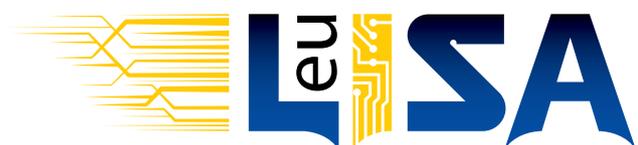


# eu-LISA Annual Activity Report

2013





# Annual Activity Report 2013

February 2014



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# Table of contents

<b>1. Introduction.....</b>	<b>5</b>
1.1 Who we are and what we do.....	5
1.2 Mission, Vision and Values .....	6
1.3 Executive Summary.....	7
1.4 Priorities for the Agency in 2013 .....	8
<b>2. eu-LISA's Activities in 2013 .....</b>	<b>9</b>
2.1 People.....	9
2.2 Systems and Networks.....	10
2.2.1 VIS/ Biometric Matching System (BMS) .....	10
2.2.2 SIS II .....	11
2.2.3 Eurodac .....	11
2.2.4 Communications Network .....	12
2.2.5 Additional tasks .....	12
2.3 Governance.....	13
2.3.1 Management Board .....	14
2.3.2 Advisory Groups .....	14
2.4 Budget .....	15
2.5 Financial Management and Procurement .....	16
2.6 Stakeholders and Partnerships .....	17
2.7 Premises .....	17
2.7.1 Tallinn, Estonia .....	17
2.7.2 Strasbourg, France .....	18
2.7.3 Sankt Johann im Pongau, Austria .....	18
<b>3. Exception Reports 2013.....</b>	<b>19</b>
<b>4. Outlook for 2014.....</b>	<b>20</b>
<b>Annex A: Declaration of Assurance .....</b>	<b>23</b>
<b>Annex B: 2013 Activity v Plan (Progress per Area) .....</b>	<b>24</b>
<b>Annex C: Exception Report .....</b>	<b>40</b>



# 1. Introduction

As outlined by Article 12(k) of the establishing regulation for the Agency, an annual activity report for the preceding year must be submitted by the Executive Director to the Management Board and adopted by the Management Board (MB) by 31 March of each year. The regulation also stipulates that the activity report must outline the results achieved by the Agency against the objectives set within the preceding annual work programme. Once reviewed and approved by the MB, the report must then be transmitted to the European Parliament, the Council, the Commission and the Court of Auditors by 15 June of the same reporting year.

## 1.1 Who we are and what we do

We are the European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice (eu-LISA), a newly established Agency (through 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, although the Regulation provided that the Agency take up its main responsibilities from 1 December 2012), responsible for the operational management of large-scale IT systems in the fields of justice and home affairs under Title V TFEU, in particular the Schengen Information system second generation ( SIS II ), the Visa Information System ( VIS ) and the Eurodac system. The seat of the Agency is based in Tallinn, Estonia whilst its operational centre is in Strasbourg, France. There is also a business continuity site for the systems under management based at Sankt Johann im Pongau, Austria. In January 2014 the total number of staff employed at the Agency was 129.

At the time of writing (January 2014), the Agency is mandated to provide operational management of SIS II (the largest information system for public security and law enforcement cooperation in Europe), VIS (a system that allows Schengen States to exchange visa data relating to applications for short-stay visas to visit, or to transit through, the Schengen area) and Eurodac (a large-scale fingerprint database that assists primarily in the processing of asylum applications). It manages these systems on behalf of its stakeholder; the European public through Member States and European institutions. In addition, the Agency is also responsible for the communication network that support the above systems and for certain tasks related to its management as well as the supervision, security and coordination of relations between the Member States and the provider (the European Commission remains responsible for a number of tasks relating to the network, in particular those tasks related to the implementation of the budget and contractual matters.<sup>(\*)</sup>). eu-LISA is the provider for the communication infrastructure for SIS II, EURODAC and VIS (the sTESTA network – to be migrated to a new network, TESTA-ng).

Additional products and services that the Agency provides include:

- Participation in preparatory processes to design, develop and implement new systems, including execution of pilot projects;
- Training: provision of bespoke system training plans for national authorities on technical use of IT systems managed by the Agency;
- Reporting and statistics: timely and accurate provision of statistics and information on the performance of the systems as foreseen in the relevant legal bases and the fulfilment of all reporting obligations laid down in the Establishing Regulation and legal bases for the IT systems under the Agency's management.

<sup>(\*)</sup>The Commission is also responsible for adopting the security measures (including a security plan in relation to the communication infrastructure) for SIS II.

In order to fulfil its mandate, the Agency must keep all IT systems under its responsibility functioning 24 hours a day, seven days a week, to allow the continuous, uninterrupted exchange of data between national authorities using them. eu-LISA continues to ensure that it applies the highest levels of information security and data protection to the information entrusted to it, ensuring that personal information is treated fairly, lawfully, correctly and in full compliance with the relevant data protection legislation and regulations in force.

## 1.2 Mission, Vision and Values

Reflecting its mandate, **the Agency's core mission is to undertake to continuously add value to the Member States, supporting through technology their efforts for a safer Europe.** The application of the Agency's above mission will allow it to achieve its overall vision, which is:

- **To provide high-quality efficient services and solutions;**
- **To build trust amongst all stakeholders and continuously align the capabilities of technology with the evolving needs of the Member States;**
- **To grow as a centre of excellence.**

The Agency strives to contribute to and facilitate the success of European policies in the area of freedom, security and justice. It pro-actively supports effective cooperation and information exchange between relevant EU law-enforcement bodies. In its operations the Agency respects and upholds the fundamental rights of citizens to provide the highest standards of security and data protection. Within the framework of the EU Internal Security Strategy, the Agency focuses its operational activities on contributing to security and facilitating the free movement of people within and to the Schengen Area.

The success of the Agency is based on its core values that continue to drive operational activities and strategic development of the organisation. These values are:

- **Accountability:** developing and deploying sound governance frameworks, cost-efficient operations and sound financial management;
- **Transparency:** providing regular and open communication to the Agency's key stakeholders and engaging them in a continuous dialogue to review and evolve the long-term strategy for the development of the agency;
- **Excellence:** through having the right organisational structure, the right people and the right processes in place to ensure service continuity and functional comprehensiveness of tools provided to the Member States;
- **Continuity:** ensuring that the Agency will make the best use of expertise, knowledge and investments made by the Member states and continuing to develop them;
- **Teamwork:** empowering each individual team member to make the best use of his knowledge and experience, contributing to the common success;
- **Customer focus:** ensuring that the Agency is aligned at all times with the needs and demand of its stakeholders.

These values are reflected into the Guiding implementation principles for the Agency's work. The principles are:

- The Agency recognises people as its biggest asset and constantly looks to attract, retain and develop highly qualified professionals, who share the values of the Agency and who are motivated and committed to achieve its mission and objectives;
- The Agency builds its success through effective and open partnerships with Member States and EU institutions, contributing to the achievement of common goals;
- The Agency builds and maintains credibility with its partners in the EU through the success and the professional capabilities of its team;
- The Agency will strive to promote operational excellence by providing high quality services and solutions to the Member States that are aligned with their needs and priorities. The highest standards of data protection and security will be embedded in all the Agency's operations;
- The Agency will apply principles of good governance and cost-effectiveness in conducting its business operations. In addition, the Agency will ensure full compliance with the security data protection provisions applicable to the systems under its management.

### 1.3 Executive Summary

This report contains an overview of the activities that were carried out during 2013. It was a busy year where the main focus of the Agency was on the initial set up of the organisation, handover of the operational management of the systems from the European Commission (via a service transition plan) and the further development and implementation of the governance and operational models of the Agency. During the course of this reporting period, the Agency successfully assumed full responsibility for the operational management of SIS II, VIS and Eurodac and is now maintaining, evolving and delivering these systems to Member States according to agreed service levels. In addition, the Agency assumed a number of additional tasks related to migration and technical support to VISION network.

Additionally, a number of projects were identified by the Agency during the course of 2013 as business-critical and continue to be implemented by eu-LISA in conjunction with the Agency's core tasks (current projects include but are not limited to: service hand-over implementation and follow-up, specific evolutions of the VIS/BMS system, the development and implementation of a ITSM-based service framework for the Agency, the preparation for sTESTA-NG network migration, the relocation of Eurodac and preparation for the implementation of the Eurodac recast regulation). To assist in their delivery, the Agency has set up a Project Management Office in Strasbourg in order to attempt to standardise project methodologies (the accepted eu-LISA methodology is currently PRINCE2), cut costs and improve on project delivery in terms of both time and budget.

In terms of staffing, during the reporting period the Agency achieved its target as outlined in the 2013 Establishment Plan of finalising the recruitment of all 120 temporary agent staff members.

The Agency's governance framework also continued to be developed in 2013. It now covers areas of enterprise governance, service management and enterprise architecture. Key governance bodies such as the Change Management Board, Budget and Investment Strategy committees have also now been established.

All of the organisation's objectives and activities for 2013 were in compliance with and sought to reinforce the Agency's primary mission to dedicate itself to continuously add value to Member States, supporting through technology their efforts for a safer Europe. To achieve this, the Agency sought to implement its vision of providing a cohesive and cost-effective approach to the delivery of systems and services by continuously meeting and exceeding stakeholders' expectations by providing such high quality and efficient services and solutions; it also continued to attempt to build trust within its stakeholder community through the continuous alignment of technological capability with the evolving needs of Member States and also by growing as centre of excellence.

