



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

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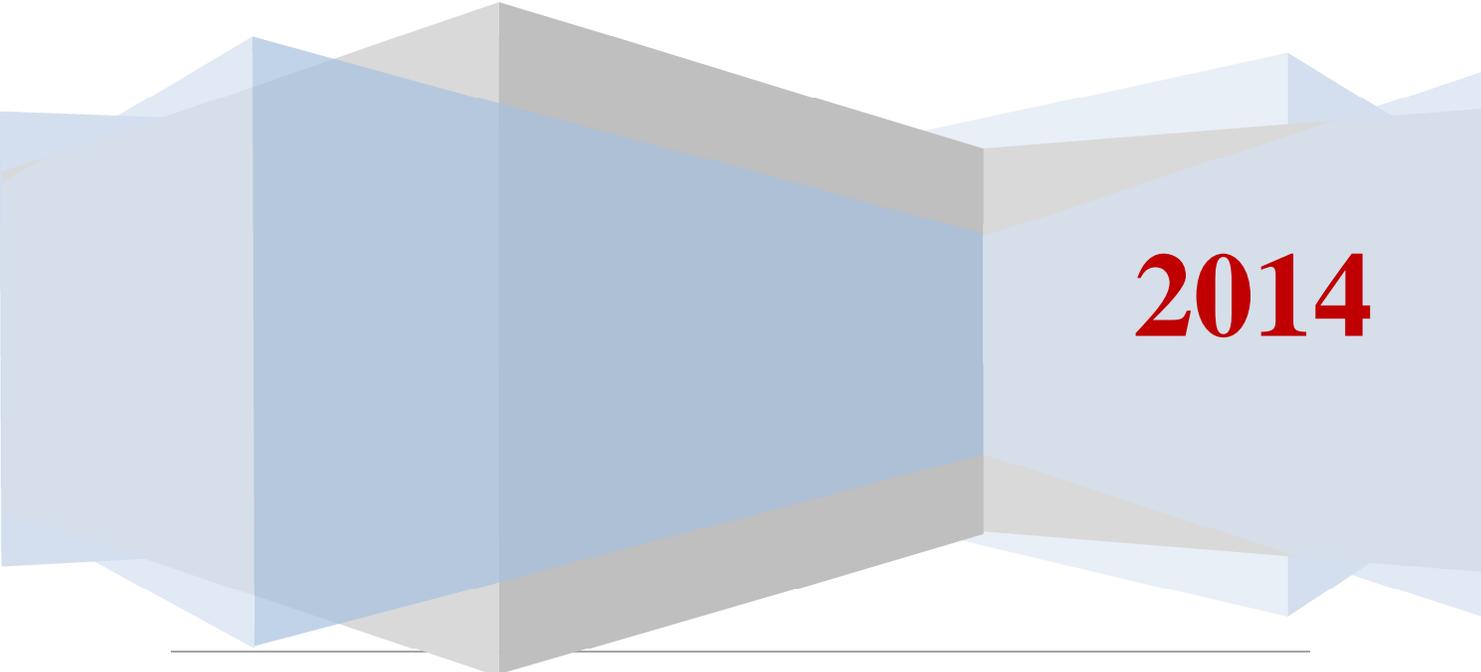
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Subject Work Program 2014 of eu-LISA



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

Work Program



2014

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1. *Executive Summary*

1.1. Overview

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

The purpose of this Annual Work Program is to provide a high level description of the activities to be carried out by the Agency in 2014, translating its strategic goals into particular objectives and tasks and providing a basis for budgetary planning.

The core task of the Agency in 2014 will remain to continue adding value to the Member States¹ through the stable and cost efficient operational management of VIS, SIS II and EURODAC, as well as the further evolution and roll out of the systems in line with the needs of the Member States. In addition, the Agency will plan and carry out activities for the implementation of the new functionalities of EURODAC as per its revised legal basis, as well as preparing to develop, implement or take on board new systems as legal instruments dictate.

The Agency will also continue developing its operational and governance models as well as building its capabilities in developing and implementing new large-scale information systems in this policy area, as provided by the relevant legislative instruments.

A number of economic, political and technological developments will have an important impact on the medium-to-long term strategy of the Agency and the way that this is translated into operational goals for 2014. The continuing climate of austerity within most Member States will continue to have an impact on national budgets. As a result, the judicious use of scarce available resources will remain an item high on the agenda of Member States and continues to result in calls for greater accountability and efficiency in all EU policy areas. The Agency will therefore have to clearly demonstrate the benefits of its expenditure and operations and prove that it can continuously deliver a value proposition to Member States.

The main challenge for the Agency will be to leverage the complexity and capabilities of the systems under management and the structure of the Agency with the high expectations, ambitious objectives and requirements of its stakeholders.

¹ Under the term "Member States" the current document refers to the Member States and Associated Countries which are bound under Union law by the legislative instruments governing the development, establishment, operation and use of all large-scale IT systems managed by the Agency

Of course, a key prerequisite for the Agency to address this challenge and ensure successful implementation of the present Work Program is adequate staffing levels achieved by the end of 2013. In fact, as of December 2013, eu-LISA has met the targets for recruitment laid out in the Establishment Plan 2013.

Migratory flows, both within the EU and toward the EU from third countries, are expected to continue their upward trend in 2014. Therefore the importance of the systems managed by the Agency will continue to grow since they will be the main technological tools to manage the external borders of the EU and to enhance cooperation and collaboration between national authorities. For the same reason it is likely that the political visibility and sensitivity of these systems will also continue to grow.

1.2. Strategic Goals

In order to address the expectations of Member states and to fulfil its core duties according to the Establishing Regulation, the Agency has set itself a number of mid-term strategic goals. They are:

1.2.1. Goal 1: Delivery of the core tasks of the Agency

The ultimate objective for the Agency will be to maintain stable and continuous operations of SIS II, VIS and EURODAC. At the same time the Agency will have to ensure successful delivery of a number of new and on-going projects related to evolution of these systems such as (but not limited to):

- The continuing world-wide roll out of VIS and VIS Mail 2
- The implementation of changes to EURODAC as foreseen in the revised EURODAC Regulation
- The implementation of biometric capabilities to the SIS II²

The Agency may also need to participate in design, development and implementation of new systems such as the Entry/Exit and the Registered Traveller Program systems during 2014. As such, eu-LISA shall develop its planning with regard to the specific infrastructure, staff 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 adoption of such legal instruments and the deadlines for their implementation, the Agency may start the process of their acquisition and procurement of required resources and a detailed implementation plan.

The Agency shall also continue to pro-actively support the Member States' use of existing systems under management with the relevant technical and project/program management expertise as well as targeted training programs on technical and other relevant matters.

² Evolution of the systems is subject of availability of the required legal basis and agreement on priorities with stakeholders.

1.2.2. Goal 2: Continue building a modern, efficient organisation

In 2014 the Agency will continue to develop its organisation. The focus will be on further integration based on its mission, vision and common values. The emphasis will be on different aspects of retention and development of the staff.

Drafting, approving and 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.

1.2.3. Goal 3: Move towards becoming a centre of excellence

In 2014 the Agency will continue its development towards a Centre of Excellence (CoE) in both its operational and governance models. This will be achieved through:

- Further development of the Agency's governance framework based on industry standards for corporate governance of ICT to ensure continuous alignment between business objectives and the capabilities of the Agency
- Further development of the Agency's operational model, to ensure sustainable and cost-efficient operations, following industry standards for IT service management³
- Development of the capabilities of the Agency in the areas of strategic planning, corporate architecture, research and development and program & project management
- The continuous monitoring of infrastructure, services and systems to optimise and improve their Total Cost of Ownership (TCO)
- Further development and integration of internal collaborative tools into the Agency's operational and governance frameworks

1.2.4. Goal 4: Development of relationships with partners

To continue to add value in 2014, the Agency will continue to develop its relationships with its internal stakeholders, external partners and the general public.

The Agency will maintain an open and transparent relationship with the Management Board, the Member States, the European Parliament, the Council and the European Commission, providing regular communication and ensuring visibility regarding status of the operations and the systems. The Agency will also pro-actively and regularly seek for feedback from the Member States regarding the quality of services it provides with a view to identifying opportunities for improvement and/or need for changes to existing service provision. Another important aspect of relationship with the Member States will

³ ITIL/ITSM are considered to be the leading standards that the Agency will use to evolve its operational model

be establishing effective partnerships with the Advisory Groups in order to address operational and strategic issues.

In 2014 the Agency will also seek to develop further its partnerships with other agencies in the relevant policy areas on the basis of memoranda of understanding and cooperation in areas of joint interest. The Agency will seek to exchange experience and knowledge with identified partners, contributing to deployment of common systems and technology platforms and providing services as per the relevant legal instruments in force.

1.3. Operational objectives for 2014

In 2014 the Agency, building on results achieved in 2013, will continue to further develop its operations and services. That development shall 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.

In this context the particular operational goals of the Agency for 2014 are:

1.3.1. Operational objectives under Goal 1

1.3.1.1. Operational Management of the systems

The Agency will continue to perform all necessary tasks for the operational management of SIS II, VIS and EURODAC to ensure their availability 24 hours a day, 7 days per week.

The Agency also will bear responsibility for the oversight and control of the work carried out by its contractors, with regard to both financial and contractual aspects. Specific goals related to the management of these systems are:

- Management of the SLAs for the systems to ensure that service levels are fully met and the quality of services is constantly and accurately monitored and measured
- Supervision and monitoring of work delivered under the maintenance contracts for SIS II, VIS and EURODAC
- To continue the world wide roll for VIS in 2014 in addition to the successful deployment of VIS MAIL 2⁴

⁴ There is no legal provision on the exact duration of the VIS Regional Rollout, as this depends on the Member States and the speed at which they deploy the system. It must therefore be understood that the Decision according to Art. 46 will only be taken when the regional rollout is almost finished and not necessarily at exactly 22 months after the go-live of VIS. Any reference in this document to the abovementioned systems is subject to the adoption of the required legal basis. Further, any reference in this document to the evolution of the SIS II, including the implementation of biometric capabilities, is subject to the adoption of the required legal basis.

- For EURODAC the main objective of the Agency in 2014 will be to ensure successful completion of the migration of the system to Strasbourg and integration into the service model of the Agency following the activities for the successful relocation of EURODAC (scenario no. 4), creating new EURODAC sites in Strasbourg and Austria as clones of the existing system, with associated procurement of new hardware and COTS software.

1.3.1.2. Evolution of the systems⁵

eu-LISA will also deliver all the required tasks for ensuring further evolution of the systems in accordance with the development of their legal basis and the needs of the Member States, in particular:

- Evolution of BMS⁶
- Implementation of required changes in EURODAC in accordance with the recast Regulation
- Further enhancement of the functional capabilities of VIS, SIS II and EURODAC

With regards to the functional evolution of VIS, eu-LISA expects the Member States to implement specific changes in their national systems in order to benefit from the new capabilities of the new central VIS system. eu-LISA will perform an assessment of the scope of the new functionalities in central VIS and will agree on priorities for implementation with the Member States. An impact assessment of the central VIS will be provided to Member States in order to enable them to prepare their own impact assessment for their national systems and to provide the necessary resources and budgets to ensure a successful implementation.

The technical evolution of VIS will continue in 2014 as needed to ensure availability of the system by the MS. At the same time, a technical evolution of the system in its entirety shall take place i.e. of both VIS and BMS.

1.3.1.3. Development and implementation of new systems

The Agency will have the capabilities and capacity to deliver required tasks within entire lifecycle of new projects related to implementation of new systems in accordance with the new legal instruments and needs of the member states. The following are likely to start to come on-stream in 2015, subject to the adoption of the relevant legal basis:

- The Entry/Exit systems (EES)

⁵ Any reference in this document to the evolution of the systems, entitled to the Agency might be subject of the adoption of the required legal basis.

⁶ The technical evolution of VIS will continue in 2014 as needed to ensure availability of the system by the MS. At the same time technical evolution of the system shall be considered in its entirety i.e. VIS and BMS all together

- The Registered Traveller Program system (RTP)

As mentioned above, the specific date for the commencement of development and detailed planning for these systems depends upon the timescale for the adoption of the relevant legal instruments.

In addition to the development of new systems, the Agency will be prepared to continue to take additional responsibilities for other existing systems as per changes and development of their respective legal instruments. However, it should be borne in mind that there will be no concrete development of the EES and RTP before a final agreement on the legal basis for such systems will have to be agreed by the Council and the European Parliament.

1.3.1.4. Security and data protection

The Agency will continue to develop further its general security policy and standards as well as its business continuity and disaster recovery plans for the Agency itself, the systems under its control and the communications network(s) used by these systems.

With this goal in mind, a comprehensive Business Continuity Management Strategy (BCM) was adopted by the Management Board in November 2013. Its aim is to provide the governance framework for the development, implementation and maintenance for business continuity at eu-LISA, specifically for the business processes of the Agency, the infrastructure of the Agency itself as well as the systems which the Agency operates and all related networks and infrastructures which the Agency has an operational responsibility for. The Agency will also carry out any other security tasks as required by the Establishing Regulation or any other relevant legal instrument.

The Agency therefore will implement and monitor the highest standard of personal data protection. Additionally, the Agency will perform bi-annual DP and security internal audits to assess compliance with legal requirements and to identify possible opportunities for improvement and development of internal policies and procedures.

1.3.1.5. Communication infrastructure

In 2014 eu-LISA will continue to be responsible for supervision, security and coordination of relations between the Member States and the network provider for the communication infrastructure for SIS II, EURODAC and VIS (sTESTA network). The Agency will also ensure that any external private-sector network service provider fully respects the security policies in place and delivers to agreed service levels. eu-LISA will also work with the Member States to address the migration of present sTESTA to a new WAN network as required.

