ADD 1.

⁷ Document circulated by the Spanish Presidency and discussed at the informal meeting of JHA Ministers on 22 January 2010 in Toledo.

⁸ Doc. 8301/3/09 REV 3 CRIMORG 54.

The Work Programme objectives also take into account issues identified in recent Europol Evaluation Reports, namely the need for increased flexibility in responding to emerging criminal threats; increased use by Member States of tools and platforms provided by Europol; the development of Member States' operational requirements, as expressed via the HENUs, AWF and other meetings; and the need for greater levels of budgetary efficiency.

Finally, reference is also made to the fact that the Host State is expected to deliver the new headquarters in December 2010, meaning that a significant commitment of resources will be made during the first quarter of 2011 in order to complete the move.

Work Programme Objectives

The annual objectives are structured according to the goal in the Europol Strategy they support most directly. The overview table for each strategic goal shows the relevant strategic (multi-annual) objectives and indicates the relevant multi-annual KPIs. Draft annual targets for 2011 will be communicated once baseline data for the first part of 2010 is available.

The SMART annual objectives highlight specific activities to be performed and milestones to be achieved in the course of 2011.

Unless stated otherwise, all objectives should be achieved by the end of 2011.

Goal 1: Europol will function as the principal EU support centre for law enforcement operations

| Multi-annual level (Europol Strategy 2010-2014) | | Annual level (Europol Work Programme 2011) | | |
|---|---|---|-----------------------------------|------------------------------------|
| Strategic Objectives | Strategic KPIs | Annual Objectives | Human Resource Allocation (posts) | Budget Allocation (€) ⁹ |
| 1.1 - Ensure effective delivery of a unique set of operational support services | i. User satisfaction with operational support (average rating) | 1.1.1 – Increase the number of Member States’ cases supported by analytical and other operational services | 57 (10.3%) | 700,000 (0.8%) |
| | ii. No. of cases initiated at Europol (staff and Liaison Officers) iii. Number of successful operational outcomes in MS supported by Europol | 1.1.2 – Implement an improved mobile office solution and enhanced coordination of all incoming information via a 24/7 Support and Coordination Centre at the new Europol Headquarters | 26 (4.7%) | 482,000 (0.6%) |

⁹ Excluding salary costs (Budget chapters 11 – “Staff in active employment” and 33 – “Seconded National Experts (Operational)”))

| Multi-annual level (Europol Strategy 2010-2014) | | Annual level (Europol Work Programme 2011) | | |
|---|---|--|-----------------------------------|------------------------------------|
| Strategic Objectives | Strategic KPIs | Annual Objectives | Human Resource Allocation (posts) | Budget Allocation (€) ⁹ |
| 1.2 – Enhance the coordination of operational action in the EU | i. Number of regional projects/platforms supported by Europol | 1.2.1 – Maximise Europol’s support to COSPOL projects and any similar coordination arrangements under the new COSI structure | 20 (3.7%) | 399,000 (0.5%) |
| | ii. Number of JITs supported by Europol | 1.2.2 – Implement new arrangements to provide operational support to all regional cooperation initiatives in the EU | 18 (3.2%) | 82,000 (0.1%) |
| 1.3 – Develop more effective cooperation with external partners | Overall exchange of information between Europol and external partners | 1.3.1 – Fully implement cooperation agreements with the relevant EU agencies, international organisations and non-EU states | 9 (1.6%) | 138,000 (0.2%) |
| | | 1.3.2 – Establish cooperation arrangements with ten key private sector partners | 7 (1.2%) | 75,000 (0.1%) |

Annual Objective 1.1.1: Increase the number of Member States' cases supported by analytical and other operational services

At the heart of the Europol Strategy 2010-2014 is the expectation that, through improved information collection and coordination, Europol will deliver a better operational service to MS. By the end of 2011 these improvements will be realised by a marked increase in the number of cross-border operations initiated by or through Europol.

The Operational Support and Coordination Centre (OSCC) introduced as of 1 January 2010 will be a key component in the realisation of the Strategy. The routing of information via a central coordination point will increase Europol's capacity to identify trends and ultimately opportunities for effective operational action.

Annual Objective 1.1.2: Implement an improved mobile office solution and enhanced coordination of all incoming information via a 24/7 Support and Coordination Centre at the new Europol Headquarters

The "first generation" of Europol's Operational Support and Coordination Centre (OSCC) will be launched as of 1 January 2010. During 2010 and 2011 all logistical and regulatory obstacles will be addressed in order to maximise the operational capacity of the OSCC by the end of 2011.

The move to the new headquarters in particular, as well as the experience gained from the first year of operation, will provide the opportunity to implement the "second generation" OSCC, that will build on the current arrangements for the 24/7 communication and data processing centre, including an operational support coordination environment available to the ELOs (and SNEs) as well as Europol staff.

Such developments will be guided by an analysis of the business needs.