## 1.4 Priorities for the Agency in 2013

The main operational objective for the Agency clearly remains the effective, secure and continuous operations of the systems it now manages. However, given that 2013 was the first full year of the Agency's operations, the priorities set for the year also reflected the start-up nature of the Agency's activities during the reporting period, with the emphasis on consolidating operations and preparing systems transition planning. The four main priorities were:

1. Consolidate the Agency's structure and cohesion: the priority was to focus on the recruitment of suitable staff and to draft and to consolidate effective internal procedures controls with a view to achieving an efficient well-functioning administrative structure;
2. Move towards becoming a centre of excellence: with particular emphasis on governance and quality management; the priority was to put in place effective structures to enable the Agency to move towards becoming a centre of excellence in its field. This would also entail setting up appropriate networks with European agencies and other relevant organisations that operate in similar fields;
3. Effective operation of its IT systems and preparations for taking on board additional systems: to carry out all the necessary activities to ensure continuity of systems and to plan ahead strategically for the systems that it may be required to develop and manage in the medium term, with a view to defining the human resource and budgetary needs as well as infrastructure requirements related to the Entry Exit System (EES) and Registered Travel Programme (RTP);
4. Continuous move to optimise cost-effectiveness: to 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 included examining the scope for achieving cost savings for stakeholders.

## 2. eu-LISA's Activities in 2013

### 2.1 People

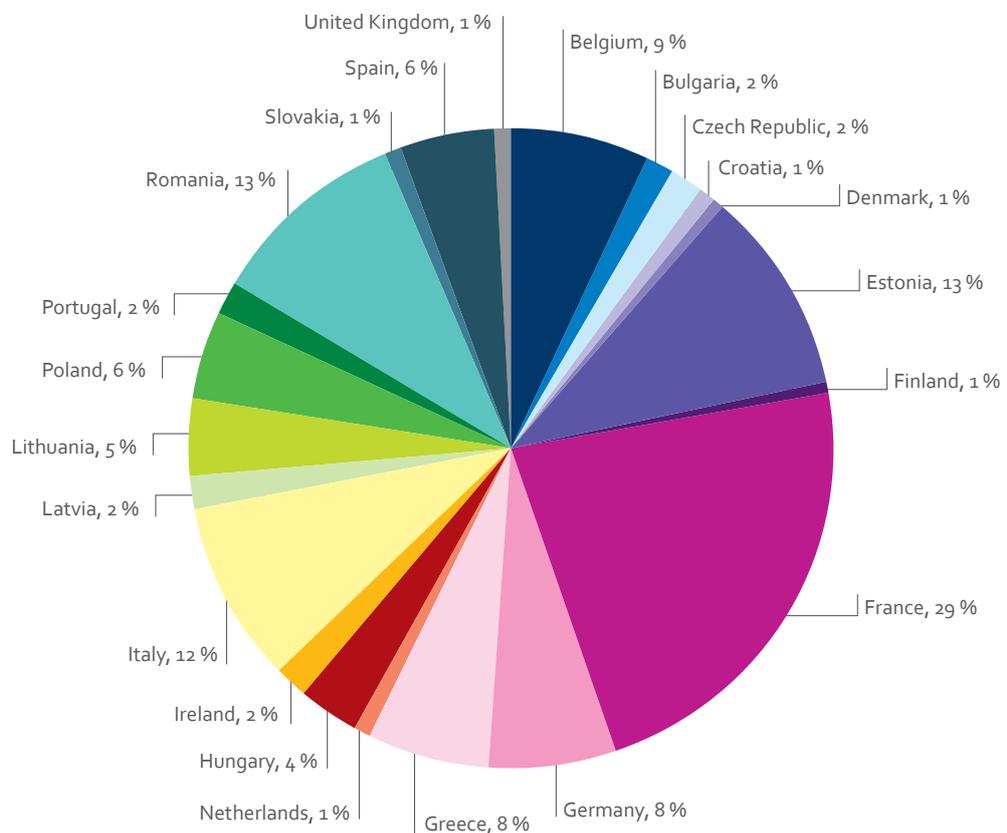
During the year, eu-LISA remained committed to the development and retention of its employees. The goal was to recruit and retain personnel that possess the competencies and skills required for the Agency to successfully implement its strategy. The first 12 months of the Agency's operations have proved to be busy for HR, with some significant areas of achievement around recruitment, staff development training, HR policy development and improving processes and procedures.

By the end of the year 2012, 39 staff members out of total of 74 recruited had taken up duty. Over the course of 2013, eu-LISA further worked towards the targets in the establishment planning process. This has resulted in the Agency reaching its Establishment Plan target of 120 Temporary Agents in December 2013.

At the end of 2013, eu-LISA had 129 staff members (the current staff profile of the Agency is 120 Temporary Agents, five Contract Agents, four Seconded National Experts and four Interims) of which 31 % were women and 69 % men. Together they represent 22 nationalities. There were 47 staff based in Tallinn and 82 staff in Strasbourg. The exit turnover of staff was approximately 3 % as four full-time employees left the organisation in 2013.

The HR team continues to strive to adopt more proactive approaches to human resources management, continuously reviewing its structure to ensure that we can fully support all our staff and managers effectively.

Figure 1: Agency Staff (By Nationality)



## 2.2 Systems and Networks

At the end of 2012, eu-LISA became legally responsible for the operation of the VIS and Eurodac systems, with SIS II scheduled to be handed over following its entry into operations upon completion of the live data migration from the SIS I system managed by the French authorities. In May 2013, the operations of SIS II were successfully transferred to the Agency (eu-LISA has been running VIS/BMS since December 2012) without any interruption or degradation to the service-levels provided. The three systems have been operating under the Agency's management since that date. In addition to ensuring the effective operation, maintenance and evolution of these systems, eu-LISA took over the management of all relevant contracts and has also continued to provide assistance to existing and new Member States in order for them to achieve technical readiness for the integration of their national systems into the respective systems under management at the appropriate time.

### 2.2.1 VIS/Biometric Matching System (BMS)

The Agency became responsible for the operational management of VIS/BMS in December 2012 and continued the provision of 24/7 services throughout 2013. As for the other systems under management, during the reporting period, eu-LISA sought to further evolve the service model for VIS in order to ensure the smooth delivery and evolution of core processes for operations incident management.

The Agency also provided oversight for the technical maintenance of the system and became responsible for the management of the framework contract <sup>(2)</sup> providing the appropriate system upgrades and maintenance to ensure that it continued to function at the requisite level, facilitating successful deployment of VIS in the first eleven regions (four and five on 14 March, six and seven on 6 June, eight on 5 September and 9 to 11 on 14 November 2013) into which it was deployed.

In addition to its corrective maintenance aspects, part of the evolutionary maintenance programme has involved increasing capacity and making substantive functional improvements to the system to allow for increasing business load and to support the remaining regional roll-outs. As such, the VIS Evolutions programme was initiated in November 2012 to cover the required capacity increase, installation of hardware, new search engine and other developments required to improve system performance and meet future capacity. Procurement activity for additional infrastructure to support VIS Evolutions continued throughout 2013.

In the late spring of 2013 some stability issues were identified and the necessary measures were taken to improve the stability of the system.

In the summer of 2013, Member States were given the opportunity to pre-test the new technology as part of a pilot phase coordinated by eu-LISA and the MWO (Maintenance in Working Order) contractor. At the same time, the existing PreProd environment dedicated to Member States has been replaced by a new 'playground' platform, for the purpose of training activities.

**The hand-over of management responsibilities for this system to the Agency went smoothly, with no disruption to service levels. Throughout the year some significant technical improvements have already been introduced in the system, increasing its stability and usability by Member States.**

Towards the end of 2013 a risk was identified that the current Biometric Matching System (BMS) capacity might not be sufficient to support the business activity of a fully evolved VIS

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<sup>(2)</sup> The MWO-VIS framework contract transferred to the Agency's management was signed in August 2012 by the European Commission the Bridge<sup>3</sup> consortium.

system and might impact the remaining VIS roll-outs. The Agency has addressed this risk in a pro-active manner, establishing a task force consisting of representatives of eu-LISA, the Member States (within the VIS Advisory Group) and the European Commission, to assess different options for the evolution of BMS. The Agency provided the Management Board in its regular session in March 2014 with the findings of the Task Force and the action plan with financial, technical and organisational measures to manage the risk. The overall intention of the Agency is to deliver a number of mitigating actions in order not to jeopardise the timetable of the remaining VIS roll-out, in addition to establishing a long-term strategy on the evolution of the BMS.

### 2.2.1.2 VIS Mail 2

Throughout the year eu-LISA performed VIS Mail Integration tests for Member States in order to prepare for the replacement of the existing consultation mechanism VISION after the full roll-out of VIS. Member States were requested to confirm their VIS Mail 2 readiness planning by the end of 2013.

In March 2013, the Agency organised the first VIS Mail Test Coordination Group meeting to kick-off the test campaign between Member States. Since May, eu-LISA has raised awareness, performed impact assessments and taken all the necessary actions to ensure the readiness of replacement of VISION by VIS Mail 2. Since September 2013 two further meetings were organised, in addition to the work already performed. Testing was planned in three waves, with 12 Member States successfully executing VIS Mail 2 Integration tests in 2013. Wave 3 will be executed in 2014 with nine Member States.

### 2.2.2 SIS II

Subsequent to successfully contributing to a collaborative project between the French authorities and the Commission to prepare for the live data migration between SIS I and SIS II and the entry into operations of SIS II (undertaken on 9 April 2013), the Agency assumed operational management of SIS II on 9 May 2013.