As a consequence of this migration, part of the operational tasks performed under sTesta by the network provider will be transferred to eu-LISA. This change will require the implementation of a new service – a Network Operations Centre. The Network Operations Centre will manage the protected part of the communication infrastructure where the SIS II, EURODAC and VIS operational data are transferred in the clear text.

To be able to address the additional requirements caused by the change in the communication infrastructure operational model, the Network Operations Centre will require additional budget and human resources, as the projected increase of workload will be difficult to address within the present staffing levels.

1.3.1.6. Trainings and technical assistance

The Agency will continue to provide training on the technical use of SIS II, VIS and EURODAC to participating national authorities. Based on the agreement reached in 2013 between eu-LISA and the MS with regard to the particular requirements and scope of technical training for VIS and EURODAC, eu-LISA will continue to develop and deliver trainings using its internal resources and in cooperation with other Agencies.

It will also provide training for SIRENE-staff (SIRENE- Supplementary Information Request at the National Entries) and training for Schengen evaluation team members and lead experts on the technical and functional aspects of SIS II.

It should also be mentioned that the Agency has signed an MoU with CEPOL. It establishes areas of cooperation between both agencies to complement the delivery of the respective mandates. Agency will sign a similar MoU with FRONTEX in the course of 2014.

Technical assistance, provided to the Member States by the Agency will include assistance to new and existing Member States to achieve technical readiness for integration of their systems with SIS II and VIS. Actual integration will only go ahead once any outstanding political issues are resolved and the respective decision of the Council is adopted. In addition to systems training, technical assistance will also include program/project management services.

1.3.2. Operational objectives under Goal 2

Professional and career development of its staff will be a central component of the consolidation of the organisation's activities in 2014. In order to maximise the potential of the Agency's staff, a process to regularly evaluate and improve their professional capabilities, manage career paths and provide for their training needs will be put in place. Key components of this model will be:

1.3.2.1. Staff development

- Implementation of a career path framework based on the consolidated IT service model of the Agency;
 - Standardise job roles across teams to facilitate internal staff movement and regular assessment of professional capabilities and staffing requirements
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- Development of job families to organise IT services staff into similar functional groups
- Regular reviews of staffing and training needs

1.3.2.2. Training

- Building of standard training plans for each functional role and group
- Maximise the use of existing training resources including existing vendors
- Implement innovative training models, such as a train-the-trainer approach and 'product champions' to make trainings of larger groups of the staff

1.3.2.3. Financial management, procurement, logistics and administration

The Agency will develop further its internal financial processes and procedures, taking a pro-active approach to ensure continued transparent and efficient management of financial resources.

The Agency will manage all procurement activities on the basis of a procurement plan which will be communicated to the Management Board. The Management Board will also be informed of key calls for tenders. The Advisory Groups shall also be involved in procurement activities related to the maintenance and evolution of the systems under the management of the Agency. Member State experts may be invited on a case-by-case basis to provide technical expertise for the definition of tender documents and procedures.

Key priorities in the area of facility management and logistics will be to ensure that work on the permanent premises in Tallinn and works on the further development of the technical site in Strasbourg remain fully on track. However, their progress is not entirely within the gift of the Agency and will depend to a degree on external factors and developments in 2013 such as (a) the decision of the Estonian Government regarding location of the permanent building of the Agency; and (b) the approval of the file for development of Strasbourg technical site by the European Parliament and the Council.

1.3.3. Operational objectives under Goal 3

1.3.3.1. Corporate governance of IT

In 2013 the main focus for those developing the Agency's corporate governance framework was the development of a suitable approach, identification of relevant business objectives, outlining a suitable roadmap and commencing its implementation.

In 2014 the Agency will continue the implementation and development of its governance model. The focus will be on the continued implementation of the roadmap alongside with the creation of relevant performance indicators for the Agency's corporate services and technical activities.

In addition, the Agency will continue development of its internal infrastructure with an emphasis on internal IT systems, management reporting and collaboration tools.

1.3.3.2. Service model

In 2014 the Agency will continue with implementation of ITIL/ITSM implementation roadmap. The focus will be moved from quick wins and improvement towards development and implementation of the end-to-end process framework as a main driver of operational cost-efficiency. An important aspect of evolution of the service model will be further consolidation and standardisation of existing service management tools.

1.3.3.3. Research and development activities

The Agency will continue to develop its capabilities in the area of monitoring and research on new and emerging technologies in 2014. Results of that monitoring will be fed into decision-making process for the evolution of systems under management of the Agency, updating and improving both its technical and business processes. The governance framework will provide the toolset for the evaluation and focus of the R & D activities towards meeting the business objectives of the Agency.

1.3.3.4. Monitoring, reporting and Statistics

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

The following reports for the systems under management will be provided in 2014:

- Report on the technical functioning of the VIS, including the security thereof, pursuant to Article 50(3) of the VIS Regulation
- EURODAC: the 2013 annual report on the activities of the Central Unit of Eurodac pursuant to Article 24(1) of Regulation (EC) No 2725/2000 (Jan/Feb 2014)
- EURODAC: provision of regular quarterly statistical reporting returns concerning the work of the Central Unit of Eurodac (pursuant to Article 3(3) of Regulation (EC) No 2725/2000)
- SIS II: annual publication of MS user statistics related to SIS II pursuant to Article 50(3) of Regulation (EC) No 1987/2006 and Article 66(3) of Decision 2007/533/JHA respectively; (Jan/Feb 2014).

1.3.4. Operational objectives under Goal 4

1.3.4.1. Cooperation with other Agencies

In 2014 the Agency will also seek to develop further its partnerships with other agencies in the relevant policy area (i.e. EUROPOL, FRONTEX, EASO, EUROJUST, ENISA, CEPOL, FRA & EDPS) on the basis of formal memoranda of understanding and cooperation in areas of joint interest. The Agency will seek to exchange experience and knowledge with identified partners, contributing to deployment of common systems & technology platforms and providing services as per the relevant legal instruments in force.. In implementation of common initiatives and projects with its partners, the Agency will always take account of the security and data protection matters as well as of the EU Information Management Strategy and the developments with the European Information Exchange Model.

1.3.4.2.Communication

The efforts of the Agency in 2014 in this field will be driven by its External Communication strategy approved by the Management Board in November 2013. Internally, the Agency will use various communication channels to strengthen the organisation and promote its mission and values. Externally, the Agency will focus its efforts to provide the general public with regular information regarding its activities, and emphasise the value added to the European citizens of the Agency's work. In addition, the Agency will organise and/or contribute to specific information campaigns as required.

Specific emphasis will also be focused on regular and comprehensive communication with the Member States and the Management Board with regards to the progress of implementation of the Work Program as a whole and specific strategic projects and activities in particular.

1.3.4.3.Support to the Management Board and to the Advisory groups

The Agency will provide continuous administrative and logistic support to the Management Board and to the work of the Advisory Groups through the Secretariat of the Board. The Management Board will continue to ensure that the Agency delivers the tasks and results as laid down in the Establishing Regulation, in the most cost effective way, taking into account the medium-term strategic goals of the Agency. In addition to the approval of standard documents in the annual budgetary and planning lifecycle, specific matters to be followed up by the Management Board in 2014 will include matters relating to the development of the permanent premises of the Agency in Tallinn and the development of the technical site in Strasbourg. In 2014, the Advisory Groups will continue to provide support for the Management Board to adopt the Work Program 2015 and the Activity Report for 2013 as well as on technical matters related to the evolution and further development of the existing systems.

The Agency will continue its pro-active engagement with the Advisory Groups, providing required administrative and logistic support to them and partnering with them in addressing key operational and strategic issues related to the systems.

1.3.5. Key risks and key success factors

The Work Program for 2014 expands further upon results achieved in 2013. The mid-term objectives of the Agency and expectations of its stakeholders have set a high standard in terms of the Agency's deliverables and the deadlines within which they are to be achieved. Given the complexity of systems and services managed by the Agency, this has meant taking a pro-active and vigilant approach to the management of identified risks and issues that have the potential to impede the delivery of its objectives

Some of those risks are:

- Insufficient staff due to the new tasks assigned to the Agency
- High turnover of the staff
- Frequent changes in priorities and service demand through the year
- Budget 2014 significantly deviates from the forecast
- Delay in construction works in Strasbourg

To address, monitor and manage these and all remaining risks, a separate Risk Management Plan will be developed and implemented.

An important general mitigation of key risks are the key success factors that will facilitate the implementation of the work program and its operational goals if delivered successfully. Some of those factors are:

- Ensuring the Management Board's satisfaction and engagement
- Developing a close relationship with and getting full support from the Advisory Groups
- Ensuring transparent collaboration, relationship and engagement with the Member States and the European Commission
- Providing leadership commitment and engagement of staff to achieve priorities in the work program
- Ensuring availability of adequate resources and the necessary infrastructure

1.3.6. Implementation approach

In order to ensure smooth implementation of the Work Program and achievement of operational goals, the process of implementation will be managed via an Implementation Plan. The Implementation Plan shall provide key milestones for each goal, assign specific tasks, allocate the required resources and define the ownership, roles and responsibilities for individual tasks. The engagement and buy-in of all staff is a pre-requisite for the successful implementation of the Action Plan.

Oversight and control of the implementation plan will be developed on two levels; internally, the Agency will perform regular 2 weekly progress reviews. Regular monthly reports on the implementation of the Action Plan shall also be provided to the Management Board.

In addition, the Action Plan will be reviewed on regular and ad-hoc basis during the year and adjusted as requirements and circumstances dictate.

2. General Part

2.1. Introduction

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

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

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

This Work Program and its implementation are therefore closely linked to the preparation and implementation of the Agency's Draft Budget for 2014, justifying the allocation of means to specific titles, chapters and articles.

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

The present Work Program describes the tasks of the Agency in 2014, with a view to:

- Continuous delivery of the core tasks for operational management of the IT systems under its responsibility and development and implementation of new systems as provided by the relevant legal instruments
- Fully implementing the legal provisions related to the IT systems under control of the Agency
- Further development and consolidation of the organisation and its operational and governance models

2.2. Mission and Vision of the Agency

Within the broader context of its mandate, the Agency's core mission is to be dedicated to continuously add value to the Member States, supporting through technology their efforts for safer Europe.

The Agency is a trustworthy contributor to success of the policies in the area of justice, security and freedom, fully respected and supported by the Member States. It

pro-actively supports cooperation and information exchange between law enforcement bodies responsible for the internal security at EU level. In its operations the Agency respects fundamental rights of citizens and highest standards of security and data protection. Within the framework of the EU Internal Security Strategy the Agency also focuses its operational activities on pro-active contribution of security and free movement of people in and to the Schengen Area, targeting organised crime at the external borders.

Mission of the Agency is implemented through the vision for the organisation which comprises:

- ***Providing high quality and efficient services and solutions***
- ***Earning trust, continuously aligning capabilities of technology with evolving needs of the Member States***
- ***Growing as Centre of excellence***

2.3. Values and guiding implementation principles

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

- ***Integrity***, ensuring that the Agency will make the best use of expertise, knowledge and investments made by the Member states and will continue to develop them
- ***Accountability***, deploying sound governance framework, 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 define long-term strategy for 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
- ***Teamwork***, empowering each individual team member to make the best use of his knowledge and experience, contributing to the common success

These values are reflected into the guiding implementation principles for the present Work Program. The principles are:

- The Agency recognises people as its biggest asset and constantly looks to attract, retain and develop highly qualified professionals who will share the values of the Agency and who will be motivated and committed to achieve its mission and objectives
 - The Agency builds its success through an effective and open stakeholder engagement with the Member States and the EU institutions, which contributes to the achievement of common goals
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- The Agency builds and maintains credibility with its partners and stakeholders in the EU through the successes and professional capabilities of its team
- The Agency will strive to promote operational excellence through the provision of high quality services and solutions to the Member States, which is aligned with their needs and priorities. The highest standards of data protection and security will be embedded in operations in order to promote mutual trust
- The Agency will apply principles of good governance and cost-effectiveness to conduct its business operations. In addition, the Agency will ensure full compliance with the security and data protection provisions applicable to the systems under its management.

2.4. Policy context and strategic outlook

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

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

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

A number of economic, political and technological developments will have an important impact on the medium-to long term strategy of the Agency and the way that this is translated into operational goals for 2014.

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

A number of political and societal phenomena will also continue to impact on the environment of the IT systems managed by the Agency. Political developments in neighbouring third countries over the last year, in particular the instability in certain North African countries and the Middle East, led to mass influxes of persons at the

southern borders of the EU and, more generally, new trends and challenges in the migratory flows towards the Union. These developments have significantly increased the visibility of external border management questions, highlighting the importance of having effective systems for controlling the borders, maintaining security, effectively managing asylum applications and implementing visa-issuing processes.

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

Looking further forward, the Agency should continue to assist present Member States with their preparations for achieving technical readiness for integrating into SIS II and VIS as required. The actual integration of any member state into these systems may only go ahead once the outstanding political issues related to its application of the Schengen *acquis* provisions have been resolved. It is envisaged that a number of other Member States will also require assistance with technical matters related to their future integration into SIS II.

The complex framework of the IT systems managed by the Agency, both in terms of the number of stakeholders and the variable geometry⁷ whereby certain Member States will not be able to vote in the Management Board of the Agency on matters concerning certain systems, require complex and functionally effective governance structures. This point applies in particular to the UK and Ireland, which will probably integrate into SIS II and VIS from 2014 onwards. The Agency must continue to consolidate its organisation and teams and demonstrate its ability to deliver on the needs of stakeholders, whilst taking full account of EU interests and priorities.