Annual Objective 1.2.1 – Maximise Europol’s support to COSPOL projects and any similar coordination arrangements under the new COSI structure

Europol will enhance its role in the EU’s improved internal security architecture, making best use of its improved information position (see Goal 2) to inform decision-makers and investigators. Specifically, Europol will:

- Develop its role in support of the Standing Committee on operational cooperation on internal security (COSI) created under the Treaty of Lisbon;
- Provide improved support to COSPOL projects.

By playing an active role at strategic and operational levels, Europol will be better able to provide the right support to the right operations at the right time, as delivered via objectives 1.1.1 and 1.1.2 above. This role will be established in 2010 and lead, during 2011, to the sustained development of Europol as a central coordination agency for security action in the JHA domain.

Annual Objective 1.2.2 – Implement new arrangements to provide operational support to all regional cooperation initiatives in the EU

During 2010, Europol will develop a new regional support concept, in order to provide more consistent support to regional structures such as the SECI Center, the Baltic Sea Task Force, and the Maritime Analysis and Operations Centre – Narcotics (MAOC-N).

Working together with such structures will deliver a tailored regional approach, combining the benefits of Europol’s EU-wide overview and unique analytical, information management and other capabilities with more specific knowledge and expertise held regionally. During 2011, the deployment of a common regional concept will be finalised in respect of all appropriate regional initiatives. This will increase information exchange and operational coordination.

Annual Objective 1.3.1: Fully implement cooperation agreements with the relevant EU agencies¹⁰, international organisations and non-EU states

The new Europol External Strategy is expected to lead to a series of prioritised actions to make cooperation with partners more effective. One of these actions will be to establish **Roadmaps** with those third partners which have signed a strategic agreement and which are striving to upgrade it to an operational agreement. Europol will also establish **Joint operational plans** with key partners which have signed an operational agreement. These roadmaps and plans will be drafted mutually throughout 2010 and 2011 and will outline the concrete steps to be undertaken in order to realise the full potential of cooperation agreements. By the end of 2011, the first results will appear through more effective cooperation (e.g. improved information flows, enhanced contributions to Europol's products and creation of synergies). The cooperation arrangements will be enhanced by the establishment of a secure communication connection in each case.

Annual Objective 1.3.2 – Establish cooperation arrangements with ten key private sector partners

Effective arrangements for cooperation with the private sector can deliver important benefits in certain operational areas. Europol's new legal framework provides additional scope for such cooperation, and these opportunities will be explored and exploited via a structured and coordinated approach. The partners with whom such action plans could provide the most benefit will be identified in Europol's new External Strategy (2010-2014), to be prepared in consultation with the MB in 2010. Arrangements will be developed and implemented during 2011.

¹⁰ Focusing on Eurojust, Frontex, CEPOL, OLAF, EMCDDA, SitCen and ECDC

Goal 2: Europol will become the EU criminal information hub

| Multi-annual level (Europol Strategy 2010-2014) | | Annual level (Europol Work Programme 2011) | | |
|--|---|--|-----------------------------------|-------------------------------------|
| Strategic Objectives | Strategic KPIs | Annual Objectives | Human Resource Allocation (posts) | Budget Allocation (€) ¹¹ |
| 2.1 - Lead the further development of a European Criminal Intelligence Model and promote its principles with national and EU authorities | Percentage of Member States' contributions that fully meet proactively supporting the new EU Information Intelligence Requirement | 2.1.1 – Develop an EU Intelligence Requirement which provides clear guidance to Member States about the strategic and operational information they should provide to Europol | 4 (0.8%) | 20,000 (0.02%) |
| 2.2 – Improve the analysis capability of Europol | User satisfaction with analytical reports (average rating) | 2.2.1 – Deliver an OCTA as a result of improved methodology by 30 March 2011, and other strategic assessments on high priority subjects | 17 (3.1%) | 265,000 (0.3%) |
| | | 2.2.2 – Improve the quality of Europol's operational analysis reports as a result of a revised AWF structure | 57 (10.3%) | 789,000 (0.9%) |

¹¹ Excluding salary costs (Budget chapters 11 – “Staff in active employment” and 33 – “Seconded National Experts (Operational)”))

| Multi-annual level (Europol Strategy 2010-2014) | | Annual level (Europol Work Programme 2011) | | |
|---|--|---|-----------------------------------|-------------------------------------|
| Strategic Objectives | Strategic KPIs | Annual Objectives | Human Resource Allocation (posts) | Budget Allocation (€) ¹¹ |
| 2.3 – Strengthen the information management capabilities of Europol | i. IS searches by MS ii. Total number of cross border crime checks iii. Overall number of SIENA messages exchanged (MS and Europol) iv. Number of objects in the Information System | 2.3.1 – Deliver Phase 2 of SIENA, including extension to competent authorities, automatic feeding of the EAS, follow-up to competent authorities’ searches in the IS, advanced case management, and third party access | 10 (1.8%) | 569,000 (0.7%) |
| | | 2.3.2 – Develop Europol’s information management tools and contribute to the EU information management strategy via the Interoperability & Cross-Matching Programme, the Europol Platform for Experts (EPE) Programme and the Forensic Intelligence Programme | 6 (1.1%) | 859,000 (1%) |

Annual Objective 2.1.1: Develop an EU Intelligence Requirement which provides clear guidance to Member States about the strategic and operational information they should provide to Europol

The existing exercise of annual intelligence collection, principally for the OCTA, will be developed into a more holistic approach. Via this mechanism, Europol will collect information and intelligence not only for the OCTA but for all serious organised crime threats to the EU. The intelligence requirement will guide the Member States in their provision of information and intelligence to Europol, based on prioritised threats and intelligence gaps.

