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From: eu-LISA  
To: Working Party for Schengen Matters (SIS/SIRENE) / Mixed Committee  
(EU-Iceland/Norway and Switzerland/Liechtenstein)  
Subject: eu-LISA Annual Work Programme 2016

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Delegations will find attached a revision of the eu-LISA Annual Work Programme for 2016, as adopted by eu-LISA's Management Board pursuant to Article 12(1)(i) of Regulation 1077/2011.



Executive Director

E-MAIL / *Handwritten signature*

Protection level LIMITED BASIC

RELEASABLE TO Information stakeholder

General Secretariat of the Council of the EU  
Mr Jeppe Tranholm-Mikkelsen  
Secretary General

Tallinn, 17 June 2016

eu-LISA/ED/O-438-2016

**Subject: Revision of eu-LISA's Annual Work Programme for 2016**

Dear *Jeppe*,

According to Article 12 (1) (i) of the establishing Regulation of the Agency, eu-LISA's Management Board has adopted the Agency's draft Annual Work Programme for 2016 on 11 April 2015, and has delegated the Agency's Executive Director to circulate the draft Annual Work Programme to the European Commission and the budgetary authorities (eu-LISA's correspondence no. O-351 of 17 April 2015).

Further to the decisions by the Management Board as regards to the inclusion of the SIS II AFIS project in the Annual Work Programme 2016, a written procedure was completed on 9 June 2016 for the adoption of the third revision of the eu-LISA Annual Work Programme for 2016. The revised version of the programming document reprioritises the already planned activities and reallocates necessary budget in 2016 due to the SIS II AFIS project implementation.

I remain at your disposal should you need any additional information regarding the content of the document.

SECRETARIAT GÉNÉRAL DU  
CONSEIL DE L'UNION EUROPÉENNE

SGE16/06258\*

Reçu le 17 -06- 2016

DEST. PRINC. Mme ROGER  
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Yours sincerely,

*Handwritten signature of Krust Garkov*  
Krust Garkov  
Executive Director

eu-LISA LIMITED BASIC



**2015-131 REV3**

**Annual Work Programme 2016**

From            Executive Director  
To                Management Board

Prev. Doc.      2015-058 REV2  
Subject         Annual Work Programme 2016



# Annual Work Programme

2016

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# 1. Overview

## 1.1 Executive Summary

This annual work programme of European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice<sup>1</sup> (eu-LISA) aims to provide an overview of the activities to be undertaken and objectives to be achieved during 2016. It outlines in detail its annual operational objectives and outcomes that contribute to the delivery of its strategic goals and objectives. In addition it provides estimates regarding the allocation of human and financial resources available to the Agency and outlines indicators that can be used to quantify progress toward the deliverables set. This document will also provide a basis for the Agency's budgetary planning for 2016.

In 2016 the Agency will continue to deliver its core mission: to add value through the provision of stable, effective and efficient operational management of systems entrusted to it (at the time of writing this is VIS/BMS, SIS II and Eurodac). In 2016 the Agency may be required to start preparing for further systems such as those foreseen within the Smart Borders package.

The Agency will continue to forecast and maintain an accurate baseline for workloads, costings and staffing levels needed to ensure the optimum performance of all systems under current management and any other systems that may come under its management over the medium-term. Whilst implementing an ambitious schedule of adaptive and corrective maintenance, it will also identify areas of opportunity to continuously improve the cost-efficiency and effectiveness of the systems it manages building and refine each system's roadmap to ensure continuous improvement in service delivery.

Resource-wise, the Agency will continue its efforts to ensure the retention and development of its staff in the efforts to build a sustainable, efficient and agile organisation. It will also develop further its ICT and corporate governance structures and refine and evolve existing performance management systems for both systems under its management and its wider corporate structure.

The progress made in the above operational areas in the short time since the Agency's creation is testament to eu-LISA's long-term strategic intent to continuously increase the value proposition to its stakeholders, aligning the capabilities of technology and competencies of the organisation with their needs. The ambitious longer-term strategic goals and objectives that the Agency has adopted<sup>2</sup> to do this are challenging and will have to be delivered alongside existing day-to-day commitments for the Agency's staff and resources. To meet its own challenging strategic and operational targets, the Agency will continue to integrate good governance practices in order to identify and eliminate inefficient business processes. By implementing innovative IT service solutions at both programme and agency levels, the Agency will further seek to identify and close productivity gaps and increase value for itself and its stakeholders.

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<sup>1</sup> eu-LISA 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) (Establishing Regulation) which entered into force on 21 November 2011. The Regulation provided for the Agency to take up its responsibilities from 1 December 2012.

<sup>2</sup> The Agency's strategic goals and objectives are outlined in detail in eu-LISA's long term strategy document (2014-2020), approved by the Agency's Management Board in March 2014

Of course, such improvements and evolutions in service delivery do not happen in isolation and must be managed within the context of wider political, institutional and resourcing imperatives. Therefore, whilst 2016 is likely to see a significant increase in workload for Agency staff, it will also see eu-LISA continuing to identify and implement suitable efficiency measures to meet the target outlined by the European Council and Parliament to reduce staff by 5% between 2013 and 2018.

The reporting period will also likely see the results of the evaluation of the Agency by the Commission (which must take place by 1 December 2015 at the latest) and any subsequent recommendations and proposals to amend the establishing regulation.

There will clearly continue to be significant organisational, resourcing and budgetary challenges to be met during the reporting period and a concerted and sustained effort will have to continue to be made in order to implement the work programme as outlined in this paper.

## 1.2 The Agency's Mission, Vision and Core Values

We are the European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice (eu-LISA)<sup>3</sup>. We are responsible for the operational management of large-scale IT systems in the fields of justice and home affairs under Title V of the Treaty on the Functioning of the European Union, in particular the Schengen Information System (SIS II), the Visa Information System (VIS) and the Eurodac system. Reflecting its mandate, the Agency's core mission is to undertake to continuously add value to the Member States, supporting through technology their efforts for a safer Europe. The Agency is committed to undertaking the following:

- providing high-quality efficient services and solutions;
- building trust amongst all of its stakeholders and continuously align the capabilities of technology with the evolving needs of the Member States; and
- growing as a centre of excellence.

Our vision is to provide high quality and efficient services and solutions to our stakeholders and to earn and retain their trust. We also aim to continuously align the capabilities of technology with the evolving needs of Member States and to grow as a centre of excellence in our field of expertise.

The Agency adheres to a number of core values that drive and underpin its operational activities and the strategic development of the organisation:

- **Accountability:** deploying a sound governance framework, sound financial management and cost-effective operations;
- **Transparency:** providing regular communication to the Agency's key stakeholders and engaging them in a continuous dialogue to define the 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;
- **Continuity:** 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;

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<sup>3</sup> The Agency was established through Regulation (EU) No 1077/2011 of the European Parliament and of the Council of 25 October 2011 (OJ L 286, 01.11.2011, p.1) which entered into force on 21 November 2011. The Regulation provided that the Agency take up its main responsibilities from 1 December 2012).



- Teamwork: seek to empower each team member to make the best use of their knowledge and experience, contributing to the common success;
- Customer focus: ensure that the Agency is aligned at any time with the needs and demand of its stakeholders.

### 1.3 Policy Context and Outlook for 2016

The strategic guidelines for legislative and operational planning in the area of migration and border management for 2016 and beyond were defined by the European Council at its meeting of June 2014. It concluded that the overall priority should be to consistently transpose, implement and consolidate the legal instruments and policy measures already in place.

With the current economic climate and limited financial resources, it is likely therefore that future European Union action in this area will have to be focused on its key priorities, with the stress being laid on the quality of implementation of the Union acquis; in other words, a consolidation of the achievements of the three previous JHA programmes. In this context, the European Agenda for Migration and the European Agenda for Security in particular will provide the key frameworks to step up the EU's efforts in managing migration flows and associated security issues.

Despite the focus on consolidation and implementation of existing acquis following June 2014's European Council rather than any new initiatives, 2016 is still likely to be a busy period for eu-LISA, with existing commitments for the integration of new Member States and implementation of functional changes required as a result of changes in the legal base to its systems (such as Visa Code amendments) to be delivered by the Agency alongside the continuous operation of the systems under its management.

In 2016 the importance of the systems managed by the Agency is likely to continue to grow for national authorities, as reliance on technology to provide effective asylum, migration and border management in a cost-effective way as the challenges of border management, asylum and law enforcement across Europe increase. The European Agenda for Security, covering the period 2015 - 2020, may recognise the importance of eu-LISA as one of the enablers of an integrated response to existing and emerging threats to European security, particularly in the area of border management. Subject to its legislative approval, 2016 could also see the preparation for the development and start of implementation (if feasible) of the Smart Borders package (consisting of Entry/Exit System (EES) and a Registered Travellers Programme (RTP)).

Whilst a post-Stockholm strategic realignment toward coherence, simplification and cost-effectiveness in JHA areas in 2016 would almost certainly increase reliance on large-scale IT systems to provide effective and efficient solutions and support to border management and law enforcement, there is also increasing pressure on decentralised agencies such as eu-LISA from the budgetary authority to contribute towards meeting the reductions in establishment plan set for the Union in the Multi-annual Financial Framework 2014-2020, in effect asking the Agency to do more with less. One of the key challenges for the Agency in 2016 therefore is to square this resourcing circle and continue to demonstrate to all stakeholders and to wider society that it can continue to provide security, efficiency and value-for-money. It shall be noted that in the 2<sup>nd</sup> half of 2015<sup>th</sup> the European Union faced unseen after end of the 2<sup>nd</sup> World War migration pressure. Hundreds of thousands refugees and economic migrants from Africa and Middle East reached external borders of the Union, seeking for protection and better future. A key element of ability of the Union to provide joint and timely response to the crisis is uninterrupted availability of EURODAC and SIS II. In this respect eu-LISA recognises increased importance and contribution of the systems under its management for practical implementation of political priorities and legal instrument in the area of asylum and migration.

The Agency already in 2015<sup>th</sup> took extraordinary actions to increase capacity of EURODAC in response of increased needs of the Members States, handling the present migration flows. For 2016<sup>th</sup> eu-LISA incorporated in its work programme all necessary actions to guarantee stable functioning of EURODAC and SIS II and to introduce necessary technical and functional evolutions. In addition, the agency recognises importance of the new 'Hot spot' approach to support Member States in management of migration flows and is prepared to provide necessary technical expertise and support to it through the year.

## 2. Goals and Objectives in 2016

### 2.1 The Agency's Strategic Goals in 2016

In 2016 the agency will continue to organise its work in order to continue to deliver its four main strategic goals. They reflect the mandate of the Agency at the time of writing and its priorities as defined through dialogue with Member States. These goals have been established in the long-term strategy of the Agency and adopted by eu-LISA's Management Board in March 2014. The section below summarises the planned and ongoing work toward delivery of these goals during the course of the reporting period.

#### 2.1.1 Strategic Goal 1: Continue to grow as a contributor to and facilitator of freedom, security and justice policies in Europe:

In 2016, the focus of the efforts of eu-LISA will be to continue to maintain the delivery of continuous operation of the systems under its management and ensure their on-going evolution in accordance with the requirements of its stakeholders and partners. In practice this means that in addition to supporting MS through the full lifecycle of systems under its management and the implementation of appropriate corrective, adaptive & evolutive maintenance programmes, the Agency will be dealing with a number of additional business critical projects affecting the operational management of the systems, amongst them the integration of new member states into SIS II, supervision of the handover to new MWO contractors for VIS/BMS and the successful management of migration to a new service provider for the systems' communications network (Testa-NG).