Throughout the year, eu-LISA has worked to ensure system stability and the continuity of its operations. The Agency has also implemented robust operational procedures and service management processes for effective system monitoring and the timely resolution of incidents, in line with industry best practice. The Agency also took responsibility for management of Certes encryption keys required for the second layer of network-wide encryption.

**As a whole, the switchover between SIS I and SIS II went smoothly and without major issues. Throughout the year the system functioned in a stable manner and was continuously available to Member States.**

In 2013, the Agency also concluded the procurement of the SIS II maintenance contract Maintenance in Working Order (MWO). This contract was for the regular maintenance work, technical development and evolutions necessary to ensure that SIS II functions at a satisfactory level of operational quality, respecting the relevant service level agreements and quality indicators in place concerning time required for 'create, update, delete' (CUD) operations and interrogation of the central database by the relevant users.

### 2.2.3 Eurodac

The Agency successfully took over the operational management of Eurodac; a knowledge transfer exercise and technical set-up were undertaken in order to integrate the system into the service model of eu-LISA. The service hand-over of the system was planned in two phases; the first consisted of establishing a network link to allow the Agency to remotely manage the

existing Eurodac infrastructure in Luxembourg; Eurodac has been remotely operated from Strasbourg by eu-LISA since 1 June 2013. The second phase, commenced at the beginning of October 2013 and still on-going, involves a relocation of infrastructure to both Strasbourg and St. Johann im Pongau (effectively creating new Eurodac sites in France and Austria as clones of the existing system) and ensuring the successful and timely procurement of new hardware and Commercial off-the-shelf (COTS) software to support this outcome.

**The transition of management responsibilities was delivered on time and with no interruption or degradation of the service levels and availability of the system to Member States.**

In addition to the relocation of the system, planning activities for a significant evolution of the system were started in 2013 in order to implement the functional changes in the system following adoption on 26 of June 2013 of the recast Eurodac Regulation <sup>(3)</sup> that will be applicable starting from 20 July 2015.

The new regulation allows law enforcement authorities and Europol to access the database, subject to strict conditions on data protection, for the purposes of fighting terrorism and organised crime. Due to the need to redesign the system, a specific subgroup was set up to detail technical requirements and interface control document for the system and help eu-LISA to prepare technical specifications for the procurement launch. Two meetings and two conference calls of the sub-group were held in the course of the year to define technical specifications. The procurement process initiated for implementing the necessary updates resulting from the Recast Regulation covers, apart from these updates to the Eurodac functionality on the central system level, basic maintenance services for one year, with the possibility to extend it for up to one more year. It also covers the implementation of the national access points (NAP) standardised solution as an optional item that can be ordered 'on request' by the MS individually. The first phase of the restricted procurement phase, involving the selection of candidates based on their financial and technical capacity, was finished in 2013.

#### 2.2.4 Communications Network

The sTESTA network currently provides the underlying communication infrastructure for the IT systems managed by eu-LISA. Following handover from the European Commission in 2013, the Agency now delivers all network-related tasks as per its mandate and the interface between Member States and the sTESTA network contractor. During 2013, preparations began for migration to a new network infrastructure (Testa-ng) upon expiry of the existing contract. Due to the high impact of such a network migration to eu-LISA's activities, particular focus has been given to identifying the dependencies of network migration with all other eu-LISA projects and operational activities.

#### 2.2.5 Additional tasks

In 2013 the Agency was asked to assume some additional tasks to address urgent requirements of Member States. These tasks did not form part of the 2013 Annual Work Programme of the Agency as originally adopted by the Management Board.

##### 2.2.5.1 VISION

In the course of migration from SIS I to SIS II, a need to keep the existing Schengen Consultation Network (VISION) operational after migration was identified. This consultation network is an essential technical tool used in the process of visa issuance for third country nationals. VISION has to be kept available to the Member States until it is replaced by the second release of VIS Mail 2.

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<sup>(3)</sup> Regulation (EU) No 603/2013

In May 2013 a number of meetings were held between the Commission, eu-LISA, the General Secretariat of the Council and the Presidency of the EU where it was agreed that eu-LISA would take over operational management of VISION while contractual obligations for VISION would remain with the Secretariat General of the European Council. A Memorandum of Understanding (MoU) and a Service Level Agreement (SLA) were concluded between the Agency and the Secretariat General of the Council on this basis. Between June and December 2013, eu-LISA contributed to the migration of the network to new architecture and following this has provided technical assistance to the Member States using VISION.

## 2.3 Governance

The Agency's administrative and management structure is stipulated in Article 11 of the Agency's establishing regulation. It comprises a Management Board, an Executive Director and Advisory Groups. Article 12(1)(c) of the Agency's establishing regulation provides that the MB should establish the Agency's organisational structure after consulting the Commission. As such, following consultation with the Commission, the Agency's organisational structure was approved by eu-LISA's MB at its November 2012 meeting.

Throughout 2013, the nascent governance structures of the Agency were further strengthened and developed. The project to implement Internal Control Standards (ICS) within eu-LISA was initiated in Q1 2013. The ICS are 16 internal control standards, which provide generic management principles and set out the minimum requirements for internal control activities within EU institutions and Agencies. The standards should, to the extent possible, be integrated with operational procedures to facilitate the effectiveness and efficiency of the Agency's operations, help to ensure the reliability of its internal and external reporting, as well as ensuring full compliance with relevant regulations.

Following the granting of financial independence to the Agency by the Commission in May 2013, eu-LISA has continued to build and strengthen the ICS, putting in place robust processes and procedures to ensure full compliance.

The MB held quarterly meetings (in March, June, September and November) and each Advisory Group (Eurodac, SIS II and VIS) held five separate meetings over the course of the reporting period. In line with best practice, the Agency also continued to work towards the establishment of an integrated governance model, which includes the establishment of a number of internal oversight committees in areas such as risk, change management, budget and investment and strategy. The purpose of these committees is to oversee activities in specific areas impacting the Agency's operations (such as those listed above), to develop appropriate subject-specific guidance and to resolve or escalate issues where necessary and appropriate.

In order to set the strategic direction to guide and direct its activities, the Agency has also worked throughout the year on further articulating its vision and formalising its long-term strategic goals and objectives in a written strategy document. The MB has now agreed a number of strategic goals and associated objectives for the period to 2020 for the Agency and these will be formalised in a long-term strategy document for eu-LISA (\*).

The purpose of the strategy document will be to reinforce, develop and reflect the mandate of the Agency and its priorities as defined through dialogue with Member States carried out in the Management Board and Advisory Groups level. The strategy will be a dynamic document, meaning that goals will be regularly monitored and subject to regular reviews developed over the course of its term in order to meet the evolving needs of the organisation and its stakeholders.

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(\*) This document was adopted by the Management Board at its meeting on 11.3.2014.

To further improve the effectiveness and efficiency of IT processes and overall service delivery, the Agency continues to align its functions, operations and internal processes with IT services management framework best practice. In conjunction with the VIS/BMS MWO contractor, a set of core ITSM processes were designed and put in place in December 2012 and a project was launched during May 2013 to deal with the Agency-wide implementation of an ITIL compliant service model.

The external audit of the Agency is to be carried out by the European Court of Auditors. The Court's responsibility is to provide, on the basis of its audit, the European Parliament and the Council with a statement of assurance as to the reliability of the annual accounts of the Agency and of the legality and regularity of the transactions underlying them. The Court carried out an interim audit on the Agency in December 2013. The final audit will take place in May 2014. The Court is expected to issue a preliminary audit opinion on the Agency's 2013 accounts in June 2014.

The internal audit of the Agency is carried out by the Internal Audit Service of the European Commission (IAS) and the Internal Audit Capability of the Agency (IAC). The IAC started functioning in October 2013 when an internal auditor took up his position at the Agency's headquarters in Tallinn. Early in 2014 the IAC will be submitted to the establishment procedure pursuant to Article 84 of eu-LISA's (new) Financial Regulation.

In order to prepare future internal audit plans, in October 2013 the IAS carried out a preliminary risk assessment of the Agency's major administrative processes. The resulting report presents the internal audit activities planned for 2014 as well as the Agency's potential high-risk areas (i.e. business continuity, procurement, governance, facilities management, external communication and the monitoring of activities) as seen by the auditors. The Agency has taken actions to address these potential high risk areas that will be assessed thoroughly in June 2014 when the internal auditors will carry out a full audit risk assessment.

### 2.3.1 Management Board

During 2013, the MB continued in its role to ensure that the Agency delivers the tasks and results as stipulated in the Agency's establishing regulation in the most cost-effective way, taking into account the strategic goals and objectives of the Agency. As such, it focused on the following high-level tasks:

- Ensuring confidence that the Agency mandate is being, and can be, delivered and developed coherently and effectively to meet all stakeholder and user requirements;
- Directing the effective and coherent delivery of the eu-LISA vision;
- Ensuring the development of a robust system of internal control.

In addition to the discussion and approval of a standard suite of documents in the annual budgetary and activity planning cycles, specific matters addressed by the Agency Management Board in 2013 included, inter alia, management of the service transition plan, implementation of relevant project management and governance standards, preparation for the financial autonomy of the Agency in May 2013, continuing negotiations with host countries concerning technical sites and seat agreements and the development and implementation of data protection procedures and rules for the Agency.

### 2.3.2 Advisory Groups

The role of the Advisory Groups (AGs) is 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. In 2013 the Advisory Groups for the three systems under management continued to provide support for relevant technical expert

advice to the Management Board in the implementation of the Work Programme 2013 as well as on a number of technical issues relating to the evolution and further development of existing systems.