Council Conclusions regarding the further development of the European Criminal Intelligence Model (ECIM) can be expected in the course of 2010, and Europol is ready to support the strengthening of the ECIM, in particular with a view to its practical application. In 2011, the systematic use of the new EU Intelligence Requirement will generate improvements in information flows.

Annual Objective 2.2.1: Deliver an OCTA as a result of improved methodology by 30 March 2011, and other strategic assessments on high priority subjects

In the last Council Conclusions based on the OCTA, it was observed that:

“In order to make the OCTA operationally usable, it has to be made more concrete, to allow precise counter-measures and priorities. The latter has to be directed against determined criminal structures, specific types of crimes or as co-ordinated regions.”¹²

¹² P.6, Council Conclusions setting the EU's priorities for the fight against organised crime based on the 2009 Organised Crime Threat Assessment and the Russian Organised Crime Threat Assessment (8301/3/09 REV 3 CRIMORG 54).

Europol will adhere to this request in preparing the next OCTA, which will

- Be complemented by relevant thematic and regional assessments to address priority areas and/or intelligence gaps¹³;
- Provide a picture of the most significant criminal networks on a regional and pan-European basis;
- Facilitate the selection of targeted investigations and operations.

Annual Objective 2.2.2: Improve the quality of Europol’s operational analysis reports as a result of a revised AWF structure

Throughout 2010 and 2011, Europol will make various improvements to the way it manages its Analysis Work Files, including:

- Common quality standards for analytical reports
- Improved prioritisation and resource allocation mechanism
- Making better use of financial intelligence
- Improvements to Europol Analysis System (EAS) (see also objective 2.3.2)

The purpose of all these steps will be to deliver analytical findings of higher quality and greater relevance to Europol’s counterparts in the Member States. The success of these measures will be directly measured via standardised satisfaction questionnaires completed by the recipients.

Annual Objective 2.3.1: Deliver Phase 2 of SIENA, including extension to competent authorities, automatic feeding of the EAS, follow-up to competent authorities’ searches in the IS, advanced case management, and third party access

While SIENA phase 1 was basically aimed at replacing InfoEx, phase 2 will go beyond the information exchange facilities Europol has known so far.

¹³ Europol will ensure – in line with the Commission’s recommendation – that this complementary activity will not detract from the focus of an improved 2011 OCTA and will have no adverse impact on the resources of the organisation.

SIENA phase 2 will be delivered in two main deliveries. SIENA 2.0 will be delivered before the “freeze” on ICT development from approximately 1 October 2010 to April 2011 (related to the preparation of the new Headquarters). SIENA 2.1 will deliver all phase 2 functionalities not implemented before the “freeze”. All phase 2 functionalities will be delivered before the end of 2011.

The main functionalities delivered by SIENA phase 2 will be:

- Extension to competent authorities (light version – web access)
- Automatic feeding of the EAS
- Follow-up to competent authorities’ searches in the IS
- Advanced case management
- Basic communication functions for Operational Support and Coordination Centre (OSCC)
- Third party access

Annual Objective 2.3.2: Develop Europol’s information management tools and contribute to the EU information management strategy via the Interoperability & Cross-Matching Programme, the Europol Platform for Experts (EPE) Programme and the Forensic Intelligence Programme

In addition to the major improvements foreseen for SIENA, Europol will continue developing its other main information management tools – the Information System (IS) and the Europol Analysis System (EAS) – by identifying areas for improvement in consultation with users, and implementing the prioritised changes via phased releases.

Meanwhile Europol’s information management capabilities will be further developed via the following programmes under the “Principle of Availability” umbrella:

- Interoperability & Cross-Matching Programme
- Europol Platform for Experts (EPE) Programme (see also objective 3.2.1)
- Forensic Intelligence Programme

With a view to supporting the establishment of the EU Drug Profiling Database (EUDPD), Europol is taking a leading advisory role in the current European Drugs Profiling System project. Europol will take the necessary measures in 2011 to host the EUDPD from 2012 onwards.

This objective also covers Europol's provision of information management tools in the context of the EU Action Plan on Enhancing the Security of Explosives (EU-APESSE) and the EU Action Plan on Chemical, Biological, Radiological and Nuclear materials (CBRN).