#### 2.1.2 Strategic Goal 2: Become an acknowledged ICT centre of excellence and service provider:

During the course of the year, eu-LISA will continue to implement the relevant governance and operational frameworks based on industry standards. In addition the Agency will continue to develop its operational and governance models. It will also ensure efficient and cost-effective management of the systems by continuously monitoring and evolving operational processes, seeking opportunities to optimise its operations and improve the 'Total Cost of Ownership'<sup>4</sup> of existing systems. It will also seek to further build the strategic capabilities of the Agency.

The Agency will also seek to create synergies and economies of scale, establishing partnerships with other agencies in JHA area, and providing services to them and the Member States on the grounds of its mandate and following the principle of complementarity.

#### 2.1.3 Strategic Goal 3: Grow as the principle EU ICT technology centre and hub of expertise:

The Agency will continue to engage in partnerships with relevant actors in order to foster operational and policy coherence across sectors and to influence policies and actions that can have a positive benefit on the execution of eu-LISA's mandate and that of its main stakeholders. As such, the Agency will further develop internal and external partnerships with MS, institutions, relevant EU agencies and other partners in order to create and develop synergies and economies of scale in the area of ICT.

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<sup>4</sup> The Total Cost of Ownership is a financial estimate deployed to determine the direct and indirect costs of a product or system. It adds to the initial purchase price any other costs expected to be incurred during the life of the product.

The Agency will also seek to exchange ICT experience and knowledge with identified partners, particularly those active within the Justice and Home Affairs policy area, and will continue to contribute to the deployment of common systems and technology platforms and provide services as per the relevant legal instruments in force concerning the systems that the Agency manages. Also integral to this strategic goal is to strengthen and deepen ties with industry in order to further knowledge acquisition in areas relevant to the Agency's mandate.

#### **2.1.4 Strategic Goal 4: Develop a modern, efficient and agile organisation:**

In 2016 the Agency will be in its fourth full year of operation. Critical internal corporate service and governance structures will by this point have been well established. The challenge for the Agency in 2016 is therefore the continued consolidation of these processes, with an emphasis on further developing their efficiency and effectiveness in line with best practice. This must be achieved against a background of continuing austerity and budget reductions, with all agencies expected to contribute towards meeting the reductions set for the Union in the Multi-annual Financial Framework 2014-2020<sup>5</sup> (the target being to reduce staff by 5% between 2013 and 2018 in all EU institutions, bodies and agencies).

## **2.2 The Agency's Objectives and Activities in 2016**

eu-LISA believes that it should establish a clear link between the strategic and operational elements of the Agency's planning, providing a bridge between the Agency's strategic goals and its annual operational deliverables. This is important simply because it is the daily actions of its operations, when considered in their totality, which constitute eu-LISA's long-term strategic direction. As such, outlined below are 2016's operational goals that will provide the building blocks for the Agency's strategic evolution.

### **2.2.1 Objectives & Activities Foreseen in 2016 to Support Delivery of SG1:**

*"Continue to grow as a contributor to and facilitator of freedom, security and justice policies in Europe"*

In 2016, the Agency will remain focused in maintaining the delivery of continuous operation of the systems under its management and ensure their on-going evolution in accordance with the requirements of its stakeholders and partners. In practice this means that in addition to supporting MS through the full lifecycle of systems under its management and the implementation of appropriate corrective, adaptive & evolutive maintenance programmes, the Agency will be dealing with a number of additional business critical projects affecting the operational management of the systems, amongst them the integration of new member states into SIS II, supervision of the handover to new MWO contractors for VIS/BMS and the successful management of migration to a new service provider for the systems' communications network (Testa-NG). The Agency will also start to identify those activities and deliverables for which execution may have resourcing or budgetary implications for Member States themselves and to use the Advisory groups to communicate such forecasts to them in a timely manner.

#### **2.2.1.1 Operational Management of the Systems**

The Agency's continuing core task is to ensure the uninterrupted access to all systems under management, 24 hours a day, 7 days a week, in order to allow the continuous exchange of data between national authorities and other authorised bodies using them, in accordance with their appropriate legal frameworks and eu-LISA's Establishing Regulation.

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<sup>5</sup> Communication from the Commission to the European Parliament and the Council: "Programming of human and financial resources for decentralised agencies 2014 -2020", 10/7/2013, COM (2013) 519.

In 2016 the Agency will continue to be responsible for the operational management of VIS/BMS, SIS II and Eurodac as well as their respective communications and information exchange platforms (SIRENE Mail, VISION, Dublinet and VIS Mail 2). It shall be noted that management of VIS Mail 2 has been not included into the contract with T systems for Testa NG network and shall be assumed by eu-LISA. It will continue to manage the underlying infrastructure for all systems at its operational and back-up sites and provide continuous monitoring of all infrastructure, services and systems. It will also continue to provide oversight and supervision of the systems' relevant communication infrastructure, a task it currently shares with the European Commission. A key deliverable for the Agency remains improving further the reliability and availability of the systems under management in order to enhance performance and improve user satisfaction. This will continue to be achieved in large part through the implementation of appropriate corrective, adaptive & evolutive maintenance programmes for the systems.

In addition to application management services, supervision of maintenance and Member State user assistance, there are a number of areas of operational focus for each system in 2016. For Eurodac, the execution of projects to implement and revise some aspects of its functionality required as a result of its Recast regulation in 2015 will continue into 2016. Such changes may include amendments to the contractual arrangements for third party maintenance (with a number of contractual options currently being considered to either renew or extend the maintenance arrangements for the system), in addition to changing aspects of the system reporting functions to be compliant with the revised legal basis. .

For SIS II (as for the other systems), developing further quality and scope of technical support and access to test environments for Member States will be a key deliverable in 2016, where a virtualised test platform and central simulator will improve access for Member States to test and playground environments. Furthermore, Croatia is also scheduled to become full user of the system, so the requisite integration and user training programmes must be completed.

Following the completion of the global roll-out of VIS/BMS in 2015, the system will continue growing to gradually reach its cruising operational capacity. The Agency will have to reinforce the capacity of its testing infrastructure to efficiently and properly finalise the foreseen capacity increase of the VIS and BMS. Contractually, a new VIS/BMS Maintenance in Working Order (MWO) contract is scheduled to be awarded and the handover between contractors will take place during the course of the year. Across the organisation, a unified service model to make more informed decisions about risk and resource allocation will be strengthened, as will the change & configuration management procedures that provide a single process for managing change to the applications and IT infrastructure under management, helping to create a more service focused and value driven IT organisation. To achieve this, the Agency will continue to implement the Information Technology Infrastructure Library / Information Technology Service Management (ITIL/ITSM) implementation roadmap, which in 2016 should be reaching maturity.

In compliance with the relevant legal requirements, the Agency will also continue to maintain a complete separation of each individual system's data in order to maintain the highest level of security, data protection and reliability.

In 2016 the Agency will evolve further already implemented Change Management process. These evolutions would include refinement of the process itself as well as planning put in place by the Agency to implement unforeseen changes through the year.

#### **2.2.1.2 Evolution of the Systems:**

The systems managed by eu-LISA will continue to evolve in accordance with legal requirements and Member States operational needs. Following a clearly defined evolutionary roadmap for each system, the Agency will continue to test the feasibility of providing mobile system access for Eurodac. The Agency also plans to support the European Commission in undertaking its impact assessment study on the migration of Eurodac to its own dedicated encrypted

virtual network<sup>6</sup>. This Agency will also continue to enhance existing services and to align systems with business and user requirements. It will also continue to have effective release management processes in place to ensure the smooth delivery of new services into production and will continue to review the current systems architecture in order to identify and exploit any economies of scale or opportunities for greater efficiency.

There are a significant number of specific evolutionary activities and projects planned for 2016. Some, such as the setting up of a development environment for all systems and the implementation of virtualised test platforms, will benefit all systems under management. Additional initiatives planned for the collective benefit of all systems include improving end-user work station support coverage and building better system interfaces to the Agency's data warehouse in order to improve automated reporting and statistics generation.

Since March 2015 a huge increase of the number of people looking for asylum was observed, as a direct result of the situation of the Middle East and North Africa. As long as EURODAC provides technical capabilities for practical implementation of the Dublin Convention, the Agency observed direct impact on the system in terms of significant increase of the service demand and number of new registrations. Further trend analysis performed in 2015 led the Agency to conclusion that emergency unplanned increase of capacity of the system is required. As a consequence already in Q4 2015 eu-LISA took particular actions to advance the system capacity needs assessment and to proceed with the required contractual arrangements to increase it up to 7 Mio fingerprints. Nevertheless, the Agency will continue closely to monitor the trends in migration flows in 2016 and will be ready to increase further capacity of the system if required as well as to plan and deliver other technical and functional evolutions (subject of budget availability and award of the new MWO contract) in order to align further EURODAC capabilities with developments of the EU asylum system.

In 2016 Croatia, Ireland and Cyprus will either be in the process of being actively integrated into SIS II and SIRENE as new users or in the integration pipeline. As such, functional changes may be required to accommodate these new users.

SIS-II enables competent authorities to enter and consult alerts on certain categories of wanted or missing persons and objects. In the case of alerts related to persons, SIS-II already offers the possibility to process biometric data. However, the possibility to identify a person on the basis of his/her fingerprints – a functionality which requires the implementation of an Automatic Fingerprint Identification System (AFIS) – is not yet in place. In order for the functionality to be implemented in SIS II, the Commission presented a report on the availability and readiness of the required technology, after having consulted the European Parliament (see Articles 22(c) of SIS-II Decision and Regulation). For this purpose, COM DG HOME requested a study to JRC in order to address the requirement stated in Article 22(c) and to provide information on whether fingerprint identification technology is mature enough for its integration into SISII. JRC study became available in November 2015 and report from the Commission to the European Parliament and the Council on the availability and readiness of technology to identify a person on the basis of fingerprints held in the SIS II was presented on 21 March 2016 to the LIBE committee of the European Parliament.

Upon a release of the JRC study, and considering the current political situation, eu-LISA has carried out a complementary study, based on different scenarios, aiming to identify the resources needed for such implementation. Based on both studies and after having established in Comitology Committee the technical specifications of AFIS in SIS II and minimum data quality standards for fingerprint records, eu-LISA shall start the implementation of AFIS to SISI II in 2016 taking into consideration the most promising scenario with the objective of prompt introduction on AFIS.

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<sup>6</sup>Article 3.1.(b) of REGULATION (EU) No 603/2013 requests: ‘...a communication infrastructure between the Central System and Member States that provides an encrypted virtual network dedicated to Eurodac data ("Communication Infrastructure")’

The SIS II roadmap outlines a number of other priorities for 2016, amongst them being the SISII Active2Active study<sup>7</sup>, which aims to study the operation of both the CU and BCU in active/active mode (this is where two or more servers aggregate network traffic load and working as a team distribute it to the network servers) in order to provide better system resiliency, business continuity and more efficient data centre resource utilisation. The study for the SIS II active/active set up will look into the compatibility with applicable legal framework in addition to the assessment of the technical feasibility and financial impact.

