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from: Krum Garkov, Executive Director of the Agency for the operational management of large-scale IT systems in the area of freedom, security and justice

date of receipt: 8 February 2013

to: M. Rafael Fernández-Pita y González, Director-General, Council of the European Union

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Subject: Submission of the Work Programmes 2012 and 2013 of the Agency for the operational management of large-scale IT systems in the area of freedom, security and justice

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Delegations will find attached the Work Programmes for 2012 and 2013 of the Agency for the operational management of large-scale IT systems in the area of freedom, security and justice.

**European Agency for the operational  
management of large-scale IT systems in the  
area of freedom, security and justice**

Tallinn, 23 January 2013  
eu-LISA/GCU/0036/2013

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Mr Rafael Fernández-Pita Y Gonzalez  
Director-General  
DG D - Justice and Home Affairs  
Council of the European Union

**Subject: Submission of the Work Programmes 2012 and 2013 of the Agency for the operational management of large-scale IT systems in the area of freedom, security and justice**

Dear Mr Fernández-Pita Y Gonzalez,

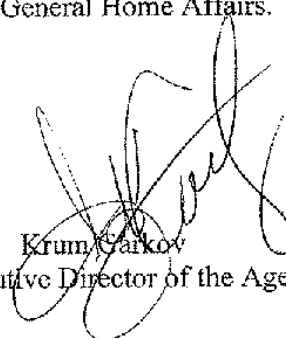
Please find enclosed the Work Programmes 2012 and 2013 of the Agency for the operational management of large-scale IT systems in the area of freedom, security and justice.

The Work Programmes 2012 and 2013 were adopted by the Management Board of the Agency by written procedure in September 2012 and subsequently translated into all official languages of the institutions of the Union, as requested by art 25.2 of the Regulation establishing the Agency.

In accordance with article 12.1 (j) of the Regulation establishing the Agency, the Work Programmes 2012 and 2013 are hereby submitted to the European Parliament, the Council and the Commission. A similar letter has been sent to:

- Mr Juan Fernando López Aguilar, Chair of the LIBE Committee, European Parliament;
- Mr Uwe Corsepius, Secretary-General, Council of the European Union;
- Mr Stefano Manservigi, Director General of Directorate-General Home Affairs;
- Ms Belinda Pyke, Director of Directorate C, Directorate-General Home Affairs.

Yours faithfully,

  
Krum Garkov  
Executive Director of the Agency

Copies: Mr Mathias Taube, Chair of the Management Board of the Agency

Enclosure: Work Programmes 2012 and 2013

**European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice**

**Work Programme 2012**

**September 2012**

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## 1. EXECUTIVE SUMMARY

The European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice was established by virtue of Regulation (EU) No 1077/2011 of the European Parliament and of the Council of 25 October 2011 (OJ L 286, 01.11.2011, p.1) which entered into force on 21 November 2011.

This work programme outlines the key priorities for this Agency for 2012. Given that the above-mentioned Regulation was adopted in October 2011, the annual deadlines for preparing and communicating the Annual Work Programme in the year beforehand could not be met for the Work Programme for 2012. This document has therefore been prepared at the earliest possible opportunity after the establishment of the Agency. It was discussed at the first Management Board meeting of 22-23 March 2012 and revised to take account of comments provided by the members of this Board by 30 April 2012. It was endorsed in the Management Board meeting of 28 June 2012, taking account of the opinions provided by the three Advisory groups in their meetings scheduled for early June 2012 and is due to be approved by the end of September 2012, taking account of the Commission's opinion provided in September 2012.

At the time of the above-mentioned Management Board Meetings, the Executive Director had not yet have commenced duties. The 2012 Work Programme has therefore been prepared by DG Home Affairs in its capacity as parent DG of the Agency.

The priorities laid down in this work programme reflect the duties assigned to this Agency as laid out in Chapter II of the founding Regulation and also take into account the expectations laid out in the Stockholm Programme and Action Plan. This Agency is a new organisation, but not all of its tasks are new. According to the founding Regulation, a number of ongoing activities for the operational management of the VIS and EURODAC projects will be incorporated into the framework of the Agency.

Given that this is the first year of operations, activities during most of this period will concentrate on setting up the Agency's vital structures (sites, buildings and equipment, in conformity with technical and security standards and applicable law), putting in place the governance structure, organisation, and teams and preparing for take-over of operational management of the systems, in particular, technical and logistical preparations and shadowing and coaching of staff. Last but not least, from December 2012 onwards, the Agency will be responsible for managing the two first systems handed over to it, namely VIS and EURODAC. Specific tasks in this area will include operation and maintenance of the systems, measures to guarantee continuous, uninterrupted service, technical development necessary for their smooth running and various tasks related to security and the Communications network. In parallel, the Agency will prepare for taking over the operations of SIS II (due to take place once this system goes live in the first quarter of 2013).

The activities outlined in this document are foreseen in 2012. However, it is possible that the Executive Director may have to decide to transfer some activities to 2013, should unexpected circumstances arise. In this case he/she will propose appropriate amendments to this Work Programme in the course of 2012.

## 2. INTRODUCTION

The European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice will contribute to the maintenance of secure external borders, effective police cooperation and to the implementation of European visa and asylum policy, by ensuring the operational management and continuity of operations of a number of large-scale information systems in the area of freedom, security and justice.

The core mission of the Agency will be to fulfil the operational management tasks for the Second Generation Schengen Information System (SIS II), the Visa Information System (VIS) and EURODAC. At an operational level, its main task will be to ensure that these systems operate 24 hours a day, seven days a week. The Agency will also carry out a number of additional tasks related to the IT systems under its responsibility, in particular, in the areas of security, data protection, monitoring, reporting and publication of statistics, training and information and communication.

The Agency's administrative and management structure shall comprise a Management Board an Executive Director and Advisory Groups.

The Commission shall be responsible for the establishment and initial operation of the Agency until the latter has the operational capacity to implement its own budget. For that purpose, the Commission may assign a limited number of officials, including one to fulfil the functions of the Executive Director, on an interim basis. Mr Ioan-Drăgost Tudorache was appointed interim Executive Director as of 16 April 2012.

This Agency will be in a start-up phase in 2012. DG HOME in its capacity as parent DG, the Interim Executive Director and the Executive Director, as from his/her appointment will concentrate on setting up the Agency's vital structures (sites, buildings and equipment) and will start recruiting and training staff and putting in place the organisation, the teams and essential components of the governance structure, namely the Management Board and the Advisory groups.

Other important activities in 2012 will be the preparations for taking over operational management of the systems and implementation of the core tasks for managing the first wave of systems handed over to the Agency, including its tasks related to security and the communication network. According to the establishing Regulation, the Agency shall take up its responsibilities with regard to its core tasks from 1 December 2012. However, tasks relating to SIS II will not be taken over until the system goes live in the first quarter of 2013. Other additional tasks such as monitoring of research are due to commence in 2013.

The Agency will have 3 sites:

- The seat which will be based in Tallinn, Estonia
- The technical site in Strasbourg (Central Unit - CU), France, where the tasks related to development and operational management of the current and future systems will be carried out
- A back-up site (BCU) in Sankt Johann im Pongau, Austria, capable of ensuring the operation of a large-scale IT system in the event of failure of such a system on the main technical site.

Agreements will be negotiated and signed during this year by the Agency with the host Member States with regard to the headquarters of the Agency and the technical and back-up sites.

Agreements will also be negotiated with countries associated with the Schengen *acquis* and the Eurodac-related measures (Norway, Iceland, Liechtenstein and Switzerland), in order to define the detailed rules of their participation in the work of the Agency. The European Commission adopted in February 2012 a recommendation for a Council decision authorising the opening of negotiations and, on the basis of the Council's negotiating directives, will negotiate the agreements on behalf of the EU, in accordance with the procedure laid down in the TFEU for the adoption of international agreements. It is expected that negotiations will be finalised before the end of 2012.

This work programme takes account of the fact that the Executive Director will take up his/her post in the Autumn of 2012, that the Agency will take up its tasks related to operational management of the systems on 1 December 2012, that the initial staff will gradually start taking up duty throughout 2012 and that the Headquarters in Tallinn will be operating from temporary premises. The actions planned for 2012 have been defined in general terms, in order to enable flexibility in the implementation of this work programme.

According to Article 11 of the establishing Regulation, a key component of the Agency's administrative structure will be a **Management Board**. The main task of this Board will be to ensure that the Agency carries out its mission and performs the tasks assigned to it in accordance with the Regulation and the legal instruments governing each of the systems and to oversee the work of the Executive Director.

The Management Board will be composed of one representative of each Member State and two representatives of the Commission. Representatives of EUROJUST and EUROPOL will participate in this Board as observers. The representatives of associated countries<sup>1</sup> will also participate in this board as observers, pending the conclusion of definitive arrangements in accordance with Article 37 of the establishing Regulation.

The main decisions and documents to be approved by the Management Board in 2012 include:

- rules of procedure
- the draft organizational structure
- the 2013-2015 Multiannual Staff Policy Plan
- implementing measures related to the Staff Regulations
- implementation measures for secondment of national experts
- draft vacancy notices for certain key posts, and appointment of key members of staff (Executive Director, an Accounting Officer, a Security Officer and a Data Protection Officer)
- the draft Financial Regulation
- the 2012 budget and draft budget (estimates) for 2013
- the Annual Activity Report for 2011
- the draft Annual Work Programmes for 2012 and 2013
- a multi-annual work programme
- security measures
- the Headquarters Agreement and Agreements for the technical and back-up sites

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<sup>1</sup> Countries associated with the implementation, application and development of the Schengen *acquis* and Eurodac-related measures

- practical arrangements concerning the implementation of the Regulation on public access to documents of the European Parliament, Council and Commission
- a Memorandum of Understanding between the Commission and the Agency
- a decision concerning the terms and conditions for internal investigations in relation to the prevention of fraud, corruption and any illegal activity detrimental to the Communities' interest
- The Management board will also have to endorse decisions relating to the removal of EURODAC.

The Management Board will also be responsible for publication of statistics on the IT systems under the Agency's management, publication of lists of national bodies authorized to use and/or access these IT systems, adopting reports on the technical functioning of these IT systems, advice to the Executive Director on the operational management of these systems and ensuring that adequate follow-up is provided to the findings of audits and evaluations, including EDPS audits.

The inaugural Management Board meeting took place on 22-23 March 2012 and the second meeting took place on 28 June 2012. The calendar for subsequent meetings and further information on administrative matters related to this board are given in point 4.9.

The Advisory Groups will be composed of representatives of the Member States and associated countries, the Commission, Europol and Eurojust (for SIS II) and Europol (for the VIS Advisory Group). They will provide the Management Board with expertise relating to large-scale IT systems and, in particular, in the context of the preparation of the annual work programme and the annual activity report. The staff of the Agency will also provide full support to the work of the Advisory Groups.

The Agency will also start internal discussions and planning, with a view to putting in place structures and processes in 2013 to ensure alignment of technical and business goals.



### 3. BUDGET 2012

The preliminary draft budget for the Agency for 2012 was prepared by the Commission in its caretaker role and is due to be approved by the Management Board in 2012. The EU subsidy to be provided to the Agency in 2012 was approved by the Budgetary Authority at the end of 2011 as part of the EU General Budget for 2012.

<b>EXPENDITURE 2012</b>	<b>Commitment appropriations (EUR)</b>	<b>Payment appropriations (EUR)</b>
<b>Title 1 Staff Expenditure</b>	<b>4,563,000</b>	<b>4,563,000</b>
<b>11 Salaries &amp; allowances</b>	4,063,000	4,063,000
- of which establishment plan posts	4,063,000	4,063,000
- of which external personnel	0	0
<b>12 Expenditure relating to Staff recruitment</b>	0	0
<b>13 Mission expenses</b>	200,000	200,000
<b>14 Socio-medical infrastructure</b>	0	0
<b>15 Training</b>	300,000	300,000
<b>16 External Services</b>	0	0
<b>17 Receptions and events</b>	0	0
<b>Title 2 Infrastructure and operating expenditure</b>	<b>9,297,000</b>	<b>9,297,000</b>
<b>20 Rental of buildings and associated costs</b>	3,580,000	3,580,000
<b>21 Information and communication technology</b>	0	0
<b>22 Movable property and associated costs</b>	0	0
<b>23 Current administrative expenditure</b>	0	0
<b>24 Postage / Telecommunications</b>	0	0
<b>25 Meeting expenses</b>	500,000	500,000
<b>26 Running costs in connection with operational activities</b>	4,780,000	4,780,000
<b>27 Information and publishing</b>	337,000	337,000
<b>28 studies</b>	100,000	100,000
<b>Title 3 Operational expenditure</b>	<b>5,940,000</b>	<b>5,940,000</b>
<b>Operational cost (to be specified by chapter)</b>	5,940,000	5,940,000
<b>TOTAL EXPENDITURE</b>	<b>19,800,000</b>	<b>19,800,000</b>

## 4. OPERATIONAL PRIORITIES

In the course of 2012, the Agency will make all necessary preparations for taking over the operational management of VIS and EURODAC by 1 December, assuming full responsibility for their operation and maintenance, guaranteeing continuous, uninterrupted service and carrying out the technical development necessary for their smooth running.

The VIS, which is now operated by France on the basis of a service contract with the Commission, will be formally taken over on 1 December 2012. In parallel, the Agency will prepare for moving EURODAC from Luxembourg to Strasbourg and to Sank Johann im Pongau in 2013. It will also prepare for taking over the operations of SIS II and is expected to have reached an advanced stage in these preparations by the end of the year.

As described in further detail below, the Agency will also be responsible for administrative tasks related to the management of these systems, the adoption of security and data protection measures and various tasks related to the communication infrastructure. It will also take over activities in the area of monitoring, reporting and statistics and communication as from the end of 2012.

### 4.1 Operational management and related tasks for SIS II, VIS and EURODAC

#### SIS II

SIS II is due to enter into operations in March 2013 and the Agency is due to take over operational management of Central SIS II at that time. As from that date, the Agency shall take over the tasks conferred on the Management Authority by Regulation (EC) No 1987/2006 and Decision 2007/533/JHA. In order to ensure that the Agency is ready on schedule for implementing these tasks, it will be involved in various training and shadowing activities in 2012.

In the first instance, SIS II will be handed over by the Main Development Contractor to the CSIS<sup>2</sup> in the final quarter of 2012. In preparation for this, a SIS II Transition plan will be implemented. This plan lays down the training and shadowing activities necessary for transferring knowledge from the main development contractor (HPS) to staff of the current operator, CSIS. As this transition plan is being implemented in the continuity of the VIS Transition Plan, a preliminary intensive training session on the pre-requisites for participating in the SIS II Transition plan must be organized for the new staff joining the Agency. The system will be handed over from the development contractor to CSIS during the last quarter of 2012.

This operational preparation of the SIS II by the Agency will also include work to follow up the final stages of the comprehensive tests and migration rehearsals shadowing the CSIS staff responsible for implementing these deliverables.

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<sup>2</sup> The central technical site of the French authorities that will take care of operational management in the interim phase pending hand-over to the Agency.

A call for tenders is due to be launched by the end of 2012 to cover the maintenance in working order of SIS II after Final System Acceptance. The tender procedure will be concluded by the Commission on behalf of the Agency. The Agency will prepare for taking over operational aspects of this contract (supervision of the preparations for maintenance of the system and the actual maintenance work) as from March 2013 and financial matters as from the time that it is granted financial independence. Further information on financial management, including information of the Management Board and involvement of external evaluators is given in point 6.5 below.

ACTION	INDICATIVE TIME FRAME
Shadowing and coaching (Agency Staff to benefit from on the job training by the contractor and subsequently by CSIS staff when they take over operation of the system in late 2012)	OCTOBER – DECEMBER 2012
Involvement in the comprehensive tests (shadowing on real-life activities with MS, subject to agreement with the MS)	JUNE – SEPTEMBER 2012
Involvement in migration preparations (migration rehearsal)	OCTOBER – DECEMBER 2012

## VIS

As from 1 December 2012, the Agency is due to take over the tasks conferred on the Management Authority by Regulation (EC) No 767/2008 and Decision No 767/2008. It will take over the operational management of the Central VIS and national interfaces. These tasks will include operating and maintaining VIS, ensuring continuous, uninterrupted service, reporting, and technical development necessary for the smooth running of the system.

The main priority for the Agency in 2012 will be to ensure timely completion of all the technical, legal, and administrative preparations for taking over these tasks. A specific priority will be to ensure that Agency staff follow all the necessary shadowing and coaching to ensure that they have hands on experience with all of the above-mentioned tasks.

Roll-out of the VIS to the 2nd region (Middle East) was successfully completed on 10th of May 2012 and roll-out to the 3rd region (Gulf) is due to be completed by 2nd of October 2012 at the latest. Roll-out to the final regions will take place in 2013, possibly extending into 2014. The Commission will be responsible for political aspects of this roll out. The Agency will be responsible for ensuring that the technical platform of the VIS supports the world-wide roll-out. The VIS Advisory Group will play an important role in this area (see also 4.8).

A third specific priority will be to complete the preparations for taking over operational matters related to the supervision of the contractors' work under the contract for maintaining VIS in working order by December 2012. Tasks related to the upgrading of VIS under this contract will remain under the responsibility of the Commission until 2013. The Agency will have to prepare the transfer of responsibilities concerning the task related to the upgrading of VIS. The Commission will remain responsible for financial and contractual matters until the Agency has been granted financial independence.

ACTION	INDICATIVE TIME FRAME
Define working arrangements between the Commission and the Agency for supervising and implementing the MWO. This contract will be concluded by the Commission on behalf of the Agency.	Before 1 December 2012
Technical preparations for handover of the operation and maintenance of VIS to the Agency ( <i>tasks for adapting/enhancing the system will be taken over in 2013</i> )	Q3 2012
Take-over supervision of maintenance tasks and operational matters under the maintenance in working order (MWO) contract.	1 December 2012

### **EURODAC**

The Agency is due to take over as from 1 December 2012 the tasks conferred on the Commission as the authority responsible for the operational management of EURODAC in accordance with Regulations (EC) No 2725/2000 and (EC) No 407/2002. In particular, it will take over the operation of the EURODAC central database on behalf of the Member States. This also includes the tasks related to DublinET.

Activities in 2012 will concentrate on the preparations necessary to ensure the transfer of EURODAC operations to the Agency by 1 December 2012. From that time onwards the Agency will be responsible for the core tasks of operating the system and maintaining continuity of operations in conformity with the provisions of the EURODAC establishing Regulation and implementing rules. These tasks include recording in the EURODAC Central Database of information provided by the Member States (in particular the finger prints of applicants for asylum and aliens apprehended in connection with the irregular crossing of an external border), operation of the system on behalf of the Member States, comparison of data and transmission of hits to Member States after carrying out the necessary checks, correction, erasure or blocking of data in the Central Database in the specific circumstances foreseen by the EURODAC Regulation and record keeping.