Goal 3: Europol will expand its capabilities as an EU centre for law enforcement expertise

| Multi-annual level (Europol Strategy 2010-2014) | | Annual level (Europol Work Programme 2011) | | |
|--|--|---|-----------------------------------|-------------------------------------|
| Strategic Objectives | Strategic KPIs | Annual Objectives | Human Resource Allocation (posts) | Budget Allocation (€) ¹⁴ |
| 3.1 – Pioneer new techniques to prevent and combat international serious crime and terrorism | Stakeholder satisfaction (HENUs & MB) (average rating) | 3.1.1 – Establish a fully operational computer forensics lab in the new Europol headquarters | 7 (1.3%) | 76,000 (0.1%) |
| | | 3.1.2 – Further develop Europol’s research and development capacity based on a needs analysis to be conducted in 2010 | 4 (0.6%) | 309,000 (0.4%) |

¹⁴ Excluding salary costs (Budget chapters 11 – “Staff in active employment” and 33 – “Seconded National Experts (Operational)”) ”

| Multi-annual level (Europol Strategy 2010-2014) | | Annual level (Europol Work Programme 2011) | | |
|--|--|--|-----------------------------------|-------------------------------------|
| Strategic Objectives | Strategic KPIs | Annual Objectives | Human Resource Allocation (posts) | Budget Allocation (€) ¹⁴ |
| 3.2 – Strengthen the position of Europol as a platform for specialist areas | Number of expert areas covered by Europol Platform for Experts | 3.2.1 – Complete the Europol Platform of Experts with all categories of specialist knowledge held at Europol, including the analysis platform, child exploitation tracking system, Financial Crime Information Centre (FCIC), Internet and Forensic Expert (IFOREX) forum and the current content of the Knowledge Management Centre (KMC) | 28 (5.1%) | 590,000 (0.7%) |
| 3.3 – Provide expertise and quality training in key law enforcement techniques | Satisfaction of training participants (average rating) | 3.3.1 – In cooperation with CEPOL, develop and deliver a training programme tailored to the needs of the Member States | 5 (0.9%) | 35,000 (0.04%) |

Annual Objective 3.1.1: Establish a fully operational Computer Forensics lab in the new Europol headquarters

The availability of the new Europol headquarters will provide the opportunity to establish a purpose-built forensic research and development laboratory as part of the High Tech Crime Centre. This facility will allow Europol's experts to further develop their expertise but also to support Member States' investigations with more advanced computer forensic tools.

Annual Objective 3.1.2: Further develop Europol's research and development capacity based on a needs analysis to be conducted in 2010

Europol will develop its role by recruiting and developing the necessary expertise. Europol will work with CEPOL and also participate in relevant advisory bodies at EU and international level, in order to move towards common concepts, in particular in the fields of crime prevention and forensics. By participating in ESRIF, Europol will strive to ensure that the priorities of the law enforcement community are recognised by the research community and at EU level. During 2011, the first results will appear of Europol facilitating the development of new law enforcement techniques for the benefit of MS.

Annual Objective 3.2.1: Complete the Europol Platform of Experts with all categories of specialist knowledge held at Europol, including the analysis platform, child exploitation tracking system, Financial Crime Information Centre (FCIC), Internet and Forensic Expert (IFOREX) forum and the current content of the Knowledge Management Centre (KMC)

The development of Europol's Specialist Platform capabilities will be enhanced during 2011 with the addition of:

- Paysafe
- Analysis platform
- Child exploitation tracking system
- Financial Crime Information Centre (FCIC)
- Internet and Forensic Expert (IFOREX) forum
- Knowledge Management Centre (KMC)

Annual Objective 3.3.1: In cooperation with CEPOL, develop and deliver a training programme tailored to the needs of the Member States

Training should be designed and delivered based on training needs identified in consultation with the Member States. A standardised catalogue presenting the main training courses offered by Europol should be developed. Europol will continue to cooperate closely with CEPOL in order to ensure that complementary services are provided. Where relevant, training modules delivered by Europol will be included in CEPOL's training agenda.

The planning of training activities and exchanges of best practice in 2011 will take full account of the EU Action Plan on Enhancing the Security of Explosives (EU-APESE) and the EU Action Plan on Chemical, Biological, Radiological and Nuclear materials (CBRN).