Specifically, the AGs have been instrumental in developing and overseeing the implementation of a number of business-critical processes during the course of the reporting period, including the following:

- Strengthening of the Agency's governance structures through the introduction of an IT service management model;
- Evolution of roadmaps, horizontal standard Service Level Agreement and change management processes for the systems managed;
- Bespoke system training plans;
- Technology monitoring.

The Agency continued its pro-active engagement with the MB and all AGs, providing the required administrative and logistic support to them and partnering them in addressing key operational strategic issues related to the systems.

## 2.4 Budget

This section outlines eu-LISA's budgetary activity in 2013 in terms of Agency appropriations, commitments and spending during the reporting period. At the end of 2013, the rate of utilisation of 2013 budgetary commitment appropriations was **98.37 %** (EUR 60 699 840), whilst the rate of utilisation of all available payments appropriations (in 2013 those multi-annual budget lines carried forward from 2011 and 2012) was **49.20 %**.

**It should be noted that eu-LISA gained its financial autonomy on 22 May 2013. Therefore the reported execution is only based on the execution of the budget after that date.**

The transfer of the remaining 2013 budget appropriations was executed from the European Commission (DG HOME) to eu-LISA when the Agency became financially autonomous in May 2013. The 'inherited' budget lines that were migrated consisted of current year appropriations in addition to carry-forward commitments from 2011 and 2012. At its November 2013 meeting, the Agency Management Board also approved the adoption of additional commitment appropriations (EUR 28 million) received from DG HOME relating to operational expenditure concerning SIS II.

A number of 2013 commitment appropriations have been carried forward to 2014, with those 2013 commitments relating to Title 1<sup>(5)</sup> and Title 2<sup>(6)</sup> to be used in full this year. Carry-forward commitments from Title 3<sup>(7)</sup> appropriations will be further utilised in 2014 and as appropriate in subsequent years. This is due to the fact that the Agency has number of multi-annual contracts related to its core activities (operational management and evolutions of the systems under its responsibilities).

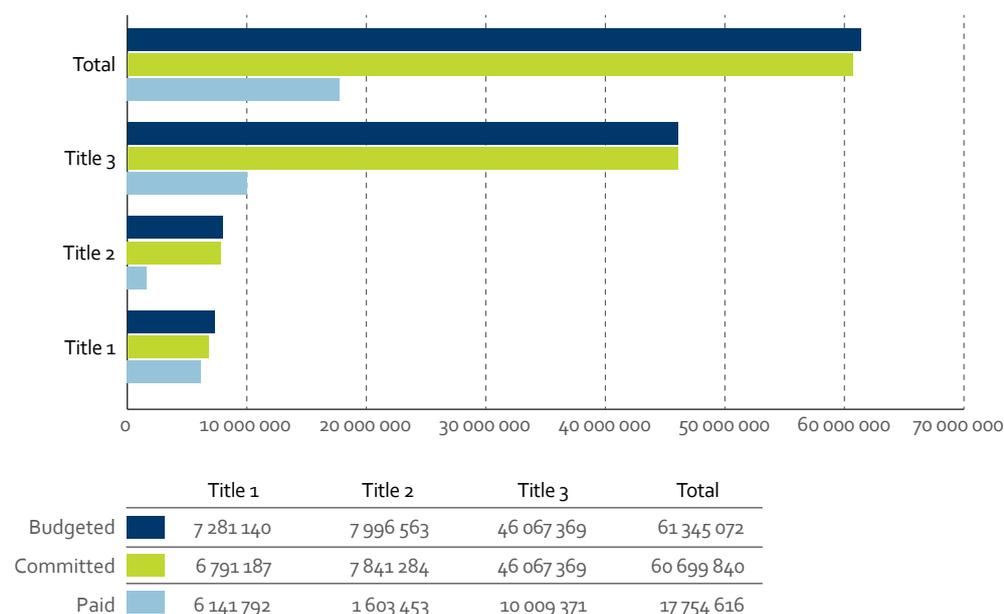
A breakdown of the 2013 budget (initial budget + amendments ± transfers) and its execution as of 31 December 2013 are outlined in the below graph.

<sup>(5)</sup> Title 1 = Staff Expenditure

<sup>(6)</sup> Title 2 = Infrastructure and other Operating Expenditure

<sup>(7)</sup> Title 3 = Operational Expenditure

Figure 2: Budget Execution 2013 (By Title) Values in EUR



## 2.5 Financial Management and Procurement

The Agency was granted its financial independence in May 2013 by fully meeting the criteria for independence outlined by the Commission (inter alia, the establishment of a fully functional technical infrastructure to support ABAC (Accrual-based Accounting System), defining and implementing its own budgetary and financial circuit and procedures, ensuring that core finance teams were in place and start-up liquidity needs were determined and funds available).

Following financial independence, eu-LISA sought to further develop and strengthen its internal financial processes, procedures and controls to ensure the transparent and effective management of financial resources throughout 2013. Effective financial controls, including the maintenance of proper accounting records, are an important element of eu-LISA's internal control. They help to ensure that the Agency is not unnecessarily exposed to avoidable financial risks and that the financial information used within the organisation and for publication is reliable. They also contribute to the safeguarding of Agency's assets, including the prevention and detection of fraud. Such financial procedures, including ex ante controls, were reinforced through appropriate staff training, targeted financial reporting, the introduction of robust internal control structures and appropriate financial circuits, ensuring separation of the operational, financial and authorising aspects of all transactions (see above Governance section on the introduction of relevant ICS). Likewise, the Agency also further developed its procurement structures and processes on the basis of providing value for money and seeking to integrate continuous improvement principles into its procurement practices: establishing and maintaining effective planning, tendering and contracting for procurement of goods, works and services, with improvement in procurement performance being measured through the savings and efficiencies achieved and quality of services provided by suppliers.

Despite continuing to use Commission framework contracts post financial independence for both corporate and operational systems, over the course of the reporting period the procurement team continued to make significant progress towards finalising in-house arrangements to replace existing service level agreements with central Commission services.

The Agency dealt with a significant number of tender procedures during 2013, including those for upgrading buildings and facilities, procurement of equipment and furnishings specialised procurement related to the core operational systems under its management. Given the volume and variety of tenders launched, it was quickly apparent that there were not enough specialist staff to manage these processes effectively and efficiently and some delays were experienced in concluding some competitions.

## 2.6 Stakeholders and Partnerships

During the course of 2013, eu-LISA continued to cultivate and deepen relationships with all relevant parties, including EU Agencies, European Institutions (in particular the European Council, Commission and Parliament), Member States and the public.

The Agency particularly sought to establish and strengthen its operational partnerships with other Agencies in the relevant policy area on the basis of formal memoranda of understanding (MoUs), outlining and formalising cooperation in areas of joint interest. It is hoped that in seeking to exchange experience and knowledge with identified partners in this way, contributing to deployment of common systems and technology platforms and providing services (as per the relevant legal instruments in force), eu-LISA and its partners can leverage scarce resources and share expertise in order to add value and provide better services to stakeholders.

During the reporting period, eu-LISA signed MoU with CEPOL (signed on 20 November 2013) and prepared the MoU for signature with FRONTEX (signed on 31 January 2014) and the European Commission. The MoU with CEPOL is already starting to have a positive practical impact, with a number of agreed tasks in the area of SIS II technical trainings being delivered by its signatories since November 2013.

The Agency also continued to build other formal and informal networks to exchange experience and knowledge with identified partners with the goal that any such exchange would contribute to the development and deployment of relevant common systems and technology platforms.

## 2.7 Premises

Article 10 of the Agency's establishing Regulation provides that:

- The seat of the Agency shall be in Tallinn, Estonia;
- the tasks relating to the development and operational management of the large-scale IT systems for which the Agency is responsible shall be carried out in Strasbourg, France;
- a backup site capable of ensuring the operation of a large-scale IT system in the event of a failure of such a system shall be installed in Sankt Johann im Pongau, Austria.

### 2.7.1 Tallinn, Estonia

The Agency's Headquarters staff has been situated in temporary office accommodation in Tallinn since October 2012.

Throughout 2013, the Agency continued in the planning of relevant procurement processes and other preparatory work necessary to progress construction of its permanent premises.

Negotiations on the Headquarters Agreement with the Government of Estonia continued throughout first half of 2013 between the Commission (negotiating on behalf of eu-LISA) and the host state. The draft agreement was submitted by the Agency to the Management

Board for approval without the tax provision in September 2013. The Board decided to postpone its decision and requested Estonian Government to reassess its position concerning the VAT exemption for purchases of the staff during the installation period. The Minister of Finance of Estonia sent a letter to Commissioner Malmström in November 2013 requesting clarifications on the compatibility of this provision with the VAT Directive and the Protocol on Privileges and Immunities.

Despite progress, an agreement was not reached between the parties by the end of the year. A temporary agreement governing the Agency's premises, negotiated by the Commission and signed by the interim Executive Director of the Agency, the Director for Schengen in DG Home and the Secretary General of the Ministry of the Interior of Estonia on 31 October 2012, remains in force.

### 2.7.2 Strasbourg, France

The Management Board of eu-LISA also approved the Agreement negotiated by the Commission on behalf of the Agency concerning the technical site with the host Member State, France, on 26 October 2013 and the agreement was signed and entered into force on 5 December 2013 by the Executive director of the Agency and the French Minister of Interior.

On 29 May 2013, the Agency and the French State signed the act of transmission to the Agency of the premises in Strasbourg as well as of a piece of land of 50 acres required for its extension. The same act granted a lease on the antenna and the attached shelter located in the site to the French State for a maximum term of 10 years until 1 May 2023. Access by the French authorities to the site shall be subject to the security requirements of the Agency. France will remain responsible for the payment of all charges linked to the antenna and the shelter including electricity consumption, which will be measured by a special metre installed by France for that purpose.