As the EURODAC system is currently based in Luxembourg, the first key priority will be to prepare a detailed plan describing all of the main tasks and steps necessary for the removal of this system from Luxembourg to Strasbourg and Sankt Johann im Pongau (due to take place in 2013) and transfer of operations to the Agency (due to take place in December 2012), including any necessary procurement procedures to be implemented in 2013. One of the main priorities for 2012 will be to ensure that all members of the Agency's staff that will work on EURODAC participate in shadowing and coaching activities, in order to provide them with operational hands on experience of all the key functions and procedures necessary for operating, managing and maintaining the system.

*Other EURODAC-related tasks concerning security, the communication network, monitoring, reporting and statistics are mentioned in the relevant sections below.*

ACTION	INDICATIVE TIME FRAME
Amend the framework contracts covering personnel and administrative services and items such as IT equipment (to ensure that these are valid for the Commission on behalf of the Agency).	October 2012
Prepare and implement a detailed plan and operational procedures for transfer of operations to the Agency.	End-November 2012
Prepare and <u>start</u> implementing a detailed plan and procedures relating to removal of EURODAC in 2013, including operational matters related to any specific procurement procedures that may be required for re-location or purchase of equipment in Strasbourg. Procurement procedures will be implemented by the Commission on behalf of the Agency until the Agency is granted financial independence.	Autumn 2012
Hand over of EURODAC operations to the Agency	1 December 2012
Shadowing and coaching	October-November 2012

## 4.2 Communication infrastructure

Responsibility for the communications infrastructure for SIS II, VIS and EURODAC will be divided between the Agency and the Commission. This applies as from 1 December 2012 with regard to the VIS and EURODAC and as from the moment that the Agency takes over the SIS II. The Agency will be responsible for supervision, security and coordination of relations between the Member States and the network provider for the communications infrastructure for each of the three systems. The Agency should also be responsible for the security measures in respect to the exchange of supplementary information through the communication infrastructure of SIS II.

One key priority in 2012 will be to prepare for taking over these tasks. Amongst other things, this will entail the finalization of a Memorandum of Understanding to ensure coherence between the responsibilities of the Agency and the Commission and to define operational working arrangements<sup>3</sup>. The Agency will also be responsible for establishing the technical procedures necessary for the use of the communication infrastructure for EURODAC. **The Commission will be responsible for all other tasks relating to the Communication infrastructure in particular, the tasks relating to the implementation of the budget, acquisition and renewal and contractual matters**<sup>4</sup>. The Commission will also retain responsibility for the security measures and the security plan for the communication infrastructure for SIS II.

<sup>3</sup> Article 7(2) of the Agency Regulation.

<sup>4</sup> Article 26 (2) and (3) of the VIS Regulation, Article 15 (2) and (3) of the SIS II Regulation and Decision and Article 5(b) of the Agency Regulation

The S-TESTA contract with DG DIGIT is due to expire at the end of 2013. With regard to existing activities, it will be possible to have specific contracts running in this framework until September 2014, but with limited change requests<sup>5</sup>. A new framework contract should be available in 2013. Contractual formalities under the new framework contract and the migration of SIS II, VIS and Eurodac to the new network have to be completed by September 2014 at the very latest. By the end of 2012, the Agency will start to plan activities for the preparation and implementation of network migration in its specific areas of competence (supervision, security and management of relations between the Member States and provider of the new network for VIS, SIS II and EURODAC). As mentioned above, the Commission remains responsible for budgetary and contractual matters related to the network.

ACTION	INDICATIVE TIME FRAME
MoU between the Agency and the Commission to ensure coherence between the exercise of their respective competences, as regards tasks relating to the Communication Infrastructure. This MoU will cover operational working arrangements also on a variety of other issues	FINALISE BY NOVEMBER 2012
Establish the technical procedures necessary for the use of the communication infrastructure for EURODAC	FINALISE BY END 2012

### 4.3 Adoption of security and data protection measures

The Agency will carry out the following tasks for SIS II, VIS and EURODAC in 2012

- Adoption of the necessary measures to ensure the security of central systems, the security of the communication infrastructure and the security of data, including a security plan, taking into account the possible recommendations of the Advisory Groups, with the exception of the security measures and the security plan of the communication infrastructure for SIS II which will remain the responsibility of the Commission. The Agency should nevertheless adopt security measures in respect to the exchange of supplementary information through the communication infrastructure of SIS II.
- Establish confidentiality requirements in respect of the staff required to work with the data in SIS II and VIS, in order to comply with Article 17 of Regulation (EC) No 1987/2006, Article 17 of Decision 2007/533/JHA and Article 26(9) of Regulation (EC) No 767/2008 respectively) and, in order to apply appropriate rules of professional secrecy or other equivalent duties of confidentiality to the Agency's staff required to work with EURODAC data.
- Ensure that every access to and all exchanges of personal data are recorded at central level as well as the protection of records by appropriate measures.

<sup>5</sup> The sTESTA Framework Contract expires on 28.9.2013 and the last specific contracts can cover services until 28.9.2014, but with limited change requests allowed/possible over the last year.

- Any additional security tasks assigned to the Agency under the legal instruments for the systems that it operates.
- With respect to data protection measures for EURODAC, the Agency will also be responsible for advising the Member State of origin if factually inaccurate data is identified in the system and for transferring or making available to the authorities of third countries data recorded in the system, in cases where the Agency is specifically authorised to do so.

ACTION	INDICATIVE TIME FRAME
<b>General security measures</b>	
1. Security Measures including a Security Plan for the Agency covering matters such as access to sites, personal security.	Final approval by Management Board: Q4 2012
2. Business continuity and Disaster Recovery Plan for the Agency covering matters such as access to sites, personal security.	Final approval by Management Board: Q4 2012
3. Confidentiality requirements rules for staff working with data in the systems (this item is separate in the legal instruments)	Final approval by Management Board: November 2012
<b>Communication Infrastructure</b>	
4. Security Measures and Security Plan for the Communication Infrastructure covering matters such as business continuity, management of contractors, management of encryption keys, etc) with the exception of the security measures and the security plan of the communication infrastructure for SIS II which will remain the responsibility of the Commission	Final approval by Management Board: November 2012
<b>SIS II</b>	
5. Security Measures and security plan for SIS II covering matters such as organisation of security, technical measures, business continuity, access control, cooperation with EDPS and follow-up of EDPS audits.	Final approval by Management Board: November 2012
6. Adopt security measures in respect to the exchange of supplementary information through the communication infrastructure of SIS II.	Final approval by Management Board: November 2012
<b>VIS</b>	
7. Security Measures and security plan for VIS, covering matters such as organisation of security, technical measures, business continuity, access control, cooperation with EDPS and follow-up of EDPS audits.	Final approval by Management Board: November 2012

<b>EURODAC</b>	
8. Security measures and security plan for EURODAC defining the necessary security measures to ensure the security of the central system, the communication infrastructure and the security of data. These will also cover matters such as cooperation with EDPS and follow-up of EDPS audits.	Final approval by Management Board: November 2012

#### 4.5 Monitoring, reporting and statistics and Communication

The specific tasks of the Agency in these areas are defined in the legal bases for the respective IT systems and in the founding Regulation. In general, the Agency will be responsible for putting in place and implementing procedures for monitoring the functioning of the systems under its management, reporting to the European Parliament, the Council and the Commission on the technical functioning and security aspects of the systems, provision of information required by the Commission for the regular evaluation of VIS and EURODAC, compilation of statistics on the use of the systems, publication of information on national authorities which have the right to access or use data in these systems and communication, in particular, the establishment of a web site for the Agency, preparations for the SIS II campaign scheduled for the first quarter of 2013 and communication on its own initiative in the fields within its tasks.

The following actions are foreseen for 2012:

<b>ACTION</b>	<b>INDICATIVE TIME FRAME</b>
<b>Monitoring</b>	
1. Put in place procedures for monitoring the functioning of VIS and EURODAC	Q4 2012
2. Continue preparations for the monitoring procedures for SIS II	Continuous
<b>Reporting</b>	
3. Adoption of the Annual Activity report for the Agency for 2011 and submission to the EP, the Council, the Commission and the Court of Auditors	15 June 2012
4. Adopting the annual report on the activities of the Central Unit of EURODAC	It is possible that the Commission may retain responsibility for this initially.
<b>Information for the Commission, the Parliament EDPS and Member States</b>	
5. Provide the Commission with the information necessary to produce the regular evaluation of VIS and EURODAC	As required



6. Inform the European Parliament and the Council of the measures adopted to ensure the security of data use in the VIS. In May 2010, the Commission adopted a Decision on a Security Plan for VIS, implementing the security provisions of the VIS basic instruments. <sup>6</sup>	Once the agency's own security plans are available
<b>Statistics</b>	
7. Take over work, started by the Commission, to ensure that Member States have implemented statistics gathering mechanisms, including common counting rules, in order to be able to fulfil reporting obligations from day one of SIS II operations.	Final deadline for completing this work: March 2013
8. Ensure that mechanisms and processes are put in place to allow the Agency to take over statistics tasks for VIS by the beginning of 2013. No statistical tasks are reflected in the Agency text for VIS.	End 2012
9. Compilation of quarterly statistics, annual statistical compilations on the work of the Central Unit of EURODAC and any other statistics that may be required on EURODAC	As from the end of 2012
<b>Publication</b>	
10. Publication of updates to the lists of national authorities, including authorities having the right to access, enter, amend, search, delete or consult data in VIS and EURODAC, in accordance with the legal bases governing these systems.	As required
<b>Communication</b>	
11. Contribute to the planning and preparations for the SIS II information campaign to be organised at the start of operations of SIS II (March 2013)	October 2012
12. Establish the Agency web site by the end of 2012	End of 2012
13. Publication of the Annual Work Programme and the annual activity report for 2011	30 September 2012

<sup>6</sup> This Decision entered into force when VIS went live and will remain in force until the Agency, which will have its own security plans, takes up its responsibilities on 1 December 2012.

#### 4.6 Organisation of training on the IT Systems

The Agency will be responsible for providing training to national authorities, as laid down in the founding Regulation and the specific legal bases for the IT systems under its management. In particular, the Agency will be responsible for tasks relating to technical training on VIS and EURODAC<sup>7</sup>. In 2012, the Agency will be in a preparatory phase with respect to these activities and the actual training will start as of 2013.

One priority to address in 2012 and early 2013 will be to establish the role of the Agency in the area of training for SIRENE operators (clarification of the respective roles of the Agency, CEPOL and Member States in this area). This will pave the way for the signature of a memorandum of understanding with CEPOL and agreement on the inclusion in CEPOL's training curricula for law enforcement authorities of the relevant SIRENE and SIS II training. The memorandum should also cover division of responsibility between the agencies.

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<sup>7</sup> As from 2013, these tasks will also include training on the technical use of SIS II, in particular for SIRENE-staff (SIRENE- Supplementary Information Request at the National Entries) and training of experts on the technical aspects of SIS II in the framework of the Schengen evaluation.

A second priority will be to establish the role of the Agency for training of Schengen evaluation team members and lead experts (clarification of the respective roles of the Agency, CEPOL and FRONTEX.)<sup>8</sup>.

A further priority for the Agency, with respect to VIS and EURODAC, will be to coordinate the development of curricula with national authorities and establish a training delivery plan in cooperation with these authorities.

See also point 4.7 below.

#### **4.7 Cooperation with other agencies, organisations and projects in the field of freedom, security and justice**

- **Agencies**

In accordance with the establishing Regulation, EUROPOL and EUROJUST may attend the meetings of the Management Board of the Agency when a question concerning SIS II in relation with the application of Decision 2007/533/JHA is on the agenda. EUROPOL may also attend the meetings of the Management Board as observers when a question concerning VIS in relation with the application of Decision 2008/633/JHA is on the agenda.

The Agency will take the initial steps for cooperation with Agencies not only with EUROPOL, and EUROJUST, but also ENISA, FRONTEX, CEPOL and FRA. The Executive Director of the Agency will participate in the annual meetings of the heads of JHA Agencies and a representative of the Agency (desk officer level) will participate in the JHA Agencies Contact Group, with a view to exploring and agreeing on other forms of cooperation. Representatives of a number of these Agencies will be invited to give presentations at Management Board meetings of this Agency. Complementarity will be a key objective for certain Agency relationships. This applies in particular to cooperation with EUROPOL and to cooperation in the area of training between CEPOL, FRONTEX and the Agency.

- **European Information Exchange Model**

The establishing Regulation provides that "*the Agency should follow European and international standards taking into account the highest professional requirements, in particular the European Union Information Management Strategy*" (Recital 22). The EU Information Management Strategy<sup>9</sup> (IMS) provides a methodology to ensure that decisions taken at EU level about the need for managing and exchanging data and decisions about the ways to do so are taken into account in a coherent, professional, efficient and cost-effective way, accountable and comprehensible to the citizens and the professional users. In this context the Commission will in December 2012 present a Communication on the European Information Exchange Model (EIXM). Taking full account of the IMS, the EIXM aims to achieve better coherence and consolidation in the area of information exchange for law-enforcement cooperation<sup>10</sup> The Agency will follow up developments with the EIXM with a view to defining the possibilities for future cooperation once the EIXM policy has been endorsed at political level.

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<sup>8</sup> A key objective of these discussions will be to examine the roles assigned to each agency for this specific objective in their respective legal bases and to achieve complementarity by ensuring that each Agency offers a different portfolio of training activities, which when combined cover all aspects of the Schengen Evaluation process

<sup>9</sup> The IMS was adopted by JHA Council on 30.11.2009 (see doc. 16637/09 JAI 873).

<sup>10</sup> The first step of EIXM carried out in 2010/11 consisted of a mapping exercise on the four areas of legislation, communication, information flows and technology.

## 4.8 Advisory Groups

- There will initially be three configurations of the Advisory groups (SIS II, VIS and EURODAC). These Groups will be composed of representatives of the Member States and associated countries, the Commission, EUROPOL and EUROJUST (for SIS II) and EUROPOL (for VIS Advisory Group).
- The main role of these groups will be to provide the Management Board with expertise relating to large-scale IT systems and, in particular, in the context of the preparation of the annual work programme and the annual activity report. They will also provide recommendations related to security measures and an opinion on multi-annual work programmes and members of these groups may be called upon to assist members of the Management Board<sup>11</sup>. The Executive Director or his/her representative will be entitled to attend all meetings of these groups as observers.
- The EURODAC Advisory Group also provides advice to the Management Board on technical aspects of the physical removal of EURODAC.
- The inaugural meetings of the Advisory Groups in all three configurations (SIS II, VIS and EURODAC) took place during the week of 5-8 June 2012 in Tallinn. Further meetings are due to take place every 1-2 months, depending on the priorities on the agenda.

## 4.9 Secretariat of the Management Board

The Commission will be responsible for the preparation of the Management Board meetings in a caretaker function until the Agency becomes operational and logistical formalities will be handled by the external contractor. This will apply for meetings of the Board until the Executive Director and secretarial support of the Agency are in place (tentatively scheduled for November 2012).

From that moment on, the Commission will gradually hand over responsibility for the organization of the Management Board meetings to the Executive Director, although it will retain financial responsibility until the Agency is fully independent from a financial point of view. This is expected in 2013.

ACTION	TIME FRAME
Inaugural Management Board (MB) meeting:	22-23 March 2012
2nd MB Meeting	28 June 2012
3rd MB Meeting	29-30 November

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<sup>11</sup> Other tasks of the Advisory Groups could include providing information technology expertise to the Management Board on the systems, preparing technical specifications of descriptive nature which do not impose normative provisions on the Member States and the Commission, provide input on the draft reports on the technical functioning of the systems, on the training of experts, on the orientation for monitoring of research, on statistics on the systems and on any other matter strictly related to the development or operational management of the systems. The specific priorities will be fixed by each group. In particular, their work will take account of operational priorities for the relevant system.

#### **4.10 Other Operational tasks**

*Other tasks referred to in the Regulation establishing the Agency, in particular monitoring of research, implementation of pilot schemes and development and operational management of other new IT systems will start in subsequent years.*

### **5. BUILDING THE TEAM**

The projected size of the Agency is commensurate with the crucial role that it will play in managing large-scale IT systems that are essential for achieving important and visible policy objectives in the area of freedom, security and justice.

In 2012 the Agency will start the recruitment of staff and make the necessary organisational arrangements. The Establishment Plan of the Agency specifies that 75 Temporary Agents can be recruited in 2012.

#### **5.1. Recruitment strategy of the Agency in 2012**

The recruitment strategy for 2012 takes account of the establishment plan for 2012. The priorities, choice of procedures and arrangements described below have been defined in close consultation with DG HR and EPSO.

The Agency has no permanent posts in its establishment plan. The Agency staff will be composed of Temporary Agents (long and short-term), Contract Agents (long and short-term) and Seconded National Experts (SNEs). According to the current schedule, the Agency will be in a start-up phase in 2012 and will mainly recruit and train its staff members.

The Agency's 2012 establishment plan foresees the recruitment of 75 staff members during that year (approximately 62 operational staff and 13 administrative staff.). The main initial priority during 2012 will be to establish the operational units responsible for taking over the operational management of the systems as of 1 December 2012, as well as the backbone of the support units, i.e. the administrative services, human resources management and the finance, procurement and contract unit and legal advice functions. The Executive Director shall also take up his/her post in late 2012.

The profiles required by the Agency are as follows:

- Executive Director
- Security Officer, Data Protection Officer and Accounting Officer
- Management (for managing technical and administrative activities)
- Technical staff (security, helpdesk operators, IT specialists, IT support and assistance and administrative staff specialised in the various technical areas needed to operate and manage the systems)
- Administrative staff (General Administration and Coordination; Law; Finance, Audit and Procurement; Administrative and Logistic Support).

Procedures for drawing up reserve lists of management and technical staff, following the *Call for expressions of interest*<sup>12</sup> published on 23 November 2011 were completed by August 2012. Approximately 30 members of staff are due to be recruited from these lists in 2012. Recruitment of administrative staff is ensured via existing reserve lists (the European Personnel Selection Office – EPSO- sent information on this matter to all laureates which were on valid reserve lists in their database and which had not yet been recruited as officials). Approximately 12 persons are due to be recruited via this procedure in 2012. A limited number of additional members of staff with experience in the management of central units of Schengen-related IT systems (SIS, EURODAC, VIS) will also be recruited by the Agency in 2012 to ensure continuity in the operation of the systems.

The Security Officer, Data Protection Officer and Accounting Officer are due to be appointed by the Management Board in response to specific published announcements for each post.

ACTION	TIME FRAME
Recruitment of the Executive Director	Tentative target date for appointment by the Management Board (September 2012)
Recruitment of the initial Agency team (75 persons): technical staff, staff to ensure continuity of operations & administrative staff)	Autumn 2012. Reserve list for management and technical staff (following the Call for expressions of interest) due to be available from August 2012
Recruitment of the Security Officer, Data Protection Officer and Accounting Officer	End of 2012

## 5.2. Multiannual staff policy plan for 2013-2015

A draft multiannual staff policy plan for 2013-2015 was presented to the first Management Board meeting in March 2012 and adopted during the meeting.