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

As described in further detail in the point below, the Agency is highly likely to be entrusted with the development and management of new IT systems, in particular the Registered Traveller Program and an Entry Exit system, for which legal instruments

⁷ The legal frameworks of SIS II, VIS and EURODAC are characterized by variable geometry, a term used to denote the fact that certain Member States either do not participate at all in one or several of the systems, or only participate partially. For example, Ireland and the United Kingdom participate in EURODAC but are only involved in SIS II for ex third pillar aspects, not for free movement aspects. These two Member States do not participate in VIS. Denmark on the other hand is involved in SIS II and VIS ex first pillar instruments under international law and in EURODAC under an international agreement. A number of non-EU countries, namely Iceland, Norway, Switzerland and Liechtenstein are associated with the implementation, application and development of the Schengen *acquis* and therefore participate both in SIS II and VIS. They are also associated with the implementation of EURODAC related measures and participate in EURODAC.

should have been adopted in 2013. Other systems beyond the area of border management, such as tools for data exchange for combating cross-border crime, could also eventually be taken up by the Agency in the medium-term.

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

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

Stakeholders already have a number of clearly identified expectations for future enhancements to the IT systems that are managed by the Agency. For example, one key task of the Agency in 2014 will be to ensure timely implementation of the recast EUODAC Regulation.

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

By the start of 2014 the Agency is expected to have established its operational basic model related to the operational management of SIS II, VIS and EUODAC, ensuring that they operate continuously 24/7 and develop this model further throughout the year.

2.5. Mid-term strategic goals of the Agency

The strategic goals for the Agency for the period 2014-2020 and beyond are described below. They reflect the policy context outlined in the previous chapter and priorities of the Agency as defined in dialogue with the Member States. The strategic goals are subject of regular reviews and evolution as required.

2.5.1. Strategic Goal 1: Delivery of the core tasks of the Agency

The Agency will develop further its operational model in order to maintain stable and continuous operations of SIS II, VIS and EURODAC, ensuring delivery of the tasks related to accomplishment of on-going work and evolution of these systems. In addition, the Agency will take additional responsibilities for development and implementation of new systems as the appropriate legal instruments dictate as well as it will pro-actively support Member States through the whole life cycle of use of the systems under control of the Agency.

The Agency will continue to be responsible for operational management of the VIS, SIS II and EURODAC in 2014. Its responsibilities will include all the tasks necessary to keep the systems functioning 24 hours a day, seven days a week in accordance with their legal framework and Establishing Regulation of the Agency. A key component of these activities will be the maintenance work and technical developments necessary to ensure that the systems function at a satisfactory level of operational quality and are aligned with the needs of the Member States. The Agency will also provide assistance to the present Members States to achieve technical readiness for integration of their national systems with SIS II, VIS or EURODAC once all political issues related to their application of the Schengen *acquis* provisions have been resolved.

The Agency will also deliver required tasks to accomplish roll out of VIS and of VIS Mail Phase 2 if they are not concluded in 2013.⁸

With regards to EURODAC, the Agency will continue implementation of the changes in the system as per the recast Regulation, which was adopted in 2013.

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

The Agency will look ahead, in order to anticipate the general implications of additional IT systems that it may be required to develop or take on board and manage in the medium term. It will be also be capable to provide input as required to decision-making at Commission level regarding staff, budget and infrastructure matters as well as regarding capabilities of technology to support respective existing and new legal instruments. The Agency will also ensure that there is enough flexibility in its internal organisation to take the initial implementation steps as soon as possible after the relevant legal bases are adopted.

⁸ There is no legal provision on the exact duration of the VIS Regional Rollout, as this depends on the Member States and the speed at which they deploy the system. It must therefore be understood that the Decision according to Art. 46 will only be taken when the regional rollout is almost finished and not necessarily at exactly 22 months after the go-live of VIS.

Immediate priority with regards to the possible new systems will be the Entry Exit system and Registered Traveller Program. Further development in these areas will however depend on the progress toward adoption of the respective legal instruments.

2.5.2. Strategic Goal 2: Continue building a modern, efficient organisation

The Agency will focus its efforts on professional and career development of its staff. At the same time it will continue the development of the organisation based on the mission, vision and the values of the Agency. Another pillar shall be the adoption & implementation of the Multi-annual strategy of the Agency for 2014-2020

As envisaged in the 2013 Agency's Establishment Plan, at the end of 2013, the Agency shall be fully staffed with total number of staff of 120 people. Nevertheless due to particular difficulties to recruit staff for the Headquarters in Tallinn, there may be a requirement to continue recruitment processes in 2014. Those difficulties are mostly related to the correction coefficient in Tallinn applicable to the staff remuneration.

However, there is no provision within the Agency's 2014 budget for additional personnel. Given the additional tasks attached to the Agency in 2014, there is clear risk for a shortfall in available resource to carry out all planned tasks."

The Agency will also continue to monitor and develop its administrative and business processes, in line with changes to EU procedures and regulations.

In 2014 the Agency shall aim also to attain high level of motivation and expertise in the organisation. Training of the Agency's staff will be a key priority. To make the best use of available resources individual training programs will be aligned with roles in the organisation and the individual needs of the staff members. Training will be delivered using various methods; from self-led training to 'train-the-trainers' sessions and more formal trainings, using partnerships with other agencies and external organisations for delivery. Specific attention will be paid to development of the management team of the Agency.

With a view to continue integration of the organisation, in 2014 the Agency will develop team building activities as well as on internal initiatives providing opportunities for the staff to work across the different sites.

The Agency will aim to develop and implement of a career path framework based on its consolidated IT service model. This will include standardised job roles across teams, development of job families and functional groups, regular reviews of staffing and training needs.

Another important element of the efficient governance at the Agency will be attaining a high level of expertise on procurement and contractual matters and further development of this expertise through formal trainings, information and experience exchange and maintenance of staff awareness regarding rules and procedures in place. The Agency will also exchange good practices and experience with other agencies as well as will employ advisory services as required.

It is envisaged that work delivered under Strategic Goal 2 will facilitate the alignment of business needs to the technical capabilities of the Agency.

2.5.3. Strategic Goal 3: Move towards becoming a centre of excellence

The Agency shall aim at implementing of comprehensive operational and governance frameworks based on industry standards, they will ensure efficient and cost-effective operations of the systems by continuously monitoring and evolving the operational processes, seeking for opportunities to optimise and improve Total Cost of Ownership of the existing systems and further building of the strategic capabilities of the Agency

Building on the initial blocks of the centre of excellence model developed in 2013, the Agency will continue to develop its governance and operations to ensure continuous alignment of technology and capabilities with business goals and demand from the Member States. In that way the Agency will continuously deliver added value through technology to the Member States. This will be achieved via implementation of the roadmap, defined in 2013 for implementation of Corporate Governance of ICT⁹. It will entail further implementation of the essential maturity levels of the COBIT¹⁰ framework (or another appropriate governance framework)¹¹ for IT governance in 2014.

The Agency will also continue activities to develop its operational model. It will accommodate the standards and best practices in IT service management from ITIL/ITSM¹², focusing in particular (but not limiting itself to) the operational management of the IT systems.

A further important element in development of Agency's Governance Model will be work towards the implementation of a quality management system, with a view to adopting and implementing the ISO 9001 standard in the medium to long term.

A key element in evolution of the Agency's governance model will be maintenance and further development of the internal control standards, in accordance with the existing standards and good practices of the European Commission and Corporate governance in the public sector. These standards will enable the Agency to continuously ensure that:

⁹ A management concept which seeks to align the process and organisation of strategic and operational planning for ICT with the strategic business planning in the organisation thus maximizing the value added to the business from their IT-enabled investments and operations.

¹⁰ Control objectives for information and related technology (COBIT) is a framework created by ISACA in order to support governance of IT by defining and aligning business goals with IT goals and IT processes. It is a supporting toolset that allows managers to bridge the gap between control requirements, technical issues and business risks. COBIT defines 34 generic processes to manage IT, together with their respective process inputs and outputs, key process activities, objectives, performance measures and an elementary maturity model.

¹¹ In the last decade other comprehensive governance frameworks for ICT were introduced and evolved such as PASS 99, Calder-Moir as well as the New Joint Governance Framework (NJGF), combining the best elements from other common governance frameworks. The Agency will chose the governance model that suits best its mission and goals.

¹² ITIL is a set of practices for IT service management (ITSM) that focuses on aligning IT services with the needs of business. In its current form (ITILv3 / ITIL 2011 edition), it consists of five core publications, each of which covers an ITSM lifecycle stage. ITILv3 underpins ISO/IEC 20000, the International Service Management Standard for IT service management, although differences between the two frameworks do exist.

- Operational activities are effective and efficient
- Full compliance with legal and regulatory requirements
- Financial and other management reporting is accurate & timely
- Assets and information are safeguarded

It will be also important for the Agency to bring together research & development activities and that such developments are reflected in the operations and evolution of the systems under management. This will be achieved through consolidation of the Agency's organisation, human resources and internal management processes to take into account the results of the Agency's 'technology watch' and the structured monitoring of new and forthcoming technological and economic developments. The Agency will also actively participate in networking and expertise-sharing activities with other agencies and external partners as well as establishing public-private partnerships where appropriate.

The main driver of decisions for the implementation of new technologies and solutions will be the further improvement of cost-efficiency of operations and improving capabilities of the systems and services provided. To assess and implement new technologies and solutions, the Agency will cooperate closely with its stakeholders and particularly with the respective Advisory Groups concerned.

Knowledge is one of the most important assets of the Agency. The optimisation of its management alongside with sharing experience and good practice in the organisation will be an important driver of efficiency. Having proper knowledge management processes in place will enable the Agency to feed the results of research and development activities into decision-making process and operations, including requirements definitions, specifications and procurement/tender procedures. Given the nature of the systems managed by the Agency and the lead time for implementing changes, largely due to budgetary and procurement formalities, the most important impact on end users is likely to occur in the medium term and, in particular, for the first generation of systems to be developed by the Agency.

In accordance with the provisions of Art 12(1) h, of the Establishing Regulation, the Management Board of the Agency shall adopt a multi-annual work program¹³ on the basis of a draft submitted by the Executive Director and after consulting the Advisory Groups. Building on the developments in 2013, the activities related to development, adoption and implementation of the Multi-annual work program 2014-2020 shall continue in 2014th.

2.5.4. Strategic Goal 4: Establish and develop relationships with partners

The Agency shall further develop internal and external partnerships as well as its internal and external communications with its stakeholders. .

¹³ Although it is not explicitly mentioned in the Establishing Regulation, in 2013 the Agency will develop its long-term strategy for the period 2014-2020. The Multi-annual work program will be based on the Strategy for the Agency discussed and adopted by the Management Board.

In 2014 the Agency will continue to cooperate with other agencies in the policy area of freedom, security and justice. Cooperation will be based on Memoranda of Understanding, the aim of which will be that the Agency (a) learns from the past experience of the other agencies; (b) exchanges experience and good practice in both operations and governance; and (c) develops initiative, procedures and projects of common interest.

The key guiding principles of partnership with other agencies will be (a) value added to the Member States; (b) mutual benefits; and (c) complementarity.

Particular activities related to cooperation with individual agencies will be reflected in an annual action plan. The communication activities shall be organised in accordance with the Communication Strategy of the Agency.

Internal communication will be one of the main tools for further development and integration of the organisation. It will utilise different channels and methods of delivery and will include actions to ensure that that mission, vision and corporate values as well as strive towards technical and organisational excellence in the most cost effective way is firmly embedded in the organisational culture.

External communication activities of the Agency will aim to show that the Agency is providing added value to the Member States through the systems and services it provides. The Agency will organise communications activities on its own initiative in the fields within its tasks, using its own communication channels as well as contributing to the broader communication activities and initiatives of other bodies. At the same time, the Agency shall comply with its legal tasks on the publication of certain types of information, including lists of national authorities which have the right to access or use data in the IT systems managed by the Agency and any updates to such lists.

The Agency will aim to develop good working partnerships with the private sector to facilitate achievement of some of the strategic goals of the organisation related to operational excellence and research and development in particular.

The Agency shall continue to support work of its Management Board and the Advisory Groups through the year as required.

2.6. Key operational objectives

This section describes the main operational objectives of the Agency in 2014. The specific operational objectives in section 2.10 go into further detail, defining specific tasks and a clear link to expected deliverables and results, covering also a number of administrative tasks that might not be covered below.

Performance indicators for most of these specific objectives, in particular those not related to the management of the systems, the communication infrastructure or security, are provided directly in section 2.10. This applies in particular for administrative, corporate services and coordination tasks.

The Service Level Agreements (SLA) between the Agency and the Member States for operational management of the systems, the communication infrastructure and security, once approved by the Management board in 2013, will be regularly

monitored and developed to meet at any point of time through the year needs of the Member States. The Key Performance Indicators defined in the SLAs will be subject of regular reviews to guarantee compliance with service levels and with requirements¹⁴. eu-LISA will inform the relevant Advisory Group regarding delivery against agreed SLAs.

The main priority for the Agency in 2014 will be further development of the operational and governance models of the Agency, to ensure cost effective operations.