The agreement shall enter into force in 2014 after it is ratified by the Parliament of France.

The main focus in building and facilities management during the course of the year was to prepare the site for systems (specifically SIS II) infrastructure and to carry out a number of planned reconversion works. Nevertheless, space remained at a premium for both staff and systems. As such, plans to develop the existing facilities and construction of an additional building at the technical site were finalised and have been provisionally scheduled to begin in 2014, subject to budgetary approval.

### 2.7.3 Sankt Johann im Pongau, Austria

Negotiations between the Commission and the Austrian government concerning the use of the above serviced premises as a back-up site by the Agency were concluded in April 2013. The agreement was subsequently adopted by the Agency's Management Board following a written procedure on 29 April 2013. The agreement was signed in Tallinn by Austrian Ambassador and the Executive Director on 27 May 2013. Following an exchange of *notes verbales* between the Agency and the Austrian Federal Ministry for European and International Affairs, the agreement entered into force on 13 October 2013.

Negotiations initiated by the Commission in February 2013 with the Austrian authorities concerning the operational agreement between Austria and the Agency for the establishment of and requirements for the backup site in Sankt Johann im Pongau (and the provision of services by Austria in case of activation of the backup site) were transferred to the Agency in June 2013 following its financial independence in order for it to finalise negotiations. This agreement was signed on 25 October 2013.

## 3. Exception Reports 2013

In accordance with the Agency's internal control standards, in application of Article 30 of the Financial Regulation, eu-LISA will provide an exception report to document all instances where controls were overridden or deviations from established process and procedures occurred. All such exceptions, whether material or not, are logged centrally and will be reported in the Agency's annual activity report (details are included in Annex C).

There has been one such exception within the reporting period. This related to a procurement exercise for the provision of security services for the Agency's operational site in Strasbourg (see Annex C for details). In the absence of a material financial impact, eu-LISA does not consider the reported exception to give rise to a qualification in the Executive Director's Declaration of Assurance.

## 4. Outlook for 2014

In 2014 the Agency, building on results achieved in 2013, will continue to further develop its operations and services for the benefit of its stakeholders. This will enable the Agency to continue the development of its operational and governance models and to ensure alignment of the Agency's services and capabilities with the needs of the Member States, with the aim of adding more value. Therefore, system availability, stability and further evolution as well as stakeholder satisfaction will continue to form the basis for the operational development of eu-LISA as an organisation in 2014.

The main operational objective for the Agency for 2014 will be to maintain the stable and continuous operations of the SIS II, VIS/BMS/Vision and Eurodac/Dublinet systems under management. Additionally, the Agency will seek to continue to build a modern and efficient organisation whilst at the same time progressing toward becoming a centre of excellence and developing and strengthening relationships with JHA partners. At the same time the Agency will have to ensure delivery of several high-profile initiatives, in particular:

- VIS/BMS technical and functional evolution to align capability of the system with demand for the remaining roll out;
- Conclusion of relocation of Eurodac to Strasbourg;
- Start the implementation of the required changes to Eurodac as foreseen in the recast Eurodac Regulation.

The Agency will contribute proactively to a study to be launched by the European Commission and will make the necessary preparations to deliver a pilot project related to the new systems, such as the Entry/Exit and the Registered Traveller Programme. As such, eu-LISA shall start planning the specific infrastructure, human and organisational resources required for successful implementation of such systems based on the financial information and requirements as outlined within the appropriate legal frameworks. Depending on the progress concerning the adoption of such legal instruments and the deadlines for their implementation, the Agency may start the process of their acquisition and procurement of the required resources and a detailed implementation plan.

The Agency shall also continue to support the Member States' use of existing systems with the relevant technical and project/programme management expertise as well as targeted training programmes on technical and other relevant matters.

In 2014 the Agency will also seek to continue to develop its human resources and strategic vision further. The focus will be on further consolidation and development of this young organisation's staff strategy broadly based on the Agency's mission, vision and common values. As such, the emphasis will be on staff retention and development. Launching the implementation of the approved Multi-annual strategy for the Agency for the period 2014-2020 will also be one of the key tasks in 2014. This will outline a strategic framework for determining the future direction and development of the Agency over the medium to long term.

In 2014 the Agency will also continue its development towards becoming a Centre of Excellence with regard to its operational and governance models. That will be achieved through the further development of the Agency's governance framework based on the relevant industry standards for corporate governance of ICT. eu-LISA will also further develop the Agency's operational model to ensure continued sustainable and cost-efficient operations, following established best practice industry standards for IT service management.

# Annexes



## Annex A: Declaration of Assurance

The Executive Director of the EU Agency for the Operational Management of Large-Scale IT Systems has reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on the Executive Director's judgment and the information at his disposal, such as the results of self-assessment, ex-post controls, the observations of the Internal Audit Service and the lessons learned from the reports of the Courts of Auditors for the period prior to the year of this declaration.

Confirmation is given that we are not aware of anything not reported here which could harm the interests of eu-LISA or European Institutions in general.

Krum Garkov  
Executive Director



Date: 28 February 2014

## Annex B: 2013 Activity v Plan (Progress per Area)

The detail contained within this annex gives a summary of the progress that the Agency has made against the specific deliverables itself set in the 2013 Work Programme. Progress during the reporting period against these defined objectives listed below is summarised and next steps for 2014 outlined.

### 1.1.1. Management

Activity towards objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity towards objective in 2013	High-level deliverables for 2014
<b>MAN1</b>	<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>Corporate governance model defined. Roadmap for implementation of Agency governance framework prepared and implementation commenced (integrated framework comprising enterprise governance, service management and enterprise architecture).</p> <p>Remit and composition of internal governance committees has been established (see section 2.3 for details).</p> <p>Draft long-term strategy (2014-2020) for the Agency has been written.</p> <p>Work commencing on corporate performance indicators and management and implementation of Balanced Scorecard for the Agency.</p>	<p>Continuation of implementation of the corporate governance roadmap as defined in 2013.</p> <p>Continued development and implementation of a KPI dashboard for corporate performance management.</p> <p>Adoption and implementation of the Agency's long-term strategy by the Management Board.</p>

Activity towards objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity towards objective in 2013	High-level deliverables for 2014
<b>MAN2</b>	<p>Define, in consultation with the Commission, approve Service Level Agreements (one for each IT system, one for 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>(6)</sup>.</p>	<p>Service Level Management webinars were prepared and material was sent to all the members of Advisory Groups.</p> <p>The Standard SLA was internally agreed and sent to all the Advisory Groups for opinion and positive feedback obtained for further SLA refinements in 2014. It was presented and adopted by the Management Board in November.</p> <p>Additionally, the Eurodac Advisory Group agreed a Specific SLA for the system.</p> <p>The eu-LISA Service catalogue has been developed and agreed internally. The development and implementation of the new Service model of the agency (ITSM-based) is in progress. Key service management processes have been implemented or are under finalisation based on the improved ITSM tool usage.</p>	<p>Monitoring and evolution of Service Level Agreements for the systems under management of the Agency with regular Service reviews and service quality reports.</p> <p>Continuation of implementation of internal ITIL/ITSM implementation roadmap.</p>
<b>MAN3</b>	<p>Ensure that an adequate management structure is put in place to allow the Agency to fulfil security requirements.</p>	<p>The security transition plan has been executed. As of the end of 2013, the Agency is in charge of all aspects of security relating to the operational management of the systems under its control.</p> <p>The Agency Business continuity strategy was approved by the Management Board in November 2013.</p>	<p><i>Please refer to the deliverables provided for objectives SE3 and SE5 below.</i></p>

<sup>(6)</sup> With respect to VIS, EURODAC, the communication infrastructure 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.

### 1.1.2. Application Management and Maintenance

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>AMM1</b>	Operational management of SIS II	<p>The Agency successfully took over SIS II operations on a 24/7 basis in May 2013. Since then eu-LISA has ensured the stability and continuity of the system's operations, has implemented robust procedures and service management processes for effective system monitoring, operational management and resolution of incidents.</p> <p>Preparations for the integration of the UK into SISII were commenced during the reporting period, as was an initiative to improve the quality of statistics available on system use.</p> <p>During the reporting period, the Agency also concluded the procurement and award of the SIS II maintenance contract (MWO).</p> <p>Corrective and adaptive maintenance tasks on the system were successfully undertaken throughout the reporting period.</p> <p>ITSM implementation and customisation of ITSM tools has been on-going.</p>	Continuation of daily operations and associated change management processes to allow SISII to function in compliance with the legal bases of the system.
<b>AMM2</b>	Operational management of VIS	<p>eu-LISA became responsible for the operational management of VIS/BMS in December 2012 and continued the successful provision of 24/7 services throughout 2013.</p> <p>During the reporting period, eu-LISA sought to further evolve the service model for VIS in order to ensure the smooth delivery and evolution of core processes for operations and incident management.</p> <p>Corrective and adaptive maintenance activities for VIS are on-going.</p> <p>Testing: a test campaign for VIS Mail 2 was undertaken.</p> <p>The Agency provided oversight for the technical maintenance of the system and became responsible for the management of the framework contract (MWO), providing the appropriate system upgrades maintenance.</p> <p>The agency successfully supported regional roll-outs of VIS throughout the year as planned. .</p> <p>Customisation and adaptation of the available service management tools has been on-going to support implementation of the Service Model of the Agency.</p>	<p>Continuation of daily operations and associated change management processes to allow VIS to function in compliance with the legal bases of the system.</p> <p>Agreed roll-out schedule for VIS to be implemented as planned</p> <p>New users enrolled according to the agreed plans.</p> <p>Further evolution of VIS and BMS to align their capabilities with demand of the remaining roll-out and daily operations after it is accomplished.</p>