## 5.3. Training of Agency Staff

The courses will be organised in 2012 for both technical and non-technical recruits. This will include induction training for both profiles, more specialised technical training and specific training tailored to the specific needs of each system that will be managed by the Agency. Steps will also be taken to ensure that other staff profiles receive appropriate training. This applies in particular to financial staff.

Specific training will be planned, taking account of training maps to be drawn up for each member of staff, precisely defining type of training needed to bring their existing skills set up to the full requirements for their specific functions.

Training for Agency staff in the framework of the shadowing and coaching activities for taking over the management of the IT systems is covered under the specific headings for these programmes in points 4.1 above.

<sup>12</sup> For Management (grades AD 10 and AD 12), security (grades AD 5 and AD 7), IT Specialists (grades AD 5, AD 7 and AD 9) and IT Support and Assistance staff (grades AST 3 and AST 5).

IN-HOUSE TRAINING	DATE
1. Agency Welcome pack training for non-IT staff (1 week course providing non-technical recruits with an overview of all systems, in particular the business and key architectural elements).	October –November 2012
2. Administrative Welcome Pack (similar to the induction courses organized for new members of European Commission staff	October-November 2012
3. Agency IT Welcome Pack Training <sup>13</sup>	September – November 2012
4. Detailed specific technical training for experts (IT specialists) <sup>14</sup>	October – November 2012
5. Business and operational training (IT specialists) <sup>15</sup>	October – November 2012

Technical training to national authorities on the IT systems under the Agency's management is covered in 4.6.

## 6. Administrative matters, infrastructure, financial management and logistics

Pursuant to Article 36 of the Regulation establishing the Agency, the Commission in a caretaker function has, over several months, taken various steps to start putting in place the necessary administrative, financial and logistical facilities and procedures that will be required, in order for the Agency to enter into operations. In addition to the ongoing agreement with EPSO for provision of assistance with implementing selection procedures for the Agency, service level agreements and other working arrangements with the following Commission services will be formalised and implemented in the course of 2012.

- OIB for provision of technical advice relating to the selection and upgrading of buildings for setting up the Agency HQ in Tallinn and for provision of temporary office space in the premises of the European Commission in Brussels for Agency staff due to be recruited before the temporary premises in Estonia are available.
- The Medical and Psychosocial Intervention Service of DG Human Resources and Security for formalities related to medical screening of selected candidates

<sup>13</sup> One week course providing new technical recruits with detailed training on aspects common to all of the systems). This training will be mandatory for all technical profiles; other profiles may also be invited to participate in a reduced set of training modules, in order to develop their business knowledge of the core activities of the Agency.

<sup>14</sup> This will cover subjects such as Oracle, Weblogic and/or specific hardware), taking account of the specific tasks that personnel will be required to perform and their existing level of knowledge.

<sup>15</sup> Business and operational training: training related to the business and operational functions of the specific system that staff will operate or manage (eg how visas are processed, the business environment for EURODAC, how to resolve incidents...). For VIS and SIS II, this training will be delivered based on the material delivered by the main development contractor during the VIS/BMS and SIS II Transition plans (mainly operational procedures describing large-scale or daily operational scenarios).

- The Office for Administration and Payment of Individual Entitlements (PMO) for payment of remuneration and expenses to agency staff and candidates for posts
- DG Human Resources and Security Directorate for Security on compliance with security standards and DG DIGIT for the installation of the s-TESTA network
- The Translation Centre for the Bodies of the EU
- DG Budget for installation of ABAC
- OLAF: accession to the inter-institutional agreement concerning investigations by OLAF, in accordance with Article 35 of the Agency Regulation (a decision concerning the terms and conditions for internal investigations in relation to the prevention of fraud, corruption and any illegal activity detrimental to the Communities' interest is due to be adopted by the Management Board in June 2012).

During the initial phase of Agency's operations, before it is granted financial independence, a number of contracts, including the MWO contracts for SIS II and VIS will be concluded by the Commission in the name of the Agency. Once the Agency has been granted financial independence (planned in 2013), it will assume responsibility for financial matters related to these contracts.

### **6.1 Headquarters Agreement with Estonia and site agreements with France and Austria**

Work under this heading will follow on from the preparatory work carried out by the Commission and the Estonian, French and Austrian authorities in 2011 and early 2012.

Negotiations are in progress on the three draft agreements defining arrangements concerning the accommodation to be provided for the Agency in the host Member States, the facilities to be made available by those Member States, security arrangements and specific rules applicable in the host Member States to the Executive Director, the members of the Management Board, staff of the Agency and the members of their families. With regard to security, the Agency is responsible for security on its premises. However, Article 30(2) of the Agency Regulation requires host Member States to take adequate measures to maintain order and security in the vicinity of the premises of the Agency<sup>16</sup>. These obligations will be reflected in the Headquarters and site agreements.

Negotiations are expected to progress in time for the agreements to be approved by the Management Board and signed by the Executive Director of the Agency with the host member States in the 3<sup>rd</sup> quarter of the year.

### **6.2 Headquarters building in Tallinn, Estonia**

As part of their offer to host the Agency, the Estonian authorities committed to making available suitable premises for the Agency Headquarters in Tallinn free of charge. In the medium term (approximately 2-3 years time), they intend to provide the Agency with a tailor-made building to permanently host its Tallinn HQ. The Agency HQ will be hosted on temporary premises until this permanent building is finished.

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<sup>16</sup> Also including the provision of appropriate protection and guaranteeing free access to the premises and land of the Agency by persons authorized by the Agency



Estonia provided the temporary premises by June 2012. The building selected by the Commission from the alternatives proposed by the Estonian authorities is situated at 4, Ravala St ("EU House") in downtown Tallinn where the Commission Representation and the Bureau of the European Parliament are also located. The layout of this building needs to be modified, in order to respect technical and security requirements and to fine tune it to specific operational needs of the Agency.

The permanent premises will be identified at a later stage in close cooperation with the Management Board and the Executive Director.

### **6.3 Reconversion of C.SIS in Strasbourg into the technical site of the Agency**

In the framework of a Specific Contract with the Commission, a study is being carried out by an external contractor to assess the current C.SIS site and recommend specific measures to reconvert this site into the future technical site of the Agency. This site will need to be a modern data centre operating the IT systems with minimum costs and optimal utilization of resources. The specific recommendations from this study are being examined and the Management Board is due to be consulted on this matter during a forthcoming meeting in 2012. The next step will be the conclusion of a contract with an architectural study bureau for the development of an implementation plan, with a view to implementing the priority works necessary for the entry into operations of the Agency by December 2012 at the latest. The Agency will be responsible for managing and supervising the execution of this implementation plan. Further reconversion works may be necessary in the course of 2013.

### **6.4 Preparation of the back-up site in St Johann im Pongau**

In case of a disaster preventing the Agency from operating the IT systems from its premises located in Strasbourg (France), the operation of these systems would be performed from the back-up (BCU) site located in Sankt Johan im Pongau (Austria). Staff from Strasbourg would be temporarily transferred to the back-up site pending the resolution of the issues.

The Agency will therefore need an adequate infrastructure and organisational support at the back-up site to deal with the switchover/failover operation itself together with additional facilities and support for hosting the temporarily transferred staff.

Teams of staff from the Strasbourg site on mission for 1 week periods will ensure a permanent presence at the BCU site.

The back-up site has already been prepared up to a sufficient standard to be operational in case of a disaster leading to a need for a switchover/failover of one or several of the systems. However, it is necessary to strengthen the facilities to be used in the event of a disaster requiring a permanent team on site during a prolonged period.

Specific requirements in terms of infrastructure, communication facilities, logistical requirements and organisational support have been defined, including additional requirements for a prolonged disaster. This document will form part of the agreement to be concluded with Austria on the back-up site.

Pending approval of the back-up site agreement, it is possible that the current contract between the European Commission and Austria for managing this site may be amended, with a view to obtaining additional space for EURODAC (and other needs).

During the negotiations with Austria it will also be necessary to discuss whether and how the current service contract for the back-up will need to be adapted to the requirements of the site agreement or separate technical agreement.

## **6.5. Financial Management**

A number of key deliverables related to financial management have been prepared by the Commission, acting in its caretaker role. This applies in particular for the 2012 Budget and draft statement of estimates for 2013, the draft Annual Work Programme for 2012 and the draft Annual Work Programme for 2013 and Annual Activity Report 2011.

The Agency will start setting up the necessary financial structures and circuits in 2012, and specialised staff will be recruited for dealing with financial and procurement procedures.

The Agency is aiming to become financially independent in 2013.

- In the period prior to the granting of financial independence to the Agency, the Commission will launch a number of tender procedures on behalf of the Agency and work will start on a procurement plan.

During this period, the Agency will already assume responsibility for supervision of operational matters related to these contracts.

- Once the Agency has been granted financial independence, it will assume responsibility for financial matters, working on the basis of a procurement plan and will deal with a wide range of procurement procedures, including procedures for upgrading buildings and facilities, procurement of equipment and furnishings and specialised procurement related to the IT systems under its management.

In both of these phases, the Management Board will be informed of key calls for tenders and Member State experts may be invited on a case-by-case basis to provide technical expertise for the definition of tender documents and procedures.

## **6.6 Other arrangements**

All the other necessary logistical arrangements will be made in order to ensure that the Agency will start delivering its services from Estonia during the summer of 2012.

*Communications activities are described in point 4.5.*

<b>Action</b>	<b>Indicative Time Frame</b>
Finalize and sign Headquarters Agreement with Estonia	3 <sup>rd</sup> quarter 2012
Finalize and sign technical site agreement with France	End of November 2012
Finalize and sign agreement with Austria on the Back-up site	3 <sup>rd</sup> quarter 2012
Finalize memoranda of understanding and/or agreements with Commission services required support/provide basic administrative functions (buildings, security, payment of staff, medical screening of candidates)	3 <sup>rd</sup> quarter 2012
Temporary premises to be made available by Estonia	2 <sup>nd</sup> semester 2012
Equip the interim premises in Tallinn	2 <sup>nd</sup> semester 2012
Implement the technical and security measures required on the sites	December 2012

**European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice**

**Work Programme 2013**

**September 2012**

# European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice

## Work Programme 2013

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## **1. EXECUTIVE SUMMARY**

The European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice was established by virtue of Regulation (EU) No 1077/2011 of the European Parliament and of the Council of 25 October 2011 (OJ L 286, 01.11.2011, p.1) which entered into force on 21 November 2011. The Regulation provides that the Agency will take up its main responsibilities from 1 December 2012.

The purpose of this Annual Work Programme is to describe the activities to be carried out by the Agency in 2013, translating the strategic goals of the Agency into annual objectives and providing a basis for budgetary planning.

The core task of the Agency will be to ensure the operational management of VIS and EURODAC and to complete the preparations for taking over operations of SIS II. Furthermore, the go-live of SIS II scheduled for March 2013 will be a crucial milestone. The Agency will need to ensure that it is fully prepared to assume the challenging task of managing this critical system from that time onwards.

In the medium-term, the Agency will also develop new large-scale information systems in this policy area, if so provided by relevant legislative instruments.

A number of economic, political and technological developments will have an important impact on the medium-to-long term strategy of the Agency and the way that this is translated into operational goals for 2013. The economic crisis has significantly impacted national budgets and has led to calls for greater accountability and efficiency in all EU policy areas. The Agency will therefore have to clearly demonstrate the benefits of its investments and expenditure and prove that it can systematically deliver value for money. A further factor is the political instability in certain North African countries and the middle-east. The mass influxes of persons from these countries to the EU, in conjunction with new trends in migratory fluxes towards the EU, have highlighted the importance of having effective IT systems in place to manage the external borders and enhance cooperation of relevant authorities. Furthermore, they have also highlighted the political visibility of these systems.

The Agency will also be faced with challenges due to the complexity of the IT systems in this policy area, stemming from the number of stakeholders and the ambitious objectives and requirements of stakeholders.

### **1.1. Strategic Goals**

In light of the above, the four strategic goals of the Agency are as follows:

#### **1. Consolidate the Agency's structure and cohesion**

To implement the necessary measures to ensure good governance and to strengthen cooperation and team building across the Agency, in order to deliver a seamless service on goals overarching the different units and sites of the Agency.

## **2. Move towards becoming a centre of excellence**

To nurture and enhance the expertise and best practices within the organisation and put in place effective governance, structure, resources, information tools, procedures and methodologies to enable the Agency to move forward towards becoming a centre of excellence for the management and development of large scale IT systems in the field of freedom, justice and security. A key part of this process will be to ensure alignment of business and ICT goals, by implementing Enterprise Governance of ICT.

## **3. Preparations for taking on board additional systems**

Subject to the adoption of the legal bases for the Registered Traveller Programme and Entry Exit System, it is possible that the Agency may be asked to start developing these systems as from 2015. The Agency should already start planning ahead, strategically, anticipating its specific infrastructure, staffing and organisational requirements, taking account of the financial information in the legislative proposals for these systems.

## **4. Continuous move to optimise cost-effectiveness**

To move towards the proactive search for more cost effective ways of delivering the requisite level of service or technical excellence for the Agency's own internal operations and for the IT systems under its management. This includes examining the scope for achieving cost savings for stakeholders.

### **1.2. Key operational objectives**

The basic building blocks, infrastructures and functions of this Agency were put into place in 2012, allowing it to implement its core operational management tasks for the two systems already under its management. From early 2013 onwards, the Agency will start moving into a more pro-active phase.

One of the first steps to take in this direction will be to put in place adequate governance for ensuring alignment of the Agency's business and ICT goals and the creation of value from IT-enabled business developments by implementing recognised standards and business models in this field, namely the Enterprise Governance of ICT model, essential maturity levels of the COBIT framework for IT governance and best practices for IT service management from ITIL. The Agency will also work towards putting in place total quality management, with a view to full implementation of ISO 9001 in the medium term.

Following the recruitment of the first 75 staff members in 2012, as envisaged in the 2012 Agency Establishment Plan and budget, 45 additional staff members will be recruited in 2013.



The key operational objectives of the Agency in 2013 are as follows:

#### *1.2.1. Operational Management of the Systems*

The Agency will perform all necessary tasks for operational management of VIS and EURODAC, ensuring continuity of operations 24 hours a day, 7 days per week and make the final preparations for taking over operational management of SIS II. As from March 2013 it will also perform all necessary tasks for operating this system.

With regard to work carried out by contractors in relation to these systems, the Agency will initially only deal with operational supervision. It will take over financial and contractual responsibility as from the time that it is granted financial independence.

- One specific priority for SIS II in 2013 will be to meticulously prepare for taking over operation of this system, in order to ensure that the requisite service level indicators are fully met from the onset.
- The Commission will complete the procedures for concluding the SIS II maintenance contract on behalf of the Agency. The Agency will prepare for taking over operational aspects of this contract (supervision of the preparations for maintenance of the system and of the actual maintenance work as from March 2013).
- Specific objectives for VIS in 2013 will include ensuring that the technical characteristics of VIS will be able to support world-wide roll out. The Agency will also be responsible for supervision and monitoring of work under the contract for maintaining the VIS in working order and will subsequently take over responsibility for work under this contract to upgrade the VIS. Finally, the Agency will also ensure successful testing of VISMAIL 2 by the end of the year.
- With regard to EURODAC, one key priority for the Agency in 2013 will be to ensure the removal of this system from Luxembourg to Strasbourg and Sankt Johann im Pongau at the beginning of the year. This will include operational supervision of the contractors' work in the framework of procurement contracts related to this removal, for example, with respect to any additional IT equipment that may be required. The second main priority will be to start implementing the changes to the system foreseen in the Recast Regulation, subject to the adoption of this instrument.

#### *1.2.2. Integration of new systems users*

One priority will be to assist Croatia with its technical preparations for accession to the IT systems managed by the Agency which are now intensifying in light of its preparations for accession to the EU in mid 2013. Other activities in this area will include assistance to Cyprus with its preparations for achieving technical readiness in 2013 for integrating into SIS II and VIS. The actual integration of Cyprus into these systems may only go ahead once the necessary conditions for the application of all parts of the Schengen acquis will be met, as provided for in the Act of Accession of 2003. A number of other Member States will also require assistance with technical matters related to their future integration into SIS II. This applies in particular to the UK and Ireland which will probably integrate into this system from 2014 onwards.

### *1.2.3. Security and the communication infrastructure*

The Agency will put in place and implement security measures and business continuity measures for its own organisation, for the systems that it will manage and for the communications networks for these systems, and carry out any other security tasks foreseen in the establishing Regulation and legal instruments for the IT systems.

Concerning the communication infrastructure for the IT systems under the Agency's management, initially, the Agency will be responsible for supervision, security and coordination of relations between the Member States and the network provider for the communication infrastructure for EURODAC and VIS. This will also be the case for the communication infrastructure for SIS II after the entry into operations of this system in March 2013. The Agency will also ensure that external private-sector network providers will fully respect the security measures and shall have no access to operational data in the IT systems.

### *1.2.4. Monitoring, reporting and Statistics*

The Agency will produce the reporting and statistics on the use of the IT systems under its management and monitor their functioning, as foreseen in the legal bases for these IT systems and reflected in the establishing Regulation. It will report regularly to the European Parliament, the Council and the Commission on the technical functioning of the systems, including the security thereof and will also provide the Commission with information that it requires for the regular evaluation of VIS, EURODAC and SIS II.

### *1.2.5. Training*

The Agency will provide training on the technical use of SIS II, VIS and EURODAC to the National authorities participating in these systems. It will also provide training for SIRENE-staff (SIRENE- Supplementary Information Request at the National Entries) and training for Schengen evaluation team members and lead experts on the technical aspects of SIS II. Further information on the organisation of training on these systems and the steps to be taken to ensure cooperation between the various EU Agencies involved (CEPOL for training of law enforcement authorities on SIS II and SIRENE and CEPOL and FRONTEX for training of Schengen evaluators) is given in point 0 below.

### *1.2.6. Cooperation with other Agencies*

Cooperation with other Agencies such as CEPOL, EASO, ENISA, EUROJUST, EUROPOL, FRONTEX and FRA will continue in 2013. An action plan will be prepared setting out clear goals and objectives for cooperation with each of these Agencies. Complementarity will be a key priority in many of these relationships. The Agency will also take account of European and international standards, in particular the EU Information Management Strategy and will follow up developments with the European Information Exchange Model.

### *1.2.7. Monitoring of research and technology watch*

The Agency will commence activities for monitoring of research and technology watch in 2013, feeding the results of this into decision-making on technical matters and business objectives. As mentioned above, the putting in place of an appropriate governance framework will ensure that the results of this work are oriented towards meeting the business objectives of the Agency.