Since stakeholders of the Agency require stable and consistent service levels as well as particular results to be delivered, in 2014 priorities in this program have been set following an extensive dialogue with them. Advisory Groups and Member States were consulted concerning the 2014 Work Programme, reviewing the document further and providing discussion and suggested amendments before adoption by the Management Board in its meeting in March 2013. Further, the opinions of the MB have been taken into account in establishing the priorities in the 2014 Work Program. Therefore, the portfolio of deliverables and services outlined in the present Work Program provides a balance between stakeholders' needs, the outcome of the initial risk analysis exercise and the need to respect the fundamental requirements laid down in the Establishing Regulation for the Agency and the legal bases for the systems under which it shall operate.

The objective of integrating new or existing member states is covered for each individual system in point 2.10.2.

2.6.1. Operational objectives under Strategic Goal 1

2.6.1.1. Operational Management of the systems

Although the operational management of the systems is being reviewed separately, in the sections below in more detail, it is worth noting here that the Agency will operate a unified service model for all systems as one of the main drivers for cost-efficiency and continuity of the operations. The Agency will follow the ITIL/ITSM implementation roadmap designed in 2013 with regards to evolution of its operational model.

In addition, the Agency will launch further activities to homogenise the data centre environment, reduce complexity and streamline the operational management, thereby improving availability, reliability and performance and providing overall end-user satisfaction. To this end the Agency aims to:

- Take a holistic, operational view across all its data centre environments to deliver reliable services;
- Simplify and automate to the extent possible processes combined with centralised management to increase operational efficiency; and

¹⁴ With respect to VIS and EURODAC, the communication infrastructure and security, the Agency will have to maintain at least the level of service that was in place prior 1.12.2012. It will also guarantee an equivalent service level for SIS II.

- Provide a flexible and agile IT capabilities to match IT capacity with business demands.

Maintaining the highest level of security, safety and reliability, the Agency will ensure a complete separation of data in the three systems currently under its management and ensure that rigorous security and data protection requirements are fully and consistently met.

2.6.1.1.1.SIS II

In 2014 SIS II will be in its early stage of operations and will require therefore significant effort for monitoring, operational management and resolution of incidents. The Agency will carry out all necessary activities to ensure stability and continuity of operations of SIS II. These will include (but might not be limited to) operational management of the system, resolution of incidents, support to the Member States using the system, supervision of the work delivered by the selected contractor under the maintenance contract and technology research and development activities related to this system.

From May 2013 when SIS II entered into operations, the Agency is now responsible for the operational management of Central SIS II, taking over the tasks conferred on the Management Authority by Regulation (EC) No 1987/2006 and Decision 2007/533/JHA.

In 2014, the Agency will continue to deliver all the tasks necessary to keep Central SIS II functioning 24 hours a day, 7 days a week in accordance with the above-mentioned legal instruments, in particular the maintenance of the system, resolution of incidents and technical developments necessary for the smooth running of the system.

The Agency will move toward full implementation of the 2013 Service model to ensure that system availability remains high. In particular, the Agency will focus its efforts in the following areas:

- SIS II Service Operations, to ensure smooth delivery of core processes for incident management, problem management and event management
- SIS II Service Transition processes evolution, including Change Management, Release and Deployment Management and Configuration Management.

The Agency will also ensure that proper SLA management and Availability management processes are in place and followed.

The Agency will also provide assistance to existing and new Member States in order or them to achieve technical readiness for the integration of their national systems with SIS II as required. The actual integration of each individual country will only go ahead once the outstanding political issues related to the application of the Schengen *acquis* provisions have been resolved. Potential candidates for technical assistance are Cyprus, Ireland, the United Kingdom and Croatia which are expected to start using SIS II in the course of from 2014 onwards

In 2014, the Agency shall ensure the smooth implementation of the work under the maintenance contract for SIS II and especially that the contractor delivers according to agreed deadlines and the requisite quality requirements.

In 2014 the Agency will continue to provide to the Member States specific technical training programs and program/project management services as required.

One priority area to examine, with a view to making future technological enhancements to SIS II, will be biometrics. Initially photographs and fingerprints will only be used to confirm the identity of a person who has been located as the result of an alphanumeric search made in SIS II. However, the SIS II legal instruments also specifies that, as soon as it becomes technically possible, fingerprints may also be used to identify such a person on the basis of his/her biometric identifier¹⁵. The Commission is required by the legal bases to present a report on this matter. The Agency is prepared to contribute to this report if required.

See also specific operational objective DEV2. Reporting obligations for SIS II are covered in objective OPI 6.1 in section 2.6.6, research and development activities are covered in objective GC2 and training of NS.SIS and SIRENE staff is covered in 2.10.4, objectives and specific objectives GC8 and 9.

2.6.1.1.2.VIS

In 2014 the Agency will be responsible for the operational management of the VIS/BMS, ensuring stability and continuity of operations. It will also be responsible for ensuring the technical capabilities of the system to support world-wide operations. The Agency will also supervise and monitor the work under the contract for technical maintenance of VIS and will be responsible for the technical evolution of this contract to upgrade the VIS. The Agency will also ensure completion of the activities for rendering operational VIS MAIL 2 and integrating new Member States.

The Agency will be responsible for operational management of VIS. This will include all the tasks necessary to keep VIS functioning 24 hours a day, 7 days a week in accordance with the relevant Regulation. A key component of these activities will be the maintenance work and technical developments necessary to ensure that the system functions at a satisfactory level of operational quality, in particular with regard to the time required for interrogation of the central database by consular posts, which should be as short as possible.

The Agency will further evolve its service model to ensure that it is aligned at all times with requirements for high availability of the system. In particular, the Agency will focus its efforts in the following areas:

¹⁵ Article 22 b) and c) of the SIS II Regulation and Decision. Before this functionality is implemented in SIS II, the Commission shall present a report on the availability and readiness of the required technology on which the European Parliament shall be consulted.

- VIS Service Operations processes, to ensure smooth delivery and evolution of core processes for incident management, problem management and event management
- VIS Service Transition processes evolution, including Change Management, Release & Deployment Management, Configuration Management

The Agency will also ensure that proper SLA management and availability management processes are in place and followed.

The Agency will also provide assistance to existing and new Member States in achieving technical readiness for integration of their national systems with VIS as required. The actual integration of each individual country into the system may only go ahead once the outstanding political issues related to the application of the Schengen *acquis* provisions have been resolved.

The Agency will be ready to deliver additionally required tasks and continue the VIS roll out in 2014 if required. VIS Mail Phase 2 is due to be ready by the end of October 2013, which should coincide with the finalisation of the roll-out of VIS in all regions the Agency will be prepared to continue VIS MAIL 2 roll-out to completion into 2014.

With respect to financial management, the Agency will continue to supervise and monitor the work under the contract for maintaining VIS. It will also take over responsibility for work under this contract for VIS evolution. Its main overall objective will be to keep the system aligned with need of the Member States.

See also specific operational objective DEV3 in section 2.10.2. Monitoring, reporting and statistics activities are described in point 2.6.6, objectives OPI 4, 5 & 6 and research and development is covered in objective GC1

2.6.1.1.3.EURODAC

In 2014 the Agency will become responsible for the operation of the EURODAC central database on behalf of the Member States in compliance with the provisions of the EURODAC Regulation. At the same time the Agency shall deliver required tasks to conclude implementation of the changes in the system foreseen in the recast Regulation.¹⁶ The Agency will also provide supervision of any work carried out by contractors for the maintenance and evolution of the system.

The Agency will be responsible for the operation of the EURODAC central database on behalf of the Member States, in conformity with the provisions of the EURODAC Regulation¹⁷.

¹⁶ It is expected that changes in the EURODAC Regulation will be adopted in the first quarter of 2013.

¹⁷ Regulations (EC) No 2725/2000 and (EC) No 407/2002.

In 2014 the Agency will continue to deliver all the tasks necessary to keep EURODAC Central database functioning 24 hours a day, 7 days a week in accordance with the above-mentioned legal instrument, in particular the maintenance of the system, resolution of incidents and technical developments necessary for the smooth running of the system. This will also include supervision of contractors' work related to maintenance of the system according to existing maintenance contract(s).

The Agency will continue the integration of EURODAC in its service model, which started in 2013, to ensure high availability of the system to its users. In particular, the Agency will focus its efforts in the following areas:

- EURODAC Service Operations, to ensure smooth delivery of core processes for incident management, problem management and event management
- EURODAC Service Transition processes evolution, including Change Management, Release & Deployment Management & Configuration Management

The Agency will also ensure that proper SLA management and availability management processes are in place and followed.

The Agency will aim to conclude the implementation of the changes foreseen in the Recast Regulation, making sure that the technical changes will make optimal use of new technologies and operational processes.

The Agency will also provide assistance to existing and new Member States in achieving technical readiness to access EURODAC as required. Integration of each individual country may only go ahead once the outstanding political issues related to the application of respective legal instruments have been resolved.

The key EURODAC-related technology watch priority for 2013 will be to ensure that any technical changes needed to meet the provisions of the Recast instrument, will make optimal use of new technologies and processes.

See also specific operational objective DEV4 in section 2.10.2. Monitoring, reporting and statistics activities are described in point 2.6.6, objectives OPI 4, 5 & 6 and research and development is covered in objective GC1

2.6.2. Evolution of systems

In 2014 the systems under management of the Agency will aim to evolve by expanding further their technical and/or functional capabilities, or to evolve by achieving compliance with changes in the legal instrument governing them.

In addition, the required upgrades of infrastructure and associated licences will be performed throughout the year for the relevant systems.

2.6.2.1.SIS II

In 2014 the Agency will plan and possibly start to implement the use of biometric data handling in SIS II. The Agency will aim to enrich functionality of the system and to enable processing and use of enriched data.

2.6.2.2.VIS

In 2014 The Agency's evolution of VIS will aim mainly to continue to keep the system aligned with needs of the Member States, both from technical and functional perspective.

2.6.2.3.EURODAC

In 2014 the Agency will aim to implement required changes in the system as per Recast Regulation for EURODAC, adopted in 2013.

See also specific operational objective DEV2, 3 and 4 in section 2.10.2

2.6.3. Development and implementation of new systems

Subject to the adoption of the legal bases for the Registered Traveller Program and Entry Exit System, it is possible that the Agency may be asked to start developing these systems as from 2015. In 2014 the Agency should be prepared to undertake an assessment of specific infrastructure, staffing and organisational requirements for the implementation of such systems, as well as initial planning for such implementation, taking account of the financial fiches of the legislative proposals for these systems.

As announced in the Smart Borders Communication of 25 October 2011¹⁸, the Commission intends to adopt proposals for two legislative instruments laying down the legal framework for these systems. These proposals will include provisions entrusting the development and operational management of a Registered Traveller Program¹ and an Entry Exit system² to the Agency. According to current planning, it is envisaged that the negotiations with the Council and Parliament for the adoption of these regulations would be completed by the end of 2014. Subject to the adoption of these legal bases, it is envisaged that the Agency would start work on these systems as from 2015.

In parallel, there will be an amendment to the Agency Regulation which will provide for the transfer of responsibility from the Commission to the Agency of certain responsibilities for the communication infrastructure and security with respect to existing systems and put in place the framework for resources needed by the Agency for the development of the new systems.

The Agency's Establishment plan will also be modified, with a view to providing the Agency with the additional human resources needed for the development of the Registered Traveller Program and Entry Exit systems.

¹⁸ COM(2011)680

No work will be done on the development of these new systems until the European Parliament and Council have adopted the respective legal bases, setting out clearly the requirements.

The Agency must also be prepared to take responsibility for operational management of other systems depending on the new or changes in the existing legal instruments.

See also specific operational objective DEV5 in section 2.10.2

2.6.4. Security and data protection

The Agency will continue to implement security policies and plans alongside business continuity measures for its own organisation, for the systems that it manages and for the communication networks for these systems. Additionally, it will also carry out other security tasks foreseen in the Establishing Regulation and legal instruments for the IT systems. It will also ensure full and rigorous compliance with all data protection provisions concerning any access to data in the systems under management by external bodies.

In 2014 the Agency will continue to evolve its security plans and policies. One of the objectives will be to create a common standard security framework for all systems under the management of the Agency. In 2013 the work on the business continuity and disaster recovery plan for the Agency as well as security and disaster recovery plans for the systems should have been concluded. That will ensure the full implementation and compliance with the various security measures and security plans for the Agency itself¹⁹, the systems²⁰ that it will manage (covering matters such as organisation of security, technical measures including measures to ensure protection of records, business continuity, access control, accountability - ensuring that every access to and all exchanges of personal data are recorded at central level, cooperation with EDPS and follow-up of EDPS audits), the communication networks for these systems²¹ (including procedures and security provisions for business continuity and management of contractors), and data protection measures. The Agency must ensure that it is in compliance with European data protection principles and Regulations in force. In order to support this aim, the Agency shall prepare and inform annually the Management Board. All internal policies in the area of Data protection will be developed in full cooperation with the EDPS, applying rigorous standards of European best practice and ensuring full compliance with current regulations in force.

¹⁹ The Security Plan (adopted by the Board at the end of November 2012), the Disaster Recovery Plan once this is approved, confidentiality and professional secrecy requirements and rules for staff working with data in the systems.

²⁰ Security plans for VIS and EURODAC have been adopted by the Management Board at the end of November 2012th.

²¹ Security measures and security plans for the communications network for SIS II, VIS and EURODAC prepared by the Agency.

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

See also specific operational objectives on security (in particular MAN3 and SE 2 & SE5 in point 2.10.7).

2.6.5. Communication Infrastructure

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

In 2014 the Agency will share the responsibility for management of the communication infrastructure with the Commission²². The Agency will be responsible for supervision, security and coordination of relations between the Member States and the network service provider for the communication infrastructure for these three systems. Particular responsibilities of the Agency and the Commission will be defined in a Memorandum of Understanding as provided by the Establishing Regulation.