Goal 4: Europol will grow as a modern, efficient organisation with the best resources, effective governance arrangements and a positive reputation

| Multi-annual level (Europol Strategy 2010-2014) | | Annual level (Europol Work Programme 2011) | | |
|--|--|--|-----------------------|-------------------------------------|
| Strategic Objectives | Strategic KPIs | Annual Objectives | HR Allocation (posts) | Budget Allocation (€) ¹⁵ |
| 4.1 – Strengthen Europol’s accountability arrangements | Percentage of audit findings addressed by improvement measures within twelve months | 4.1.1 – Ensure effective implementation of 2010 audit findings | 6 (1.1%) | 16,000 (0.02%) |
| | | 4.1.2 – Make further improvements in performance reporting to Stakeholders | 8 (1.4%) | 12,000 (0.01%) |
| | | 4.1.3 – Implement internal control standards, including risk management and business continuity, throughout the Organisation | 10 (1.8%) | 40,000 (0.1%) |
| 4.2 – Strengthen ICT and business alignment | (i) Delivery of services and products in line with agreed SLA; (ii) Delivery of projects according to milestones and targets | 4.2.1 – Develop advanced ICT solutions for secure, efficient business services | 19 (3.3%) | 505,000 (0.6%) |

¹⁵ Excluding salary costs (Budget chapters 11 – “Staff in active employment” and 33 – “Seconded National Experts (Operational)”))

| Multi-annual level (Europol Strategy 2010-2014) | | Annual level (Europol Work Programme 2011) | | |
|---|---|---|-----------------------|-------------------------------------|
| Strategic Objectives | Strategic KPIs | Annual Objectives | HR Allocation (posts) | Budget Allocation (€) ¹⁵ |
| 4.3 – Improve the management of Europol’s human and financial resources | (i) Staff survey results on strategy & goals (average of 8 relevant results) (ii) Staff survey response rate (iii) Implementation of budget | 4.3.1 – Complete implementation of a competency framework for the management of Europol’s human resources | 3 (0.5%) | 3,100 (0.004%) |
| | | 4.3.2 – Maximise budget efficiency in order to achieve operational objectives with available resources | 9 (1.6%) | 167,000 (0.2%) |
| 4.4 – Build a strong and positive Europol culture and image | (i) Staff survey results on engagement (average of 12 relevant results); (ii) Client Survey response rate; (iii) results on overall satisfaction; (iv) results on image | 4.4.1 – Complete the establishment of a comprehensive communications strategy | 13 (2.4%) | 403,000 (0.5%) |
| | | 4.4.2 – Open Europol’s fully operational new headquarters by April 2011 | 23 (4.1%) | 2,435,000 (2.9%) |

Annual Objective 4.1.1: Ensure effective implementation of 2010 audit findings

With the applicability of the Europol Council Decision (ECD) on 1 January 2010, Europol will have to comply with a new legal framework and, as a consequence, many new standards. The new legal framework also entails the performance of audit activities by various governing bodies. These activities, whether in the form of consultancy services or assurance audits, will provide additional valuable input to Europol in its efforts to ensure compliance with its new legal framework. The audit findings from 2010 – Europol’s first year of operations under ECD – will form the basis of further developments in 2011.

Annual Objective 4.1.2 – Make further improvements in performance reporting to stakeholders

In line with an improved performance management framework, Europol will focus in 2011 on two areas: greater transparency in reporting to the budgetary authority (Council and European Parliament) and tailor made performance reporting to Member States. The latter should give each Member State a clear picture of the level of cooperation with and contributions to Europol in line with national priorities and consequent results and successes achieved.

Annual Objective 4.1.3: Implement internal control standards, including risk management and business continuity, throughout the Organisation

- Design and implement Europol’s process landscape, by focussing on critical processes and in consultation with the IAF;
- Refine and implement an organisational risk management process (including business continuity), making use of the consultancy services of the IAF;
- Maintain and develop organisational risk assessment activities, together with the IAS and IAF;
- Deploy business continuity arrangements at the new Europol headquarters;
- Develop an off-site disaster recovery solution for Europol;
- Conduct business continuity exercises to test processes and ensure preparedness;
- Raise awareness for risk management and business continuity in particular throughout Europol.

Annual Objective 4.2.1 – Develop advanced ICT solutions for secure, efficient business services

The following initiatives will be prioritised in 2011:

- Identity and Access Management, Phase 3: increased security through strong authentication, applied to an extended range of law enforcement and support applications
- Improvements to Network Security
- Analysis and planning for the accreditation of Europol systems and ICT infrastructure to CONFIDENTIAL level, including accreditation of Europol Secure Network, IAM System, Europol Information System, Europol Analysis System and SIENA
- Network Transformation Programme: requirements analysis; architecture changes, including business and ICT levels; roadmap development; detailed design of the Office network, Law Enforcement network, the Corporate Access zone, and the External Services zone; implementation plan, including a detailed migration plan of systems and applications to the new network architecture.
- HR System Phase 2, including additional modules for workforce planning, learning management and recruitment and staffing
- New Intranet
- Functional Migration to new version of Document Management System
- Implementation of a Content and Information Lifecycle solution (for improved management of documents and information)
- Electronic workflow implementation (definition of requirements and procurement phase)

Annual Objective 4.3.1: Complete implementation of a competency framework for the management of Europol's human resources

The Competency Framework will improve the objective, transparent performance of numerous HR management processes, in particular:

- Determining the appropriate salary grades for posts on appointment
- Identifying differences between posts and re-grading officials, if required

- Recruitment and selection
- Staff Development and Review Process (SDRP), including objective-setting, assessment and identification of training needs

Phased introduction of the Competency Framework will begin in 2010, starting with recruitment processes, but the full implementation will be completed in 2011, via a review and revision of the framework and training/awareness activities for management and staff.