### *1.2.8. Communications*

The Agency will organise communications activities on its own initiative in the fields within its tasks, including the establishment of a web site. It will also be involved in the organisation of the SIS II Information campaign in 2013. The Commission also envisages to involve SIRENE experts in the preparation of the SIS II campaign via the SIS VIS Committee SIRENE Formation.

### *1.2.9. Financial management, infrastructures, logistics and administration*

The Agency will consolidate its financial teams and procedures, with a view to obtaining financial independence during the year and taking a more pro-active approach for ensuring value for money across the full spectrum of its activities.

During the initial phase of Agency's operations, before it is granted financial independence, a number of contracts, including the MWO contracts for SIS II and VIS referred to in points 0 and 0 will be concluded by the Commission in the name of the Agency. Once the Agency has been granted financial independence), it will assume responsibility for financial matters related to these contracts.

The Agency will work on the basis of a procurement plan which will be communicated to the Management Board. The Management Board will also be informed of key calls for tenders. Member State experts may be invited on a case-by-case basis to provide technical expertise for the definition of tender documents and procedures.

Key priorities in the area of building management and logistics will be to ensure that work on the permanent premises in Tallinn and works to further upgrade the technical site in Strasbourg in order to meet future requirements remain fully on track.

Further information on the specific operational objectives of this Agency and related indicators, including objectives fixed for essential administrative tasks not referred to above are given in point 0 of this work programme.

### *1.2.10. Support to the Management Board and to the Advisory groups*

The Agency's administrative structure will provide continuous support to the Management Board and to the work of the Advisory groups.

- The Management Board will continue to ensure that the Agency performs on the tasks laid down for it under the establishing Regulation in the most cost effective way, taking account of medium-term strategic goals. In addition to the approval of standard documents in the annual budgetary and planning lifecycle, specific matters to be decided on by the Management Board in 2013 will include matters related to the preparations for the permanent premises in Tallinn and the implementation of works on the technical site in Strasbourg. It will also have to endorse decisions related to the removal of EURODAC (see also point 0 concerning measures to inform the Management board on matters related to procurement).

- The priorities for the Advisory Groups in 2013 will include ensuring the ability of VIS to meet the technical requirements of future world-wide roll-out, follow-up of the entry into operations of SIS II, the growth in use of this system, technical matters relating to the relocation of EURODAC from Luxembourg to Strasbourg and Sankt Johann im Pongau and the adaptation of EURODAC to take account of the future Recast Regulation. A further priority for all of the groups will be the technical preparations for the accession of new Member States, in particular Croatia to these IT systems, the integration of countries such as the UK and Ireland into SIS II and preparations for ensuring technical readiness of Cyprus to join SIS II and VIS.

#### *1.2.11. Outlook for the implementation of these objectives in light of key risks*

The objectives fixed for this Agency are challenging and expectations from stakeholders are very ambitious. In the course of 2013, the Agency is expected to rapidly move ahead from its basic mission of operating the IT systems, towards becoming a centre of excellence dealing with highly specialised systems in a complex technical and stakeholder environment. As is the case in any complex business environment, there are risks associated with the Agency's operations. A number of critical risks have been identified in the area of financial resources, availability of premises and the transition towards financial independence. Action plans are in place for addressing all of these risks. The Agency will closely monitor the implementation of these action plans and any future developments in risk exposure. Top priority will be put on consolidating the teams and putting in place governance procedures necessary to enable the Agency to carry out all of its functions whilst effectively managing the risks associated with its operations. In light of the above, the Agency's management is confident that it will meet the expectations of stakeholders in delivering on its goals and objectives.

## **2. GENERAL PART**

### **2.1. Introduction**

The European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice was established by virtue of Regulation (EU) No 1077/2011 of the European Parliament and of the Council of 25 October 2011 (OJ L 286, 01.11.2011, p.1) which entered into force on 21 November 2011. The Regulation provides that the Agency will take up its main responsibilities from 1 December 2012.

The Annual Work Programme of the Agency for the following year is to be adopted by the Management Board by 30 September each year, according to the specific terms of Article 12 of the establishing Regulation, after receiving the opinion of the Commission. The adopted work programme will then be transmitted to the European Parliament, the Council and the Commission by the Management Board and published. In accordance with the establishing Regulation, the annual work programme shall be produced in all official languages of the institutions of the Union.

The objective of the Annual Work Programme is to describe and to agree on the activities to be carried out by the Agency in the year in question, in order to implement the tasks referred to in Chapter II of the above-mentioned Regulation. Its purpose is to translate the strategic goals of the Agency into annual objectives and provide a basis for budgetary planning.

This Work Programme and the implementation thereof is therefore closely linked to the preparation and implementation of the Agency's Draft Budget for 2013, justifying the allocation of means to specific titles, chapters and articles.

As mentioned above, this new Agency was established at the end of 2011. The basic building blocks, infrastructures and functions of this Agency were put in place in 2012, allowing it to deliver on its core tasks for the operational management of VIS and EURODAC and for preparing to take over the operation of SIS II as from March 2013.

The present Work Programme describes the tasks of the Agency in 2013, with a view to:

- Continuous delivery of the core services for managing and operating the IT systems under its responsibility
- Completion of the final steps in building and consolidating the organisation
- Moving forward into a more pro-active phase, taking account of the strategic context and goals described in 0 below.

## **2.2. Mission and values of the Agency**

The Agency's core mission is to ensure the continuous, uninterrupted operation of European large scale IT systems in the area of freedom, security and justice.

In the medium term, it will also develop new large-scale information systems in this policy area, if so provided by relevant legislative instruments.

The systems managed by, the Agency will make an important contribution to the maintenance of security and free movement between internal Schengen borders and towards the Schengen Area.

All activities of the Agency are steered by technological and economic intelligence.

The Agency ensures that its activities are carried out ensuring sound financial management.

The Agency is a trustworthy operational management body, fully respected by Member States and other stakeholders in the systems under its management.

The Agency's personnel and their high level of expertise and professionalism are a cornerstone of its effectiveness and trustworthiness. The Agency will maintain policies within its organization to ensure that it is a competitive employer and that the skills of its personnel are fully valorized.

In all of its activities, the Agency ensures full compliance with legal requirements, including, in particular, the security and data protection provisions applicable to the systems under its management.

## **2.3. Vision**

**A centre of excellence for the development and operational management of large scale IT systems in the area of freedom, security and justice, delivering cost effective services of the highest level, guaranteeing continuity of operations and providing a strategic vision of the technologies, solutions and applications needed to meet stakeholders' future expectations.**

## 2.4. Policy context and strategic outlook

The establishment of this Agency was already foreseen in the legislative instruments for the Second Generation Schengen Information System (SIS II) adopted in 2006-2007 and the VIS Regulation adopted in 2008. In Joint Statements of the three institutions on the long-term management of these systems, the European Parliament and the Council invited the Commission to rapidly present the necessary proposals and committed themselves to having them adopted in time to allow the Agency to take up fully its activities by 2012. These political commitments have been respected.

The creation of the Agency is situated in the political context of the Stockholm programme and the action plan implementing this programme, which set the framework for the EU's response to major challenges in this policy area and outline a number of key developments in border management and security over the forthcoming period.

Furthermore, the Internal Security Strategy (ISS) adopted in February 2010 identifies "Strengthening security through border management" as one of 5 strategic objectives where the EU could bring real added value over the next four years.

A number of economic, political and technological developments will have an important impact on the medium-to long term strategy of the Agency and the way that this is translated into operational goals for 2013.

The ongoing economic crisis has already led to significant budget cuts at Member State level and has called for greater accountability and efficiency across all policy areas. This situation is most likely to continue well into the medium-term, with serious constraints and increased scrutiny on new investments in information technologies, at both European Union and Member State level. A key challenge will therefore be to demonstrate to stakeholders and society at large the benefits of investments and expenditure made by the Agency, to produce clear evidence of its added-value, cost-effectiveness, sound financial management and the potential for it to achieve cost savings for Member States by applying new technologies and introducing more efficient processes for the systems under its management. This will translate, for example, into a move towards starting small and expanding incrementally insofar as investments in and development of new systems are concerned.

A number of political and societal phenomena will also continue to impact on the environment of the IT systems managed by the Agency. Political developments in neighbouring third countries over the last year, in particular the instability in certain North African countries and the Middle East, led to mass influxes of persons at the southern borders of the EU and, more generally, new trends and challenges in the migratory flows towards the Union. These developments have significantly increased the visibility of external border management questions, highlighting the importance of having effective systems for controlling the borders, maintaining security, effectively managing asylum applications and implementing visa-issuing processes.

The systems managed by the Agency will therefore be clearly visible and under close scrutiny.

The Agency will assist Croatia with its technical preparations for joining the IT systems managed by the Agency which are now intensifying in light of its preparations for accession to the EU in mid 2013. The Agency will also assist Cyprus with its preparations for achieving technical readiness in 2013 for integrating into SIS II and VIS. The actual integration of Cyprus into these systems may only go ahead once the necessary conditions for the application of all parts of the Schengen acquis will be met, as provided for in the Act of Accession of 2003.. A number of other Member States will also require assistance with technical matters related to their future integration into SIS II. This applies in particular to the UK and Ireland which will probably integrate into this system from 2014 onwards.

The complex framework of the IT systems managed by the Agency, both in terms of the number of stakeholders and the variable geometry<sup>17</sup> whereby certain Member States will not be able to vote in the Management Board of the Agency as regards certain systems, also require effective governance structures to be put in place. The Agency must rapidly consolidate its organisation and teams and demonstrate its ability to deliver on the needs of stakeholders, whilst taking full account of EU interests and priorities. As already mentioned above, there will be high expectations for the Agency in terms of value-added.

The scale and complexity of IT systems in this policy area also pose huge technical challenges. Furthermore, their stakeholders expect state of the art solutions in terms of functionalities, response time and continuity of operations. The pace of technological change in the IT sector is both a challenge and an opportunity. The Agency will embrace this pro-actively by putting in place adequate governance procedures, structures and processes to enable it to effectively apply innovative technologies to support business and user needs and increase the efficiency of its own administrative procedures. A few examples of areas to examine would be biometrics and technological advances that will increase the performance, reliability and flexibility of systems.

As described in further detail in point 0 below, the Agency is also likely to be entrusted with the development and management of new IT systems, in particular, the Registered Traveller Programme and an Entry Exit system, for which legislative proposals are due to be presented in 2012. Other systems beyond the area of border management, such as tools for data exchange for combating cross-border crime could also eventually be taken up by the Agency in the medium-term.

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<sup>17</sup> The legal frameworks of SIS II, VIS and EURODAC are characterized by variable geometry, a term used to denote the fact that certain Member States either do not participate at all in one or several of the systems, or only participate partially. For example, Ireland and the United Kingdom participate in EURODAC but are only involved in SIS II for ex third pillar aspects, not for free movement aspects. These two Member States do not participate in VIS. Denmark on the other hand is involved in SIS II and VIS ex first pillar instruments under international law and in Eurodac under an international agreement. A number of non-EU countries, namely Iceland, Norway, Switzerland and Liechtenstein are associated with the implementation, application and development of the Schengen acquis and therefore participate both in SIS II and VIS. They are also associated with the implementation of Eurodac related measures and participate in Eurodac.

In looking forward to the future, it is also important to bear in mind the legacy of the past. There is often a negative image of IT projects managed by the public sector at both national and international level, due to a number of highly visible cases of delays and cost over-runs that have occurred in the recent past. The Agency must build on the experiences and lessons learned in other major IT projects and ensure tight governance, rigorous planning, and close monitoring of implementation of the projects under its responsibility in conjunction with efficient procurement procedures.

One challenge often encountered in such projects is to achieve the right balance between flexibility and budgetary and time constraints. In a policy area such as freedom, justice and security, stakeholders in large IT systems expect a high degree of flexibility on the requirements and technical solutions chosen for ongoing projects, in order to take account of both constantly evolving policy demands as well as latest technological developments, security standards and increasing safeguards for data protection. This is particularly the case when highly visible events occur, such as terrorist attacks or mass migration influxes, which often result in the rapid introduction of new policy measures to combat such phenomena (inter alia by facilitating cooperation and information exchange among responsible authorities). A key challenge for the Agency will be to demonstrate the requisite level of flexibility for developing and adapting the systems under its responsibility, whilst remaining cost effective and minimizing the impact on timing.

Stakeholders already have a number of clearly identified expectations for future enhancements to the IT systems that are managed by the Agency. One key task of the Agency in 2013 will be to ensure timely implementation of a significant capacity increase to the Visa Information System.

Data protection and data security will also be at the core of the Agency's priorities. The Agency will be required to ensure strict respect of all the data protection and security provisions applicable to the IT systems that it manages and will also be subject to regular audits in these specific areas.

By the start of 2013 the Agency is expected to have mastered the basic functions related to the operational management of VIS and EURODAC, ensuring that they operate continuously 24/7. As from the start of 2013, it will complete the final preparations for taking over operational management of SIS II and move forward towards becoming a fully fledged centre of excellence.

## **2.5. Strategic goals reflecting the Agency's medium-term vision**

The main strategic goals for the Agency for 2013 and beyond described below reflect the policy context and outlook described in the previous chapter.

### *2.5.1. Strategic Goal 1: Consolidate the Agency's structure and cohesion*

**To implement the necessary measures to ensure good governance and to strengthen cooperation and team building, in order to deliver a seamless service on goals overarching the different units and sites of the Agency.**

The main tasks in this area will be the recruitment of additional human resources, the consolidation of internal procedures, with a view to achieving an efficient and well-functioning administrative structure and team building activities. Work under Strategic Goal 2 to ensure alignment of business and technological goals will also make an important contribution to the achievement of this goal.

As envisaged in the 2013 Agency Establishment Plan and budget, 45 staff members are due to be recruited in 2013, in addition to the 75 staff members to be recruited by the end of 2012.



These staff members will be recruited from the following recruitment paths:

1. Reserve list constituted in response to the *Open Call for expression of interest* for Management, Security, IT-specialists and IT Support and Assistance published on 23 November 2011,
2. Pool of applications received in response to a notice sent to laureates under existing EPSO reserve lists
3. Reserve list constituted in response to the *Open Call for expression of interest* technical personnel with experience in the management of central units of Schengen and Dublin related IT systems (SIS 1, VIS and EURODAC) published on 30 April 2012.
4. Reserve lists constituted in response to the publication of vacancy notices, in order to fill the positions of Data Protection Officer, Security Officer and Accounting Officer, published on 10 May 2012.

The procedure via the *Open Call for expression of interest* was finalized during the summer of 2012 and resulted in the establishment of reserve lists, which were approved by the Appointing Authority during July and early August 2012.

It is expected that by the end of 2012, the Agency will have achieved its target of recruiting the 75 staff members foreseen for 2012 in the Agency Establishment Plan and budget<sup>18</sup>.

In early 2013, the Agency will concentrate on hiring the remaining 45 staff members, as envisaged by the Establishment Plan and budget. At that moment, the Agency staff will include Human Resources Officers and Assistants (recruited in the second semester of 2012). Therefore, the management of the recruitment process will be carried out directly by the Agency staff.

There is also an urgent additional requirement for Agency Staff to ensure management of encryption keys. According to Article 7 of the Agency Regulation (tasks related to the communication infrastructure), an external private-sector network provider "*shall be bound by the security measures referred to in paragraph 4 and shall have no access to SIS II, VIS or EURODAC operational data, or to the SIS II-related SIRENE exchange, by any means*". This Article also provides that the management of the encryption keys shall remain within the competence of the Agency and shall not be outsourced to any external private-sector entity. Cryptographic equipment shall therefore remain under the full operational management of the Agency. Subject to the formal approval of additional budget and staff allocations for these tasks in the framework of a revised multi-annual staff policy plan and the preliminary draft budget for 2014, recruitment of additional staff for operating cryptographic equipment for the network and for the management, testing and evolutions for management of encryption keys should be foreseen as of 2014. It is currently estimated that approximately 30 posts could be required for these tasks).

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<sup>18</sup> Recruitment of staff on the reserve list for the open call for expressions of interest referred to above was launched immediately after the approval of the reserve lists. As of 29 August 2012, 50 offers of employment had been made. The first staff member recruited by the Agency started working in July 2012 in the premises of DG Home Affairs.

In addition, the recruitment procedure to hire a limited number of technical personnel with experience in the management of central units of Schengen and Dublin related IT systems (SIS 1, VIS and EURODAC) is expected to be completed by the end of September 2012. Offers of employment will be made immediately afterwards.

Finally, reserve lists for the positions of Data Protection Officer, Security Officer and Accounting Officer are expected to be available by the end of 2012.

Taking account of the total number of items of cryptographic equipment and the number of sites for the SIS II, VIS and EURODAC projects, it is estimated that 21 operators are required to deliver 24/7 encryption key operation for these projects. The other staff would be required for active management, testing and evolution of the solutions provided.

Today, SIS II includes roughly 150 items of cryptographic equipment over 50 sites, VIS 180 cryptographic equipment over 60 sites and Eurodac 60 cryptographic equipment over 30 sites. In addition, in order to ensure the critical availability of the cryptographic equipment, a complete and redundant set of cryptographic management platforms has to be deployed in the 2 operational sites of the Agency. This requires a permanent presence on a 24\*7 basis of 2 cryptographic operators on the main site and 1 backup on the backup site, which means 21 operators. (It is generally assumed that a permanent presence of 1 staff 24\*7 requires 7 Full Time Equivalent taking into account holidays, illness, on-duty, permanence and recuperation time.)

These operators are in charge of continuous monitoring and incident management. In addition to the operator staff, a cryptographic solution requires active management, testing and evolutions. Due to the critical nature of the services relying on the cryptographic equipment, a multidisciplinary team of experts has to deal with product management, integration with network and applications, change and release management, maintenance and support. This requires an additional team of 5 to 10 staff, depending on the complexity of the cryptographic equipment.

With the exception of the above-mentioned resources, subject to approval, no additional recruitment is foreseen for the period 2014-2015 for tasks linked to the operational management of VIS, SIS II or EURODAC.

Depending on the results of an impact assessment and subject to the adoption of legal bases for the Registered Traveller Programme and Entry Exit systems, it is possible that the Agency may require human resources from 2015 onwards for developing the Registered Traveller Programme and Entry Exit systems. In the course of 2013, the Agency should start to examine scenarios for future resource requirements for the development of these two systems.

Training of the Agency's staff will also be a key priority. This will include induction training for new staff members and further training as necessary, according to tailor-made training plans for each staff member. Technical staff will undergo an assessment of their skills and requirements. This will be, followed by specific training on technical matters related to the IT systems and their business environment. There will also be specific training for management, including training on the business objectives of the systems. Last but not least, there will be a strong emphasis on team building activities, with a view to consolidating teams, focusing in particular on teams extending across different sites. Objectives have been fixed to ensure that a sufficient number of financial specialists are fully trained as soon as possible.

The Agency will also continuously strive to ensure that its administrative processes evolve in line with changes to EU procedures and regulations and newly emerging good practices.