The Commission will be responsible for all other tasks relating to the communication infrastructure, in particular the tasks relating to the implementation of the budget, acquisition and renewal and contractual matters²³. The Commission will also retain responsibility for the adoption of the security measures and the security plan for the communication infrastructure for SIS II²⁴.

In accordance with the Establishing Regulation, tasks relating to the operational management of the communication infrastructure may be entrusted to external private-sector entities or bodies in accordance with Regulation (EC, EURATOM) No 1605/2002. In such a case, the network provider shall be bound by the security measures laid down in the basic instruments for each system and shall have no access to SIS II, VIS or EURODAC operational data. The Agency will ensure that these provisions are respected.

The sTESTA contract with DG DIGIT is due to expire at the end September 2014. With regard to existing activities, it will be possible to have specific contracts running

²² In order to ensure coherence in exercise of their respective responsibilities for the network, the Agency and the Commission shall agree on operational working arrangements between them, to be reflected in a Memorandum of Understanding (Article 7(2) of the Agency Regulation). This is due to be approved in 2013).

²³ Article 26 (2) and (3) of the VIS Regulation, Article 15 (2) and (3) of the SIS II Regulation and Decision and Article 5(b) of the Agency Regulation

²⁴ Article 16(1) of the SIS II Regulation

in this framework until September 2014, but with limited change requests²⁵. A new framework contract should be available in 2013. Contractual formalities under the new framework contract and the migration of SIS II, VIS and EURODAC to the new network have to be completed by September 2014 at the very latest. The Commission is responsible for contractual matters related to the network. The new framework contract will also have to be used subsequently for the Entry Exit and RTP systems, once their development and subsequent implementation starts. It is subject to approval of the relevant legal instruments. This process may entrust further responsibilities to the Agency regarding network management, including contractual matters

See also specific operational objective OPI2 in section Error! Reference source not found.

2.6.6. Training and technical assistance

In 2014 the Agency will continue to provide training on the technical use of SIS II, VIS and EURODAC to the National authorities using these systems. It will also provide training for SIRENE-staff (SIRENE-Supplementary Information Request at the National Entries) and training for Schengen evaluation team members and lead experts on the technical and functional aspects of SIS II. Training curricula and content will be developed in close cooperation with CEPOL.

The Agency will be responsible for providing training on the technical use of SIS II, VIS and EURODAC to the national authorities using these systems, as laid down in the Establishing Regulation and the specific legal bases for the IT systems under its management. With respect to VIS and EURODAC, the Agency will need to coordinate development of curricula with MS and establish a training delivery plan in cooperation with these authorities.

Training programs related to SIS II will be provided for SIRENE-staff. Training will also be provided to relevant experts on the technical aspects of SIS II in the framework of the Schengen evaluation. The Agency's program of training activities for SIRENE staff in the Member States in 2014 will be closely coordinated with CEPOL, EUROPOL and Member States. Similarly, the Agency's programming for training for Schengen evaluation team members and lead experts in technical aspects of SIS II will take account of discussions with the above stakeholders to clarify the respective roles of the Agency, CEPOL and FRONTEX.

The Agency will seek to formalise the provision of such training programs through the signing of Memoranda of Understandings with partner agencies.

The future Regulation on the establishment of an evaluation and monitoring mechanism to verify the application of the Schengen *acquis* is also likely to have an impact on future programming of training in this area.

²⁵ The sTESTA Framework Contract expires on 28.9.2013 and the last specific contracts can cover services until 28.9.2014, but with limited change requests allowed/possible over the last year.

The Agency will also provide assistance to new and existing Member States in order for them to achieve technical readiness for the integration of their national systems with SIS II and VIS. The actual integration will only go ahead once any outstanding political issues are resolved. In addition, technical assistance will also include program/project management services.

See also specific operational objectives GC 8, 9 and 10 in section 2.10.3 as well as objective GC 3 in the same section and section 2.9.1, Cooperation with other Agencies and bodies

2.7. Operational objectives under Strategic Goal 2

Professional and career development of the staff will be a central component of the further consolidation of the organisation in 2014. To maximize the benefits of evolution of the service model of the Agency, a process to regularly evaluate and improve professional capabilities, career paths and training needs will be established and followed.

In 2014 the Agency will focus its efforts with regards to staff retention and development, as it considers its available human resource as its most important asset. This will cover both individual professional competencies and career progression aspects of personal development of the team members. To facilitate this, the Agency will implement a career path framework based on the consolidated IT service model of the Agency, including standardised job roles across the teams to facilitate internal staff movement and providing regular assessments of professional capabilities, staffing and development needs.

Based on the career path framework and definition of individual roles, standard training plans for all functional roles and groups will be designed. They will be used further in the process of performance evaluation of the staff members. The Agency also will aim to maximise the use of existing training resources and implement innovative training models, such as the 'train-the-trainer' approach and using product champions' to make training sessions for larger groups of staff more efficient and effective.

See also specific operational objectives AS 1, 2, 3 and 4 in OPI2.

2.8. Operational objectives under Strategic Goal 3

In 2014 the Agency will continue to develop its governance and operational models in order to consolidate them further. They will be the main driver for cost-efficient operations and the solid foundation for the organisation to develop as a centre of excellence for ITC services delivery. The Agency will also aim to expand further its capabilities in the area of research and development of technology, creating partnerships with other agencies and external organisations.

The Agency will continue the implementation of the IT Governance roadmap as defined in 2013. The focus will be to further strengthen core governance processes as well as development of the Agency's Enterprise architecture. Another priority will

be implementation of KPIs for corporate performance and their regular monitoring, reporting and evaluation.²⁶ It will also continue to evolve its operational model according to the roadmap for implementation of ITIL/ITSM service management framework, created in 2013. An important part of evolution of the operational framework of the Agency will be continuous monitoring of infrastructure, services and systems to optimise and improve their Total Cost of Ownership (TCO).

The Agency will also further develop its internal collaborative tools, which will provide effective support to its operational and governance frameworks.

See operational objective GC0 in section 2.10.4 and objectives GOV1, 2, 3 and 4 in section 2.10.1

2.8.1. Research and development²⁷

The Agency, in cooperation with the Member States, will aim to ensure that at all times the best available technology (subject to a cost-benefit analysis) is used for all systems under its management, including the IT systems, software for administration and the networks. It will also apply the same principles for its own internal systems.

The Agency will put in place the required resources and processes to ensure regular monitoring of technology to take maximum advantage from new technological developments relevant to its activities. Results of the research will be important in order to develop operational and governance models of the Agency and will facilitate maximisation of added value to stakeholders.

Through the year the Agency will monitor the technology developments in the ICT field of relevance to the SIS II, VIS and EURODAC and other large-scale IT systems. Specific priorities for this activity will be defined at a later stage, taking account of the opinions of the Advisory Groups. For 2014, this work will consist of monitoring new technological breakthroughs, innovative technologies, processes and solutions relevant to the operation, management and future evolution of the IT systems under management of the Agency.

The Advisory Groups will also make an important contribution by providing advice on matters relevant to specific systems and areas identified for pro-active monitoring. The Agency will build on the contacts made in 2012 and 2013 in this area, with a view to ensuring effective networking, cooperation and exchange of good practice with other agencies and authorities operating in related fields, as well as establishing partnerships with private and public entities as appropriate.

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

See also specific operational objectives GOV1, objectives OPI4, 5 and 6 in section 2.10.3 and objective GC1 in section 2.10.4.

²⁶ Ability of the Agency to achieve the objectives under Strategic Goal 3 will depend on successful finalization of staffing in 2013.

²⁷ Same as above

2.8.2. Monitoring, reporting and statistics

In 2014 the Agency will continue to produce relevant reporting and statistics²⁸ on the use of the IT systems under its management and their performance and availability, as foreseen in the legal bases for these IT systems and reflected in the Establishing Regulation. It will report regularly to the European Parliament, the Council and the Commission on the technical functioning of the systems, including security aspects, and will also provide the Commission with information that it requires for the regular evaluation of VIS, EURODAC and SIS II.

See also objectives OPI4, 5 and 6 in section 2.10.3.

2.8.3. Financial management, infrastructure, logistics and administrative tasks²⁹

The Agency will continue to develop its financial team and procedures. It will also be responsible for on-going facilities management and logistics tasks, progressively putting in place robust and auditable in-house arrangements to replace the service level agreements with central Commission services. The Agency will also make sure that all work related to the future physical premises in Tallinn and the upgrade of the technical site at Strasbourg remain on track.

2.8.3.1. Financial management and procurement

The Agency will develop further its internal financial processes and procedures, taking a pro-active approach to ensure transparent and efficient management of financial resources.

The Agency will continue to deal with a wide range of procurement procedures, including procedures for upgrading buildings and facilities, procurement of equipment and furnishings and specialised procurement related to IT systems under its management. It will manage all procurement activities on the basis of a procurement plan which will be communicated to the Management Board. The Management Board will also be informed in good time of key calls for tenders. The Advisory Groups shall also be involved in the procurement activities related to the maintenance and evolution of the systems under management of the Agency. Member State experts may be invited on a case-by-case basis to provide technical expertise for the definition of tender documents and procedures.

See objectives PC 1-9 in section 2.10.6.

²⁸ With respect to VIS, the Agency will need statistics in order to carry out the following tasks assigned to it under the VIS Regulation:

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

²⁹ ²⁹ Ability of the Agency to deliver the tasks under 2.9.3 will depend on successful finalization of staffing in 2013.

2.8.3.2. Administrative and logistic tasks

In 2014 the Agency will aim to deliver required administrative and logistics tasks with internal resources. However, some tasks still might need to be carried out under the terms of the existing service level agreements between the Agency and Commission Services and/or EU bodies. Nevertheless, the Agency will continue to progressively move toward setting up its own in-house services, or outsourcing services under its own responsibility, for many of the items covered by the following SLAs.

See objectives AS7 and 8 in section 2.10.5.

2.8.3.3. Facility and infrastructure management

In 2014 the Agency shall deliver the following activities:

2.8.3.3.1. Headquarters building in Tallinn, Estonia

The Agency is currently situated in temporary office accommodation since June 2012. The Agency will supervise the preparatory work relating to the permanent premises to be provided by Estonia for the Agency headquarters and will ensure that any required construction work remains on schedule for meeting the target of having the building available in late 2014 or early 2015.

In the interim, the Agency will ensure that in conjunction with Estonian authorities, the proper facilities management of the current temporary premises is continued.

2.8.3.3.2. Upgrade of the technical site in Strasbourg

Construction of the new building for the Agency is scheduled to begin in 2014. The Agency will coordinate and supervise all relevant works to ensure that the building is completed and delivered according to the agreed schedule.

In the interim, the Agency will ensure that in conjunction with French authorities, the proper level of facilities management of the Strasbourg site is continued.

2.8.3.3.3. Infrastructure management on the back up site

Work in 2014 will consist essentially of routine infrastructure management and maintenance. It will be delivered from the team in Strasbourg. However, after a cost analysis of this activity the Agency might decide either to appoint permanent staff responsible for the infrastructure management at the back up site or to utilise remote management of the infrastructure on the site from Strasbourg.

See objective AS6 in section 2.10.5.

2.9. Operational objectives under Strategic Goal 4

2.9.1. Cooperation with other Agencies and bodies

In 2014 the Agency will also seek to develop further its partnerships with other agencies in the relevant policy areas (i.e. EUROPOL, FRONTEX, EASO, EUROJUST, ENISA, CEPOL, FRA and EDPS) on the basis of formal memoranda of understanding and cooperation in areas of joint interest. It will be driven by the developed action plan and bilateral Memoranda of Understanding, signed in the course of 2013 (the first of which was signed by CEPOL on the 20th November 2013 with a second MoU scheduled to be signed with FRONTEX in January 2014) The Agency will seek to exchange experience and knowledge with identified partners, contributing to deployment of common systems & technology platforms and providing services as per the relevant legal instruments in force.

2.9.1.1. Agencies

Cooperation with Agencies such as the European Police College (CEPOL), European Asylum Support Office (EASO), the European Network and Information Security Agency (ENISA), EUROJUST, the European Law Enforcement Agency (EUROPOL), the Fundamental Rights Agency (FRA) and the European Agency for the Management of Operational Cooperation at the External Borders (FRONTEX) and other bodies such as the European Data Protection Supervisor (EDPS) will continue in 2014, building on the relations already established in 2012 and 2013.

The Executive Director of the Agency will participate in the annual meetings of the heads of JHA Agencies and a representative of the Agency (desk officer level) will participate in the JHA Agencies Contact Group, with a view to exploring and agreeing other relevant forms of cooperation. Representatives of a number of these Agencies will be invited to give presentations at Management Board meetings.

The following is a summary of some of the practical aspects of cooperation with the other Agencies in the area of freedom, security and justice:

2.9.1.1.1 CEPOL

In 2014 eu-LISA will remain responsible for facilitating the training of Member State users concerning the systems under its management. It is also required to provide training on the technical use of SIS II for SIRENE staff in the Member States and for Schengen evaluation team members and lead experts.

The Agency will develop and coordinate delivery of these training programs with CEPOL. A proposed training for Schengen evaluation team members and lead experts is another area of cooperation in 2014. This project will be run also in coordination with FRONTEX.

2.9.1.1.2. EASO

EASO is to strengthen European Union (EU) countries' practical cooperation on asylum issues to support EU countries whose asylum and reception systems are under particular pressure and to enhance the implementation of the Common

European Asylum System (CEAS). The key cooperation objective for 2014 will be to maintain a sound working relationship with this Agency, ensuring complementarity.