Annual Objective 4.3.2: Maximise budget efficiency in order to achieve operational objectives with available resources

The aim of effective financial management at Europol is to ensure that the necessary resources are provided in order to fulfil the Organisation's core business objectives (Goals 1, 2 and 3) while avoiding unnecessary expenditure. Greater accuracy the business, financial and HR planning contributes to greater efficiency. In 2011, the average monthly vacancy rate should not exceed 2.5% and annual budget implementation should be at least 95%.

Annual Objective 4.4.1: Complete the establishment of a comprehensive communications strategy

Europol will continue to develop its communication tools based on the new corporate design launched at the beginning of 2010. Europol will encourage and assist the Member States in their efforts to raise awareness about Europol's methods, standards, products, services and operational results, as part of a unified communication programme.

Annual Objective 4.4.2: Open Europol's fully operational new headquarters by April 2011

If the new building is delivered by 15 December 2010 as planned, the transfer of staff and equipment should be completed by March 2011, ready for an opening ceremony in April 2011. The outcome will be a fully equipped office building for 850 persons, with greatly improved conference, visitor and parking facilities. The supporting services and processes will also be improved.

ANNEX A – OVERVIEW OF RESOURCE ALLOCATION¹⁶

| Goal / Activity | | Human Resource allocation¹⁷ | Budget allocation (€) |
|--|---|---|------------------------------|
| Goal 1: Europol will function as the principal EU support centre for law enforcement operations | | 137 (24.7%) | 1,876,000 (2.3%) |
| Goal 2: Europol will become the EU criminal information hub | | 94 (17%) | 2,502,000 (3.0%) |
| Goal 3: Europol will expand its capabilities as an EU centre for law enforcement expertise | | 44 (7.9%) | 1,010,000 (1.2%) |
| Goal 4: Europol will grow as a modern, efficient organisation with the best resources, effective governance arrangements and a positive reputation | | 89 (16%) | 3,580,000 (4.3%) |
| Ongoing management and support activities | Directorate and assistants | 15 (2.7%) | 255,000 (0.3%) |
| | Training of staff | 4 (0.7%) | 846,000 (1%) |
| | ICT Infrastructure for goals 1, 2 and 3 | 39 (7%) | 10,901,000 (13.1%) |
| | ICT Infrastructure for goal 4 | 4 (0.8%) | 1,600,000 (1.9%) |
| | Facilities management | 11 (1.9%) | 5,227,000 (6.3%) |
| | Security | 40 (7.3%) | 306,000 (0.4%) |

¹⁶ As the Commission recommended in its opinion of 21 June 2010 on the present preliminary annual Work Programme 2011, consistency will be ensured between the figures reported in this annex and the final budget for 2011, once formally adopted. The human resources and budget allocation figures will be adapted accordingly.

¹⁷ Number of posts, including Contract Agents and operational Seconded National Experts.

| Goal / Activity | | Human Resource allocation¹⁷ | Budget allocation (€) |
|---|---|---|------------------------------|
| | Governance | 33 (6%) | 2,168,000 (2.6%) |
| | Finance, HR and other ongoing management and support activities | 44 (8%) | 2,097,000 (2.5%) |
| Sub-total (goals + ongoing management and support activities)¹⁸ | | 552 | 32,366,000 (39%) |
| Salary costs¹⁹ | | / | 51,114,000 (61%) |
| TOTAL | | 552 | 83,480,000 |

¹⁸ Excluding salary costs of € 51,113, 700 (Budget chapters 11 – “Staff in active employment” and 33 – “Seconded National Experts (Operational)”).

¹⁹ Budget chapters 11 – “Staff in active employment” and 33 – “Seconded National Experts (Operational)”.

Annex B – Overview of critical risks including responses

In line with Europol's business planning for 2010, Europol is developing an organisational wide, corporate risk management process. This corporate risk management process aims to aggregate risks (including the related responses) at organisational level. In doing so, Europol seeks to expand risk management from a vertical (e.g. in units or projects) to a horizontal perspective (corporate, organisational wide view), thus meeting the Internal Control Standard (ICS) N° 6 of the Commission, "Risk Management Process", which foresees that an organisation should at least once a year, as part of the annual business planning, consider risks (including the related responses). It is Europol's plan to implement a corporate risk management process which addresses risks from a corporate perspective at least every two months throughout the year, meaning that risks will also be assessed when the quarterly performance reporting is compiled. This will of course not exclude an approach whereby time-critical or high impact risks are addressed immediately by the organisation.