### 2.5.2. Strategic Goal 2: Move towards becoming a centre of excellence

**To nurture and enhance the expertise and best practices within the organisation and put in place effective governance, structure, resources, information tools, procedures and methodologies to enable the Agency to move forward towards becoming a centre of excellence for the management and development of large scale IT systems in the field of freedom, justice and security. This will also entail ensuring effective networking with other agencies, bodies and authorities operating in related fields and, in particular, with those established in the area of freedom, security and justice.**

In 2013, the initial building blocks of the centre of excellence will be put into place. The Agency will start off by putting in place adequate governance for ensuring alignment of business and ICT goals and the creation of value from IT-enabled business developments. This will be achieved via an action plan defined in 2012 for implementing Enterprise Governance of ICT<sup>19</sup> which will also entail implementing essential maturity levels of the COBIT<sup>20</sup> framework for IT governance in 2013. The Agency will progressively build on this work in subsequent years. The Agency will also implement best practices in IT service management from ITIL<sup>21</sup>, in particular with respect to the operation of the IT systems.

A further important activity in this area will be to work towards putting in place total quality management, with a view to full implementation of ISO 9001 in the medium term.

This work will also entail consolidating the Agency's structures, human resources and information management processes for technology watch and structured monitoring of new and forthcoming technological and economic developments (see point 0). The Agency will also participate in networking and expertise-sharing activities for these purposes.

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<sup>19</sup> A management concept and international standard which seeks to define and embed processes and structures throughout the organization, in order to enable both business and IT people to execute their responsibilities, while maximizing the value created from their IT-enabled investments.

<sup>20</sup> Control objectives for information and related technology (COBIT) is a framework created by ISACA in order to support governance of IT by defining and aligning business goals with IT goals and IT processes. It is a supporting toolset that allows managers to bridge the gap between control requirements, technical issues and business risks. COBIT defines 34 generic processes to manage IT, together with their respective process inputs and outputs, key process activities, objectives, performance measures and an elementary maturity model.

<sup>21</sup> ITIL is a set of practices for IT service management (ITSM) that focuses on aligning IT services with the needs of business. In its current form (ITILv3 / ITIL 2011 edition), it consists of five core publications, each of which covers an ITSM lifecycle stage. ITILv3 underpins ISO/IEC 20000, the International Service Management Standard for IT service management, although differences between the two frameworks do exist.

In parallel, the Agency will also apply appropriate methodologies with a view to implementing new technologies in a cost-effective way for its own operations and for the systems under its management, cooperating closely with stakeholders. The optimization of knowledge management systems will also be important for allowing effective exchange and use of information already available within the Agency. The results of technology watch and research monitoring will feed into other decision-making processes and preparatory work of the Agency, including requirements, specifications and tender procedures. Given the nature of the systems managed by the IT Agency and the lead time for implementing changes, largely due to budgetary and procurement formalities, the most important impact on end users is likely to occur in the medium term and, in particular, for the first generation of systems to be developed by the Agency.

#### *2.5.3. Strategic Goal 3: Preparations for taking on board additional systems*

**To plan ahead strategically for the systems that the Agency is likely to be required to develop and manage in the medium term, with a view to defining the human resource, budgetary and infrastructure requirements.**

The Agency may also be made responsible for the preparation, development and operational management of other large-scale information systems in the area of freedom, security and justice, if so provided by relevant legislative instruments, in accordance with the provisions of Article 1(3) of the establishing Regulation.

The Agency will look ahead, in order to anticipate the general implications of the additional IT systems that it may be required to develop and manage in the medium term and be in a position to ensure prompt delivery of input to decision-making at Commission level (notably on the Agency's personnel, budgetary and infrastructure requirements). The Agency will also ensure that there is enough flexibility in its internal organisation to take the initial implementation steps as soon as possible after the relevant legal bases are adopted.

Immediate priorities in this area, mainly related to Entry Exit and Registered Traveller Programme are addressed in further detail in point 0.

#### *2.5.4. Strategic Goal 4: Continuous move to optimise cost-effectiveness*

**To move towards the proactive search for more cost effective ways of delivering the requisite level of service or technical excellence, both with respect to the Agency's own internal operations and the setting up and management of new IT systems. This goal also includes examining the scope for achieving cost savings for stakeholders.**

The main priorities under this goal will be:

- To put in place an effective interface between technology watch activities (under Goal 2) and procurement procedures and to review performance in this area, with a view to continuous improvement.
- To attain a high level of expertise within the organisation on procurement matters in 2013 and to progressively reinforce this expertise bringing it up to the highest level (by training, information exchange and dissemination of information summarizing the basic rules and procedures). Adequate advisory services on financial matters will also be put in place within the Agency.

- Internal communication will also include actions to ensure that the priority of achieving technical and organisational excellence in the most cost effective way is firmly embedded in the organisational culture.

Operational goals for financial management are covered in point 0 and actions PC1 et seq. in point 0.

## 2.6. Key operational objectives

This point describes the main operational objectives of the Agency in 2013. The specific operational objectives in point 0 go into further detail, providing a clear link to outputs/results and covering a number of administrative tasks not covered below.

Performance indicators for most of these specific objectives, in particular those not related to the management of the systems, the communication infrastructure or security are given directly in point 2.7. This applies in particular for administrative and coordination tasks.

Comprehensive agreements on the service level that the Agency will guarantee to the Member States for management of the systems, the communication infrastructure and security will be approved by the Management Board as soon as possible in 2013. These will include detailed indicators, with a view to guaranteeing a service level across the board equivalent to or surpassing the arrangements in place with other operators prior to take-over of these activities by the Agency<sup>22</sup>.

The indicators contained in this document and those to be developed at a later stage will focus on key criteria such as timeliness, quality of service, stakeholder satisfaction and achievement of the objective (supply of deliverable).

Stakeholders require confidence and a reasonable expectation of deliverables and services to be provided by the Agency. Priorities have therefore been fixed taking account of input from stakeholders. This draft work programme was discussed by the Management Board in its meetings of March and June 2012 and the opinions of the Board have been taken into account in the fixing of priorities in this programme. The portfolio of deliverables and services outlined in the present work programme balances stakeholders' needs, the outcome of the risk analysis exercise and the need to respect fundamental requirements laid down in the establishing Regulation for the Agency and the legal bases for the systems that it will operate.

*The objective of integrating new system users such as Croatia, Cyprus, Ireland and the UK is covered for each individual system in point 0.*

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<sup>22</sup> With respect to VIS and EURODAC, the communication infrastructure and security, the Agency will have to maintain the level of service that was in force prior to its take-over of the systems. It will also guarantee an equivalent service level for SIS II.

## SIS II

**To carry out all necessary activities to ensure continuity of operations of SIS II from the time it enters into operations in March 2013. This will include supervision of the work of the selected contractor for the maintenance contract and starting technology watch activities related to this project.**

By the end of 2012, the SIS II Transition Plan, which aims to enable the transfer of knowledge from the main development contractor (HPS) to CSIS<sup>23</sup> which will take over SIS II temporarily pending the putting in place of the relevant Agency teams, is due to have been implemented and the main development contractor will have handed over SIS II to CSIS.

In the period up to March 2013, the Agency will take over the full operations of SIS II, including the follow up of the final migration preparations, shadowing the CSIS staff responsible for implementing these deliverables.

As from March 2013 when SIS II is due to enter into operations, the Agency will become responsible for the operational management of Central SIS II, taking over the tasks conferred on the Management Authority by Regulation (EC) No 1987/2006 and Decision 2007/533/JHA. The Agency will be responsible for all the tasks necessary to keep Central SIS II functioning 24 hours a day, 7 days a week in accordance with the above-mentioned regulations, in particular the maintenance work and technical developments necessary for the smooth running of the system.

The Agency will implement and apply the Service Support and Delivery processes to ensure that the IT Service Management is aligned with these critical and high availability operations. In particular, the Agency will be responsible for the following tasks in this area:

- SIS II Service Support Processes (incident management, problem management, configuration management, change management and release management)
- SIS II Service Delivery Processes (Availability Management, Continuity Management, Service Level Management, Capacity Management).

Assistance will also be provided to Croatia with its technical preparations for accession to SIS II which are now intensifying in light of its preparations for accession to the EU in mid 2013. The Agency will also provide assistance to Cyprus with its preparations for achieving technical readiness in 2013 for integrating into SIS II. The actual integration of Cyprus into SIS II may only go ahead once the necessary conditions for the application of all parts of the Schengen acquis will be met, as provided for in the Act of Accession of 2003. A number of other Member States will also require assistance with technical matters related to their future integration into SIS II, in particular the UK and Ireland which will probably integrate into this system from 2014 onwards.

The contract for the call for tenders published in 2012 for the maintenance of the SIS II after Final System Acceptance is due to be signed by the Commission on behalf of the Agency at the end of July 2013. The Agency will prepare for taking over operational aspects of this contract (supervision of the preparations for maintenance of the system and of the actual maintenance work as from March 2013).

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<sup>23</sup> The Central Site for the SIS II system, managed by the French authorities in the transitory phase pending the take-over of the SIS II project by the Agency

One priority area to examine, with a view to making future technological enhancements to SIS II, will be biometrics. Initially photographs and fingerprints will only be used to confirm the identity of a person who has been located as the result of an alphanumeric search made in SIS II. The SIS II legal instruments also specify that, as soon as this becomes technically possible, fingerprints may also be used to identify such a person on the basis of his/her biometric identifier<sup>24</sup>. The Commission is required by the legal bases to present a report on this matter. The Agency is prepared to contribute to this report if required.

*See also specific operational objective AM1 in point 0. Reporting obligations for SIS II are covered in point 0, technology watch activities are covered in point 0 and training of NS.SIS and SIRENE staff is covered in 2.6.5 and specific objectives GC9 and 10.*

## VIS

**The Agency will be responsible for operational management of the VIS, ensuring continuity of operations. It will also be responsible for ensuring that the technical characteristics of VIS will be able to support world-wide roll out. The Agency will also supervise and monitor the maintenance work under the contract for maintaining the VIS in working order and will also take over responsibility for work under this contract to upgrade the VIS. The Agency will also ensure successful testing of VISMAIL 2 by the end of the year.**

The Agency will be responsible for operational management of the VIS. This will include all the tasks necessary to keep the VIS functioning 24 hours a day, seven days a week in accordance with the VIS Regulation. A key component of these activities will be the maintenance work and technical developments necessary to ensure that the system functions at a satisfactory level of operational quality, in particular as regards the time required for interrogation of the central database by consular posts, which should be as short as possible.

The Agency will implement and apply the Service Support and Delivery processes to ensure that the IT Service Management is aligned with these critical and high availability operations. In particular, the Agency will be responsible for the following tasks in this specific area:

- VIS Service Support Processes (incident management, problem management, configuration management, change management and release management)<sup>25</sup>
- VIS Service Delivery Processes (Availability Management, Continuity Management, Service Level Management and Capacity Management)

By the end of 2012, roll-out of VIS to the first 3 Regions (North Africa, Middle East and the Gulf) will have been completed. Roll-out to other geographical regions is due to take place in 2013, possibly extending into 2014. The Commission will be responsible for political aspects of this roll-out. The main responsibility of the Agency will be to ensure that the technical characteristics of VIS will be able to support this world-wide roll out. As part of this process, the VIS Advisory Group will be requested to provide an opinion on this matter.

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<sup>24</sup> Article 22 b) and c) of the SIS II Regulation and Decision. Before this functionality is implemented in SIS II, the Commission shall present a report on the availability and readiness of the required technology on which the European Parliament shall be consulted.

<sup>25</sup> The configuration management database shall be maintained and kept up-to-date, as well as the Trouble Shooting Guide, the Knowledge Database and an exhaustive list of Frequently Asked Questions for the users

With respect to financial management, the Agency will continue to supervise and monitor the maintenance work under the contract for maintaining the VIS in working order concluded by the Commission in the name of the Agency. It will also then take over responsibility for work under this contract to upgrade the VIS. The main objectives of this upgrade will be, firstly to update the system in response to Member States requests, notably with respect to increased capacity<sup>26</sup>, fulfilling the legal obligation under Article 26 of the VIS Regulation (operational management) to ensure that the best available technology is used for the system. The second objective of this upgrade will be to introduce modifications related to the implementation of the new Visa Code adopted on 5 May 2010<sup>27</sup>. Work to enhance the capacity of VIS will be prioritised, in order to complete the roll out of the VIS and ensure a stable level of operation and support to Member States. The Agency will take over contractual matters relating to this contract once it has been granted financial independence.

At the start of 2013, an upgraded version of the VIS Mail Relay (the Central server) for the next phase (VIS Mail Phase 2) is due to be ready for testing. The Application Test Plan for Phase 2 developed by an external contractor of the Commission will also have been completed. In parallel, Member States are due to have completed work on their national applications for this deliverable.

The Agency will coordinate any remaining activities related to the development of VIS Mail Phase 2, as well as the VIS Mail Phase 2 tests with the Member States. These are scheduled to take place between January and July 2013. The Agency will follow up and validate the results of these tests. After the successful completion of all tests, between August 2013 and October 2013, the Agency will ensure the integration, preparation and the move to the production environment (following a Decision according to Article 46 of the VIS Regulation). According to the schedule, VIS Mail Phase 2 is due to be ready by the end of October 2013, which should coincide with the finalisation of the roll-out of the VIS in all regions<sup>28</sup>. Subsequently there will be work for the integration of new Member States likely to join the Schengen Area in the near future (for example, Croatia and preparations for ensuring technical readiness of Cyprus).

The Agency should also consider putting in place a Business Continuity Plan that takes due account of the end to end functioning of national systems as well as the central system, considering end to end Business continuity strategies, best practices and testing for the volunteering Member States.

*See also specific operational objective AM2 (point 0). Monitoring, reporting and statistics activities are described in point 0 and technology watch is covered in point 0.*

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<sup>26</sup> Expected capacity requirements for final roll-out are significantly higher than those anticipated in the original feasibility study carried out in 2002.

<sup>27</sup> It was decided at the time to press ahead with VIS development on the basis of the specifications that were valid at that time, in order to avoid further delay to the project.

<sup>28</sup> There is no legal provision on the exact duration of the VIS Regional Rollout, as this depends on the Member States and the speed at which they deploy the system. It must therefore be understood that the Decision according to Art. 46 will only be taken when the regional rollout is almost finished and not necessarily at exactly 22 months after the go-live of VIS.



## EURODAC

**To operate the EURODAC central database on behalf of the Member States in conformity with the provisions of the EURODAC Regulations, to ensure the removal of the system from Luxembourg to Strasbourg and Sankt Johann im Pongau and to start implementing the changes to the system foreseen in the Recast Regulation, subject to the adoption of this instrument. A further priority will also be to assist Croatia with its technical preparations for accession to EURODAC. The Agency will also ensure operational supervision of any work carried out by contractors for the above-mentioned tasks, particularly in relation to additional development work and relocation of the system.**

The Agency will be responsible for the operation of the EURODAC central database on behalf of the Member States, in conformity with the provisions of the EURODAC Regulations<sup>29</sup>.

Negotiations on a proposed recast of the EURODAC Regulation are in progress and it will hopefully be adopted as from the end of 2012. Changes foreseen by the current text include the marking of records (instead of blocking) and changes to time limits for Member States to submit an asylum request. It is possible that other functionalities may be retained in the finally adopted version.

The Agency will implement the changes foreseen in the Recast Regulation making sure that the technical changes will make optimal use of new technologies and processes. A prior assessment study is necessary, in order to clearly identify the technical (hardware, software, professional services) and financial impact of these changes on the current systems (CU - BCU - TEST). The implementation of these changes will most likely start in 2013, depending on the outcome of the assessment study and the procurement procedure.

The Agency in 2013 will also ensure the removal of this system from Luxembourg to Strasbourg and Sankt Johann im Pongau. This will include operational supervision of contractors' work related to this removal, notably with respect to any additional IT equipment that may be required. The related procurement procedures will be concluded by the Commission on behalf of the Agency. Once the Agency has been granted financial independence it will take over responsibility for financial and contractual aspects.

Croatia is due to join EURODAC in 2013. The Agency will play an important role in providing assistance to Croatia in all phases of its technical preparations.

Most of the current contracts for EURODAC with the Commission expire at the end of 2012 and need to be extended / renewed. Procedures for extension, renewal and transfer to the Agency of these contracts will be completed by the Commission on behalf of the Agency in 2012. In the preparation and negotiation of these procedures and contracts, top priority will be given to cost effectiveness.

Other EURODAC-related tasks of the Agency are covered in points 0 Security and communication infrastructure, 0 Monitoring, reporting and statistics and 0 (monitoring of research and technology watch). The key EURODAC-related technology watch priority for 2013 will be to ensure that any technical changes needed to meet the provisions of the Recast instrument, will make optimal use of new technologies and processes.

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<sup>29</sup> Regulations (EC) No 2725/2000 and (EC) No 407/2002.

*See also specific operational objective AM3 in 0.*

### **Possible development and operational management of other systems**

**If the legal bases for the Registered Traveller Programme and Entry Exit System are adopted in 2014, the Agency could be asked to start developing these systems as from 2015. It would therefore be advisable for the Agency to estimate its possible infrastructure, staffing and organisational requirements, taking account of the financial fiches of the legislative proposals for these systems, with a view to being able to start preparations as soon as possible, in the event that the legal instruments should be adopted.**

As announced in the Smart Borders Communication of 25 October 2011<sup>30</sup>, the Commission intends to present proposals in 2012 for two legislative instruments laying down the legal framework for these systems. These proposals would include provisions entrusting the development and operational management of a Registered Traveller Programme and an Entry Exit system to the Agency. According to the current planning, it is envisaged that the negotiations with the Council and Parliament for the adoption of these regulations could be completed by the end of 2014. If these legal bases are adopted, and if adoption takes place within this estimated time frame, it is envisaged that the Agency would start work on these systems as from 2015.

In parallel, it is possible that an amendment to the Agency Regulation may be adopted, with a view to transferring responsibility from the Commission to the Agency of certain responsibilities for the communication infrastructure and security with respect to existing systems and putting in place the framework for resources needed by the Agency for the development of the new systems.

Given that the Agency's Establishment plan would also need to be modified, in the event that the legal bases for the Registered Traveller and Entry Exit systems are adopted (with a view to providing the Agency with the additional human resources needed for the development of <sup>1</sup>these systems, it would be advisable to tentatively plan ahead for this in 2013.

Work would only commence on the development of these new systems if and when the European Parliament and Council have adopted the respective legal bases, setting out clearly the specifications. However, the Agency should already start planning ahead tentatively with a view to defining more specific requirements in terms of infrastructure, staffing and organisation, taking account of the information included in the financial fiches of the legislative proposals for these systems.