2.9.1.1.3. ENISA

The main task of ENISA is to enhance the capability of the EU and the Member States to prevent, address and respond to network and information security problems. It serves as a Centre of Expertise, stimulating cooperation between the public and private sectors in this area.

In 2014 the Agency will partner with ENISA with a view to develop further exchange of knowledge and good practice concerning different aspect of information security and standards.

2.9.1.1.4 EUROPOL

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

EUROPOL may attend the meetings of the Management Board of the Agency as observers when a question concerning the application of the SIS II or VIS Decisions is on the agenda.

In 2014 practical cooperation between the Agency and EUROPOL will be focused on implementation of ICT initiatives of common interest, including providing EUROPOL with IT expertise and advice regarding development and implementation of new or evolve existing platforms for information exchange. Cooperation elaborating on cooperation areas will be concluded.

2.9.1.1.5. EUROJUST

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

2.9.1.1.6. FRA

The IT systems operated by the Agency for operational management of large scale IT systems have the potential to create human rights concerns relating primarily to data protection issues. As such, the Agency will keep FRA informed of its activities, the legal regime applicable to the systems under its management, the responsibilities of the Member States with respect to data processing and the technical constraints inherent in these IT systems.

2.9.1.1.7. FRONTEX

FRONTEX will be one of the key partners of the Agency in 2014. One priority area of cooperation with FRONTEX will be the training required for technical use of SIS II provided by the Agency to Schengen evaluators and lead experts. The Agency intends to explore the possibility of concluding working arrangements with FRONTEX on this and other matters. Other suggestions for areas where the Agency could provide support to FRONTEX would be for researching, testing and developing IT systems for assisting FRONTEX in its activities. For more substantial tasks of this nature with resource and budget implications, it would be necessary to adopt legal provisions conferring these tasks to the Agency.

Close cooperation with Frontex will be required to avoid redundancy or duplication in activities in the field of research, in particular on biometrics.

2.9.1.1.8. Partnership with public and private sector

In the course of the year the Agency will establish and/or develop further partnerships with public and private entities as appropriate. These partnerships will aim (a) to support the Agency in the delivery of the tasks under this Work program; and (b) to develop the public image of the Agency as trustworthy and efficient European agency.

2.9.1.2. European Information Exchange Model (EIXM)

The Establishing Regulation provides that "the Agency should follow European and international standards taking into account the highest professional requirements, in particular the European Union Information Management Strategy" (Recital 22). The EU Information Management Strategy³⁰ (IMS) provides a methodology to ensure that decisions about the need for managing and exchanging data and decisions about the ways to do so are taken into account in a coherent, professional, efficient and cost-effective way, accountable and comprehensible to citizens and professional users alike. Taking full account of the IMS, the EIXM aims to achieve better coherence and consolidation in the area of information exchange for law-enforcement cooperation³¹. The Agency will continue to follow up developments with the EIXM with a view to defining the possibilities for future cooperation once EIXM policy has been endorsed at political level.

See also specific objective GC3 in point 2.10.3.

2.9.2. Communication

The efforts of the Agency in 2014 in this field will be driven by its External Communication strategy. Internally, the Agency will use various communication channels to strengthen the organisation and promote its mission and values.

³⁰ The IMS was adopted by JHA Council on 30.11.2009 (see doc. 16637/09 JAI 873).

³¹ The first step of EIXM carried out in 2010/2011 consisted of a mapping exercise on the four areas of legislation, communication, information flows and technology.

Externally, the Agency will focus its efforts to provide the general public with regular information regarding its activities, and emphasise the value added to the European citizens of the Agency's work. In addition, the Agency will organise and/or contribute to specific information campaigns as required.

Specific emphasis will also be focused on regular and comprehensive communication with the Member States and the Management Board with regards to the progress of implementation of the Work Program as a whole and specific strategic projects and activities in particular.

The Agency is also required by the legal bases of the IT systems under its responsibility for the publication of certain types of information, including lists of national authorities which have the right to access or use data in the IT systems managed by the Agency and updates to such lists.

See also specific objective GC2 and 5 and in point 2.10.3.

2.9.2.1. Management Board

The Agency will provide continuous administrative and logistic support to the Management Board and to the work of the Advisory Groups through the Secretariat of the Board. The Management Board will continue to ensure that the Agency delivers the tasks and results as laid down in the Establishing Regulation, in the most cost effective way, taking into account the medium-term strategic goals of the Agency. In addition to the approval of standard documents in the annual budgetary and planning lifecycle, specific matters to be followed up by the Management Board in 2014 will include matters relating to the development of the permanent premises of the Agency in Tallinn and the development of the technical site in Strasbourg. In 2014, the Advisory Groups will continue to provide support for the Management Board to adopt the Work Program 2015 and the Activity Report for 2013 as well as on technical matters related to the evolution and further development of the existing systems.

2.9.2.2. Advisory Groups

The Agency will continue its pro-active engagement with the Advisory Groups, providing the required administrative and logistic support to them and partnering with them in order to address operational and strategic issues relating to the systems under management.

The Executive Director or his representative will attend all meetings of the Advisory Groups as observers.

Priorities for these groups for 2014 will include follow-up of the entry into operations of SIS II, monitoring of use of this system, technical matters relating to the adaptation of EURODAC according to Recast Regulation, accomplishment of VIS and VIS Mail 2 rollout. A further priority for all of the groups will be the technical preparations for the accession of new Member States to these IT systems, preparations for ensuring

technical readiness and integration of the national systems of present Member States to join SIS II and VIS.

See also specific objectives AS7 and 8 in section 2.10.5.

2.10. Specific operational objectives and performance indicators

2.10.1. Strategy and Governance

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
GOV1	1.1 Implementation of the corporate governance roadmap as defined in 2013	1.1 The tasks provided in the Implementation plan for 2014 delivered	1.1 Implementation plan prepared. 1.2 Work delivered against the plan 1.3 Regular progress reporting provided
GOV2	2.1 Implementation of KPI for corporate performance	2.1 KPI indicators defined, agreed and implemented	2.1 KPI regularly monitored and reported 2.2 Performance analysis fed into decision-making process. 2.3 Staff of the Agency regularly update on performance of the organisation and engaged addressing opportunities and weaknesses.
GOV3	3.1 Service model development according ITIL/ITSM Implementation roadmap	3.1 The tasks provided in the Implementation plan for 2014 delivered	3.1 Results delivered as per the plan 3.2 Regular progress reporting provided
GOV4	4.1 Further development of internal control standards	4.1 Regular internal audits 4.2 Management team of the Agency to ensure follow up of audit recommendations	4.1 Audit reports reviewed by the management team 4.2 Findings in the audit reports communicated to the staff 4.3 Action plan prepared and implemented to address recommendations

2.10.2. Service Delivery

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

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
DEV1	1.1 Monitoring and evolution of Service Level Agreements for the systems under management of the Agency ³² .	1.1 Regular Service reviews 1.2 Regular Service quality reports	1.1 Regular Service reviews and Service quality reports delivered 1.2 Service KPIs as per the SLAs met 1.3 Opportunities for service improvement identified.
DEV2	2.1 Operational management of SIS II 2.2 Evolution of SIS II	2.1 All necessary tasks to ensure 24/7 functioning of the Central SIS II in accordance with the legal bases for this system. In particular the maintenance & technical developments necessary for the smooth running of the system and the monitoring of the technical performance of the system. 2.2 Evolution of the system planned and delivered 2.3 Supervise & monitor work under the contract for maintenance of SIS II. 2.4 Assistance to the Member States	2.1 Agreed service levels met as per the SLA under DEV1 above. 2.2 Agreed milestones and deliverables achieved according to the agreed maintenance and evolutionary tasks with the Member States in the framework of the contract for maintenance of SIS II .
DEV3	3.1 Operational management of VIS 3.2 Evolution of VIS	3.1 Operational Management All necessary tasks to ensure 24/7 functioning	3.1 Agreed service levels met as per the SLA under DEV1 above. 3.2 Agreed milestones and

³² With respect to VIS, EURODAC, the communication infrastructure and security, the Agency will have to maintain the level of service that was in force prior to its take-over of the systems. It will also guarantee an equivalent service level for SIS II.

I	D	Objective	Outputs & performance indicator	
			Output	Performance indicator
			<p>of the Central VIS in accordance with the legal bases for VIS. In particular the maintenance & technical developments necessary for the smooth running of the system. This will also include the monitoring of the technical performance of the system.</p> <p>3.2 Maintain and keep up-to-date:</p> <ul style="list-style-type: none"> • The configuration management database • The Trouble Shooting Guide • The Knowledge Database • An exhaustive list of FAQs for users. <p>3.3 To supervise & monitor maintenance work under the VIS MWO contract.</p> <p>3.4 Implementation of agreed roll out schedule for VIS</p> <p>3.5 Integration of new users</p>	<p>deliverables achieved according to the agreed maintenance and evolutionary tasks with the Member States in the framework of the contract for maintenance of VIS</p> <p>3.3 Agreed roll out schedule for VIS implemented as planned</p> <p>3.4 New users enrolled according to the agreed plans.</p>
DEV4	<p>4.1 Operational management of EURODAC</p> <p>4.2 Evolution of EURODAC</p>	<p>4.1 All necessary tasks to ensure 24/7 functioning of the Central EURODAC in accordance with the legal bases for this system. In particular the maintenance & technical</p>	<p>4.1 Agreed service levels met as per the SLA under DEV1 above.</p> <p>4.2 Agreed milestones and deliverables achieved according to the agreed maintenance and evolutionary tasks with the</p>	

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
		<p>developments necessary for the smooth running of the system.</p> <p>This will include work for monitoring technical performance of the system.</p> <p>4.2 Implementation of the requirements in the recast EURODAC Regulation.</p> <p>4.3 Integration of new users</p>	<p>Member States in the framework of the contract for maintenance of EURODAC</p> <p>4.3 The new requirements in the recast EURODAC Regulation implemented as planned</p>
DEV5	<p>New IT Systems</p> <p>5.1 Delivery feasibility studies and advising the Commission on technical aspects on the implementation of Entry Exit and RTP systems</p> <p>5.2 Readiness to take over management of other systems.</p>	<p>5.1 Estimates of resource (including financial) and implementation plan for the pilot planned for 2015th</p> <p>5.2 Preparation of required tender documentation for the pilot</p> <p>5.3 Regular assessment of capabilities to take responsibility for additional systems</p>	<p>5.1 Contribution of the Agency to the feasibility study delivered as planned</p> <p>5.3. Required tender documentation prepared on time</p> <p>5.3 Resource plans in place to address capability of the Agency to take responsibility for other systems</p>

2.10.3. IT Operations and Infrastructure

(Systems management, network management, service desk, performance monitoring, statistics, reporting)

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
OPI1	1.1 Systems infrastructure management:	<p>1.1 Systems infrastructure up to date</p> <p>1.2 Required patches</p>	1.1 Agreed performance requirements met as per the SLA under DEV1 above.

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
	(operating systems, database software and other and off the shelf products , including upgrades)	and upgrades applied	
OPI2	<p>Networks:</p> <p>2.1 Monitor the network & coordinate relations between the Member States & the network provider for SIS II, VIS & EURODAC & ensure security of the communication infrastructure for VIS & 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 & precautions applicable to any network tasks entrusted to external private sector bodies are fully respected.</p> <p>2.3 Planning and coordinating of the work in relation to migration of the current sTESTA network under the new contract for WAN services.</p> <p>2.4 Establishment of Transitional model for Network Operations Centre (NOC) to ensure management "closed" part of the new communication infrastructure</p> <p>2.5 Handover of VIS</p>	<p>2.1 Ensure availability and performance of the sTESTA Network (as defined in the following network indicators for the network for SIS II, VIS and EURODAC)</p> <p>2.1.1 Site availability (availability of the TAP measured by the SLA monitoring device, between the TAP and a defined reference site (CU and BCU)).</p> <p>2.2 Validate the external contractors' operational procedures and their conformity with related provisions in the contracts</p> <p>2.3 Preparation and implementation of network migration for VIS, SIS II and EURODAC in the areas of competence of the Agency (monitoring, security and management of relations between the Member States and the new network provider).</p> <p>2.4 Preparation and implementation of Transitional model for Network Operations Centre in line with the legal basis and covering</p>	<p>2.1 Agreed performance requirements met as per the SLA under DEV1 above.</p> <p>2.2 Network service providers comply with security requirements</p> <p>2.3 Migration plan implemented as per agreed schedule.</p> <p>2.4 Transitional model for the Network Operations Centre implemented and operational and covering eu-LISA competencies in the new communication infrastructure.</p> <p>2.5 The VIS mail systems handover done as per agreed schedule. The VIS mail systems operational management performed within defined SLA</p>

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
	mail systems operational management from sTESTA network provider to eu-LISA.	eu-LISA competencies related to the operational management of the communication infrastructure (monitoring, security and management of relations between the Member States and the new network provider). 2.5 VIS mail systems operational managed by eu-LISA.	
OPI3	3.1 Service desk	3.1. Resolved incidents 3.2. Availability of service desk management system	3.1 Agreed performance levels met as per the SLA under DEV1 above. 3.2 Number of resolved incidents
OPI4	4.1 System performance monitoring and tuning To monitor the technical functioning of SIS II, VIS and EURODAC under its management & gather all technical data needed to meet its reporting, statistics and monitoring obligations.	4.1 Statistics and information on the performance of the systems as foreseen in the legal bases	4.1 Quality and timeliness of input to reporting
OPI5	Statistics 5.1. Provide statistics on the IT systems as laid down in the Establishment Regulation and legal bases for the IT systems under the Agency's management	5.1 Provision of all statistics <ul style="list-style-type: none"> • Statistics on SIS II • Statistics on VIS • Quarterly statistics, annual statistical • compilations on the work of the Central Unit of EURODAC 	5.1 Timeliness and conformity with legal obligations 5.2 Quality and comprehensiveness of reports.