For Europol, a risk is an uncertain event or set of events that, should it occur, would have an effect on the achievement of objectives related to the annual business planning (i.e. Work Programme), therefore having influence on the delivery of the Europol Strategy 2010 – 2014. This means that risks can be understood in two dimensions: Threats (expected negative effect on a business objective) or opportunities (expected positive effect on a business objective). Both types of risk – those identified as threats and opportunities – are listed below. The overview only shows critical risks.

A **critical risk** is defined as a potential event or set of events in the future where the **impact** of the risk concerned is assessed as **severe** (meaning the concerned objective could not be reached at all (threat) or easily be achieved (opportunity) in comparison with the given planning) and the **probability** is considered to be **high** (i.e. the risk event – threat or opportunity – is likely to occur).

(1) Overview of threats (risks which could have a negative effect on the annual business planning)

As of 1 March 2010, the following critical risks (threats) are identified:

| Ref. n° | Risk description (cause, event and effect) | Objective concerned | Response type ¹ | Response measures |
|---------|--|---------------------|----------------------------|--|
| 01 | <p>Europol, and in particular the 24/7 Operational Support and Coordination Centre (OSCC), will not deliver a unique set of support services, due to the lack of:</p> <ul style="list-style-type: none"> • Member States' (MS) preparedness to share live investigative data on a daily basis with Europol, reflecting a negative perception of Europol's capabilities as an operational partner; • A clear definition of the output(s) and the way to achieve this (the) output(s) are missing, because core processes, in particular concerning the 24/7(OSCC), have not yet been defined; • Required automated search capabilities across relevant Europol systems in Europol (given budget and capacity constraints); • Adequate resources in 2011 (no new posts will be available in 2011); • Awareness of, or sufficient trust in, Europol's services; • Clear responsibilities and participation of other EU agencies involved in the concerned operational work. | 1.1.2 4.4.2 | Share | <ul style="list-style-type: none"> • Core processes are being defined throughout 2010, detailing standardised outputs (products and services) – this also includes Europol's 24/7 capabilities and 'mobile office' services²; • From 2010, Europol will carry out specific satisfaction surveys on analysis and/or operational support received by MS¹; • Reinforcement of Liaison Bureaux functionality as a key component of new 24/7 centre². • Further implementation and development of SIENA, including SIENA feeding Europol Analysis System and Information System³; • In cooperation with CEPOL, Europol will develop and deliver a training programme tailored to the needs of the MS⁴; • Europol will develop more effective horizontal cooperation with relevant EU agencies and bodies (as well as international organisations)⁵; • MS take up responsibility to submit live investigative data and communicate the opportunities Europol can offer at national level. |

¹ Threat risk type responses are: Reduce (pro-active actions are undertaken to minimise the probability or impact; the responsibility for the risk effect(s) and response measure(s) stay with Europol); Remove (changing the scope of the business objective concerned); Transfer (a third party takes responsibility for the risk); Retain (conscious and deliberate decision to accept the risk and, especially, the possible effect(s) on the business objective); Share (the responsibility for the risk effect(s) and risk response measure(s) are shared between the involved parties, i.e. Europol and Member States take responsibility for certain aspects of the risk)

² Reference in the Strategy Implementation Plan: "Implementing the Europol Strategy", file n°: 1424-77r2 (427471v10), pages 5, 14

| Ref. n° | Risk description (cause, event and effect) | Objective concerned | Response type ¹ | Response measures |
|---------|---|-------------------------|----------------------------|---|
| 02 | <p>Due to delays in the finalisation of the Europol headquarters building, the planning in relevant areas (e.g. security, IT) needs to be adjusted. This leads to a later delivery date of the new headquarters, resulting in a delayed removal of staff and office equipment as well as possible additional costs. More specifically, this risk could occur because:</p> <ul style="list-style-type: none"> • The hand-over of the new headquarters to Europol is delayed (as the Host State might not be able to finalise the building related constructions in time or the Host State is not able to provide required measures to secure the environment of the building, given the required support from the municipality of The Hague); • During or after the hand-over of the new headquarters there are delays in making the building fit for purpose (because ICT and other services are not available in time due to insufficient resources or delayed procurement measures). <p>Should this risk occur, there will also be further implications on the timely deployment of the fully operational forensic computer laboratory in the new headquarters (objective 3.1.1) and the establishment of the 24/7 OSCC in the new headquarters – “second generation of the OSCC” (objective 1.1.2)</p> | 4.4.2 3.1.1 1.1.2 | Reduce | <ul style="list-style-type: none"> • The New Headquarters (NHQ) Programme of Europol monitors the developments closely; the MB is informed at each meeting; • The NHQ Programme follows risk based planning and will initiate contingency actions as soon as the risk materialises. It should be noted, however, that any costs resulting from a delay of the delivery of the building are not borne by the Host State (the risk effects are therefore not shared). |