*See also specific operational objective AM4 in point 0.*

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<sup>30</sup> COM(2011)680

## 2.6.2. Security and the communication infrastructure

### Security

**The Agency will put in place and implement security measures and business continuity measures for its own organisation, for the systems that it will manage and for the communication networks for these systems, and carry out any other security tasks foreseen in the establishing Regulation and legal instruments for the IT systems.**

In 2013, the Agency will complete work on the business continuity and disaster recovery plan for the Agency and finalize preparations for taking over security aspects of SIS II.

It will also ensure the full implementation and compliance with the various security measures and security plans for the Agency itself<sup>31</sup>, the systems<sup>32</sup> that it will manage (covering matters such as organisation of security, technical measures including measures to ensure protection of records, business continuity, access control, accountability - ensuring that every access to and all exchanges of personal data are recorded at central level, cooperation with EDPS and follow-up of EDPS audits), the communication networks for these systems<sup>33</sup> (including procedures and security provisions for business continuity, management of contractors and management of encryption keys), and data protection measures as regards security for the exchange of supplementary information through the SIS II communication infrastructure.

Furthermore, the Agency will carry out any additional security tasks assigned to it under the legal instruments for the systems that it operates such as regular reporting on security matters within the more general framework of reporting on the systems.

*See also specific operational objectives on security (in particular MAN3 in point 0 and SE 2 & SE5 in point 0).*

### Communication Infrastructure

**Initially, the Agency will be responsible for supervision, security and coordination of relations between the Member States and the network provider for the communication infrastructure for EURODAC, VIS and for SIS II after its entry into operations in March 2013. It will also ensure the full respect of data protection provisions concerning any access to data in the system by external bodies.**

**It is possible that the Agency's competencies with respect to the communication infrastructure (supervision, security and coordination of relations between the Member States and the network provider for SIS II, VIS and EURODAC) could be extended to allow it to take over other systems and/or to assume responsibility for financial matters in this area, subject to a modification of the relevant legal provisions.**

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<sup>31</sup> The Security Plan, the Disaster Recovery Plan once this is approved, confidentiality and professional secrecy requirements and rules for staff working with data in the systems.

<sup>32</sup> Security measures and security plans for SIS II, VIS and EURODAC.

<sup>33</sup> Security measures and security plans for the communications network for SIS II, VIS and EURODAC prepared by the Agency.

Once the Agency takes over VIS and EURODAC and, as from March 2013 when it will take over SIS II, responsibility for the communication infrastructure for each respective system will be divided between the Agency and the Commission<sup>34</sup>. The Agency will be responsible for supervision, security and coordination of relations between the Member States and the network provider for the communication infrastructure for these three systems.

The Commission will be responsible for all other tasks relating to the communication infrastructure, in particular, the tasks relating to the implementation of the budget, acquisition and renewal and contractual matters<sup>35</sup>. The Commission will also retain responsibility for the adoption of the security measures and the security plan for the communication infrastructure for SIS II<sup>36</sup>.

In accordance with the establishing Regulation, tasks relating to the operational management of the communication infrastructure may be entrusted to external private-sector entities or bodies in accordance with Regulation (EC, EURATOM) No 1605/2002. In such a case, the network provider shall be bound by the security measures laid down in the basic instruments for each system and shall have no access to SIS II, VIS or EURODAC operational data. Without prejudice to existing contracts on the network of SIS II, VIS and EURODAC, the management of the encryption keys shall remain within the competence of the Agency and shall not be outsourced to any external private sector entity. The Agency will ensure that these provisions are respected.

The S-TESTA contract with DG DIGIT is due to expire at the end of 2013. With regard to existing activities, it will be possible to have specific contracts running in this framework until September 2014, but with limited change requests<sup>37</sup>. A new framework contract should be available in 2013. Contractual formalities under the new framework contract and the migration of SIS II, VIS and EURODAC to the new network have to be completed by September 2014 at the very latest. The Commission is responsible for contractual matters related to the network. A key priority for the Agency in 2013 will be the preparation and implementation of network migration in its specific areas of competence (supervision, security and management of relations between the Member States and provider of the new network for VIS, SIS II and EURODAC). The new framework contract will also have to be used subsequently for the Entry Exit and RTP networks subject to approval of the relevant legal bases (the legal instruments for these systems would entrust contractual matters for the network to the Agency). At present the Commission is responsible for all contractual aspects related to the networks of SIS II, VIS and EURODAC. In the future, it is possible that changes would be made to the SIS II and VIS legal bases and to the Agency Regulation to entrust the Agency with responsibility for contractual matters for the networks for these systems.

*See also specific operational objective OPU2 in point 0.*

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<sup>34</sup> In order to ensure coherence in exercise of their respective responsibilities for the network, the Agency and the Commission shall agree on operational working arrangements between them, to be reflected in a Memorandum of Understanding (Article 7(2) of the Agency Regulation). This is due to be approved in 2012).

<sup>35</sup> Article 26 (2) and (3) of the VIS Regulation, Article 15 (2) and (3) of the SIS II Regulation and Decision and Article 5(b) of the Agency Regulation

<sup>36</sup> Article 16(1) of the SIS II Regulation

<sup>37</sup> The sTESTA Framework Contract expires on 28.9.2013 and the last specific contracts can cover services until 28.9.2014, but with limited change requests allowed/possible over the last year.

### 2.6.3. *Monitoring, reporting and statistics*

**The Agency will produce the reporting and statistics<sup>38</sup> on the use of the IT systems under its management and monitor their functioning, as foreseen in the legal bases for these IT systems and reflected in the establishing Regulation. It will report regularly to the European Parliament, the Council and the Commission on the technical functioning of the systems, including the security thereof and will also provide the Commission with information that it requires for the regular evaluation of VIS, EURODAC and SIS II.**

*See also specific operational objectives ASI-5 in point 0.*

### 2.6.4. *Cooperation with other Agencies, projects and actions in the field of freedom, security and justice*

**Cooperation with Agencies such as CEPOL, EASO, ENISA, EUROJUST, EUROPOL, FRONTEX and FRA will continue in 2013. An action plan will be prepared setting out clear goals and objectives for cooperation with each of these Agencies. Complementarity will be a key priority in many of these relationships.**

**The Agency will also take account of European and international standards, in particular the EU Information Management Strategy and will follow up developments with the European Information Exchange Model.**

#### **Agencies**

Cooperation with Agencies such as the European Police College (CEPOL), European Asylum Support Office (EASO), the European Network and Information Security Agency (ENISA), EUROJUST, the European Law Enforcement Agency (EUROPOL), the Fundamental Rights Agency (FRA) and the European Agency for the Management of Operational Cooperation at the External Borders (FRONTEX) will continue in 2013, building on the relations already established in 2012. One priority area will be to negotiate a memorandum of understanding with other European Agencies involved in training matters related to the area of freedom, security and justice.

The Executive Director of the Agency will participate in the annual meetings of the heads of JHA Agencies and a representative of the Agency (desk officer level) will participate in the JHA Agencies Contact Group, with a view to exploring and agreeing on other forms of cooperation. The Agency will prepare an action plan setting out clear objectives for cooperation with each of the other agencies referred to below. Representatives of a number of these Agencies will be invited to give presentations at Management Board meetings.

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<sup>38</sup> With respect to VIS, the Agency will need statistics in order to carry out the following tasks assigned to it under the VIS Regulation:

- Technical maintenance, article 50 (2): the Agency will require access to the necessary information on processing operations in VIS
- Reporting on the technical functioning of VIS, Article 50 (3)
- Providing the Commission with the information necessary to produce the overall evaluations Article (50(7))

- **CEPOL**

One of the tasks of the Agency for operational management of large scale IT systems is to facilitate and ensure training for Member State users concerning the systems that it operates. It is also required to provide training on the technical use of SIS II for SIRENE staff in the Member States and for Schengen evaluation team members and lead experts.

Law enforcement personnel are a key component of the users of the IT systems operated by the Agency. The Agency should coordinate its training for this stakeholder group with CEPOL, with a view to ensuring complementarity. One approach to explore is the development of joint curricula. Further information on this matter is given in point 0.

Training for Schengen evaluation team members and lead experts will also have to be discussed with FRONTEX with a view to agreement on a memorandum of understanding between the agencies involved in this area.

- **EASO**

The function of this Agency is to strengthen European Union (EU) countries' practical cooperation on asylum, to support EU countries whose asylum and reception systems are under particular pressure and to enhance the implementation of the Common European Asylum System (CEAS). The key cooperation objective, initially, will be to set up a sound working relationship with this Agency, ensuring complementarity.

- **ENISA**

The main task of ENISA is to enhance the capability of the EU, the Member States and the business community to prevent, address and respond to network and information security problems. It serves as a Centre of Expertise, stimulating cooperation between the public and private sectors in this area. Initial objectives for cooperation with this Agency should focus on exchange of information and expertise.

- **EUROJUST and EUROPOL**

Decision 2007/533/JHA (the SIS II Decision) provides for access to SIS II data by specifically authorised staff of EUROPOL and national members of EUROJUST and their assistants. These bodies may only access the specific data that they require for the performance of their tasks. EUROPOL will also obtain access to consult the data in VIS in relation with the application of Decision 2008/633/JHA.

Both of these Agencies may attend the meetings of the Management Board of the Agency as observers when a question concerning the application of the SIS II Decision is on the agenda. EUROPOL may also attend the meetings of the Management Board as observers when a question concerning the application of the VIS Decision is on the agenda.

EUROJUST supports the competent authorities of the Member States to render their investigations and prosecutions more effective when dealing with cross-border crime. In addition to matters related to its own participation in SIS II, the key cooperation objective, initially, will be to set up a sound working relationship with this Agency, ensuring complementarity.

The main mission of EUROPOL is to make Europe safer by assisting the Member States of the European Union in their fight against serious international crime and terrorism. It handles information sent by or to the Member States for the purposes of criminal investigations, intelligence analysis, etc. The Agency for operational management of large scale IT systems in the field of freedom, security and justice, on the other hand, is specialised in operating and developing IT systems or any other form of information exchange platform without touching the data that passes through the systems under its responsibility. In addition to matters relating to the participation of EUROPOL in SIS II and VIS, the Agency could envisage cooperation with a view to providing EUROPOL with IT expertise and a framework for managing platforms for information exchange.

- **FRA**

The IT systems operated by the Agency for operational management of large scale IT systems may generate human rights concerns, ranging from data protection to restrictions on freedom of movement. The Agency will keep FRA informed of its activities, the legal regime applicable to the systems under its management, the responsibilities of the Member States with respect to data processing and the technical constraints inherent in these IT systems.

- **FRONTEX**

One priority area to clarify with FRONTEX (and also with CEPOL) will be the training related to technical use of SIS II provided by the Agency for operational management of large scale IT systems for Schengen evaluators and lead experts. The Agency intends to explore the possibility of concluding a memorandum of understanding with the agencies concerned including FRONTEX on this and other matters. Other suggestions for areas where the Agency could provide support to FRONTEX would be for researching, testing and developing IT systems for assisting FRONTEX in its activities. For more substantial tasks of this nature with resource and budget implications, it would be necessary to adopt legal provisions conferring these tasks to the Agency.

### **European Information Exchange Model**

The establishing Regulation provides that "the Agency should follow European and international standards taking into account the highest professional requirements, in particular the European Union Information Management Strategy" (Recital 22). The EU Information Management Strategy<sup>39</sup> (IMS) provides a methodology to ensure that decisions about the need for managing and exchanging data and decisions about the ways to do so are taken into account in a coherent, professional, efficient and cost-effective way, accountable and comprehensible to citizens and professional users. In this context the Commission will present a Communication on the European Information Exchange Model (EIXM) in December 2012. Taking full account of the IMS, the EIXM aims to achieve better coherence and consolidation in the area of information exchange for law-enforcement cooperation<sup>40</sup>. The Agency will continue to follow up developments with the EIXM with a view to defining the possibilities for future cooperation once the EIXM policy has been endorsed at political level.

*See also specific objective GC2 in point 2.7.3.*

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<sup>39</sup> The IMS was adopted by JHA Council on 30.11.2009 (see doc. 16637/09 JAI 873).

<sup>40</sup> The first step of EIXM carried out in 2010/2011 consisted of a mapping exercise on the four areas of legislation, communication, information flows and technology.

#### *2.6.5. Training for national authorities on the technical use of the IT systems*

**The Agency will provide training on the technical use of SIS II, VIS and EURODAC to the national authorities participating in these systems. It will also provide training for SIRENE-staff (SIRENE- Supplementary Information Request at the National Entries) and training of experts on the technical aspects of SIS II in the framework of the Schengen evaluation.**

The Agency will be responsible for providing training on the technical use of SIS II, VIS and EURODAC to the national authorities participating in these systems, as laid down in the founding Regulation and the specific legal bases for the IT systems under its management.

This will also include training for SIRENE-staff (SIRENE- Supplementary Information Request at the National Entries) and training of experts on the technical aspects of SIS II in the framework of the Schengen evaluation.

The Agency's programme of training activities for SIRENE staff in the Member States in 2013, will take account of discussions held in the course of 2012 to clarify the respective roles of the Agency, CEPOL and Member States in this area.

In concrete terms the Agency will sign a memorandum of understanding with CEPOL and agree on the inclusion in CEPOL's training curricula for law enforcement authorities of the relevant SIRENE and SIS II training. The memorandum should also cover division of responsibility between the agencies.

It is envisaged that training of Member States authorities on SIS II will commence once the operational manuals for these systems have been validated. At this stage, subject to the completion of the above-mentioned discussions with CEPOL, it is envisaged that training by the Agency will focus on training visits to the technical site for the national authorities participating in these systems, in order to foster knowledge transfer. Training sessions would be held in small groups with a demonstration of the relevant system and a detailed explanation of the operational manual.

Similarly, the Agency's programming for training for Schengen evaluation team members and lead experts in technical aspects of SIS II will take account of discussions held in 2012 to clarify the respective roles of the Agency, CEPOL and FRONTEX. A key objective of these discussions will be to examine the roles assigned to each agency for this specific objective in their respective legal bases and to achieve complementarity by ensuring that each Agency offers a different portfolio of training activities, which when combined cover all aspects of the Schengen Evaluation process.

The future Regulation on the establishment of an evaluation and monitoring mechanism to verify the application of the Schengen Acquis, currently in negotiation in the European Parliament and Council, is also likely to have an impact on future programming of training in this area.

With respect to VIS and EURODAC, the Agency will also need to coordinate development of curricula with national authorities and establish a training delivery plan in cooperation with these authorities.

*See also specific operational objectives GC 9-11 in point 0 & cooperation with other EU Agencies (point 0).*

*Training for the Agency's staff is covered in point 0.*



#### 2.6.6. *Monitoring of research and technology watch*

The Agency, in cooperation with the Member States, is required to ensure, that at all times the best available technology, subject to a cost-benefit analysis, is used for all applications under its management, including the IT systems, software for administration and the networks. It will also apply the same principles for its own internal systems. This priority is reflected in strategic goals N° 2 "Moving towards becoming a centre of excellence" and N° 4 "Optimising cost-effectiveness".

**The Agency will put in place structures, resources, information tools, procedures and methodologies for technology watch (including monitoring of research) to enable it to take maximum advantage from new technological developments relevant to its activities. This will include the monitoring of research. The putting in place of Enterprise governance of ICT referred to earlier, will ensure that the fruits of this work are geared towards delivering business value. The advisory groups will play a crucial role in this work.**

#### **Monitoring of Research**

The Agency will monitor the developments in research relevant for the operational management of SIS II, VIS, EURODAC and other large-scale IT systems. Specific priorities will be defined at a later stage, taking account of the opinions of the Advisory Groups.

The Agency will keep the European Parliament, the Council, the Commission and the European Data Protection Supervisor (where data protection issues are concerned) informed of developments at least twice a year.

#### **Technology watch**

This work will consist of monitoring new technological breakthroughs, innovative techniques and processes, standards, legislation, security issues and solutions relevant to the operation, management and future development of the IT systems in the field of justice, freedom and security, including impending changes in the operational sectors that these IT systems aim to support. It will also entail following-up developments in new equipment and software, with a view to ensuring efficient procurement. The Advisory Groups will also make an important contribution by providing advice on matters relevant to specific systems and areas that should be earmarked for pro-active monitoring. The Agency will build up on the contacts already started in 2012, with a view to ensuring effective networking, cooperation and exchange of good practice with other agencies and authorities operating in related fields.

A few examples of areas to examine under both this heading and monitoring of research would be biometrics, including functionalities for biometrics search, technological advances that will increase the performance, reliability and flexibility of systems, such as virtualisation and new trends in higher performance database design and querying, technologies and applications enabling more effective treatment of identity, including fuzzy logic and technologies and applications to facilitate interconnectivity.

*See also specific operational objectives MAN1 (Implementation of Enterprise Governance of ICT and other standards, point 0), GC1 (technology watch, point 0) and AS6 (Monitoring of research, point 0).*

### 2.6.7. Communication

The Agency will organise communication activities on its own initiative in the fields within its tasks including the establishment of its own web site. It will also be involved in preparations for the SIS II campaign scheduled for the first quarter of 2013 and the organisation of repeat campaigns where required. The Agency is also required by the legal bases of the IT systems under its responsibility to take care of the publication of certain types of information, including lists of national authorities which have the right to access or use data in the IT systems managed by the Agency and updates to such lists.

*See also specific operational objectives GC5-6 in point 0.*

### 2.6.8. Financial management, infrastructures, logistics and administrative tasks

**The Agency will consolidate its financial teams and procedures, with a view to obtaining financial independence during the year. It will also be responsible for ongoing building management and logistics tasks, progressively putting in place in-house arrangements to replace the service level agreements with central Commission services. In parallel, it will make sure that all work related to the future premises in Tallinn and the upgrade of the technical site at Strasbourg remain fully on track. See also point 0 for further information, including consultation of the Management board on financial matters.**

#### **Financial management**

The Agency will deal with a wide range of procurement procedures, including procedures for upgrading buildings and facilities, procurement of equipment and furnishings and specialised procurement related to the IT systems under its management. The Agency will consolidate its financial procedures and teams and ensure that staff are fully trained in this area in 2013, with a view to seeking financial independence. It will strive to obtain good value for money in all areas of financial management and regularly review the scope for improving cost effectiveness of its operations.

*Further information on detailed operational objectives is given in point 0.*

#### **Administrative and logistical tasks**

At present many of the basic administrative and logistical tasks related to the Agency and its personnel are carried out under the terms of the various service level agreements between the Agency and Commission Services and/or EU bodies. From 2013 onwards, the Agency will progressively move towards setting up its own in-house services, or outsourcing services under its own responsibility, for many of the items covered by these initial SLAs. One major priority for the Agency itself early in 2013 will be its involvement in the procedures for completion of the first wave of recruitment.