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
		and any other statistics that may be required on EURODAC	
OPI6	<p>Reporting</p> <p>Fulfilment of all reporting obligations laid down in the Establishing Regulation and legal bases for the IT systems under the Agency's management such as :</p> <p>6.1. Annual report on the activities of the Central Unit of EURODAC</p> <p>6.2. Report on the technical functioning including the security of VIS and SIS II two years after it was brought into operation (& every 2 years thereafter) and submit it to the EP, the Council and the Commission</p>	6.1 Reports referred to in the legal bases.	6.1 Compliance with reporting obligations as defined in the legal instruments

2.10.4. General Coordination

(Strategic planning, research & development, corporate performance reporting, inter-agency cooperation, legal advice, internal and external communication, information for the Commission, the EP, EDPS and the MS training for MS, SIRENE operators and Schengen evaluators)

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
GC0	Develop strategic planning capabilities of the Agency	<p>0.1 Long-term strategy for the Agency prepared and up to date</p> <p>0.2 Enterprise</p>	<p>0.1 Strategy for the Agency adopted by the Management Board</p> <p>0.2 Corporate architecture roadmap implemented</p>

I	D	Objective	Outputs & performance indicator	
			Output	Performance indicator
			architecture implementation roadmap 0.3 Multi-annual work program	0.3 Draft multi-annual work program prepared
GC 1	Research and development 1.1. Monitor new technologies and solutions relevant for the operational management and evolution of SIS II, VIS, EURODAC and other large-scale IT systems. 1.2. Keep the European Parliament, the Council, the Commission and the European Data Protection Supervisor informed on a regular basis	1.1. Regular monitoring reports regarding new technologies and solutions 1.2 Regular communication to the Agency's staff and to stakeholders 1.3 Support for decision-making and strategic planning	1.1 New technologies / solutions identified and assessed 1.2 Proposals for technologies / solutions put forward to the management of the Agency	
GC 2	Corporate Performance Reporting: 2.1 Adoption of Annual Activity report for the Agency for 2013 and submission to the EP, the Council, the Commission and the Court of Auditors	2.1 Draft Annual Activity report	2.1. Quality and timeliness (15 June 2014) 2.2 Report adopted by the Management Board	
GC3	3.1 Inter-agency cooperation	3.1 Action plans as per signed MoUs 3.2 Achieved results / outcomes from joint initiatives	3.1 Actions in the plans delivered as agreed 3.2 Satisfaction from stakeholders	

I	D	Objective	Outputs & performance indicator	
			Output	Performance indicator
GC4		<p>Legal advice:</p> <p>4.1 Maintain and develop the framework for providing legal advice where necessary for the internal operations of the Agency and to defend its position vis-à-vis the exterior as required</p>	<p>4.1. Legal advices for internal decision-making</p> <p>4.2. Legal advice with regard to the Agency's position in any possible litigation</p>	<p>4.1 Timeliness and quality of advices provided</p> <p>4.2 Number of challenged internal and external decisions</p>
GC5		<p>Internal communication:</p> <p>To promote the mission, visions and core values of the Agency as drivers for development of corporate culture of the Agency.</p>	<p>5.1. Tailored intranet site and collaboration tools for Agency Staff</p> <p>5.2. Informal internal awareness raising activities and events</p> <p>5.3. Awareness raising activities about the priority of achieving strategic goals and operational objectives of the Agency</p> <p>5.4 Internal communication plan</p>	<p>5.1 Regular updates on progress with implementation of the work program and strategic progress</p> <p>5.2 Awareness raising activities per month</p> <p>5.3 Positive results from the regular staff surveys</p> <p>5.4. Internal communication plan delivered as agreed</p> <p>5.5 Satisfaction level of the staff of the Agency</p>
GC6		<p>External communication:</p> <p>To promote the Agency and the systems that it operates and to fulfil the communications requirements laid down in the founding Regulation and the legal bases of the IT systems managed by the Agency</p>	<p>6.1 Regular updates to the Agency's web site, and optimization of the site's visibility.</p> <p>6.2. Develop a network of media contacts, build sound relations with these contacts, provide media-friendly, information (clearly defined messages), assess the impact by monitoring & press reviews & organise media training for</p>	<p>6.1 External communication plan implemented as planned.</p> <p>.</p> <p>6.2 Progressive increase in the number of hits on the Agency's web site throughout the year</p> <p>6.3 Satisfaction of users and stakeholders (annual web site survey, survey after each campaign)</p> <p>6.4 Quality and quantity of press coverage on major</p>

I	D	Objective	Outputs & performance indicator	
			Output	Performance indicator
			Agency staff 6.3. External communication plan 6.4 Fulfilment of all publication requirements laid down in the legal bases, in particular: 6.5 Publication of the Annual Work Program for 2015 and the annual activity report for 2013 6.6 Annual publication of lists of national authorities authorized to use or search data in the IT systems under its management (SIS II, VIS, EURODAC), as defined in the legal bases for these systems.	developments related to the Agency. 6.5 Timely fulfilment of publication requirements under the legal bases (annual report for the Agency, lists of national authorities and annual updates thereto and other reporting obligations)
GC7		Information for the Commission, the Parliament, EDPS and the Member States 7.1 Provide the Commission with the information necessary to produce the regular evaluation of VIS, EURODAC and SIS II 7.2. Inform the EP and Council of the measures to ensure the security of data use in the VIS ³³	7.1 Provide complete information as required	7.1 Information delivered within agreed timelines

³³ 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.

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
GC8	Training for national authorities on IT systems managed by the Agency	At least 1 course on each system in 2014 ³⁴	Trainee satisfaction (=>At least 3 on a scale of 1 to 5
GC9	Training for SIRENE operators	2 Courses in 2014	Trainee satisfaction (=> at least 3 on a scale of 1 to 5)
GC10	Training of Schengen evaluation team members and lead experts	1 course in 2014 depending on the requirements of the experts	Trainee satisfaction (=>At least 3 on a scale of 1 to 5

2.10.5. Human Resources and Administration

(Human resources, Logistics and facility management, administrative support to the management board and the advisory groups)

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
	Human Resources		
AS1	General Training for Agency staff	1.1 General Training 1.2 Team building events and presentations: i) in-house team building seminars ii) lunch time/breakfast presentations with possible VC link between sites,	90% of Agency staff attending at least 2 team building events in the year 100% of staff in departments extending across both sites to attend at least 2 team building activities in the year.

³⁴ Availability of the Agency will depend on the state of the budget for 2014 and on the priorities in terms of internal needs.

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
		iii) away day Team building activities will take full account of budget constraints, with emphasis on low-budget in-house solutions.	
AS2	Technical Training for Agency Staff.	2.1 Agency IT Welcome Pack Training: 1 week course for new technical recruits with (aspects common to all of the systems). 2.2 Specific technical training ³⁵ 2.3 Business and operational training: training related to the business & operational functions of the specific system that staff will operate/manage ³⁶	General: - 100% of staff have attended the compulsory courses listed in their training plan. - Trainee satisfaction (=>At least 3 on a scale of 1 to 5)
AS3	Training efficiency	3.1 Standard training plans for each functional role and group 3.2 Innovative training models, such as a train-the-trainer approach and product champions' implemented	3.1 Number of trainings attended per employee 3.2 Efficiency of Service model
AS4	Further development of the Agency's competency framework:	4.1 Career path framework based on the consolidated IT service model of the Agency	4.1 Recruitment, selection and staff development processes based on competency framework 4.2 Efficiency of Service

³⁵ Trainings directly contributing to development and/or extension of technical knowledge and capabilities of the staff, required for their roles in the organisation

³⁶ For example, how visas are processed, the business environment for EURODAC and how to resolve incidents. For VIS and SISII, this training will be delivered based on the material delivered by the main development contractor during the VIS/BMS and SISII Transition plans (mainly operational procedures describing large-scale or daily operational scenarios).

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
		<p>4.2 Standardized job roles across the teams capabilities and staffing needs</p> <p>4.3 Job families to organize IT services staff into similar functional groups</p> <p>4.4 Regular reviews of staffing and training needs</p>	model of the Agency
AS5	Recruitment and retention of staff	Stable staff levels of the teams in the Agency	<p>5.1 Posts filled within 20 weeks from publication.</p> <p>5.2 Staff turnover through the year</p>
AS6	<p>Logistics and facility management</p> <p>To provide services in the field of building management, facility management and logistics on all Agency sites;</p>	<p>6.1 On-going tasks related to infrastructure management of the temporary HQ premises in Tallinn.</p> <p>6.2 Ensure that the work to make available new HQ premises Tallinn remains on schedule</p> <p>6.3 On-going tasks related to infrastructure management for the St Johann im Pongau site</p> <p>6.4 Uninterrupted routine operation of logistical services;</p>	<p>6.1 Annual survey. User satisfaction at least 75%.</p> <p>6.2 Amount of work for the permanent building of eu-LISA scheduled for 2014 completed on time (target >= 80 %)</p>
AS7	Accomplishment of procurement procedures to acquire contractor(s) for reconversion of the technical site in Strasbourg	<p>Procurement documentation</p> <p>Procurement procedure(s)</p>	<p>Procurement documentation delivered on time</p> <p>Procurement procedure(s) accomplished by the end of the year</p>

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
AS8	Administrative support to the Management Board	Organisation of at least 2 meetings (coordination of logistical arrangements, coordination of agenda and documentation & participation of ED in the meeting).	Quality and timeliness of deliverables (in particular, documents available in advance of meetings, according to the terms of the operational procedures)
AS9	Administrative support to the Advisory Groups	Agency to ensure secretariat.	Quality and timeliness of deliverables

2.10.6. Finance, Procurement and Contracts

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
PC1	<p>1.1 Further consolidate and re-enforce financial and procurement procedures, including ex ante controls.</p> <p>1.2. Build and maintain capabilities to provide proficient advice on procurement procedures internally and to potential contractors and suppliers.</p>	<p>1.1 Consolidated internal procedures</p> <p>1.2 Regular communication to the staff</p> <p>1.3 Coordination of all phases of the contracting procedure & provision of feedback on scope for improvement.</p> <p>1.4 Provision of advice and in house training as required.</p>	<p>1.1 Increased number of trained staff.</p> <p>1.2 Increased number of procurement procedures completed in time</p> <p>1.3 User satisfaction (via annual survey, result $\geq 75\%$).</p>
PC2	To process all invoices/ requests for re-imbursements within the time limits set.	<p>2.1 Timely payments</p> <p>2..2 Periodical analysis of delays and analysis thereof</p>	<p>2.1. Less than 10% of transactions not paid within the regulatory limits.</p> <p>2.2 Analysis leads to concrete objectives for improvement</p>
PC3	To maintain and further develop tailored financial information for Agency management.	<p>3.1 monthly budget implementation reports</p> <p>3.2 monthly overviews of payments</p>	3. Timeliness of monthly reports and overviews and level of user satisfaction (annual survey. User satisfaction $\geq 75\%$)

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
PC4	To contribute to the development, streamlining and implementation of the Agency's procurement policies, whilst ensuring full respect of EU legislation and guidelines.	Periodic internal reviews of procedures, taking account of input from users, ex ante and any changes in central procedures (at least once per year, with a view to proposing action plans for making improvements).	Carry out periodic review (before end of 2014) and implement changes in line & on schedule with action plan.
PC5	Fine tuning and validation of the Agency's accounting system, including local financial management systems	5.1 Agency Accounting system is devised and validated. 5.2 Introductions and modifications to the system are made after consultation of authorizing officers and validation by the Accounting officer.	Positive external validation
PC6	To keep and present the accounts in accordance with Title VII of the Financial Regulation	6.1. The accounts comply with the rules, are accurate and comprehensive and present a true and fair view of the Agency's' assets and liabilities, the financial situation and the outturn of the financial year; 6.2. The revenue ledger and general ledger system are maintained and contain updated data; 6.3. The management of the Agency is provided regularly with information on transactions they have entered and validated in the central accounting system ABAC/SAP); 6.4. The treasury	6.1-2 Accounts respect all provisions of the Financial Regulation 6.3. Timeliness of reports provided 6.3 & 6.6 Monthly meetings with authorizing officers 6.5. Decreased numbers of discrepancies 6.6 Monthly Meetings with authorizing officers 6.7 No significant negative observations

I	D	Objective	Outputs & performance indicator	
			Output	Performance indicator
			<p>management and assets register are regularly reconciled and in case of any discrepancies, relevant parties informed properly thereof;</p> <p>6.5. Regular monitoring of the regularization of non-budget operations is ensured;</p> <p>6.6. Interface with authorizing officers on accounting matters;</p> <p>6.7. Implementing the accounting rules and methods and the chart of accounts in accordance with the provisions adopted by the European Commission's Accounting Officer;</p>	
PC7		To implement all internal control standards within the organisation, to perform periodic reviews and to ensure that staff are informed of these standards and any related procedures.	<p>7.1 Implementation of the action plan for implementing all standards within the Agency.</p> <p>7.2 Standards related to financial management should be implemented as early as possible.</p> <p>7.3 With regard to risk analysis, due to the nature of the IT systems under its management, the Agency is expected to rapidly surpass baseline standards in this area.</p> <p>7.4. 2 reviews per year.</p> <p>7.5. Publish summary of standards on the intranet & refer to these in induction training for staff.</p>	<p>7.1 Number of fully implemented standards Target: 100% compliance.</p> <p>7.2 Should there be, due to exceptional circumstances, a small number of standards which are not fully implemented, clear action plans must be put in place to remedy the situation as soon as possible after the end of the year.</p>