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>AMM3</b>	Operational management of Eurodac	<p>Eurodac was migrated to eu-LISA control in June 2013. The service hand-over of the system was planned in two phases; the first, successfully completed, consisted of establishing a network link to allow the Agency to remotely manage the existing Eurodac infrastructure in Luxembourg. The second phase, commenced in Q4 2013 and still on-going, involves a relocation of the existing infrastructure to CU and BCU, creating new Eurodac sites as clones of the existing system. The Agency is also responsible for procurement of new hardware and COTS software to support this outcome.</p> <p>Corrective and adaptive maintenance activities for Eurodac have been on-going since migration.</p> <p>Planning activities for the technical and functional evolution of the system was started in 2013 in order to implement the functional changes in the system foreseen in the recast Eurodac Regulation.</p> <p>Customisation and adaptation of available service management tools has been on-going to support implementation of the Service Model of the Agency.</p>	<p>Continuation of daily operations and associated change management processes to allow Eurodac to function in compliance with the legal bases of the system.</p> <p>Relocation of Eurodac completed.</p> <p>The implementation of the new requirements stemmed from the recast EURODAC Regulation progresses as planned.</p>
<b>AMM4</b>	<p><b>New IT Systems</b></p> <p>Estimates and plans related to the take-over of new systems, in particular, Entry Exit and RTP.</p>	<p>In 2013 the Agency started preparing to support exploratory discussions on the Smart Borders package.</p> <p>An initial meeting was held in November 2013 with the Commission, to discuss the approach for a feasibility study for Smart Borders and consequent pilot projects.</p>	<p>The Agency to perform the required preparations for the pilot project and to provide estimates of resource (including financial) with a view to launch it in Q1 of 2015.</p> <p>Agency will pro-actively contribute to the implementation of feasibility study.</p>

### 1.1.3. General Coordination

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>GC1</b>	Technology watch	A strategic technology monitoring plan was prepared and agreed upon internally. A 2014 roadmap has also been delineated and is being enacted.	Continue to monitor new technologies and solutions relevant for the operational management and evolution of SIS II, VIS, EURODAC and other large-scale IT systems.
<b>GC2</b>	Inter-agency cooperation	<p>In 2013, the Agency sought to establish and strengthen its operational partnerships with other agencies in the relevant policy area on the basis of formal MoU. During the reporting period, eu-LISA signed or agreed to sign such MoUs with CEPOL (signed on 20th November 2013), FRONTEX (signed on 31st January 2014).</p> <p>The Agency also continued to build other formal and informal networks and to exchange experience and knowledge with identified partners with the goal that any such exchange would contribute to the development and deployment of relevant common systems and technology platforms.</p>	<p>Signature of MoU with EUROPOL</p> <p>eu-LISA and Frontex will agree on an Annual Cooperation Plan 2014.</p> <p>eu-LISA and Europol to continue work on defining areas of cooperation.</p> <p>Practical cooperation will continue between eu-LISA, CEPOL, ECHA and EASO.</p> <p>Continued participation in the meetings and initiatives of the JHA Agencies' Contact Group.</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.	Implementing rules on Data Protection adopted by the Agency Management Board.	<p>Internal procedures implemented and regular internal reviews undertaken, with action plans to address any identified gaps or weaknesses</p> <p>The Security Officer will prepare and submit an annual report to the Management Board on data protection, incidents and activities.</p> <p>Continue to provide mandatory staff training on data protection requirements and regulations in force.</p>
<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 (e.g. for legal matters related to tender procedures).	Through the year eu-LISA was supported by DG Home on legal matters. The Agency's Legal Officer took office on 16 December 2013. The development of an appropriate framework for the effective and timely provision of legal advice for the Agency is in progress.	Continue the timely provision of high-quality legal advice to support internal and external decision making of the Agency.

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>GC5</b>	Internal communication: To promote the mission, values culture of the Agency to its staff members through the drafting and dissemination of communication tools, internal awareness-raising events and other best practices;	<p>eu-LISA's Internal Communications Strategy up to 2015 was prepared and adopted.</p> <p>Functional and content analysis has been undertaken for the Agency's intranet provision as well as finalising the technical specifications for its procurement.</p> <p>eu-LISA staff satisfaction survey circulated and analysed by the Management Committee of eu-LISA to serve as a baseline for organisational improvement.</p>	<p>Implementation of the Annual internal communications plan</p> <p>Launch of agency internal collaboration platform and intranet.</p>
<b>GC6</b>	External communication: To promote the Agency and the systems that it operates to fulfil the communications requirements laid down in the founding Regulation and the legal bases of the IT systems managed by the Agency	<p>eu-LISA External Communication Strategy adopted by the management Board and Activity plan for 2014 finalised.</p> <p>Analysis, design and development phases completed for the eu-LISA public website project.</p> <p>Preparation of eu-LISA general public info materials and corporate publications.</p> <p>Organisational networking and partnership building in progress highlighted to the public and media. Media events under preparation and media relations facilitated where appropriate.</p>	External communication plan implemented as foreseen, including continued development of the eu-LISA public website project.
<b>GC7</b>	General Training for Agency staff	<p>Appropriate professional training and language classes were offered to eu-LISA staff throughout the course of 2013. Take-up and participation rate amongst staff was high.</p> <p>The Agency Training Policy was drafted and approved.</p> <p>The first Draft of the Learning and Staff Development Strategy was completed in September.</p>	At least 90 % of Agency staff attending at least two team building events in the year.
<b>GC8</b>	Technical Training for Agency Staff	<p>Overview training for SIS, VIS and EURODAC to eu-LISA staff carried out on both the Agency's sites.</p> <p>Security data protection compliance training to staff members carried out.</p> <p>Initial training sessions on PRINCE2, ITIL and HP Service Manager undertaken.</p>	100 % of staff to attend the compulsory courses listed in their training plan.

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>GC9</b>	Training for national authorities on IT systems managed by the Agency	<p>eu-LISA External Training Strategy (for the period 2013-2016) has been finalised and approved by the AGs and MB, draft The training plans for VIS, EURODAC and SIS II have been submitted to the Advisory Groups for discussion/feedback (September and November) Management Board (December).</p> <p>In cooperation with CEPOL, the eu-LISA eLearning platform for delivery of training materials on SIS II, VIS and EURODAC has been established. It is hosted on CEPOL's e-Net platform.</p> <p>SIS II Courses for SIRENE Bureaux (CEPOL), in cooperation with CEPOL, Commission and MS experts.</p> <p>Classroom courses: Pre-launch of SIS II (March 2013, UK; Post-launch of SIS II, May 2013, Italy).</p> <p>Webinars: Pre-launch of SIS II (March 2013), Post-launch of SIS II (May 2013), End-users of SIS II (June 2013).</p>	<p>Continue the delivery of the training activities for the MS as foreseen by the annual Training Plan.</p> <p>Nomination of the national representatives for the Network of Contact Points (NCP). Future training needs of the MS to be discussed through the NCP.</p> <p>Development of additional common training activities with other JHA Agencies (FRONTEX and CEPOL).</p> <p>Preparation for the delivery of a Technical Training session on SISII (DCC workshop)</p> <p>Upload of training materials on the eu-LISA Training Platform is foreseen.</p>
<b>GC10</b>	Training for SIRENE operators	In cooperation with CEPOL and MS experts, eu-LISA prepared and carried out a number of SIRENE training programmes during the course of 2013, undertaking one course for advanced users and one course for beginners.	Continue to deliver basic and advanced course for SIRENE staff (to be delivered with collaboration of CEPOL and FR).
<b>GC11</b>	Training of Schengen evaluation team members lead experts	<p>Initial training-related meetings were held with the Council General Secretariat (CGS) in charge of planning training, prior to Schengen evaluations missions in 2013.</p> <p>The first training sessions to Schengen evaluators were delivered between September and November 2013 (four in total).</p>	Further development of common training activities designed for Schengen evaluation team members, together with Frontex and CEPOL.