*Further information on detailed operational objectives is given in AS7 (logistics and building management) and AS 8-9 (human resources) in point 0.*

## Preparation and management of premises and sites

The following activities are foreseen in 2013:

- **Headquarters building in Tallinn, Estonia:** The Agency is situated in temporary premises since June 2012. The Agency will supervise the preparatory work related to the permanent premises to be provided by Estonia for the Agency headquarters, ensuring that construction work remains on schedule for meeting the target of having the building available in 2014.
- **Preparations for the technical site in Strasbourg:** priority works necessary for the entry into operations of the Agency (identified in a study carried out by an external contractor in 2012) are due to be implemented by December 2012 at the latest. Further reconversion works may be necessary in the course of 2013. One key priority will be to ensure timely readiness of infrastructures related to SIS II. The Agency will also carry out further analysis of the implications for the site of developing future systems, taking account of the existing study.
- Further reconversion works may also be necessary in the course of 2013.
- **Infrastructure management on the back up site:** Work in 2013 will consist essentially of routine infrastructure management and maintenance.

*Detailed operational objectives are given under AS7 (logistics and building management) in point 0.*

### 2.6.9. Management Board and Advisory Groups

#### Management Board

In the area of governance, the core objective will be to continue to ensure that the Agency performs the tasks set out in its establishing Regulation in the most cost-effective way, taking account of medium-term strategic goals. As in 2012, the staff of Agency will provide continuous support to the Management Board in carrying out its mandate. This includes ongoing contact with the Board members, organisation of the statutory meetings and preparation of the documents to support its work. The Executive Director shall participate in the meetings of the Management Board without voting rights. The Management Board will meet a minimum of once every six months.

In addition to the approval of standard documents in the annual budgetary and planning lifecycle such as the budget and draft budget (estimates) for 2014, the Annual Activity Report for 2012 and the draft Annual Work Programme for 2014, important matters to be decided on by the Management Board in 2013 will include matters related to the preparations for the permanent premises in Tallinn and implementation of the works on the technical site in Strasbourg. The Management Board will also have to endorse decisions related to the removal of EURODAC.

#### Advisory Groups

The staff of the Agency will also provide full support to the work of the Advisory Groups. The Executive Director or his/her representative will be entitled to attend all meetings of these groups as observers.

There will initially be three configurations of the Advisory groups (SIS II, VIS and EURODAC). These groups are due to meet every 1-2 months in 2013. The procedures for their cooperation and their operation shall be laid down in the Agency's rules of procedure.

The main role of these groups will be to provide the Management Board with expertise relating to large-scale IT systems and, in particular, in the context of the preparation of the annual work programme and the annual activity report. They will also provide recommendations related to security measures and an opinion on multi-annual work programmes. Members of these groups may also be called upon to assist members of the Management Board. Other tasks of the Advisory Groups could include providing information technology expertise to the Management Board on the systems, preparing technical specifications of a descriptive nature which do not impose normative provisions on the Member States and the Commission, providing input on the draft reports on the technical functioning of the systems, on the training of experts, on the orientation for monitoring of research, on statistics on the systems and on any other matter strictly related to the development or operational management of the systems. The specific priorities will be fixed by each group. In particular, their work will take account of operational priorities for the relevant system.

Priorities for these groups for 2013 include ensuring the ability of VIS to meet the technical requirements of future world-wide roll-out, follow-up of the entry into operations of SIS II, the growth in use of this system, technical matters relating to the relocation of EURODAC from Luxembourg to Strasbourg and Sankt Johann im Pongau and the adaptation of EURODAC to take account of the future Recast Regulation. A further priority for all of the groups will be the technical preparations for the accession of new Member States, in particular Croatia to these IT systems, preparations for ensuring technical readiness of Cyprus to join SIS II and VIS (as mentioned above, the necessary conditions for the application of all parts of the Schengen acquis, as provided for in the Act of Accession of 2003 need to be met in order for Cyprus to actually join the Schengen area) and the integration of countries such as the UK and Ireland into SIS II.

*Detailed operational objectives related to administrative support for the Management Board and the advisory groups is given under ASI0-11 in point 0.*

## **2.7. Specific operational objectives and performance indicators**

### **Contents:**

#### **2.7.1 Objectives to be steered at Agency level (with input from the Executive Director)**

#### **2.7.2 Application Management and Maintenance**

*(Operational management of SIS II, VIS and EURODAC and preparations for new IT systems)*

#### **2.7.3 General Coordination**

*(Technology watch, inter-agency cooperation, data protection, legal advice, internal and external communication, training for agency staff and training for MS, SIRENE operators and Schengen evaluators)*

#### **2.7.4 Internal Audit**

#### **2.7.5 Operational matters and Infrastructure**

*(Systems management, network, helpdesk, monitoring the functioning of the systems)*

#### **2.7.6 Resources and administrative matters**

*(Monitoring, reporting, information for the Commission, the EP, EDPS and the MS, statistics, Monitoring of research, logistics and building management, human resources, administrative support to the management board and the advisory groups)*

#### **2.7.7 Procurement and Contracts**

#### **2.7.8 Security**

2.7.1. Objectives to be steered at Agency level (with direct input from the Executive Director)

Goal/ Obj N°	Objective	Outputs & performance indicator	
		Output	Performance indicator
MAN1	<p>1.1 Prepare action plan for implementing Enterprise governance of IT.</p> <p>1.2 The action plan in 1.1 above should also include work to implementing the essential maturity levels of the COBIT framework for IT governance in 2013.</p> <p>1.3 Plan ahead with a view to future implementation of ISO 9001.</p>	<p>1.1-1.1.2 Action plan prepared Start implementing action plan.</p> <p>1.3 Action plan in place with a view to medium-term implementation of this standard</p>	<p>1.1-1.2 Action plan prepared and work on track with action plan.</p> <p>1.3 Action plan prepared.</p>
MAN2	<p>Define, in consultation of the Commission, and approve Service Level Agreements (one for each IT system, one for the the communication infrastructure and one for security), laying down the level of service that the Agency will guarantee to the users of the systems (Member States). These will contain detailed performance indicators.</p> <p>These agreements will guarantee a service level across the board equivalent to or surpassing the arrangements in place with other operators prior to take-over of these tasks by the Agency<sup>41</sup>.</p>	<p>Management Board to approve detailed indicators by end Q1 2013</p>	<p>Timeliness and quality. The indicators must respect at least the same level of service in place for each deliverable, prior to take-over by the Agency</p>
MAN3	<p>Ensure that an adequate management structure is put in place to allow the Agency to fulfil security requirements.</p>	<p>3.1 Put in place a specific security unit.</p> <p>3.2 Ensure that any significant security issues are escalated to higher levels.</p> <p>3.3 Management Board to ensure timely adoption of key security deliverables required by the legal bases</p> <p>3.4 Management Board to ensure adequate follow-up to audit recommendations and EDPS reports and/or audits.</p>	<p>3.1 Security unit put in place</p> <p>3.2 Procedures communicated to all staff</p> <p>3.3 All deliverables required by legal bases adopted. Timeliness of adoption.</p> <p>3.4 Action plans put in place for all recommendations.</p>

<sup>41</sup> With respect to VIS, EURODAC, the communication infrastructure and security, the Agency will have to maintain the level of service that was in force prior to its take-over of the systems. It will also guarantee an equivalent service level for SIS II.

2.7.2. Application Management and Maintenance

	Objective	Outputs & performance indicator	
		Output	Performance indicator
AM1	<b>Operational management of SIS II,</b>	<p>1.1 All necessary tasks to ensure 24/7 functioning of the Central SIS II in accordance with the legal bases for this system. In particular the maintenance &amp; technical developments necessary for the smooth running of the system and the monitoring of the technical performance of the system.</p> <p>1.2 The specific objectives and indicators in the SLA should also cover product management objectives (e.g. requirements managements system to capture stakeholder requirements, product roadmap with new versions and releases and ensuring stakeholder satisfaction with the functionality of the SIS II application).</p> <p>1.3 Supervise &amp; monitor work under the contract for maintenance of SIS II after final system acceptance.</p>	<p>1.1-1.2 Specific indicators will be contained in the service level agreements developed under objective MAN2 above.</p> <p>1.3 Achievement of the milestones to be agreed with MS in the framework of the contract for maintenance of SIS II after final system acceptance.</p>
AM2	<b>Operational management of VIS</b>	<p>2.1 Operational Management All necessary tasks to ensure 24/7 functioning of the Central VIS in accordance with the legal bases for VIS. In particular the maintenance &amp; technical developments necessary for the smooth running of the system. This will also include the the monitoring of the technical performance of the system.</p> <p>2.2 Maintain and keep up-to – date:</p> <ul style="list-style-type: none"> <li>• The configuration management database</li> <li>• The Trouble Shooting Guide</li> <li>• The Knowledge Database</li> <li>• An exhaustive list of FAQs for users.</li> </ul> <p>2.3</p> <ul style="list-style-type: none"> <li>• Supervise &amp; monitor maintenance work under the VIS MWO contract.</li> <li>• Take over responsibility for monitoring work under this contract to upgrade the VIS, </li></ul> <p><b>2.4 VISMAIL2</b></p>	<p>2.1-2.2 Specific indicators will be contained in the service level agreements developed under objective MAN2 above.</p> <p>2.3 Achievement of the milestones agreed with MS in the framework of the MWO contract and the extension.</p> <p>2.4 VISMAIL2 Successful completion of testing on schedule</p>

		<ul style="list-style-type: none"> <li>Complete the tests on schedule. <i>See Security heading for security deliverables related to this system</i></li> </ul>	
AM3	<b>Operational management of EURODAC</b>	<p>All necessary tasks to ensure 24/7 functioning of the Central EURODAC in accordance with the legal bases for this system. In particular the maintenance &amp; technical developments necessary for the smooth running of the system.</p> <p>This will include work for monitoring technical performance of the system.</p>	<p>Specific indicators will be contained in the service level agreements developed under objective MAN2 above.</p> <p><i>See Security sector for security deliverables related to this system.</i></p>
AM4	<b>New IT Systems</b> Estimates and plans related to the possible future take-over of new systems, in particular, Entry Exit and RTP.	<p>Estimates of possible organisational, resource &amp; financial implications of involvement by the Agency in future programming periods in preparation for the possible adoption of legal bases for these future systems (taking account of the financial fiches in the legal proposals).</p>	<p>Indicative plan addressing organisational and resources issues (financial and human resources) related to the possible take over of these systems.</p>

### 2.7.3. General Coordination

	Objective	Outputs & performance indicator	
		Output	Performance indicator
<b>GC1</b>	Technology watch	Put in place practical systems/teams, for technology watch in accordance with the governance models and methodologies put in place at organisational level and ensure that the results of technology watch feeds into other Agency processes.	<ul style="list-style-type: none"> <li>Organisation/Team in place and first concrete proposals/suggestions for technologies that could realistically be used to improve the Agency's operations the systems under its management.</li> </ul>
<b>GC2</b>	Inter-agency cooperation	Prepare Action plan for cooperation with other Agencies, setting out possible themes of cooperation & channels for agreeing on concrete cooperation measures. Work will build on discussions held in 2012. The final goal will be to agree on a clear set of cooperation objectives/deliverables for each network & implement these.	<p>1.1 Action plan drafted</p> <p>1.2 Work stays on track with action plan</p>

<b>GC3</b>	Put in place the necessary procedures and processes to ensure the highest level of data protection with regard to the Agency's administrative operations and with respect to the information systems under its management and to ensure their full implementation.	3.1. Put in place procedures 3.2. Spot checks on functioning	All necessary procedures in place Draft action plan addressing any weaknesses identified. No serious weaknesses identified in spot checks or in the framework of audits.
<b>GC4</b>	Legal advice: Establish a framework to provide legal advice where necessary for the internal operations of the Agency and to defend its position vis-à-vis the exterior (eg for legal matters related to tender procedures).	4.1. Establish framework and procedures 4.2. Legal advice provided in time for internal decision-making 4.3. Timely legal advice with regard to the Agency's position in any possible litigation	Timeliness and quality of advice
<b>GC5</b>	Internal communication: To promote the mission, values and culture of the Agency to its staff members through the drafting and dissemination of communication tools, internal awareness raising events and other best practices;	5.1. Tailored intranet site for Agency Staff 5.2. Informal internal awareness raising activities and events 5.3. Awareness raising about the priority of achieving technical & organisational excellence as cost-effectively as possible.	5.1 weekly updates 5.2 1 awareness raising activity per month  5.3 twice per year (via intranet and/or internal meetings).
<b>GC6</b>	External communication: To promote the Agency and the systems that it operates and to fulfil the communications requirements laid down in the founding Regulation and the legal bases of the IT systems managed by the Agency	6.1. Prepare a more detailed external communication strategy by the end of Q2 6.2. Finalize planning & preparations with respect to the Agency's contribution to the SIS II information campaign & implement these tasks in time for the start of operations of SIS II (it is also possible that work may start on the planning of future campaigns) 6.3. Communicating on the Agency's own initiative in fields within its tasks, including further development of and regular updates to the Agency's web site, and optimization of the site's visibility. 6.4. Develop a network of media contacts, build sound relations with these contacts, provide media-friendly, information (clearly defined messages), assess the impact	<ul style="list-style-type: none"> <li>• Timely finalization of strategy and information materials</li> <li>• Progressive increase in the number of hits on the Agency's web site throughout the year</li> <li>• Satisfaction of users and stakeholders (annual web site survey, survey after each campaign)</li> <li>• Quality and quantity of press coverage on major developments related to the Agency.</li> <li>• Timely fulfilment of publication requirements under the legal bases (annual report for the Agency, lists of national authorities and annual updates thereto and other reporting obligations)</li> </ul>



		<p>by monitoring &amp; press reviews &amp; organise media training for Agency staff</p> <p>6.5. Possible organisation or involvement in subsequent campaigns for VIS, should these be required</p> <p>6.6 Fulfilment of all publication requirements laid down in the legal bases, in particular:</p> <p>6.7 Publication of the Annual Work Programme for 2014 and the annual activity report for 2012</p> <p>6.8 Annual publication of lists of national authorities authorized to use or search data in the IT systems under its management (SIS II, VIS, EURODAC), as defined in the legal bases for these systems.</p>	
GC7	General Training for Agency staff	<p>7.1 General Training</p> <p>1. Welcome pack training (2 sessions in 2013)</p> <p>2. Administrative Welcome pack training (2 sessions in 2013)</p> <p>3. Team building events and presentations:</p> <p>i) in-house team building seminars ii) lunch time/breakfast presentations with possible VC link between sites, iii) away day</p> <p>Team building activities will take full account of budget constraints, with emphasis on low-budget in-house solutions.</p>	<p>90% of Agency staff attending at least 2 team building events in the year</p> <p>100% of staff in departments extending across both sites to attend at least 2 team building activities in the year.</p>
GC8	Technical Training for Agency Staff.	<p>Technical training for the Agency's own technical staff</p> <p>8.1 Agency IT Welcome Pack Training: 1 week course for new technical recruits with (aspects common to all of the systems).</p> <p>8.2 Specific technical upgrade training<sup>42</sup></p> <p>8.3 Business and operational</p>	<p>General:</p> <ul style="list-style-type: none"> <li>- 100% of staff have attended the compulsory courses listed in their training plan.</li> <li>- Trainee satisfaction (=&gt;At least 3 on a scale of 1 to 5 )</li> </ul>

<sup>42</sup> For example, on subjects such as Oracle, Weblogic and/or specific hardware), taking account of the specific tasks of personnel & their existing level of knowledge.

		training: training related to the business & operational functions of the specific system that staff will operate/manage <sup>43</sup>	
GC9	Training for <b>national authorities</b> on IT systems managed by the Agency	At least 2 courses on each system in 2013	Trainee satisfaction (=>At least 3 on a scale of 1 to 5
GC10	Training for SIRENE operators	4 Courses in 2013 Precise activities will depend on the outcome of discussions with CEPOL	Trainee satisfaction (=>At least 3 on a scale of 1 to 5
GC 11	Training of Schengen evaluation team members and lead experts	1-2 courses in 2013 depending on requirements of experts Precise activities will depend on the outcome of discussions with FRONTEX and CEPOL	Trainee satisfaction (=>At least 3 on a scale of 1 to 5

#### 2.7.4. Internal Audit

Goal / Obj N°	Objective	Outputs & performance indicator	
		Output	Performance indicator
IA1	To audit the internal control system put in place, in order to assess its effectiveness and, more generally the performance of the units in implementing the Agency's projects, actions and services, with a view to bringing about continuous improvement.	Set up the necessary organisation and define a three year audit plan	Organisation in place and audit plan ready for early Q4.

#### 2.7.5. Operational matters and Infrastructure

Goal/ Obj N°	Objective	Outputs & performance indicator	
		Output	Performance indicator
OPU1	Systems management: (dealing with operating systems, upgrades, oracle and off the shelf products, etc)	1.1 Change management efficiency  1.2 Configuration management efficiency	Specific indicators will be contained in the service level agreements developed under objective MAN2 above.

<sup>43</sup> For example, how visas are processed, the business environment for EURODAC and how to resolve incidents. For VIS and SISII, this training will be delivered based on the material delivered by the main development contractor during the VIS/BMS and SISII Transition plans (mainly operational procedures describing large-scale or daily operational scenarios).

OPU2	<p>Network:</p> <p>2.1 Supervise the network &amp; coordinate relations between the Member States &amp; the network provider for SIS II, VIS &amp; EURODAC &amp; ensure security of the communication infrastructure for VIS &amp; EURODAC (<i>security of the communication infrastructure for SIS II remains under the Commission's responsibility</i>).</p> <p>2.2 Ensure that the measures &amp; precautions applicable to any network tasks entrusted to external private sector bodies are fully respected.</p>	<p>2.1 Ensure adequate availability of the sTESTA Network (as defined in the following network indicators for the network for SIS II, VIS and EURODAC)</p> <p>2.1.1 Site availability (availability of the TAP measured by the SLA monitoring device, between the TAP and a defined reference site (CU and BCU)).</p> <p>2.1.2 Throughput availability (to show the % of the bandwidth available compared with the target bandwidth)</p> <p>2.1.3 95 Percentile Network Round Trip Delay (between two sites compared to the target level 95-percentile round trip delay)</p> <p>2.1.4 95 Percentile Network Packet Loss ratio between two sites compared to the target 95-percentile packet loss ratio</p> <p>2.2 Validate the external contractors' operational procedures and their conformity with related provisions in the contracts</p> <p>2.3 Preparation and implementation of network migration for for VIS, SIS II and EURODAC in the areas of competence of the Agency (supervision, security and management of relations between the Member States and the new network provider).</p> <p><i>Additional indicators for this objective may be added to the final service level agreement.</i></p>	<p>2.1-2 Specific indicators will be contained in the service level agreements developed under objective MAN2 above.</p> <p>2.3 Timeliness of preparations</p>
OPU3	Helpdesk	<p>3.1. Service desk team availability</p> <p>3.2. Availability of issue tracking system (Service Level Management Tool)</p> <p>3.3. Availability of service</p>	Specific indicators will be contained in the service level agreements developed under objective MAN2 above.