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
PC8	To implement payments, collect revenue, follow-up to notes, VAT and recovery orders	Rigorous treasury policy implemented.	The funds on bank accounts correspond to the actual needs of the Agency
PC9	Prepare and implement a procurement plan	9.1 Procurement plan for 2014. 9.2 Regular reviews	9.1 Quality and timeliness of procurement procedures 9.2 Plan implemented as agreed

2.10.7. Security and data protection

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
SE1	<p>Security</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 finalized). This will include measures to ensure that staff is fully aware of the basic security rules and procedures related to their activities and that Incidents and Irregularities are reported.</p>	<p>1.1 Advice / updates to other units of the Agency on security</p> <p>1.2 Training for staff on security</p> <p>1.3 Verify the functioning of the security procedures</p> <p>1.4 Action plans to address any issues identified.</p> <p>1.5 Business Continuity Plan</p>	<p>1.1 Quality & clarity of information</p> <p>1.2 All staff have participated in security training by the end of 2014</p> <p>1.3 No serious negative findings</p> <p>1.4 BCP prepared and implemented as agreed</p>
SE2	Ensure that confidentiality and professional secrecy requirements rules for staff working with data	<p>2.1 Information/training for staff</p> <p>2.2 occasional checks (at least once per year) + put in place action plans to</p>	2.2 No significant negative findings

I D	Objective	Outputs & performance indicator	
		Output	Performance indicator
	in the systems are respected	remedy any issues identified.	
SE3	Rehearsal of the business continuity and disaster recovery plan for the Agency.	3.1 Periodic rehearsals (each trimester)	3.1 Timeliness of implementation
SE4	To ensure that all security aspects are taken into account in the planning and renovation of Agency premises	4.1 Check that premises are compliant with security standards. Put in place action plan for any issues identified.	4.1 User satisfaction No significant negative findings
SE5	Ensure that security measures & security plans for SIS II, VIS & EURODAC and for the communications networks related to these systems are fully implemented.	5.1 information, advice and training for staff on security 5.2 Regular reports on compliance with detailed service level definition + Annual checks 5.3 Annual check of the functioning of the BCP and revise if necessary 5.4 Management of crypto keys for TESTA-ng network	5.1 Specific indicators will be contained in the service level agreements developed under objective OPI2 above. 5.2 Crypto key management in place
SE6	Implement, maintain and develop 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. Ensure compliance with best practice and relevant regulations in force through close cooperation with the	6.1. Internal procedures implemented 6.2 Regular internal reviews 6.3 Action plan to address identified gaps 6.4 Prepare & submit an annual report to the Management Board on data protection, incidents and activities. 6.5 Provide mandatory staff training on data protection requirements & regulations in force	6.1 All procedures are implemented and followed 6.2 No data protection issues through the year. 6.3 Action plan implemented 6.4 DP report to be submitted to the MB on an annual basis 6.5 Mandatory staff training on DP issues to be introduced

I	D	Objective	Outputs & performance indicator	
			Output	Performance indicator
		EDPS.		

2.10.8. Internal Audit

I	D	Objective	Outputs & performance indicator	
			Output	Performance indicator
IA1		To audit regularly the internal control system and processes put in place, in order to assess its effectiveness and, more generally the performance of the units in implementing the Agency's projects, actions and services, with a view to bringing about continuous improvement.	1.1 Annual audit plan	1.1 Activities provided in the audit plan are fully implemented 1.2 Action plan(s) in place to address findings

2.11. Annex A: Budget forecast –budget 2014

EXPENDITURE	Draft Budget 2014	
	Commitment appropriations	Payment appropriations
Title 1 Staff Expenditure	18,290,000	18,290,000
11 Salaries & allowances	17,372,000	17,372,000
- of which establishment plan posts		
- of which external personnel		
12 Recruitment and reassignment expenditure	108,000	108,000
13 Mission expenses	210,000	210,000
14 Socio-medical infrastructure	200,000	200,000
15 Training	400,000	400,000
Title 2 Infrastructure and operating expenditure	16,850,000	16,850,000
20 Rental of buildings and associated costs	10,788,000	10,788,000
21 Corporate Information and communication technology	2,850,000	2,850,000
22 Movable property and associated costs	445,000	445,000
23 Current administrative expenditure	500,000	500,000
24 Postage	30,000	30,000
25 MB and other meeting	400,000	400,000
26 Information, Publication and multimedia	400,000	400,000
27 External Administrative Support Services	587,000	587,000
28 Corporate Security	850,000	850,000
Title 3 Operational expenditure	24,240,000	24,240,000
30 Shared Systems Infrastructure	9,050,000	4,050,000

31 SISII	0	5,000,000
32 VIS/BMS	6,500,000	6,500,000
33 EURODAC	5,500,000	5,500,000
36 Operational Services delivered by externals	1,550,000	1,550,000
37 Meetings & missions directly related to Operations	950,000	950,000
38 Training directly related to Operations	690,000	690,000
39 New systems	0	0
TOTAL EXPENDITURE	59,380,000	59,380,000

Notes:

1. Difference between total commitments and payment appropriations is due to operational commitments appropriations carried over from 2011, 2012 and 2013.
2. There were following global commitment approved by Management Board in December 2013:
 - Global commitment L1: 25,000,000.00 EUR for SIS II MWO; Individual commitments L2 to be signed during 2014 upon implementation of specific contracts with the new contractor.
 - Global commitment L1: 3,334,507.00 EUR for the extension of current maintenance for SISII awarded 06/12/2013; Individual commitment L2 to be signed in January 2014, upon expiration of compulsory stand-still period.
 - Global commitment L1: 2,000,000.00 EUR for Specific Contract No 10 for VIS MWO; Individual commitments L2 to be signed in the first quarter of 2014 upon finalisation of Work Orders.
 - Global commitment L1: 5,000,000.00 EUR for BMS Evolution; Individual commitment L2 to be signed in the course of 2014.
 - Global Commitment L1: 5,500,000.00 EUR for recast; Individual commitment L2 to be signed in the course of the year upon finalisation of on-going procurement procedure.

Annex B: Overview of critical risks and mitigating measures

An essential element of its overall governance framework, the Agency has developed and implemented corporate-wide risk management process. It aims to identify, assess risks at organisational level as well as to define response strategy for each of them. The process is integrated into the annual planning and reporting cycle, in conformity with Internal Control Standard (ICS) N° 6 of the Commission³⁷.

A risk is defined as an uncertain event or set of events that, should it materialize, would have a negative or positive impact on the achievement of objectives set out in the annual Work Program and the delivery of the medium-term goals of the Agency. The overview below outlines only the identified major risks while a separate risk management plan will address all identified risk at organisational level.

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

- jeopardise implementation of major objectives or strategic goals;
- cause serious damage to the Agency's stakeholders or partners (Commission, Member States, companies, citizens, etc.);
- result in critical intervention at political level (e.g. Council/Parliament) regarding the Agency's performance;
- result in the infringement of laws and regulations;
- result in material and/or financial loss;
- jeopardizes safety of the Agency's staff ; or
- in any way seriously damage the Agency's image and reputation .

³⁷ See also specific objective PC7 in point 2.10.6

Overview of the major risks that might impact implementation of the Work Program 2014

ID	Risk description (cause, event and effect)	Objectives concerned	Response type ³⁸	Actions
R 01	Insufficient staff due to assignment of additional tasks to the Agency	All objectives	Mitigate	1.1 Increase grades of the critical post to attract people with appropriate skill and qualifications 1.2 Reprioritize work 1.3 Review and redefine job roles to enable better utilization of existing staff 1.4 Look for incentives for people in the team to take more responsibilities 1.5 Establish regular recognition process for top performers and contributors.
R 02	High turnover of the staff	All objectives	Mitigate	2.1 Look for incentives for people in the team to take more responsibilities 2.2 Establish regular recognition process for top performers and contributors. 2.3 Engage team members with different type of work, providing them with professional development opportunities

³⁸ Threat risk type responses are: Mitigate (take actions to minimise the probability or impact; the responsibility for the risk effect(s) and response measure(s) stay with the Agency); Resolve (change the scope of the business objective concerned); Transfer (a third party takes responsibility for the risk); Accept (conscious and deliberate decision to accept the risk and, especially, the possible effect(s) on the business objective); Share (the responsibility for the risk effect(s) and risk response measure(s) are shared between the involved parties)

ID	Risk description (cause, event and effect)	Objectives concerned	Response type ³⁸	Actions
R 03	Frequent changes in priorities and service demand through the year	GOV 2, GOV 3 DEV 1-6 OPI 1-6	Mitigate	<p>3.1 Perform regular reviews of priorities and progress with implementation of the work program</p> <p>3.2 Provide regular communication to the stakeholders regarding status of implementation</p> <p>3.3 Communicate in a timely manner impact assessments for requested changes in priorities and drive decision-making process</p>
R 04	Budget 2014 significantly deviates from the forecast	All objectives	Share	<p>4.1 Reprioritize operational objectives and projects</p> <p>4.2 Agree with the stakeholders revised priorities</p> <p>4.3 Network with other Agencies to draw from their experiences and best practice</p> <p>4.4 Seek advice and support from the Commission on critical matters</p>
R 05	Delay in preparation and delivery of required procurement procedure(s) for reconstruction of the site in Strasbourg	DEV1-6 OPI 1-6	Mitigate	<p>5.1 Phasing-out of construction works in Strasbourg</p> <p>5.2 Take advantage of using independent supervisor for construction works</p> <p>5.3 Establish default clauses in the contract for construction works</p> <p>5.4 Push for a legal solution for prolongation of the arrangements for the temporary premises, should this be required</p> <p>5.5 Prior conclusion of the contracts, the Agency shall need to inform formally the Budget Authority if the impact on the budget of the Agency is significant (as per the Financial Regulation).</p>

2.13. Annex C: Summary Table of Major Procurement Projects for 2014

Item	Project Description	Reason for Implementation	Reserved Budget (EUR)	Budget Line	Budget Chapter/Line
1	Euromodules - BATCOM2 - temporary offices for SXB	Temporary office space for staff and contractors during the implementation of refurbishment project	1,000,000	<i>Expenditure for premises in France</i>	A02-0-1-0
2	Project Management for refurbishment of premises in SXB - Phase II	Selection of outsourced contractor to monitor implementation of the refurbishment project in SXB	1,543 000	Expenditure for premises in France	A02-0-1-0
3	Implementation of refurbishment project for SXB	Selection of outsource contractor who will implement refurbishment project in SXB - budget covers Phase I (11,000,000 EUR needed for phase 2 in 2015)	6,200,000	Expenditure for premises in France	A02-0-1-0
4	End User Work Stations for VIS/BMS	An upgrade and evolution of management infrastructure for VIS/BMS (including hardware, software, licences and consultancy)	3,000,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
5	Datawarehouse	Acquisition of application to support unified reporting tools for all core systems	3,000,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
6	Service Manager 7 (SM7) (Ticketing tools integration) - horizontal infrastructure	Integration of monitoring of all systems into one tool and alignment with Agency's service model	700,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
7	Datacenter infrastructure Management	Centralisation of datacentre infrastructure management in SXB and St Johann	700,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
8	Database artificial fingerprints	Acquisition of artificial fingerprints data base to support testing of biometrics for all systems	500,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
9	Virtualisation study	Feasibility study to establish options for consolidation of hardware and software architecture and virtualisation of server infrastructure	500,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
10	External security assessment (for SISII/EURODAC/VIS/BMS)	Annual security assessment of the systems	120,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
11	Security infrastructure	Build a complete standalone platform where to test security solutions and tools and run simulations in isolation from any business network	150,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
12	RFS and feasibility studies regarding a central AV server / syslog server	This is for VIS Evolution to implement centralised and managed antimalware and security log repository as requested by former EDPS audit to the system	60,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
13	PKI shared core systems infrastructure	All IT Systems managed by the Agency make use of digital certificates for encryption and digital signatures. It is an operational and security indispensable and multipurpose service to be built in the core infrastructure	100,000	Operational Expenditure/Share System Infrastructure (Core Systems)	B03-0-0-0
14	Flow Control	Implementation of changes in VIS requested by members States, but not covered in MWO	1,000,000	Operational Expenditure/VIS/BMS/MWO	B03-2-0-0
15	BMS Evolution	Implementation of urgent technical measures to address performance and capacity issues in BMS as established in 2013	5,000,000 (5,000,000 L1 commitment done in 2013)	Operational Expenditure/VIS/BMS/MWO	B03-2-0-0
16	New EURODAC MWO	The Agency shall conclude a new MWO, due to expiration of the existing one in December 2014	5,500,000	Operational Expenditure/ EURODAC/MWO	B03-3-0-0
17	3 external experts to support procurement in the area of SIS/VIS/EURODAC	To support management of the contracts related to the core systems under control of the Agency	250,000	Operational Expenditure/External Support Services Directly Related to the Core Systems	B03-6-0-0
18	External assistance for the implementation of TESTA NG	Additional human resources acquisition to support short term operational needs related to the migration to TESTA NG	450,000	Operational Expenditure/External Support Services Directly Related to the Core Systems	B03-6-0-0
19	Pilot projects, studies and research related to core systems		650,000	Operational Expenditure/External Support Services Directly Related to the Core Systems	B03-6-0-0
20	Training for Members States	Technical training as per core mandate of the Agency	450,000	Operational Expenditure/Training for Members States	B03-8-1-0