Following the developments in 2015 in the Council as response of the migration crisis in Europe, in 2016 the Agency might be requested to enhance functional capabilities of SIS II to incorporate insertion of return decisions into the system. It shall be noted that due to the stage of development of this evolution, planning and financial resources for such evolution or related studies in 2016<sup>th</sup> are not included in this AWP 2016. The main focus of planned evolutions for VIS/BMS in 2016 will be to keep capacity of the systems aligned with increase of usage of the systems, in accordance with the regularly conducted volumetric exercises. In addition, number of technical and functional evolutions have been agreed with Member States in the evolution roadmap of the systems and will be incorporated within the new MWO contract. They include increase of VIS DB capacity to 100 M records, implementation of necessary changes in the system stemmed from the VISA Code changes, and alignment of capacity of pre-production environment with production environment of the system.

### **2.2.1.3 Network and Communication Infrastructure Management:**

eu-LISA continues to be responsible for the supervision, security and coordination of relations between the Member States and any third party provider for the communication infrastructure for Eurodac, SIS II and VIS/BMS (tasks relating to the operational management of such can be entrusted to third party private sector providers or other bodies<sup>8</sup>). The Agency shares the responsibility for the management of the communication infrastructure with the Commission, which is responsible for all other tasks relating to this, in particular those tasks relating to budgets, acquisition, renewal and contractual matters. The Commission also retain responsibility for the adoption of relevant security measures and the security plan for the communication infrastructure for SIS II, in accordance with Article 16(1) of the SIS II Regulation<sup>9</sup>.

The network provider is bound by the security measures laid down in the basic instruments for each system and has no access to any of the systems' operational data. The Agency will continue to ensure that these contractual provisions are respected and throughout the reporting period will continue to maintain and monitor these networks to ensure their ongoing security and reliability.

The framework contract for provision of a new network has been delayed. There are now new specific contracts in place which extend s-Testa contracts until September 2015. As a result, the lion's share of the activity to migrate the systems and communications infrastructure to the Testa-NG network is now provisionally scheduled to take place from late 2015/early 2016, although detailed planning is still dependent on the final date of contract signature, which at the time of writing is estimated to be in Q1 2015. Whilst this delay may impact the timetable for scheduled Testa NG Evolutions, improving the network security for VIS is currently foreseen for 2016 and the upgrade of network capacity to cope with all three systems testing needs will also continue, depending on contractual activities in this area.

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<sup>7</sup> Without prejudice to further clarifications and the outcome of the study, the compliance of the potential follow-up action with the applicable legal framework and Article 10 of the Agency's establishing regulation in particular, shall be further examined by the Commission and the Agency.

<sup>8</sup> In accordance with the Agency's Establishing Regulation and Regulation (EC, EURATOM) No 1605/2002.

<sup>9</sup> The division of tasks between eu-LISA and the Commission with regard to the communication infrastructure is set out in the Memorandum of Understanding adopted by Commission decision C(2014) 3486 final, signed on 18 June 2014.

Effective service management, incident and problem management through established helpdesk structures will continue throughout the reporting period. The establishment of an integrated monitoring solution across all systems based on ITSM event management processes will enhance normal operation but also allow for the detection and escalation of exceptional conditions where appropriate.

#### **2.2.1.4 Development and Implementation of New Systems:**

The Agency remains prepared to take responsibility for the development and operational management of other systems (dependant on the adoption of the relevant legal instruments) or to make substantive changes to existing systems under management as directed.

In November 2015, the Smart Borders (SB) testing phase is scheduled to be completed. It aims to verify the feasibility of the options identified in the preceding technical study and to validate the selected concepts for both automated and manual border controls. Following the outcome of the testing phase and the adoption of the legislative proposals, the Smart Borders package is expected to be adopted by the co-legislators in 2016 at the earliest.<sup>10</sup>

Should this be approved, (and subject to the adoption of the relevant legal bases) the Agency's establishment plan, in addition to all other required resources, would need to be augmented to reflect additional human and financial resources required for the Agency to deliver this significant additional task. In order to continue to facilitate this process, eu-LISA will continue to prepare and update assessments of the specific infrastructure, staffing and organisational requirements for both EES and RTP throughout the lifespan of the testing phase and into 2016 as necessary.

#### **2.2.1.5 Security:**

At eu-LISA, achieving and maintaining security at the Agency is a complex, interdisciplinary challenge where consideration must be given not only the software and hardware components of the systems under management, but also the way in which these relate to the human processes and physical constraints of the real world. The effective identification, prioritisation and management of all physical and information security risks and issues will continue in 2016 to ensure that we evolve and continue to put in place the relevant security frameworks and procedures to meet this challenge.

The appropriate security measures & plans for SIS II, VIS & Eurodac and their respective communications networks will be in place and adapted to meet any emerging physical or information security challenges. The physical security controls of the systems' central units will continue to be robustly maintained with operational and administrative access to the Central and Backup systems strictly managed. Additionally, any communication between systems and towards Member States is encrypted and network controls with several layers of firewalls and integrity checks are in place.

During 2016 the Agency will progress toward compliance with the relevant ISO27001 standards, including implementation of integrated security governance, risk and compliance solutions in order to provide assurance that the appropriate security controls for the IT systems managed by the Agency have been properly implemented and adequately address applicable security risks. To ensure compliance with such standards, the Agency will continue to put in place arrangements and processes to ensure that its systems and networks are subject to baseline security control requirements, formal risk management and security approval and continuous monitoring and management of any residual risks.

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<sup>10</sup> *Estimated impact to the Agency regarding additional resources for the development of the new systems is conditional and subject of adoption by the co-legislators of the legislative instruments including the legislative financial statements. Please also see Annex A section Development of new systems*



The Agency will also continue to monitor and improve the effectiveness of its Business Continuity Management Strategy, ensuring that it has robust and well tested policies, procedures and management arrangements in place to respond to, investigate and recover from security incidents or other disruptions to its operations.

#### **2.2.1.6 Data Protection:**

eu-LISA will continue to ensure full and rigorous compliance with all data protection provisions concerning any access to data in the systems under management, using an information governance model that protects and manages information throughout its life cycle to ensure appropriate security, access and availability.

The Agency will also maintain a full data protection regime regarding Agency's administrative operations and integrate core data protection considerations into existing project management and risk management methodologies and policies.

#### **2.2.1.7 Reporting and Statistics:**

The Agency will meet all statutory reporting requirements as outlined in eu-LISA's establishing regulation and all other relevant legal bases, reporting to the European Parliament, Council and Commission on the technical functioning and system security of VIS, SIS II and Eurodac. For 2016, the following specific reporting requirements are foreseen:

- Production of SIS II annual statistics & annual update of the list of authorities;
- Production of the 2015 Eurodac annual report (including security and technical function) and provision of an updated list of asylum authorities.

The Agency will continue to improve the process of drawing management conclusions from reporting and statistics so that the number of the respective surveys is reduced to the necessary minimum and the details adhere to user requirements and ever changing operational challenges.

#### **2.2.1.8 Provision of Systems Training to Member States:**

2016 will see the continued provision and delivery of the appropriate technical training on the use of SIS II, VIS and Eurodac to participating national authorities. eu-LISA will also provide the appropriate training for SIRENE-staff, Schengen evaluation team members and lead experts on the technical aspects of SIS II.

The Agency intends to respond in a targeted way to the needs of member states concerning 'train the trainer' training requests supporting integration into relevant systems under management in 2016.

eu-LISA will also continue to pro-actively contribute to the delivery of training courses for Schengen evaluators and in cooperation with the Commission, FRONTEX and CEPOL will update relevant course materials for eu-LISA Schengen Evaluators Team. It is also envisaged that there will be further development of common training programmes and exchange of trainers on the systems under management with other relevant JHA Agencies.

The Agency's training strategy and portfolio will continue to be updated during the course of 2016 to ensure the effective administration of the eu-LISA training platform and detailed schedules for training delivery will be outlined in full in the 2016 Training Plan.

### **2.2.2 Objectives & Activities Foreseen in 2016 to Support Delivery of SG2:**

*"Become an acknowledged ICT centre of excellence and service provider"*

In 2016, the Agency's operational and governance models will develop further in order to continue to maintain the delivery of continuous operation of the systems under its management and ensure their on-going evolution in accordance with the requirements of its stakeholders and partners. In practice this means that in addition to supporting MS through the full lifecycle of systems under its management and the implementation of appropriate corrective, adaptive & evolutive maintenance programmes, the Agency will be dealing with a number of additional business critical projects affecting the operational management of the systems, amongst them the integration of

new member states into SIS II and SIRENE including testing, supervision of the handover to new MWO contractors for VIS/BMS and the successful management of migration to a new service provider for the systems' communications network (Testa-NG).

#### **2.2.2.1 Becoming a Centre of Excellence in ICT Services:**

As part of its long-term strategy to develop into a centre of excellence, the Agency shall continue to develop its comprehensive governance and operational frameworks based on industry standards. This emphasis on continuous improvement in corporate governance, accountability and transparency will assist in opening new opportunities for eu-LISA to collaborate with other Agencies, accelerating the pace of innovation in ICT within the JHA policy area and pro-actively working with the other JHA Agencies to establish synergies in the area of ICT services and support (within the remit of established Working Arrangements).

Such continued improvements in corporate governance, accountability and transparency will be achieved in 2016 via the implementation of the Agency's roadmap for Corporate Governance of ICT. The Agency will also continue to evolve its enterprise architecture model as one of the main tools to achieve efficiency of operations and economies of scale.

Application of enterprise architecture principles of reuse, standardisation, awareness of innovation and alignment between ICT and the wider organisation will help eu-LISA to continue to reduce superfluous costs and refine processes and to build a sustainable and long-term advantage for the Agency and its stakeholders. The Agency will also continue to ensure efficient and cost-effective systems management through the continuous monitoring and evolution of operational processes in line with best practice, seeking opportunities to optimise and improve the Total Cost of Ownership<sup>21</sup> (TCO) of the existing systems and optimising the use of resources to fulfil business needs in accordance with the priorities of the organisation.

The Agency's Project Management Office (PMO) will be strengthened in 2016 where it will be further integrated into the Agency's governance model and evolve as the focal point for cross organisational resource management in addition to continuing to drive operational project and programme management at an agency level. By 2016 PRINCE2 will also have been fully adopted as eu-LISA's primary formal project methodology.

In order to verify investments are in line with eu-LISA's strategic objectives and to ensure agreed prioritisation of investments and project approvals, all projects will be required to be presented to the Business Investment Committee (BIC) for approval and will be based on business cases detailing the project rationale, cost/benefit/risk analysis, implementation plans and project constraints.

#### **2.2.2.2 Further Development of the Agency's Governance Framework:**

The Agency will strengthen and mature its governance framework by continuing to implement its ITIL/ITSM governance roadmap based on a framework of best practices for adopting an IT service management approach, an important element of which will be the further consolidation and standardisation of existing service management tools. The introduction of structured and coherent end-to-end processes designed to increase cost-efficiency will also improve overall agility, effectiveness, compliance and control.

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<sup>21</sup> Total cost of ownership (TCO) is the total cost of a computer asset throughout its lifecycle, from acquisition to disposal. The aim of TCO analysis is to identify, quantify, and ultimately reduce the overall costs associated with ownership of networked assets.

Corporate performance indicators for relevant processes and functional areas will continue to be regularly reported during 2016. The ongoing production and reporting of such management information will assist the Executive Director to manage the performance of the organisation and enables the Management Board and Advisory Groups to perform their roles of 'challenge and support' to the Executive Director. The Risk Management framework will also be further developed to ensure that identified risks and issues are managed and mitigated effectively.