¹ Ibid, page 5
² Ibid, page 6
³ Ibid, page 10
⁴ Ibid, page 13
⁵ Ibid, page 7

| Ref. n° | Risk description (cause, event and effect) | Objective concerned | Response type ¹ | Response measures |
|---------|--|---------------------|----------------------------|--|
| 03 | <p>In 2011, a full deployment of business continuity arrangements at the new Europol headquarters and the realisation of an off-site disaster recovery solution for Europol, will not take place, given:</p> <ul style="list-style-type: none"> • Inadequate availability of trained staff (in relation to business continuity) throughout Europol in relevant areas (e.g. ICT); • A delayed delivery of the new headquarters (risk 02); • Insufficient budget due to other priorities affecting the budget 2011. | 4.1.3 | Reduce or Retain | <ul style="list-style-type: none"> • An IT continuity plan for hosting backup data tapes at Eurojust was developed in 2009. The memorandum of understanding between the two agencies was signed. Implementation is in progress to become operational by the end of the first semester 2010; • A formal project for the establishment of a full business continuity management framework has been established in 2010; • In 2010, the ICT (network) and work space disaster recovery approaches will be defined (leading to a complete off-site disaster recovery solution concept), with the involvement of the Security Committee (SC), the ICT Working Group (WG) and the MB, in order to plan for the required funding to be reprioritised within the existing budget 2010/2011, or, to include it in the budget planning for 2012 at the latest. • If no sufficient budget will be available, a full off-site recovery solution will not be deployed in 2011, the risk would then be retained, meaning that the full off-site disaster recovery solution would only be deployed in 2012. |

| Ref. n° | Risk description (cause, event and effect) | Objective concerned | Response type ¹ | Response measures |
|---------|--|------------------------------------|----------------------------|---|
| 04 | <p>Europol is approached by various key stakeholders, including the political level, to implement ad hoc requests. Performing the resulting tasks reduces the resources available for the achievement of the objectives in the agreed Work Programme for 2011 and the Strategy 2010 – 2014.</p> <p>In addition, the aim to have joint action plans in place with all operational cooperation partners (EU agencies, international organisations and non-EU states) in 2011 could create high expectations outside the EU which might not be fully met due to Europol’s Mission which highlights that MS have to be provided with support in the first instance.</p> | All objectives 1.3.1 in particular | Reduce | <ul style="list-style-type: none"> • Europol establishes robust planning as well as performance measurement processes. • The measures listed in the joint action plans with third parties will be an integral part of the overall business planning. • Europol informs the MB immediately of all changes which have a significant impact on the agreed planning. |
| 05 | <p>To support the implementation of the Europol Strategy 2010-2014 a new organisational structure for Europol was introduced. The purpose of the organisational changes was to increase the operational effectiveness of Europol and to improve internal efficiency.</p> <p>Like all changes this re-organisation brings certain challenges and risks impacting staff, processes and procedures. Most of these will have been addressed already in 2010. Nevertheless, certain consequences of the re-organisation might still have to be managed in 2011. These could include the risks following the implementation of the revised AWF concept in line with the regional approach.</p> | All objectives | Reduce | <ul style="list-style-type: none"> • A Strategy Implementation Programme is set up to manage the changes following the Europol Council Decision and the implementation of the Europol Strategy 2010-2014 (including the organisational restructuring). |

(2) Overview of opportunities (risks which could have a positive effect on the annual business planning)

As of 1 March 2010, the following critical risks (opportunities) are identified:

| Ref. n° | Risk description (cause, event and effect) | Objective concerned | Response type ¹ | Response measures |
|---------|---|---------------------|----------------------------|--|
| 01 | COSI will coordinate MS' demand for operational support more effectively. As a result of this, Europol will become the key agency in the EU's improved internal security architecture which will be developed by COSI throughout 2010, making best use of its improved information capabilities and unique legal framework to process personal data in analysis work files. | Goals 1 – 3 | Enhance | <ul style="list-style-type: none"> • Europol seeks to be associated to the COSI meetings in 2010 with a standard observer status. • Europol is developing a special report on the cross–horizontal cooperation opportunities for COSI (at the request of the Presidency) |
| 02 | An improved relationship between Europol and Interpol will result in additional opportunities for Europol and Interpol to provide EU MS and third countries with a European and global operational coordination hub at the same time. | Goals 1 – 3 | Enhance | <ul style="list-style-type: none"> • Interpol and Europol have recently agreed to join forces to design a global response to the threats of terrorism and organised crime; • The future external strategy in 2010 will emphasise the “bridge” function between Europol and Interpol. |

It should be noted that the critical risks, in terms of threats and opportunities, represent a “snapshot” moment in time. The risks described will be integrated into the risk register as part of the corporate risk management process during 2010. This will ensure that the risks are regularly assessed and amended where required. The Europol MB will be informed of any significant change to the risks presented with this document.

¹ Opportunity risk type responses are: Realise (identifying and seizing a chance to realise the concerned business objective with less resources or earlier than planned); Enhance (seizing and improving on an identified opportunity, thus achieving additional gains of relevance to more than one concerned business objective); Exploit (expanding the scope of business objectives by taking advantage of multiple benefits).