#### 1.1.4. Internal Audit

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>IA1</b>	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 operations	<p>Internal Auditor in post at the beginning of October 2013.</p> <p>State-of play review of internal control standards implementation and action plan for full compliance delivered to Agency management.</p> <p>Draft Internal Audit Plan of the Agency for 2014 prepared.</p>	<p>Implementation of the Internal Audit Plan of the Agency for 2014 as approved by the MB in March 2014;</p> <p>Activities outlined in the audit plan to be fully implemented; action plan(s) in place to address findings.</p> <p>Provision of annual audit plan for 2015.</p>

#### 1.1.5. Operational Matters and Infrastructure

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High – level Deliverables for 2014
<b>OPI1</b>	Systems management: (dealing with operating systems, upgrades, and oracle and off the shelf products, etc.)	<i>Please refer to the status provided for objectives <b>AMM1</b>, <b>AMM2</b> and <b>AMM3</b>.</i>	<i>Please refer to the deliverables provided for objectives <b>AMM1</b>, <b>AMM2</b> and <b>AMM3</b>.</i>
<b>OPI2</b>	<p>Network:</p> <p>2.1 Supervise the network and coordinate relations between the Member States and the network provider for SIS II, VIS and EURODAC and ensure security of the communication infra-structure for VIS and 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 and precautions applicable to any network tasks entrusted to external private sector bodies are fully respected.</p>	<p>Following hand-over from the European Commission the Agency managed all network supervision activities and the interface between Member States and the sTESTA network contractor. eu-LISA's network team ensure the proper functioning of the operational management networks and network-related incident/problem management, in addition to managing the relevant contractors.</p> <p>During 2013, preparations began for migration to a new network infrastructure (Testa-NG) upon expiry of the existing contract began. As of the end of 2013, eu-LISA had undertaken mainly preparatory activities, such as MS site information gathering and confirmation and collection of requirements for the new network. eu-LISA has also supported DG Home in the preparation of the specific contracts for TESTA-ng network.</p>	<p>Continue to ensure availability and performance of the sTESTA Network (as defined in network SLAs for SIS II, VIS and Eurodac).</p> <p>Continue planning and coordination activities concerning the migration from sTESTA network to TESTA-ng network.</p>

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High – level Deliverables for 2014
<b>OPI3</b>	Helpdesk	During 2013 a Helpdesk was established by the Agency. Operating under a shift system, the team provides 24/7 first level support services to users across all systems under the management of eu-LISA. As of the end of 2013, all the service desk team is trained and fully operational.	Helpdesk to continue 24/7 operations to meet the defined service levels.  Helpdesk to increase its contribution to incident management and resolution.
<b>OPI4</b>	To monitor the technical functioning of the IT Systems under its management and gather all technical data needed to meet its reporting, statistics and monitoring obligations.	Throughout the reporting period eu-LISA continued to ensure continuous monitoring and support for SIS II, VIS and Eurodac, taking corrective action to maintain the appropriate level of service.  With regard to reporting and statistics, obligations towards legal obligations were fully met during the reporting period. However, during the course of the year the need for a unified reporting approach became apparent. Therefore, an analysis of the current reporting approach with comparisons between all systems was undertaken with a view to unifying and synchronising system reporting over the medium term.	Timely provision of statistics and information on the performance of the systems as foreseen in the relevant legal bases.
<b>OPI5</b>	Monitoring:  1. Finalise preparations for the monitoring procedures for SIS II  2. Monitoring for SIS II, VIS and Eurodac	Objective has been achieved.	

#### 1.1.6. Resources and Administrative Matters

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>AS1</b>	<b>Reporting:</b>  Adoption of the Annual Activity Report for the Agency for 2012 submission to the EP, the Council, the Commission the Court of Auditors	The Annual Activity Report for 2012 was prepared by the Agency with the support of the European Commission who was responsible for initially setting up eu-LISA as well as for the operational management of its systems during 2012.  In accordance with the establishing Regulation, the Annual Activity Report 2012 was adopted by the Agency Management Board during its meeting on 12-13 March 2013. The document was subsequently sent to the European Parliament, Council, the Commission and the European Court of Auditors on 30 May 2013.	Delivery of eu-LISA's Annual Activity Report for 2013 in accordance with the deadlines outlined in the Agency's establishing regulation.

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>AS2</b>	<p><b>Reporting</b></p> <p>Fulfilment of all reporting obligations laid down in the establishing Regulation and legal basis for the IT systems under the Agency's management such as :</p> <ol style="list-style-type: none"> <li>1. Annual Report on the Activities of the Central Unit of Eurodac</li> <li>2. Report on the technical functioning including the security of VIS two years after it was brought into operation (<i>and every two years thereafter</i>) submit it to the EP, the Council the Commission</li> </ol> <p><i>A similar report will also be required for SIS II, two years after entry into operation.</i></p>	<ol style="list-style-type: none"> <li>1. As the European Commission was responsible for the operational management of Eurodac in 2012, it remained responsible for the preparation of the 2012 Annual Report for this system to be delivered in 2013. The European Commission Communication (2013) 485 - Annual Report to the European Parliament and the Council on the activities of the Central Unit of Eurodac in 2012 was adopted on 26 June 2013.</li> <li>2. VIS reporting: The report on the technical functioning of the VIS (Art.50 (3) regulation) was prepared by the Agency in 2013 and following AG consultation, positive opinion and adoption by the MB it will be further presented in 2014 in full compliance with the timetable.</li> </ol>	Compliance with all reporting obligations as defined in the relevant legal instruments.
<b>AS3</b>	<p>Information for the Commission, the Parliament, the 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 the Council of the measures to ensure the security of data use in the VIS <sup>(9)</sup> once the Agency's own security plans are available.</li> </ol>	<p>Information provided as per request</p> <p>In its meeting in October 2012, the VIS Advisory Group endorsed the security documents for the Agency and formulated a set of recommendations to be further taken into account by the Agency. The MB, taking into account the recommendation of the VIS Advisory Group, adopted the Agency General Security framework, requested the Executive Director to provide a concrete implementation plan for the security framework to proceed with the implementation of the key points as soon as possible.</p>	Continue to provide the required information to the relevant stakeholders within the stipulated timeframes.

<sup>(9)</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.

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>AS4</b>	<p><b>Statistics</b></p> <ol style="list-style-type: none"> <li>Finalise 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 and, from that time, publish statistics related to SIS II pursuant to the SIS II basic instruments</li> <li>Provide statistics on the IT systems as laid down in the Establishment Regulation and legal basis for the IT systems under the Agency's management</li> </ol>	<p>eu-LISA collates and publishes daily, weekly and monthly statistical data. These reports are distributed to the Member States via the CIRCA website.</p> <p>A meeting was held in June 2013 with SIS II AG staff in Strasbourg to discuss potential improvements to statistical collation and presentation. Improved statistics agreed with the MS. eu-LISA started compiling statistics on the work of the Central Unit of Eurodac from 1st June 2013.</p> <p>At the beginning of 2013, MS had guidelines on the collection of statistics in the SIRENE manual. However, it was suggested that in order to simplify and further align and refine the statistical collection process, a unified template would be provided by the European Commission. COM has not yet agreed to this. The most relevant statistics can be extracted from the central systems with the exception of information regarding hits, which should come directly from Member States.</p>	<p>Continue the timely provision of high-quality, comprehensive and relevant statistics in compliance with the appropriate legal bases.</p>
<b>AS5</b>	<p><b>Monitoring of research</b></p> <ol style="list-style-type: none"> <li>Set up adequate structures to ensure the effective monitoring of research</li> <li>Monitor the developments in research relevant to the operational management of SIS II, VIS, EURODAC and other large-scale IT systems.</li> <li>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>	<p>Based on a proposal by the Executive Director, the Agency Management Board adopted changes in the organisational structure of eu-LISA to enable R &amp; D capabilities to be developed within the organisation. A Research and Development Officer was subsequently recruited and was in post mid-November 2013. A strategic technology monitoring plan has been prepared and agreed upon internally.</p>	<p>The Agency will continue to develop its capabilities in the area of monitoring new and emerging technologies in 2014, in a dialogue with its Advisory groups. Results will be fed into decision-making processes for the evolution of systems under management of the Agency.</p>

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
AS6	<p><b>Logistics building management</b></p> <p>To provide services in the field of building management, facility management and logistics on all Agency sites.</p>	<p>The recruitment for all positions within the Agency's Building and Facilities Management team was completed in 2013.</p> <p>A procedure for the registration of ABAC Assets has been implemented, as has a procedure for the physical tracking of Agency assets.</p> <p>Purchased assets are being registered in ABAC in compliance with the Financial Regulations in force.</p> <p>All building and facilities management tasks for all 3 Agency sites scheduled to be completed in 2013 finalised. Continuous improvement of all eu-LISA premises on-going.</p>	<p>Ensure that the work to make available the new HQ premises in Tallinn remains on schedule and continue to provide efficient Building Management and Facility Management support to existing Tallinn, Strasbourg and St. Johann im Pongau sites.</p> <p>Continued uninterrupted routine operation of logistics.</p>
AS7	<p><b>HR:</b> To develop the Agency's competency framework (recruitment needs, organisational needs, staff development needs).</p>	<p>Internal performance appraisal system (and associated performance appraisal procedures) have been drafted.</p> <p>Thirteen implementing rules (within the legal framework of Paragraph 110 of Staff Rules and Regulations) to be prepared for the Agency's Management Board for adoption by written procedure.</p> <p>The Agency's document management policy was adopted.</p>	<p>Development of a comprehensive HR strategy for the agency.</p>
AS8	<p><b>HR:</b> To recruit and replace staff in relation to the establishment plan and ED decisions.</p>	<p>At the end of 2013, eu-LISA had successfully recruited 129 staff (the current staff profile of the Agency is 120 Temporary Agents, five Contract Agents, four Seconded National Experts and four Interims). This constituted all posts as identified in the Establishment Plan.</p> <p>Exit turnover of the staff was approximately 3 % as four full-time employees left the organisation in 2013.</p>	<p>Maintain stable staff levels of all teams within the Agency and monitor turn-over rates</p> <p>HR to ensure that all posts are filled within 20 weeks from publication of the vacancy notice.</p>
AS9	<p>Administrative support to the Management board</p>	<p>As of December 2012 eu-LISA took over the administrative and logistical support of the Management Board meetings. The Agency provides staff to act as a secretariat for all Management Board meetings and decisions.</p> <p>Four Management Board meetings were held in 2013.</p>	<p>Organisation of two MB meetings during 2014.</p> <p>Provision of effective secretariat services, including logistics, coordination of agenda and timely distribution of supporting documentation.</p>
AS10	<p>Administrative support to the Advisory Groups</p>	<p>As of December 2012, eu-LISA took over the administrative and logistical support of all Advisory Group meetings. The Agency provides staff to act as a secretariat for all Advisory Group meetings and decisions.</p> <p>Fifteen Advisory Group meetings were held in 2013.</p>	<p>Provision of effective secretariat services, including logistics, coordination of agenda and timely distribution of supporting documentation.</p>