The Agency will also aim to continue to implement a quality management system based on achieving compliance with the relevant ISO9001 standards, elements of which will include a coherent mapping of business processes in addition to collating stakeholders' quality requirements. Internal controls within the Agency will also be further strengthened in compliance with industry best practice.

### **2.2.3 Research and Development and System Evolution:**

As a technology-based organisation, eu-LISA recognises that the integration of appropriate new technologies is inherently important to its operating model and that investigating and implementing the dynamics and new possibilities afforded by such new technologies can greatly improve our service offering and performance. However, as an operational Agency and hereby following its mandate, eu-LISA's focus in this area is limited to the monitoring of research and related activities. The Agency therefore will seek to strengthen and deepen relationships with industry through increased coordination and collaboration with appropriate private sector research actors by, inter alia, hosting and attending regular industry roundtable events throughout the course of 2016 and using its annual conference as a platform to promote effective cooperation with research bodies and other interested parties in areas of interest and relevance to the Agency and its stakeholders.

It is also planned to improve internal R&D reporting with a focus on systems evolution to ensure that relevant research findings are disseminated to internal decision makers. Relevant research institutions, private sector organisations and EU agencies will all be engaged in 2016 on technical topics such as border control technologies, network security and standards/best practices, whilst there will also be continuing engagement with appropriate think-tanks on developments concerning data protection and privacy issues.

The locus of the Agency's work will be on knowledge acquisition, specifically hardware and software (IT and biometrics) for incorporation into the Entry-Exit and Registered Traveller systems as part of the Smart Borders initiative. The Agency will also continue monitoring the outcomes of research activities relevant to the development of both EES and RTP.

### **2.2.3 Objectives & Activities Foreseen in 2016 to Support Delivery of SG3:**

*"Grow as the principle EU ICT technology centre and hub of expertise"*

#### **2.2.3.1 Relations with the Member States, EU Institutions and Other Stakeholders:**

Agency staff will continue to regularly meet with all relevant stakeholders with the most important mechanisms remaining the Agency's Management Board and its associated Advisory Groups. However, the Agency will also continue to establish and develop relations with public and private sector organisations (e.g. the European Commission's Joint Research Centre, the IDIAP Research Institute and the Biometrics Institute), as well as with research institutions and industry.

The eu-LISA liaison office in Brussels will also further evolve during 2016 and enable effective working relations with Member States, European Institutions and relevant policy and operational actors, with meetings between the Agency and the Justice and Home Affairs Counsellors. The Agency will seek to further reinforce strong working relationships and to intensify cooperation with JHA Counsellors through such regular exchanges of views.

eu-LISA will also continue to follow all relevant discussions in the relevant Council bodies (e.g. COSI, DAPIX, etc.), in addition to those in the Parliament and Commission, and engage with them in order to ensure that eu-LISA's advice is taken into account concerning matters within the Agency's mandate in all relevant policy discussions within EU institutions. The Agency considers provisioning of advice and input in the areas relevant to its mandate as one of important elements of its mission. Therefore, eu-LISA is prepared to contribute as necessary to relevant policy papers.

### **2.2.3.2 Relationships with European Agencies and Other Relevant Bodies:**

Following already concluded relationships with CEPOL, EUROPOL, FRONTEX and EASO, in 2016 eu-LISA will continue to develop further formal working arrangements and put in place annual cooperation plans with partner JHA Agencies where appropriate and practicable. It will also seek to establish such relationships with other JHA Agencies, and in 2016 it should conclude and sign further cooperation agreements with ENISA, FRA and EUROJUST.

Cooperation will also continue at strategic and operational level with various EU Agencies with the focus on partners in the JHA field. In particular, cooperation with FRONTEX in terms of knowledge sharing in the field of Automatic Border Control Systems (ABC) will continue.

Security challenges will also provide opportunities for cooperation and collaboration in 2016; the Agency will continue assisting FRONTEX with security accreditation and other technical issues associated with *Eurosur* (a shared IT platform that enables participating authorities to instantly view and review situations at and beyond EU external borders). Where legal basis allows and based on operational and policy needs, as well as depending on type of information or report needed, Agency is prepared to provide as requested statistical and other reports on the systems entrusted to it, to the European Commission and relevant JHA agencies (subject of agreement with relevant MS).

Joint training programmes will continue with a number of identified partners with eu-LISA attending other Agency courses as a technical trainer, for example in CEPOL and EASO. As eu-LISA develops and strengthens its ICT competencies, particularly in biometrics, there is also the potential for it to develop its technical partnerships with other JHA Agencies.

In 2016, the Agency will continue to establish new and develop existing partnerships with other appropriate public and private entities as required, with the focus on reinforcing the Agency as a centre of excellence, developing its internal capabilities and raising its external profile with targeted stakeholder groups. As such, strengthening and deepening links to academia and industry will be of particular importance. The Agency will therefore continue to initiate and develop relationships with research institutions and industry in 2016 to further knowledge acquisition in areas identified in its long-term strategy, including active engagement in relevant research activities; in particular Horizon 2020 projects relating to IT and/or border management. Such engagement will also include hosting at least one round table with industry during the reporting period and regularly presenting outcomes of research monitoring at conferences hosted by established research institutions. Eu-LISA will also continue to host the Agency's annual conference which will continue to be focused on a specific area of strategic importance to the Agency and the wider JHA community.

The strategic intent of these partnerships will be to aim to support the Agency in the delivery of its mandated tasks and to develop the public image of the Agency as a reliable and efficient partner, to liaise with key partners and stakeholders and to provide for effective two-way communication.

### **2.2.3.3 Further Strengthen External Communication:**

Driven by its External Communication Strategy and Action Plan, in 2016 the Agency will focus its external communication efforts on providing the European public with regular information regarding its mandate and activities. It will continue to promote the Agency, maintaining its positive image and will strengthen the

Agency's internet presence through the diligent application of an appropriate social media strategy.

The Agency shall also continue to comply with all its statutory and legal obligations concerning publication of certain types of information and will regularly publish statistics and reports about the use and performance of its systems.

#### **2.2.4 Objectives & Activities Foreseen in 2016 to Support Delivery of SG4:**

*"Develop a modern, efficient and agile organisation"*

##### **2.2.4.1 Strategic Planning:**

There will be a further alignment of the Agency's strategic capabilities and reporting functions in 2016. The production, adoption and distribution of Agency's long-term strategy, multi-annual and annual work programmes or any other reporting variant that may evolve (such as the Combined Annual Activity Report or Single Programming Document) will be aligned and further integrated into existing processes. An established, clear & well-communicated timetable for all required staff input for the production and adoption of all relevant ex-ante and ex post reporting will be in place.

In order to be in compliance with the new EU Financial Framework Regulation, in 2016 both multi-annual and annual work programmes will be integrated in a single programming document that will be updated annually. Ex-post reporting is also likely to change during the year, where it is likely that the Agency's annual activity report and more generic annual report to be combined in the Combined Annual Activity Report<sup>12</sup>.

##### **2.2.4.2 Financial Management:**

The Agency will continue developing its internal financial processes and procedures, taking a more pro-active approach to ensure the transparent and effective management of financial resources. During the course of the reporting period the unit will also continue to aim for a high level of spending against the Agency's budget, to continue to streamline workflows within the Agency's own Finance related IT systems (in particular to put in place end-to-end commitment and payment flows in ABAC), to maintain a high level of accuracy in budgetary forecasting and to continue the authorship, review and approval of the Agency's financial and procurement procedures.

##### **2.2.4.3 Logistics and Facilities Management:**

Key priorities in the area of facilities management and logistics in 2016 will be to continue to ensure that work on the permanent HQ premises in Tallinn and works to reconstruct and refurbish the existing premises and construction of the new building in Strasbourg remain fully on track in terms of both activity and budget. Following the approval of the legislative act by the Estonian Parliament on 19 February 2015, the dialogue between the Estonian Government and the Agency on the building of the new eu-LISA Headquarters has been concluded. With this act further progress will be made to establish and build the permanent premises of eu-LISA in Tallinn, which at the same time is an important step towards the implementation of its long-term strategy. The office is expected to be ready by 2017.

##### **2.2.4.4 Procurement:**

During the reporting period the Agency will further streamline its procurement activities through consolidation and reinforcement of its financial and procurement procedures, building and maintaining capabilities to provide proficient advice to all relevant parties on procurement specific matters. The Agency will place particular emphasis on ensuring that any new tender procedures are designed and reviewed in order that they comply with applicable financial rules, best practice and any relevant lessons learned exercises. It will also hold a number seminars on the development and dissemination of best practice in the area of Maintenance in Working Order contracts, which will see a continuation of the community of practice and the application of a continuous improvement approach to the management of all IT-related contracts.

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<sup>12</sup> Article 47 of the FFR (Regulation (EU) No 1271/2013, 30/9/2013)

2016 will also support OPS in the transition of the VIS/BMS MWO Framework Contract. Activities include creation and management of contractual arrangements to ensure a smooth transition between contractors, in legal and financial terms (for example, licensing, HW management handover, due diligence process).

#### **2.2.4.5 Human Resources Management:**

In 2016 the HR function of the Agency will seek to further raise staff competence and capability, assisting the delivery of organisation-wide productivity improvements through the application and administration of a range of enablers such as effective training, staff development and transparent and fair staff appraisal and promotion exercises.

eu-LISA will strengthen its culture of excellence at all levels within the Agency by providing targeted technical and other relevant training and development programmes for staff to further develop a high-performing organisation. Assisting staff in identifying their training needs and supporting learning to allow access to appropriate generic and technical training courses and material will also remain a priority. To further improve access, the Agency will increase its e-learning capabilities and solutions during 2016.

Unit-specific competency frameworks will be finalised during the course of 2016. These will provide the framework for the development of an Agency-specific skills index, scheduled for 2020.

eu-LISA will also continue to develop leading practices in the recruitment, retention and recognition of Agency staff with the emphasis in 2016 on improving staff retention and development through the introduction of a number of targeted initiatives designed to reduce potentially high turnover rates. A review of the levels of turnover across occupations, locations and particular groups of employees (such as identified high performers) will be undertaken to inform a comprehensive Agency retention strategy, which following a comprehensive consultation exercise with eu-LISA's management and staff, will be rolled out in conjunction with the Agency's updated HR Strategy.

In conjunction with the Commission, the Agency's Management Board will continue to adopt the relevant Implementing Rules relating to HR policy. In 2016 it is likely that the number adopted will increase to over 40 (from 29 in 2014). The Agency's Multiannual Staff Policy (MSPP) 2017-2019 will also be prepared in the second part of the year and will reflect the evolution of the Establishment Plan of the Agency.

Allegro, an HR specific personnel management IT tool introduced at the beginning of 2015, is likely to reach full operational maturity by the beginning of 2016. This will allow all staff to access and update elements of their personnel, performance and training profiles. An electronic Document Management System, will also be procured. This will allow for the secure storing and easy retrieval of sensitive personal data and relevant documents according to standards and requirements of the European Data Protection Supervisor.

#### **2.2.4.6 Internal Communication:**

Internal communication will aim to continue to facilitate and promote the mission, vision and core values of the Agency and to use them as drivers for the development of its corporate culture and team spirit. Communicating clearly presented ideas and a compelling message will help Agency staff to engage with the aims of the Agency and increase its chances of continued successful development.