		Catalogue (exhaustive list of all services to be rendered by the Agency to the Member States).	
OPU 4	To monitor the technical functioning of the IT Systems under its management & gather all technical data needed to meet its reporting, statistics and monitoring obligations.	Statistics and information on the functioning of these systems as foreseen in the legal bases. Further information is given in point 4.4.7.	Quality and timeliness of deliverables

#### 2.7.6. Resources and Administrative Matters

	Objective	Outputs & performance indicator	
		Output	Performance indicator
	<b>Research, statistics and reporting</b>		
<b>AS1</b>	<b>Monitoring:</b> 1. Finalize preparations for the monitoring procedures for SIS II 2. Monitoring for SIS II, VIS and EURODAC	1. Finalize procedures by March 2013  2. Implement monitoring	1. Quality and timeliness of procedures 2. Quality and timeliness of monitoring
<b>AS2</b>	<b>Reporting:</b> Adoption of the Annual Activity report for the Agency for 2012 and submission to the EP, the Council, the Commission and the Court of Auditors	15 June 2013	2. Quality and timeliness
<b>AS3</b>	<b>Reporting</b> Fulfilment of all reporting obligations laid down in the establishing Regulation and legal bases for the IT systems under the Agency's management such as : 1. Annual report on the activities of the Central Unit of EURODAC 2. Report on the technical functioning including the security of VIS two years after it was brought into operation (& every 2 years thereafter) and submit it to the EP, the Council and the Commission <i>A similar report will also be required for SIS II, 2 years after entry into operation.</i>	Draft reports referred to in the legal bases.	All reporting obligations fulfilled according to the defined deadlines or legal obligations.

AS4	<p>Information for the Commission, the Parliament, EDPS and the MS</p> <ol style="list-style-type: none"> <li>1. Provide the Commission with the information necessary to produce the regular evaluation of VIS, EURODAC and SIS II</li> <li>2. Inform the EP and Council of the measures to ensure the security of data use in the VIS<sup>44</sup></li> </ol> <p>Once the Agency's own security plans are available.</p>	Provide adequate information as required	Submit reports/information on time
AS5	<p><b>Statistics</b></p> <ol style="list-style-type: none"> <li>1. Finalize the work to ensure that MS have implemented statistics gathering mechanisms, including common counting rules, in order to be able to fulfil reporting obligations from day one of SIS II operations &amp; as from that time publish statistics related to SIS II pursuant to the SIS II basic instruments</li> <li>2. Provide statistics on the IT systems as laid down in the Establishment Regulation and legal bases for the IT systems under the Agency's management</li> </ol>	<ol style="list-style-type: none"> <li>5.1 Put in place effective statistics gathering and reporting procedures for SIS II by March 2013.</li> <li>5.2 Provision of all statistics <ul style="list-style-type: none"> <li>- Statistics on SIS II as from March 2013</li> <li>- Statistics on VIS as from the beginning of 2013<sup>38</sup></li> <li>- Quarterly statistics, annual statistical compilations on the work of the Central Unit of EURODAC and any other statistics that may be required on EURODAC</li> </ul> </li> </ol>	<ol style="list-style-type: none"> <li>5.1 Timeliness and conformity with legal obligations</li> <li>5.2 Timeliness and quality of statistics.</li> </ol>
AS6	<p><b>Monitoring of research</b></p> <ol style="list-style-type: none"> <li>1. Set up adequate structures to ensure effective <b>monitoring of research</b></li> <li>2. Monitor the developments in research relevant for the operational management of SIS II, VIS, EURODAC and other large-scale IT systems.</li> <li>3. Keep the European Parliament, the Council, the Commission and the European Data Protection Supervisor informed on a regular basis of developments related to the monitoring of research.</li> </ol>	<ol style="list-style-type: none"> <li>1. Discussion of action plans for each sector (system) in the advisory groups in Q1 2013. These will also describe the appropriate media/frequency for reporting obligations under point 3 below.</li> <li>2. Regular monitoring of developments, Communication of information internally and to stakeholders by an appropriate medium.</li> <li>3. Report via the appropriate channels.</li> </ol>	1-3. Timely implementation of action plan.

<sup>44</sup> In May 2010, the Commission adopted a Decision on a Security Plan for VIS, implementing the security provisions of the VIS basic instruments. This Decision entered into force when VIS went live and will remain in force until the Agency, which will have its own security plans, takes up its responsibilities.

AS7	<b>Logistics and building management</b> To provide services in the field of building management, facility management and logistics on all Agency sites;	1.1 Ongoing tasks related to infrastructure management of the temporary HQ premises in Tallinn. 1.2 Ensure that the work to make available new HQ premises Tallinn remains on schedule 1.3 Follow up re-conversion and construction work by the contractor to further upgrade the Strasbourg site 1.4 ensure readiness of infrastructures related to SIS II. 1.5 Ongoing tasks related to infrastructure management for the St Johann im Pongau site 1.6 Uninterrupted routine operation of logistical services;	1.1, 1.5, 1.6: Annual survey. User satisfaction at least 75%.  1.2 All works scheduled for 2013 completed on time 1.3 Establishment by mid Q2 of a detailed work programme for the years 2014-2017 & work remains on track with this. 1.4 Infrastructures for SIS II to be ready before March 2013  1.5 & 1.6 (see 1.1)
AS8	<b>HR:</b> To develop the Agency's competency framework (recruitment needs, organisational needs, staff development needs).	Competency framework in place.	Recruitment, selection and staff development processes based on competency framework.
AS9	<b>HR:</b> To recruit and replace staff in relation to the establishment plan and ED decisions;	Ensure that work to recruit the 120 members of staff is completed as soon as possible in 2013 Replacement of SNEs and Agency staff, according to requirements, timely placement of newly selected staff;	Posts filled within 16 weeks from publication.
AS10	Administrative support to the Management board	Organisation of at least 4 meetings (coordination of logistical arrangements, coordination of agenda and documentation & participation of ED in the meeting).	Quality and timeliness of deliverables (in particular, documents available in advance of meetings, according to the terms of the operational procedures)
AS11	Administrative support to the Advisory Groups	Agency to ensure secretariat.	Quality and timeliness of deliverables

### 2.7.8. Procurement and Contracts

Goal	Objective	Outputs & performance indicator	
		Output	Performance indicator
PC1	1.1-1.2 Further consolidate and re-enforce financial and procurement procedures,	1.1 Consolidate procedures & inform relevant staff This includes putting in place	1.1 Increased number of trained staff. 1.2 increased number of

	including ex ante controls. 1.3. To provide proficient advice on procurement procedures to other units of the Agency and to potential contractors and suppliers.	structures for the preparation and implementation of tender procedures and for the possible consultation of Member State experts on a case-by-case basis for technical expertise. for evaluation procedures and the definition of technical aspects related to tender documents. 1.2 Coordination of all phases of the contracting procedure & provision of feedback on scope for improvement. 1.3 Provision of advice and in house training.	procurement procedures completed in time 1.3 User satisfaction (via annual survey, result $\geq 75\%$ ).
<b>PC2</b>	To process all invoices/ requests for re-imburements within the time limits set.	2.1 Timely payments 2.2 Periodical analysis of delays and analysis thereof	2.1. Less than 15% of transactions not paid within the regulatory limits. 2.2 Analysis leads to concrete objectives for improvement
<b>PC3</b>	To maintain and further develop tailored financial information for Agency management.	3.1 monthly budget implementation reports 3.2 monthly overviews of payments	3. Timeliness of monthly reports and overviews and level of user satisfaction (annual survey. User satisfaction $\geq 75\%$ )
<b>PC4</b>	To contribute to the development, streamlining and implementation of the Agency's procurement policies, whilst ensuring full respect of EU legislation and guidelines.	Periodic internal reviews of procedures, taking account of input from users, ex ante and any changes in central procedures (at least once per year, with a view to proposing action plans for making improvements).	Carry out periodic review (before end of 2013) and implement changes in line & on schedule with action plan.
<b>PC5</b>	Fine tuning and validation of the Agency's accounting system, including local financial management systems	5.1 Agency Accounting system is devised and validated. 5.2 Introductions and modifications to the system are made after consultation of authorizing officers and validation by the Accounting officer.	Positive external validation
<b>PC6</b>	To keep and present the accounts in accordance with Title VII of the Financial Regulation	6.1. The accounts comply with the rules, are accurate and comprehensive and present a true and fair view of the Agency's' assets and liabilities, the financial situation and the outturn of the financial year; 6.2. The revenue ledger and general ledger system are maintained and contain updated data; 6.3. The management of the	6.1-2 Accounts respect all provisions of the Financial Regulation  6.3. Timeliness of reports provided 6.3 & 6.6 Monthly meetings with authorizing officers

		<p>Agency is provided regularly with information on transactions they have entered and validated in the central accounting system ABAC/SAP);</p> <p>6.4. The treasury management and assets register are regularly reconciled and in case of any discrepancies, relevant parties informed properly thereof;</p> <p>6.5. Regular monitoring of the regularization of non budget operations is ensured;</p> <p>6.6. Interface with authorizing officers on accounting matters;</p> <p>6.7. Implementing the accounting rules and methods and the chart of accounts in accordance with the provisions adopted by the European Commission's Accounting Officer;</p>	<p>6.5. Decreased numbers of discrepancies</p> <p>6.6 Monthly Meetings with authorizing officers</p> <p>6.7 No significant negative observations</p>
PC7	To implement all internal control standards within the organisation, to perform periodic reviews and to ensure that staff are informed of these standards and any related procedures.	<p>Put in place an action plan for implementing all standards within the Agency.</p> <p>Standards related to financial management should be implemented as early as possible.</p> <p>With regard to risk analysis, due to the nature of the IT systems under its management, the Agency is expected to rapidly surpass baseline standards in this area.</p> <p>2 reviews per year.</p> <p>Publish summary of standards on the intranet &amp; refer to these in induction training for staff.</p>	<p>Number of fully implemented standards Target: 100% compliance.</p> <p>Should there be, due to exceptional circumstances, a small number of standards which are not fully implemented, clear action plans must be put in place to remedy the situation as soon as possible after the end of the year.</p>
PC8	To implement payments, collect revenue, follow-up to notes, VAT and recovery orders	Rigorous treasury policy implemented.	The funds on bank accounts correspond to the actual needs of the Agency
PC9	<b>To demonstrate the ability to assume full financial independence.</b>	Implementation of the essential elements of objectives 1-4 (1.1-1.3 2.1-2.2, 3.1-3.2, 5, 6, 7 & 8 in 2013.	<p>9.1 All financial staff recruited and 90% of these have received full financial training.</p> <p>9.2 Satisfactory coordination (including ex ante) procedures in place 1.1-1.2 above (quality of processing of test files controlled by COM)</p>



			9.3 Outcome of an on-site check to ensure either satisfactory performance or ability to ensure satisfactory performance for indicators PC1-8.
PC 10	Prepare a procurement plan	Prepare a procurement plan Q4 2012.	Quality and timeliness

## 2.7.9. Security

Obj N° & Goal (G)	Objective	Outputs & performance indicator	
		Output	Performance indicator
SE1	<b>Security</b> To ensure that the Agency's offices operate in an adequate security environment, respecting the security plan for the Agency (and the disaster recovery plan, once it has been finalized). This will include measures to ensure that staff are fully aware of the basic security rules and procedures related to their activities and that Incidents and Irregularities are reported.	1.1 Advice / updates to other units of the Agency on security 1.2 Training for staff on security 1.3 Verify the functioning of the security procedures in practice and of the BCP plan once it has been approved. 1.4 Put in place action plans to address any issues identified.	1.1 Quality & clarity of information 1.2 All staff have participated in security training by the end of 2013 1.3 No serious negative findings
SE2.	Ensure that confidentiality and professional secrecy requirements rules for staff working with data in the systems are respected	2.1 Information/training for staff 2.2 occasional checks (at least once per year) + put in place action plans to remedy any issues identified.	2.2 No significant negative findings Other specific indicators may be added to the service level agreements developed under objective MAN2 above.
SE3	Complete work on the business continuity and disaster recovery plan for the Agency.	3.1 Finalize plan by March 2013	3.1 Timeliness of implementation
SE4	To ensure that all security aspects are taken into account in the planning and re-structuration of Agency premises	4.1 Check that premises are compliant with security standards. Put in place action plan for any issues identified.	4.1 User satisfaction No significant negative findings
SE5	Ensure that security measures & security plans for SIS II, VIS & EURODAC and for the communications networks related to these systems are fully implemented.	5.1 information, advice and training for staff on security 5.2 Regular reports on compliance with detailed service level definition + Annual checks 5.3 Annual check of the functioning of the BCP and revise if necessary	Specific indicators will be contained in the service level agreements developed under objective MAN2 above.

## Annex A – Budget

The figures below are based on the Draft Budget for the Agency for 2013 that was prepared by the Commission in its care-taker role and adopted by the Management Board. The total amount of the EU subsidy to be provided to the Agency in 2013 has been adopted by the Commission. Subsequently, it is due to be approved by the Budgetary Authority at the end of 2012, as part of the EU General Budget for 2013.

### Budget forecast – Draft Budget 2013

	Commitment appropriations (EUR)	Payment appropriations (EUR)
<b>Title 1</b>		
<b>Staff Expenditure</b>	<b>14,962,000</b>	<b>14,787,000</b>
<b>11 Salaries &amp; allowances</b>	14,262,000	14,262,000
- of which establishment plan posts	13,851,000	13,851,000
- of which external personnel	411,000	411,000
<b>12 Expenditure relating to Staff recruitment</b>	0	0
<b>13 Mission expenses</b>	300,000	225,000
<b>14 Socio-medical infrastructure</b>	0	0
<b>15 Training</b>	400,000	300,000
<b>16 External Services</b>	0	0
<b>17 Receptions and events</b>	0	0
<b>Title 2- Infrastructure and operating expenditure</b>	<b>15,138,000</b>	<b>9,920,000</b>
<b>20 Rental of buildings and associated costs</b>	5,523,000	3,645,000
<b>21 Information and communication technology</b>	0	0
<b>22 Movable property and associated costs</b>	0	0
<b>23 Current administrative expenditure</b>	0	0
<b>24 Postage / Telecommunications</b>	0	0
<b>25 Meeting expenses</b>	715,000	850,000
<b>26 Running costs in connection with operational activities</b>	8,500,000	5,100,000
<b>27 Information and publishing</b>	300,000	225,000
<b>28 studies</b>	100,000	100,000
<b>Title 3 - Operational expenditure</b>	<b>10,900,000</b>	<b>9,730,000</b>
<b>Operational cost (to be specified by chapter)</b>	10,900,000	9,730,000
<b>TOTAL EXPENDITURE</b>	<b>41,000,000</b>	<b>34,437,000</b>

Source: Draft Statement of Estimates of the Revenue and Expenditure in 2013 of the European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice

## Annex B – Overview of critical risks and mitigating measures

The Agency has developed an organisational wide, corporate risk management process. This aims to aggregate risks (including the related responses) at organisational level and integrate this process into its annual planning and reporting, in conformity with Internal Control Standard (ICS) N° 6 of the Commission<sup>45</sup>.

A risk is defined as an uncertain event or set of events that, should it materialize, would have a negative impact on the achievement of objectives set out in the annual Work Programme and the delivery of the medium-term goals of the Agency. The overview only shows critical risks.

A risk is considered as "critical" and reported in the Work Programme and Activity Report if it can:

- jeopardise the realisation of major objectives;
- cause serious damage to the Agency's partners (Commission, Member States, companies, citizens, etc.);
- result in critical intervention at political level (eg Council/Parliament) regarding the Agency's performance;
- result in the infringement of laws and regulations;
- result in material and/or financial loss;
- put the safety of the Agency's staff at risk; or
- in any way seriously damage the Agency's image and reputation ;
- even if not covered by the above categories, a risk should be also considered as critical if multiplication of its likelihood and impact indicators amounts to at least 20 (where risks are evaluated on a 1-5 scale with 5 denoting the highest - critical - level).

### (1) Overview of critical risks (threats) which could impact on the 2013 Work Programme

Ref. n°	Risk description (cause, event and effect)	Objectives concerned	Response type <sup>46</sup>	Actions
01	Risk of a delay in making available the premises of the permanent headquarters in Tallinn, coupled with problems in prolonging the arrangements for staying in the temporary premises	AS7 (impacts on all objectives)	Reduce	<ul style="list-style-type: none"> <li>• Close monitoring of the building contractor's work to ensure that the work to make available new HQ premises Tallinn remains on schedule</li> <li>• Take advantage of specialised advice from OIB (SLA) for advice on any issues that may emerge</li> <li>• Push for a legal solution for prolongation of the arrangements for the temporary premises, should this be required</li> </ul>

<sup>45</sup> See also specific objective PC7 in point 0

<sup>46</sup> Threat risk type responses are: Reduce (take actions to minimise the probability or impact; the responsibility for the risk effect(s) and response measure(s) stay with the Agency); Remove (change the scope of the business objective concerned); Transfer (a third party takes responsibility for the risk); Accept (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)

Ref. n°	Risk description (cause, event and effect)	Objectives concerned	Response type <sup>46</sup>	Actions
02	Risk of a delay in making available the premises of the technical site in Strasbourg	AS7	Reduce	<ul style="list-style-type: none"> <li>Speed-up the process of extension of the existing temporary premises (bungalow)</li> <li>Send an official letter to the French authorities to fix a clear deadline for the transfer of the existing building to the Commission. Follow this up closely to ensure that the deadline is met.</li> </ul>
03	Risk of not securing the budgetary resources in 2013 that will be necessary for ensuring the availability of the 30 extra resources needed to manage the Crypto boxes as of 2014 when the contract with OBS is over.	OPU2 (2.2)	Reduce	<ul style="list-style-type: none"> <li>Carry out a study with a view to presenting strong argumentation for the need for these extra resources.</li> <li>Increase requirements towards the new network contractor providing cryptographic equipment to deliver additional support and training to other staff.</li> </ul>
04	<p>Risk of not being able to achieve financial independence in 2013</p> <p><i>Strict conditions have been set for the transfer of financial responsibility to the Agency. These will not be compromised.</i></p> <p><i>Any delay in transferring this responsibility to the Agency will increase the complexity of implementing financial procedures, due to limitations on the resources available in the Commission. This could have wide ranging implications for all operational and logistical activities of the Agency.</i></p>	PC1-9 (impacts on most objectives)	Reduce	<ul style="list-style-type: none"> <li>Give priority to ensuring that a core number of experienced financial experts are amongst the first staff members to be recruited (see 1 above)</li> <li>Ensure that this core group of financial staff are fully trained and in place as soon as possible to take care of essential financial procedures, including ex ante and provision of internal feedback.</li> <li>Network with other Agencies to draw from their experiences and best practice in setting up their financial systems.</li> <li>Seek advice from the Commission on critical matters</li> <li>Consider the possibility of exceptional recruitment procedures for financial staff, should insufficient recruits be in place by early 2013</li> </ul>