## 1.1.7. Procurement and Contracts

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
PC1	<p>1.1-1.2 Further consolidate and re-enforce financial procurement procedures, including ex-ante controls.</p> <p>1.3. To provide proficient advice on procurement procedures to other units of the Agency and to potential contractors and suppliers.</p>	<p>During 2013, the following restructuring and strengthening activities took place within the Agency's procurement function:</p> <ul style="list-style-type: none"> <li>- Redesign of financial circuits workflows;</li> <li>- Redesign of procurement circuits workflows;</li> <li>- Procurement 'Lessons learned' seminars;</li> <li>- Increased formal coordination of activities between Operational and Procurement teams;</li> </ul>	<p>Continued consolidation of Agency's internal procurement procedures.</p> <p>Coordination of all phases of contracting procedure and encourage feedback to ensure continuous improvement of procurement processes.</p>
PC2	To process all invoices/requests for re-imbursements within the set time limits.	<p>During 2013, the Agency's financial procedures and controls were refined and financial systems (ABAC) training for staff in post was undertaken.</p> <p>Part of this consolidation of the Agency's financial circuit has involved defining the appropriate processes and examination of financial data of the invoices/ recoveries/ commitments</p>	<p>Timely payments to suppliers and other relevant parties.</p> <p>Undertake ad hoc periodic analyses of delays with a view to improving the processes.</p>
PC3	To maintain and further develop tailored financial information for Agency management.	Standard Budget performance reporting has been established and further developed in 2013.	Introduce a monthly budget implementation report and monthly overview of payments.
PC4	To contribute to the development, streamlining and implementation of the Agency's procurement policies, whilst ensuring full respect of EU legislation and guidelines.	<p>In 2013 there were a number of initiatives to improve and standardise financial rules and procedures. eu-LISA has implemented internal control standards that set out the minimum requirements for internal control activities within EU institutions and Agencies, including procurement.</p> <p>A standard business case template for project evaluation has been implemented.</p> <p>Business investment review was initiated in Q4 2013.</p>	Undertake periodic internal reviews of procedures, taking account input from users, changes to central procedures or forecasts. Reviews to be undertaken at least annually, with any shortcomings identified and a formal action plan drafted to ensure improvement.
PC5	Fine tuning validation of the Agency's accounting system, including local financial management systems	Eu-LISA uses ABAC/SAP for accounting and all budgetary financial transactions. The system is completely validated at COM level. For the time being, the Agency does not operate additional own sub-systems, tailored to specific operational needs /or exchanging data with ABAC.	The implementation of additional Agency specific sub-systems is not foreseen in the mid-term.

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
<b>PC6</b>	To maintain and present the accounts in accordance with Title VII of the Financial Regulation	<p>Through the year compliance has been ensured with provisions of the Financial Regulation.</p> <p>A new chart of accounts has been developed and implemented to facilitate further development of financial and budgetary management.</p>	Continue to ensure that the accounts comply with all rules in force, 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.
<b>PC7</b>	To implement all internal control standards within the organisation, to perform periodic reviews and to ensure that staff is informed about these standards and other related procedures.	<p>The project to implement Internal Control Starts (ICS) within eu-LISA was initiated in Q1 2013.</p> <p>Following the granting of financial independence to the Agency by the Commission in May 2013, eu-LISA has continued to build and strengthen ICS, putting in place robust processes and procedures to ensure eventual compliance with all 16 standards.</p>	<p>Full implementation of action plan for introduction of all ICS standards within the Agency by the end of 2014.</p> <p>Starts related to financial management should be implemented as early as possible.</p>
<b>PC8</b>	To implement payments, collect revenue, follow-up to notes, VAT and recovery orders.	Objective has been achieved.	Rigorous Treasury policy to be implemented. Funds on bank accounts to correspond to the liquidity requirements of the Agency.
<b>PC9</b>	To demonstrate the ability to assume full financial independence.	Objective has been achieved.	N/A
<b>PC10</b>	Prepare a procurement plan	A procurement and acquisition plan has been prepared and followed regularly throughout the year.	Execute procurement and acquisition plan for 2014 and ensure that regular reviews are undertaken.

## 1.1.8. Security

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
SE1	<p><b>Security</b></p> <p>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 finalised). This will include measures to ensure that members of the staff are fully aware of the basic security rules and procedures related to their activities and that incidents and irregularities are reported.</p>	<p>Security Assurance Framework being developed (requirements, strategy, programme plan, baselines and resources).</p> <p>Agency Security Policy Framework has been agreed upon.</p> <p>Continuous development and improvement of horizontal Agency security related procedures. Procedure for centralised management of accounts in line with the Agency ITSM framework was developed.</p> <p>Participation in the European Council Political &amp; Security Committee where all the EU Agencies are present for gathering security updates.</p> <p>Training for staff on physical security undertaken.</p> <p>Business Continuity Plan for the Agency drafted and adopted by the Management Board in November 2013.</p>	<p>Continuous verification of the functioning of security procedures and action plans to address any issues identified.</p> <p>Business Continuity Plan of the agency to be further developed and tested.</p>
SE2	<p>Ensure that confidentiality and professional secrecy requirements rules for staff working with data in the systems are respected.</p>	<p>Conducted regular security awareness and training activities for Agency staff throughout the reporting period.</p> <p>Other training sessions on handling classified information given to security cleared personnel</p> <p>Access management policy for core systems created. The procedure, templates and workflow are currently under review by ITSM stakeholder.</p> <p>User profiles' groups and privileges have been reviewed and have been better aligned between systems.</p>	<p>Continued information dissemination and training to be provided for staff delivered through the Security Awareness campaign.</p>
SE3	<p>Complete work on the business continuity and disaster recovery plan for the Agency.</p>	<p>Corporate Business Continuity Strategy adopted by the Agency Management Board in December 2013.</p> <p>At the end of Q4 2013, the BCM System (BCMS) Implementation Project for an Agency-wide business continuity plan is at planning stage</p> <p>Short and medium-term updates and adaptations of current business continuity plans are continuing.</p> <p>Training on ISO 22301 and business impact assessments have been procured and will take place in early 2014.</p>	<p>BCMS: Full implementation of Agency business continuity planning process.</p> <p>Periodic rehearsals of BCP to be undertaken throughout 2014.</p> <p>Undertake an integrated desktop exercise for large-scale systems.</p>

Activity Toward Objective in reporting period and deliverables for the next period			
Objective N°	Objective	Activity Toward Objective in 2013	High-level Deliverables for 2014
SE4	To ensure that all security aspects are taken into account in the planning and re-structuring of Agency premises.	<p>The Agency Security Plan and Policy initiated; scope includes relevant physical security objectives and standards.</p> <p>Procurement for upgrades to material and systems in Strasbourg initiated (CCTV and access control), procurement of material for the improvement of physical security in Tallinn initiated and review and specification of physical security measures for Brussels liaison office initiated.</p>	<p>Ensure that that all Agency premises are compliant with the relevant security standards.</p> <p>Put in place and execute action plan(s) to resolve any identified issues.</p>
SE5	Ensure that security measures and security plans for SIS II, VIS and EURODAC for the communications networks related to these systems are fully implemented.	<p>The security team continuously monitors systems security compliance with the security plans through participation in the change management process, MWO meetings and day to day operational meetings.</p> <p>Raised awareness among IT Ops to ensure engagement of a Local Security Officer for any security related matter and in case of escalation, System Security Off.</p> <p>A data access process is now in place to provide assurance on the handling and transfer of system and technical information to the MWO contractors for incident resolution and troubleshooting.</p> <p>The security team participates in the change management process for all core systems as well as for the communications networks.</p> <p>Mated with the technical leadership and coordination of SIS II end-to end security review.</p> <p>Self-assessment of the security posture of the Central SISII completed. Includes a control review and technical vulnerability assessment.</p> <p>Elaborated the security improvements for VIS evolution, requiring a centralised management of system logical resources (Active Directory) and the upgrade of firewalls.</p> <p>Taken over the security aspects of Eurodac locations in Luxembourg, including physical access controls.</p> <p>Security requirements for the secure cloning of the system for the relocation of EURODAC have been submitted to the project team.</p> <p>A security assurance framework consisting of a continuous vulnerability management system and external security assessment services being developed and procured. Security assessment and testing activities will be integrated into the system lifecycle.</p>	<p>Regular reports on compliance with detailed service level definition and annual checks.</p> <p>Annual check of the functioning of BCP procedures and instigate revisions if necessary.</p> <p>Management of crypto keys for TESTA-ng network to be put in place during 2014.</p>

## Annex C: Exception Report

EXCEPTIONTYPE	Financial
SUB-TYPE	Procurement
Description	Security Service
Location	eu-LISA premises Strasbourg
Material	N
Comment	Exception arose as a result of a timing issue in procurement competition due to Agency transition to financial independence in May 2013. DG HOME launched a restricted procurement procedure in late 2012 but it was not finalized before eu-LISA achieved financial independence. To ensure continuity of security services at the Strasbourg site, the Agency exceptionally extended & paid for security services already provided by French Ministry of Interior between 01/05/2013 – 31/08/2013 without finalising the procurement process or having an MoU in place for such services.
Corrective Action Taken	MoU now in place between eu-LISA & French authorities that states that the Agency can request services from the French without being obliged to run a procurement process for such.

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