Using the Internal Communication Plan 2016 & the Revised Internal Communication Strategy 2016 – 2018 as roadmaps, in 2016 there will be a concerted aim to continue to improve the internal communication between the Agency's sites by executing a broad range of targeted communications strategies, such as coordination and creation of internal publications and input to eu-LISA Intranet.

#### **2.2.4.7 Internal Audit:**

As per its established internal audit plan, the Agency will continue to cooperate with the European Court of Auditors and the Internal Audit Service of the European Commission, hosting their audit missions and taking measures to respond to any resulting recommendations. The Internal Auditor of eu-LISA will continue to coordinate work in this area in 2016, including the preparations of reports, follow-up activities and continuing to ensure general awareness amongst management and staff of the Agency of the principles, objectives and procedures of internal and external auditing. The Internal Auditor will carry out his activities in accordance with the adopted Internal Audit Charter of eu-LISA.

## Annex A: Specific Operational Objectives, Outputs and Performance Indicators

The estimated total effort (FTEs<sup>33</sup>) attached to the objectives of the Work Programme 2016 in this annex give a reasonable indication of the allocation of available human resources to the majority of tasks to be undertaken by the Agency in 2016. However, the list is not entirely exhaustive as it does not include those FTEs relating to management tasks nor does it attempt to capture all horizontal/supporting activities. Therefore the overall total of 127.23 FTEs as indicated below is less than the estimated staff population of draft EU budget for eu-LISA<sup>34</sup>. It is worth noting that there will also be a number of external FTEs available to the Agency to complement its core team, assisting in delivery of technical tasks relating to the operational management of the systems.<sup>35</sup>

The Statement of Revenue and Expenditure of eu-LISA for 2016 gives an overall total of Commitment Appropriations of €80.28 million, from which Title 1 expenditure 15.24 million euros, Title 2 expenditure 11.63 million euros and Title 3 expenditure 53.4 million euros.

It shall be also noted that the costs of the tasks below, where no specific budget is attached, will be covered under staff costs and running costs of the agency, shown under Title 1 and Title 2 of the Statement of Revenue and Expenditure of eu-LISA for 2016 or will use commitments made previous years and carried over to 2016.

#	STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
						<	Q1	Q2	Q3	Q4				
<b>EURODAC-related activities</b>														
1		2.2.1.1	Operational Management of the Systems	Operational Management of Eurodac (Corrective and Adaptive maintenance)	Continued provision of 24/7 application management services, supervision of maintenance (Recast FWC) and MS user assistance	X	X	X	X	X	X	3	1,080,000	95% of MS interactions acknowledged in less than 1 minute; 95% of critical incidents categorised in less than 5 minutes; 95% of high priority incidents categorised in less than 10 minutes; 95% of moderate incidents categorised in less than 30 minutes; Specific Eurodac SLA agreed met as per defined

<sup>33</sup> Full-time equivalent (FTE), a unit of measurement indicating the number of working hours that represents one full-time employee during a fixed time period. FTE simplifies work measurement by converting workload hours into the number of people required to complete that work;

<sup>34</sup> eu-LISA adopted Multi-Annual Staff Policy Plan 2016-2018 indicates staff population in draft EU budget of 118 Temporary Agents, 15 Contract Agents (8 existing CAs and up to 7 CAs approved by the Management Board for 2016) and 8 National Experts, which is in accordance with targets set for the Union in the Multiannual Financial Framework (MFF) 2014-2020 in line with the "Communication from the Commission to the European Parliament and the Council on Programming of human and financial resources for decentralized agencies during 2014-2020" It shall be noted that the disclosed above FTEs do not include the managerial staff of the Agency and the personal assistants. The Agency's budgetary forecast of 80.28 million euro is compatible with the financial ceiling in the MFF of 84.7 million euro.

<sup>35</sup> The current estimate for external consultancy FTE required in 2016 is 30.25 FTE equivalent to approximately €3.63 million. Out of them 23 FTEs with estimated value of €2.75 million are dedicated to operational activities.



#	STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs		PERFORMANCE INDICATOR	
						<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
													targets in the Annex 2 of the Standard Service Level Agreement		
4	1	2.2.1.1	Operational Management of the Systems	Eurodac Contract Management	Eurodac Contract Management	X	X	X	X	X	OPS	0.30	Min. of 2 steering Committee meetings per annum ; min. 8 meetings per year with contractor at application/programme level; 12 monthly activity reports reviewed and accepted per year		
5	1	2.2.1.2	Evolution of the Systems	Evolutionary maintenance of Eurodac	Adaptations of the system after Recast	X	X	X	X	X	OPS	1.25	Adaptations delivered as per agreed/baselined plan		
	1	2.2.1.2	Evolution of the Systems	Study on migration to dedicated Eurodac network	Supporting COM for an impact analysis study on how to setup an encrypted virtual network dedicated to Eurodac data to replace the existing eurodomain and to enable secure web services (xml) transmission between CS and NS. (art 3 sub 1.b EU Reg 603/2013)		X	X	X	X	OPS	0.75	Study delivered as per agreed/baselined plan		
	1	2.2.1.1	Operational Management of the Systems	Preparations of the EURODAC MWO	Prepare the specifications and start the procurement for the new EURODAC MWO						Procurement and OPS	2.5	Procurement plan for EURODAC MWO and the first draft of the TTS		

<sup>16</sup>Estimated budget for the study is 250 000 Euro and is included into the allocated budget for evolutions of the systems

STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR
					<	Q1	Q2	Q3	Q4		>	Inter- nal FTE	
<b>SIS II – related activities</b>													
1	2.2.1.1	Operational Management of the Systems	SISII Corrective maintenance	Basic corrective maintenance	X	X	X	X	X	OPS	3.50		95% of MS interactions acknowledged in less than 1 minute; 95% of critical incidents categorised in less than 5 minutes; 95% of high priority incidents categorised in less than 10 minutes; 95% of moderate incidents categorised in less than 30 minutes; Specific SIS II SLA agreed met as per defined targets in the Annex 2 of the Standard Service Level Agreement
	2.2.1.1	Operational Management of the Systems	SISII Adaptations (WL, Oracle12c)	Basic adaptive maintenance	X	X	X	X	X	OPS	2.25	€200,000	SIS II adaptations delivered as per relevant plans and SLAs <sup>17</sup> in force
1	2.2.1.1	Operational Management of the Systems	Operational Management of SIS II (day-to-day maintenance)	Continued provision of 24/7 application management services, supervision of maintenance and MS assistance	X	X	X	X	X	OPS	4.50		95% of MS interactions acknowledged in less than 1 minute; 95% of critical incidents categorised in less than 5 minutes; 95% of high priority incidents categorised in less than 10 minutes; 95% of moderate incidents categorised in less than 30 minutes; Specific Eurodac SLA agreed met as per defined targets in the Annex 2 of the Standard Service Level Agreement
1	2.2.1.1	Operational Management of the Systems	SIS II Contract Management	Ensure contractor's compliance with contractual obligations stemming from the SIS II MWO contract; maintain SIS II in working order	X	X	X	X	X	OPS	0.40		Minimum 2 Steering Committee per year at management level; minimum 8 meetings per year with the contractor at Application/Programme level; 12 Monthly Activities Reports reviewed and accepted per year
1	2.2.1.2	Evolution of the Systems	SISII functional Evolutions as per agreed roadmap (new features or new DCC	SISII central system aligned to new/changed user demand.	X	X	X	X	X	OPS	1.00	€300,000	On time and schedule and in scope delivery as agreed with MS

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<sup>17</sup> Standard Service Level Agreement as approved by the Management Board with document 2013-084

STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
			functionality)											
1	2.2.1.2	Evolution of the Systems	SISII Active2Active study (operate CU and BCU in active/active mode, to provide better system resiliency, business continuity and better data centre resource utilisation)	Basic study on active/active setup (subject to legal review to ensure compliance of study with applicable legal framework), providing the basic technical design and implementation roadmap for envisaged change of operations.	X					OPS	0.25	€200,000	Study delivered as per agreed/baselined plan	
1	2.2.1.2	Evolution of the Systems	Study and start the implementation of the SIS II capacity alignment as per results of the study	Basic evolution on capacity/performance; system aligned to increased capacity demand; provision of automated queries and other enhancement related to reporting; technical upgrades such as Oracle 12 upgrade and associated licences; MS support to join the SIS II community	X	X	X	X	X	OPS	4	€1,525,000	Basic capacity evolution delivered as per agreed plans. Support to new MS to join SIS II community	
1	2.2.1.2	Evolution of the Systems	Implementation of biometric capabilities of SIS II in progress (to finalised in 2017)	SISII AFIS implementation	X					OPS	2	€9,726,408	Start detailed design and implementation	
1	2.2.1.3	Network and Communication Infrastructure Management	A study related to shared services is ongoing (Q4 2014, Q12015). Based on the result of this study, some services (to be defined by the study) will be implemented in a	Preparation for SIS II using shared services	X	X				OPS	0.25		Study delivered as per agreed/baselined plan;	

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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES			
					<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
#			shared way in 2016. Once the shared services are available, one will have to Connect SIS II to shared infrastructure & decommissioning of dedicated SIS II services.											
1	2.2.1.5	Security	Interface SIS II with shared data backup facility. Decommission dedicated SIS II data backup facility.	SIS II connected to shared data backup facility. Old equipment decommissioned. [Should be started by the end of 2016 subject to assessment of compliance with relevant legal basis].				X		OPS	0.25	€500,000	Improved data backup duration, number of incidents & equipment decommissioned	
20	<b>VIS/BMS – related activities</b>													
1	2.2.1.1	Operational Management of the Systems	Operational Management of VIS (Corrective Maintenance)	Continued provision of 24/7 application management services, supervision of maintenance and MS assistance	X	X	X	X		OPS	1.50		95% of MS interactions acknowledged in less than 1 minute; 95% of critical incidents categorised in less than 5 minutes; 95% of high priority incidents categorised in less than 10 minutes; 95% of moderate incidents categorised in less than 30 minutes; Specific VIS/BMS SLA agreed met as per defined	
1	2.2.1.1	Operational Management of the Systems	Operational Management of BMS (Corrective Maintenance)	Continued provision of 24/7 application management services, supervision of maintenance and MS assistance	X	X	X	X		OPS	1.50			
1	2.2.1.1	Operational Management of the Systems	Operational Management of VIS (Adaptive Maintenance)	Continued provision of 24/7 application management services, supervision of maintenance and MS assistance	X	X	X	X		OPS	0.50			
21														
22														
23														

#	STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs		PERFORMANCE INDICATOR	
						<	Q1	Q2	Q3	Q4		>	Inter nal FTE		Budget Allocated
24	1	2.2.1.1	Operational Management of the Systems	Operational Management of BMS (Adaptive Maintenance)	Continued provision of 24/7 application management services, supervision of maintenance and MS assistance	X	X	X			OPS	0.50		targets in the Annex 2 of the Standard Service Level Agreement	
25	1	2.2.1.1	Operational Management of the Systems	Takeover and Handover Between MWO contractors for VIS	Successful handover Between MWO contractors. New MWO contractor able to take over responsibilities from existing.	X	X	X			OPS	1	€2,000,000	New MWO contract prepared and signed as planned.	
26	1	2.2.1.1	Operational Management of the Systems	Takeover and Handover Between MWO contractors for BMS	Successful handover Between MWO contractors. New MWO contractor able to take over responsibilities from existing.	X	X	X			OPS	1	€2,000,000	Handover from the old to the new contractor done	
27	1	2.2.1.1	Operational Management of the Systems	Operational Management of VIS (Corrective Maintenance) under the new MWO contract	Continued provision of 24/7 application management services, supervision of maintenance and MS assistance			X	X	X	OPS	1.50	€4,500,000	Financial commitments done according to the plan.	
28	1	2.2.1.1	Operational Management of the Systems	Operational Management of BMS (Corrective Maintenance) under the new MWO contract	Continued provision of 24/7 application management services, supervision of maintenance and MS assistance			X	X	X	OPS	1.50	€4,000,000	Scheduled evolution initiated as planned.	
29	1	2.2.1.1	Operational Management of the Systems	Operational Management of VIS (Adaptive Maintenance) under the new MWO contract	Continued provision of 24/7 application management services, supervision of maintenance and MS assistance			X	X	X	OPS	0.50	€1,000,000		
30	1	2.2.1.1	Operational Management of the Systems	Operational Management of BMS (Adaptive Maintenance)	Continued provision of 24/7 application management services,			X	X	X	OPS	0.50	€1,500,000		

STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
#			Maintenance) under the new MWO contract	supervision of maintenance and MS assistance										
31		Evolution of the Systems	Capacity increase of the VIS aligned with the business needs and the VIS rollout completion; VISA code+ activities; activities for the integration of Croatia in VIS and reinforcement of the VIS/BMS testing infrastructure	Evolutions of the VIS/BMS			x	x	x	OPS	4.	€14,500,000	New MWO contract prepared and signed as planned. Financial commitments done according to the plan. Scheduled evolution initiated as planned.	
	1	2.2.1.2	Evolution of the Systems	Basic study on active/active setup (subject to legal review to ensure compliance of study with applicable legal framework), providing the basic technical design and implementation roadmap for envisaged change of operations.					x	OPS	0.55	N.B. <sup>18</sup>	Study delivered as per agreed/baselined plan	
34	1	2.2.1.1	Operational Management of the Systems	VIS Contract Management Proper financial, budget and contractual management of the VIS and BMS MWO. (Ensure contractual coverage for all planned activities,					x	OPS	1.50		Minimum 2 Steering Committee per year at management level; minimum 8 meeting per year with the contractor at Application/Programme level; 12 Monthly Activities Reports reviewed and accepted by the Agency per year	

<sup>18</sup> Estimated budget for the study is 500 000 Euro and is included into the allocated budget for evolutions of the systems

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					<	Q1	Q2	Q3	Q4	>	OWNER	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
<b>Network – related activities</b>														
1	2.2.1.3	Network and Communication Infrastructure Management	Helpdesk support, daily reporting, level 1 support to MS, daily statistics	Ensure appropriate and timely level 1 support activities for the member States	X	X	X	X	X	X	OPS	18.00		95% of MS interactions acknowledged in less than 1 minute 95% of critical incidents categorised in less than 5 minutes 95% of high priority incidents categorised in less than 10 minutes 95% of moderate incidents categorised in less than 30 minutes
1	2.2.1.3	Network and Communication Infrastructure Management	Effective service management, incident and problem management	Ensure the service management activities in an effective and efficient way	X	X	X	X	X	X	OPS	2.00		100% critical incidents resolved or workaround available on less than 8 hours; 95% of high incidents resolved or workaround available in less than 24 hours; 90% of moderate incidents resolved or workaround available within 6 days
1	2.2.1.3	Network and Communication Infrastructure Management	Maintain and monitor networks under eu-LISA management to ensure security and reliability of communications infrastructure	Secured and reliable communication infrastructure, this is a continued outcome, not a specific outcome for 2016.	X	X	X	X	X	X	OPS	1.00		Full compliance with all relevant network SLAs in place
1	2.2.1.3	Network and Communication Infrastructure Management	Contribute to effective contract management of all networks provided by 3rd parties	Efficient network related contracts management, it is continued activity.	X	X	X	X	X	X	OPS	0.50		contractor's reports reviewed and results delivered to COM on time as agreed per MoU

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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					BUDGET & FTES				
					<	Q1	Q2	Q3	Q4	>	OWNER	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
1	2.2.1.3	Network and Communication Infrastructure Management	Develop Application Administrator team portal to gather information for 2 <sup>nd</sup> level Support Team, list of tasks, contains documentation for team organisation, documentation for operational procedures	If solutions like SharePoint is available at that moment in time, design of the team portal for further implementation			X		X		OPS	0.25		Team portal available and used [by end of 2016]
<b>Horizontal tasks and projects related to management of the systems entrusted to the Agency</b>														
1	2.2.1.1	Operational Management of the Systems	Agreed for implementation unplanned changes implemented in accordance to the agreed time line and scope	Implementation and management of unplanned changes to the CBS	X	X	X	X	X	X	OPS	2	N/A <sup>19</sup>	Agreed for implementation unplanned changes have been implemented without the need of a supplementary budget in the agreed time and scope.
1	2.2.1.5	Operational Management of the Systems	Implementation of a new shared data backup infrastructure that will replace all the individual backup infrastructures from existing systems (SIS II, VIS, BMS, EURODAC). This new infrastructure will be scalable in order to be able to integrate future systems as	Unique data backup facility in place and ready to be used by all systems by end 2016 at the latest in order to avoid any renewal of existing backup infrastructure due to obsolescence. [Should be finished by the end of 2016].					X		OPS	1	€3,000,000	Improvements to footprint, BTU and electricity consumption delivered within stipulated timelines

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<sup>19</sup> The necessary budget for implementation of unforeseen changes to the systems, requested by the MS ad-hoc, is included in the overall budget allocated for evolutions of the systems



STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES			
					<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
#			well. Technical choices will be based on the result of the shared services study (end of study : first quarter 2015)											
2	2.2.2.1	Becoming a Centre of Excellence in ICT Services	eu-LISA networks adaptive maintenance	Eu-LISA networks (core systems common infrastructure) improved and continuously updated to cover eu-LISA needs	X	X	X	X	X	OPS	1.00	€500,000	Network services delivered in full compliance with relevant plans and SLAs in force	
43	2.2.1.2	Evolution of the Systems	Implementation of a virtualised test platforms for core systems (SIS II, Eurodac, VIS, BMS), starting in 2016 and continuing in 2017	Decommissioning of the physical test environments and replacement by a virtualised one by end of 2016	X	X	X	X	X	OPS	0.50	€1,000,000	Project implementation goes as per agreed implementation plan and within scope and budget.	
44	2.2.1.1	Operational Management of the Systems	Project Management office evolution: Implementation of a Reporting tool for KPIs, SLAs and Statistics	Automation of statistic generation that currently involves too much human intervention, resources. The implementation of templates, populated by the different system will allow automatic generation and limit the operational work to communication of this reports internally	X	X	X	X	X	OPS	0.25	€250,000	15% time saving in reporting efficiency once tool is fully implemented	
45	2.2.1.1	Operational Management of the Systems	Continuous availability and compliance with agreed SLAs.	Operate, manage and maintain the backup data centre and backup operational site in St. Johann / Pongau, AT	X	X	X	X	X	OPS	0.5	€830000	Number of issues of eu-LISA-s BCU infrastructure that interrupt the services of the CBS towards MS – 0 (Potential issues of eu-LISA-s BCU infrastructure do not interrupt the services of CBS towards MS)	

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					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
2	2.2.2.1	Becoming a Centre of Excellence in ICT Services	Project Management Office evolution: Development and implementation of automated project monitoring dashboard	The project aims to increase PMO capabilities to monitor status of all active internal and external projects and to provide detailed and timely information. Integration, consolidation and automation of available project management tools in the agency into its intranet portal.	X	X	X	X	X	OPS	1.00	€375 000	Number of programs / projects delivered with deviation <10% from original schedule/budget % of Time to Market Delivery = elapsed time from Starting Phase to Project Delivery % of projects in portfolio delivered / the total number of projects in portfolio At least 90% of projects compliant with the QM processes in place	
1	2.2.1.3	Network and Communication Infrastructure Management	Establishment of integrated monitoring across the systems managed by the agency	With implementation of integrated monitoring one tool will be used for monitoring of all systems. All incidents will also be registered and processed in the same tool. In addition, incidents will be transferred to contractors for resolution automatically through the tool and the whole cycle of their resolution will be monitored and recorded. This approach will increase efficiency of operations of the agency as well as will provide the agency with better means to interact and control contractors.	X	X	X	X	X	OPS	0.10	€450,000	Integrated monitoring delivered as per plan; Gain 10% time efficiency	
2	2.2.2.1	Becoming a Centre of Excellence in ICT Services	Integration of the ITSM configuration management database (CMDB) with eu-LISA Asset management and establishment of an unique source of information for	With its integration into asset management process agency will ensure better traceability of investments into systems under its management. This project is an important element from the planning of the agency		X	X	X	X	OPS	0.25	€125,000	Integration between ITSM CMDB and Asset Management delivered as per plan with less than 10% deviation from the agreed schedule	

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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Inter- nal FTE		Budget Allocated
#			asset management	to address some of the findings in the audits performed by the European Court of Auditors in 2014th										
1	2.2.1.5	Security	Implementation of business continuity management strategy through the Business Continuity Management System in accordance with ISO22301	Implementation of business continuity management strategy through the Business Continuity Management System (in accordance with ISO22301) in CU and BCU. Audit and evaluation consultancy costs are foreseen in 2016.	X	X	X	X	X	OPS	0.30	€150,000	BCP implemented in the systems as per agreed/baselined plan	
49			Testa-NG Evolution projects phase 2 with activities related to CERTES and network optimisation (studies for the SIS II, EDAC and VIS/BMS).	Project cover activities which are not already covered by the Commission: - eu-LISA Eurodomain connections (SC29) – approx. EUR 127,000; - External consultancy (under the external consultancy framework contract), estimated at EUR 200,000; - Necessary in-house cabling and datacentre arrangements, estimated at EUR 25,000.										
1	2.2.1.3	Network and Communication Infrastructure Management	Continuous service improvements for all internal processes and further integration within the organisational processes	Alignment with the latest process developments and KPIs calculations; Improvements in the eu-LISA service model	X	X	X	X	X	OPS	2.00	€352,000	Results delivered as per plan.	
50														
1	2.2.1.2	Evolution of the Systems												
51														

STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Inter- nal FTE		Budget Allocated
#	1	2.2.1.2 Evolution of the Systems	Release management activities and workshops	Recurrent release management for all supported systems	X	X	X	X	X	X	OPS	1.00		Release plans available and disseminated to all relevant stakeholders
52	1	2.2.1.2 Evolution of the Systems	Set up a development environment as horizontal tool to support all systems	Set up a development environment to allow the development on Oracle DB, Weblogic, HP-UX, Linux	X	X					OPS	0.10		Development environment available and in use; documentation available
53	2	2.2.2.1 Becoming a Centre of Excellence	Preparations, launch and finalisation of a Call for Tender for Common Shared Infrastructure MWO	Prepare tender documentation and execute the procurement					X	X	Procurement and OPS	2.5		Procurement procedure finalised by the end of Q3 2016 at latest.
<b>Development of new systems</b>														
54	1	2.2.1.4 Development and Implementation of New Systems	Coordinate the delivery of technology monitoring reports to support development of RTP and EES	Liaise with respective vendors on matters relating to new technologies					X	X	GCU	0.10		Regular meetings have been arranged with the contractor in which their assessment of new technologies and their decisions for choices made are discussed and justified.

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					<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
#	1	2.2.1.4 Development and Implementation of New Systems	Implementation of Smart Borders systems <sup>20</sup> (procurement, grants and development)	According to COM legal proposal, Smart Borders implementation will start as soon as the legal framework will be approved. The current timeline is: Pilot results by end of 2015, Legal basis by end of 2016, Development and operational management between 2017 and 2020)	X	X	X	X	X	R&A, OPS	2.5	Smart Borders requirements analysis and appropriate package design		
55	<b>Security-related tasks</b>													
	1	2.2.1.5 Security	Protect Agency personnel, property and information by creating a safe, secure and assured working environment.	Operate and manage protective security measures for the Agency	X	X	X	X	X	Security	0.70	Quarterly Security Management Reports delivered to ED		
56	1	2.2.1.5 Security	Protect Agency personnel, property and information by creating a safe, secure and assured working environment.	Continue to provide services to ensure that protective security measures are adequately implemented (for example through support to new construction projects).	X	X	X	X	X	Security	0.50	Quarterly Security Management Reports delivered to ED		
57														

<sup>20</sup> Indicated 2.5 FTE above are required to prepare launch of development of Smart Borders systems. They have not been included into the estimates for the necessary human resources to implement Smart Borders programme. Once the respective legal base is adopted the initial assessment for the human resources to implement Smart Borders programme (as outlined in MSPP 2016-2018) will be further refined. It shall be noted also that the Agency will need amendment of its Establishment Plan.

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					<	Q1	Q2	Q3	Q4	>		Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
#	1	2.2.1.5 Security	Protect Agency personnel, property and information by creating a safe, secure and assured working environment.	Continue to provide trainings and exercises to staff in evacuation, fire protection and first aid.	X	X	X	X	X	X	Security	0.10	All emergency response team members provided appropriate fire and safety training by Q4. Site evacuation exercise conducted in TLL and SXB by Q4.	58
	1	2.2.1.5 Security	Continue to manage and improve information security in order to provide assurance that Agency Core Business Systems will effectively protect the information they handle and will function as they need to, when they need to, under the control of legitimate users.	Provide information security services through the tasks of the Local Security Officers carrying out security operations, monitoring, testing, incident management and project support	X	X	X	X	X	X	Security	3.50	Quarterly Security Management Reports delivered to ED	59
	1	2.2.1.5 Security	Continue to manage and improve information security in order to provide assurance that Agency Core Business Systems will effectively protect the information they handle and will function as they need to, when they need to, under the control of legitimate users.	Implement an Agency Public Key Infrastructure on the Core Business Systems	X	X	X	X	X	X	Security	0.20	Agency PKI implementation completed by Q4	60

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					<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
#			Continue to manage and improve information security in order to provide assurance that Agency Core Business Systems will effectively protect the information they handle and will function as they need to, when they need to, under the control of legitimate users.	Implement a SIEM <sup>21</sup> on the Agency Corporate Infrastructure		X	X	X			0.20		SIEM implementation on Corporate Infrastructure completed by Q4	
61			Continue to manage and improve information security in order to provide assurance that Agency Core Business Systems will effectively protect the information they handle and will function as they need to, when they need to, under the control of legitimate users.	Coordinate and manage external security assessments of Agency systems, website and applications				X			0.20		Quarterly Security Management Reports delivered to ED	
62			Continue to manage and improve information security in order to provide assurance that Agency Core Business Systems will effectively protect the information they handle and will function as they need to, when they need to, under the control of legitimate users.											

<sup>21</sup> Security information and event management. SIEM provides real-time analysis of security alerts generated by network hardware and applications.

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					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
#														
1	2.2.1.5	Security	Manage security risks effectively by developing a balanced comprehensive, holistic and systematic framework for security governance and management	Continue to maintain, monitor effectiveness of and improve the Integrated Security Management System (ISMS) <sup>22</sup> of the Agency	X	X	X	X	X	Security	0.20		Quarterly Security Management Reports delivered to ED	
63														
1	2.2.1.5	Security	Manage security risks effectively by developing a balanced comprehensive, holistic and systematic framework for security governance and management	Develop a detailed security architecture design	X	X	X	X	X	Security	0.20		Detailed Security Architecture Design Document completed by Q4	
64														

<sup>22</sup> An information security management system (ISMS) is a set of policies concerned with information security management or IT related risks.



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					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
#	1	2.2.1.5 Security	Manage security risks effectively by developing a balanced comprehensive, holistic and systematic framework for security governance and management	Perform an audit of the Information Security Management System		X	X			Security	0.10		ISMS Internal audit report delivered to Executive Director by Q3	
65	1	2.2.1.5 Security	Manage security risks effectively by developing a balanced comprehensive, holistic and systematic framework for security governance and management	Accredit the End-user Workstation Network (EUWS) according to the Agency System Accreditation Process		X				Security	0.20		Security accreditation of the EUWS granted by Q4	
66	1	2.2.1.5 Security	Manage the BCMS to achieve appropriate resilience of core business processes and systems to disaster.	Continue to maintain, monitor effectiveness of and improve the Business Continuity Management System (BCMS) of the Agency		X	X	X	X	Security	0.20		Quarterly Security Management Reports delivered to ED	
67	1	2.2.1.5 Security	Manage the BCMS to achieve appropriate resilience of core business processes and systems to disaster.	Proposal for a Member State Community Code of Practice for Business Continuity Management.		X	X	X	X	Security	0.20		Proposal for MS Community Code of Practice for BCM delivered to MB by Q4	
68														

STRT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
#	1	2.2.1.5 Security	Manage the BCMS to achieve appropriate resilience of core business processes and systems to disaster.	Gap assessment and design architecture for the implementation of the eu-LISA Critical Security Controls Baseline.			X	X	X			0.20		Critical Controls Baseline Current State Assessment delivered to Agency Security Officer by Q3
69	1	2.2.1.5 Security	Manage the BCMS to achieve appropriate resilience of core business processes and systems to disaster.	Plan and execute exercises to test the effectiveness of recovery strategies making use of displacement of staff and utilisation of remote working and management capabilities.			X	X				0.20		Business Continuity Site Exercise conducted by Q3
70	1	2.2.1.5 Security	Provide strategic security outreach to stakeholders.	Continue to provide strategic security outreach as the Secretariat of the Security Officer Network		X	X	X	X			0.10		At least 2 SON meetings organized in 2016
71	<b>Operational activities</b>													
72	1	2.2.1.7 Reporting and Statistics	Operational statistics design, programming, documentation	Operational statistics design, programming, documentation		X	X	X	X			0.85		Improve quality and timeliness of statistics delivery for MS and increase the level of automation
73	1	2.2.1.7 Reporting and Statistics	Eurodac Reports and Statistics in line with the Recast Implementation	Timely production of reports as per relevant legal instruments in force		X	X	X	X			0.35		Reports and statistics available with less than 10% deviation from baselined plans
74	1	2.2.1.7 Reporting and Statistics	Fulfillment of all reporting obligations as outlined in the Establishing Regulation & legal bases for systems	Production of SIS II annual stats		X						0.20		Production of statistics as per deadlines set in legal basis

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					<	Q1	Q2	Q3	Q4		>	Inter- nal FTE		Budget Allocated
#			under management											
1	2.2.1.7	Reporting and Statistics	Fulfilment of all reporting obligations as outlined in the Establishing Regulation & legal bases for systems under management	Update list of authorities for SIS II	X	X				GCU	0.10		Production of statistics as per deadlines set in legal basis	
75			Fulfilment of all reporting obligations as outlined in the Establishing Regulation & legal bases for systems under management	Update list of authorities (asylum) for Eurodac	X	X				GCU	0.10		Updated list of authorities for EURODAC	
76			Fulfilment of all reporting obligations as outlined in the Establishing Regulation & legal bases for systems under management	Drafting Eurodac annual report including its technical functioning and security	X	X				GCU	0.20		Report ready as per the legal requirement	
77			Fulfilment of all reporting obligations as outlined in the Establishing Regulation & legal bases for systems under management	Finalise VIS report on the technical functioning of the system and its security	X					GCU	0.25		Report ready as per the legal requirement	
78			Fulfilment of all reporting obligations as outlined in the Establishing Regulation & legal bases for systems under management											

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79	1	2.2.1.7	Reporting and Statistics	Fulfilment of all reporting obligations as outlined in the Establishing Regulation & legal bases for systems under management	Preparatory works for the SIS II report on technical functioning (due in Q2 2017)					X	X		0.25		Report ready as per the legal requirement
80	1	2.2.1.8	Provision of Systems Training to Member States	Continued provision of the appropriate training on the technical use of SIS II, VIS and Eurodac to participating national authorities.	Revision of the Training Strategy 2013-2016 (NCP) in close cooperation with the Commission, FRONTEX and CEPOL				X	X			0.02		Delivery and adoption of the new training strategy document by the AG and MB by end of Q4 2016
81	1	2.2.1.8	Provision of Systems Training to Member States	Continued provision of the appropriate technical training on the use of SIS II, VIS and Eurodac to participating national authorities.	Establishment of Training Plan 2017 (NCP)				X	X			0.02		Delivery and adoption of the new training Plan by the AG by end of Q4 2016
82	1	2.2.1.8	Provision of Systems Training to Member States	Continued provision of the appropriate technical training on the use of SIS II, VIS and Eurodac to participating national authorities.	Update of the Training Portfolio of the Agency (NCP)				X	X			0.02		Update of the eu-LISA Training by end of Q4 2016
83	1	2.2.1.8	Provision of Systems Training to Member States	Continued provision of the appropriate technical training on the use of SIS II, VIS and Eurodac to participating national authorities.	Delivery of Training activities as foreseen by the Training Plan 2016		X	X	X	X			0.30	€450,000	All planned training activities delivered on schedule

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84	1	2.2.1.8	Provision of Systems Training to Member States	Continued provision of the appropriate technical training on the use of SIS II, VIS and Eurodac to participating national authorities.	Effective administration of the eu-LISA Training Platform	X	X	X	X	X	GCU	0.10	Continuous availability of the training platform (training materials and functionalities) to the users		
84	1	2.2.1.8	Provision of Systems Training to Member States	Integrate requirement to provide training on the technical use of SIS II for Schengen evaluation experts into Agency training schedule	In cooperation with COM, Frontex and Cepol, eu-LISA contributes in the delivery of training courses to Schengen evaluators	X	X	X	X	X	GCU	0.04	2 training courses on the technical use of SIS II delivered to Schengen evaluators during the reporting period		
85	1	2.2.1.8	Provision of Systems Training to Member States	Integrate requirement to provide training on the technical use of SIS II training for Schengen evaluation experts into Agency training schedule	Update of Training Package for eu-LISA Schengen evaluators Team				X		GCU	0.02	Update of the Training Package for eu-LISA Schengen evaluators Team by end of Q4 2016		
86	2	2.2.2.1	Becoming a Centre of Excellence in ICT Services	Change Management and workshops (both internal and with MS)	Recurrent Change Management activities for all supported systems	X	X	X	X	X	OPS	1.25	Change Management activities completed per process; 5% increase in the number of implemented changes implemented in 2016 compared with 2015		
87	2	2.2.2.1	Becoming a Centre of Excellence in ICT Services	Reporting, integrated planning, operational and project risk management	Reports, plans, risk registers contributing to the overall management of the OPS department and the agency	X	X	X	X	X	OPS	0.85	Reporting, integrated planning, risks lists and mitigation plans available.		
88	2	2.2.2.1	Becoming a Centre of Excellence in ICT Services	Further achieve operational excellence by enhancing individual skills according to identified needs and existing gaps	trainings, certifications as agreed per individual training roadmaps	X	X	X	X	X	OPS	2.00	90% training programmes accomplished to plan;		
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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
2	2.2.2.1	Becoming a Centre of Excellence in ICT Services	Data analysis, forecasts, and business support: This is an ongoing task, creating and providing statistics and reports related to systems performance, incident handling, capacity...	Timely provision of data analysis, forecasts, business support for all applications as result to MS request or incidents	X	X	X	X	X	X	OPS	1.00		Data analysis, forecasts, business support provided to MS
2	2.2.2.1	Becoming a Centre of Excellence in ICT Services	Ongoing preparation for ITSM certification in 2017	Preparation activities - TBD			x	X	X	X	OPS	0.50	€50,000	ITSM certification prep. Completed by the end of 2016
2	2.2.2.2	Further Development of the Agency's Governance Framework	The Corporate Governance Model, consisting of Risk Management, Internal Control and Quality Management is developed and implemented	Corporate risk management activities are implemented according to the framework, including: risk collection, risk assessment, training, risk management workshop, risk response plans and risk monitoring	X	X	X	X	X	X	GCU	0.30		1) Risk monitoring is performed in a structured way. Outcomes of monitoring are periodically forwarded to Senior Management. 2) Risk collection and risk assessment is performed annually. 3) Training is provided to concerned staff. 4) A risk management workshop is carried out in 3rd quarter 5) Risk response plans are drafted for discussion at risk management work shop.
2	2.2.2.2	Further Development of the Agency's Governance Framework	The Corporate Governance Model, consisting of Risk Management, Internal Control and Quality Management is developed and implemented	Corporate quality management activities are implemented according to the framework, including: establishment of quality objective and quality indicators of services, training, establishment of and implementation of corporate quality measures	X	X	X	X	X	X	GCU	0.30		1) A corporate quality objective is defined. 2) The setup of quality indicators of services is facilitated. 3) Training is provided to concerned staff. 4) The establishment and implementation of corporate quality measures by entities is facilitated and supported

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#	STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs			
						<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
94	2	2.2.2.2	Further Development of the Agency's Governance Framework	The Corporate Governance Model, consisting of Risk Management, Internal Control Management and Quality Management is developed and implemented	Internal control standards management is performed according to the framework, including: annual compliance review, training, establishment and implementation of compliance measures, compliance monitoring	X	X	X	X	X	GCU	0.30	1) An annual compliance review is performed with each entity in 1st quarter. 2) Training is provided to concerned staff. 3) Establishment of compliance measures by entities is facilitated and supported (1st quarter) 4) Compliance monitoring is performed in a structured way. Outcomes of monitoring are periodically forwarded to Senior Management.		
95	2	2.2.2.2	Further Development of the Agency's Governance Framework	The Corporate Governance Model, consisting of Risk Management, Internal Control Management and Quality Management is developed and implemented	Corporate Governance Model is updated according to business needs				X		GCU	0.10	The Corporate Governance Model is assessed on annual basis (4th quarter) for effectiveness and added value by a survey amongst Management Committee members and further, decided staff. Outcomes will be discussed with Senior Management to update definitions and processes accordingly		
96	2	2.2.2.2	Further Development of the Agency's Governance Framework	Regular production of corporate performance dashboard for Management Board & Management Team review	Production of Agency's corporate performance dashboard for presentation to MB	X	X		X	X	GCU	0.75	Produce full dashboard at least twice a year for MB review		
97	2	2.2.2.2	Further Development of the Agency's Governance Framework	Regular production of corporate performance dashboard for Management Board & Management Team review	Continued internal production of all [for identified?] indicators (at agreed frequency) for internal management review	X	X		X	X	GCU	0.75	Produce summary dashboard every quarter for internal management team review		

STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME						OWNER	BUDGET & FTES		
					<	Q1	Q2	Q3	Q4	>		Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
#	2	Monitoring of Research and Development and System Evolution	Knowledge acquisition focusing on hardware and software (IT and biometrics) for incorporation into the Entry-Exit and Registered Traveller systems.	Continue to monitor open source literature, periodicals and other available sources to gather knowledge related to the Agency as indicated in the R&D strategy 2014-2017 and the annual roadmap	X	X	X	X	X	X	GCU	0.40	eu-LISA is subscribed to at least 4 relevant periodicals related to technological development for study. The periodicals are made available to the Agency using defined distribution channels.	
98	2	Monitoring of Research and Development and System Evolution	Knowledge acquisition focusing on hardware and software (IT and biometrics) for incorporation into the Entry-Exit and Registered Traveller systems.	Initiate and develop relationships with research institutions and industry to further knowledge acquisition in areas identified in the long-term strategy and annual R&D roadmap documents	X	X	X	X	X	X	GCU	0.05	At least one round circle with industry is hosted in the year. eu-LISA also presents its research monitoring results to at least two conferences hosted by research institutions in the year	
99	2	Monitoring of Research and Development and System Evolution	Improved internal R&D reporting with a focus on systems evolution. Ensure that relevant findings are disseminated to internal decision-makers.	Research and produce biannual written research reports that are disseminated to Agency Management, the MB and AGs.	X	X	X	X	X	X	GCU	0.20	Detailed biannual reports produced to schedule, as per the R&D strategy at the end of July and January.	
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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
2	2.2.2.3	Monitoring of Research and Development and System Evolution	Improved internal R&D reporting with a focus on systems evolution. Ensure that relevant findings are disseminated to internal decision-makers.	Interact with the Advisory Groups and Management Board to ensure that R&D work is framed within the needs of the Agency	X	X	X	X	X	X	0.05		R&D output is presented to the AGs and MB at least once in the year and an opportunity is given to members to provide feedback at the time and in writing subsequently.	
2	2.2.2.3	Monitoring of Research and Development and System Evolution	Improved internal R&D reporting with a focus on systems evolution. Ensure that relevant findings are disseminated to internal decision-makers.	Collaborate with other agencies (Frontex, EASO, and FRA) to produce joint reports and studies that relate to systems development and/or policy making related to IT systems.	X	X	X	X	X	X	0.15		At least one joint output (e.g. a report, document or jointly-organised conference) with at least one other Agency in the year	
3	2.2.3.1	Partnerships with the Member States, EU Institutions and Other Stakeholders	Materials preparations and representations in AGs, workshops with MS, conferences regarding Smart Borders, VIS, SIS II and Eurodac systems and projects	Materials preparations and representations in AGs, workshops with MS: presentations, analysis, statistics, reports & minutes	X	X	X	X	X	X	1.50		Ops personnel to participate in relevant advisory groups and workshops as required	
3	2.2.3.1	Cooperation with the Member States, EU Institutions and Other Stakeholders	Maintain administrative and logistic support to the Management Board and all Advisory Groups	Effective administrative support for the Management Board	X	X	X	X	X	X	0.80		MB members' satisfaction levels as per planned 2016 survey relating to activities of the Board Secretariat.	

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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
3	2.2.3.1	Partnerships with the Member States, EU Institutions and Other Stakeholders	Maintain administrative and logistic support to the Management Board and all Advisory Groups	Effective administrative support for all Advisory Groups	X	X	X	X	X	X	GCU	1.50	€540,000	AG members' satisfaction levels as per planned 2016 survey relating to activities of the Board Secretariat.
3	2.2.3.2	Partnerships with European Agencies and Other Relevant Bodies	Development of common training Programmes and exchange of Trainers with other Agencies	Development of training programmes for other JHA Agencies and other stakeholders on the systems managed by eu-LISA	X	X	X	X	X	X	GCU	0.20		Full establishment and delivery of 3 training programmes for stakeholders (EASO, FRONTEX & CEPOL)
3	2.2.3.2	Partnerships with European Agencies and Other Relevant Bodies	Development and implementation of common Action Plans for execution of Working Arrangements with other Agencies	Continuation of exchange of Trainers with other JHA Agencies	X	X	X	X	X	X	GCU	1.00		Full establishment and delivery of AP with other JHA Agency during the course of the reporting period
3	2.2.3.2	Partnerships with European Agencies and Other Relevant Bodies	Provide and develop new external Training Programmes (ICT Support) including providing of eu-LISA Trainers	Contribution of eu-LISA in delivery of training programmes and in the exchange of trainers between JHA Agencies and other stakeholders	X	X	X	X	X	X	GCU/OPS	0.95		Effective delivery of training programmes and exchange of trainers between JHA Agencies and other stakeholders occurred.

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#	STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs			
						<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
109	3	2.2.3.3	Further Strengthen External Communications	Continue to promote the Agency & and maintain its positive image	Coordinating the production and distribution of corporate publications and general public information materials for print and online delivery	X	X	X	X	X	GCU	0.20	Ensure that content production follows the approved editorial work-flow and deadlines for print and online production are met by the Contractor		
110	3	2.2.3.3	Further Strengthen External Communications	Continue to promote the Agency & and maintain its positive image	Coordinating the implementation through FWC of an integrated communication campaign on eu-LISA (IT system), its impact on EU policies and citizens' lives	X	X	X	X	X	GCU	0.30	Ensure that tasks are delivered on time and within the budget		
111	3	2.2.3.3	Further Strengthen External Communications	Continue to promote the Agency & and maintain its positive image	Managing the production and distribution of eu-LISA visibility items (Corporate video clip, PR items, gadgets)	X	X	X	X	X	GCU	0.20	Ensure effective oversight of the production process and delivery of the products on time and within the budget		
112	3	2.2.3.3	Further Strengthen External Communications	Continue to promote the Agency & and maintain its positive image	Coordinating eu-LISA participation in 3rd party public visibility events	X	X	X	X	X	GCU	0.12	Ensure relevant participation in 3 appropriate events during the year		
113	3	2.2.3.3	Further Strengthen External Communications	Continue to strengthen the Agency's internet presence	Coordinating the implementation of Social Media Strategy (including measure volume and define indicators to measure effectiveness)	X	X	X	X	X	GCU	0.16	Social media strategy implemented		

#	STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	Inter nal FTE	Budget Allocated	BUDGET & FTES	
						<	Q1	Q2	Q3	Q4				>	PERFORMANCE INDICATOR
114	3	2.2.3.3	Further Strengthen External Communications	Continue to strengthen the Agency's internet presence	Evaluating the consistency, accuracy and accessibility of eu-LISA www online content (website)	X				X	X			0.10	Ensure that Evaluation Report from External Consultant is delivered to management by Q4
115	3	2.2.3.3	Further Strengthen External Communications	Continue to strengthen the Agency's internet presence	Coordinating the maintenance of eu-LISA public website, online content production and update	X				X	X			0.26	Ensure that website is regularly updated and provides updated and factual information and that content production effectively follows the set editorial work-flow.
116	3	2.2.3.3	Further Strengthen External Communications	Continue to strengthen the Agency's internet presence	Coordinating PR and media relations for VIP guests and official visits to eu-LISA	X				X	X			0.10	Ensure that 2 high-level visits of EU and national level officials are carried out according to set and approved agendas
117	3	2.2.3.3	Further Strengthen External Communications	Liaise with key partners and provide for effective two-way communication	Coordinating the implementation of the FWC on integrated communication services	X				X	X			0.10	Ensure that regular progress reports are presented by the Contractor as per the agreed timetable
118	3	2.2.3.3	Further Strengthen External Communications	Liaise with key partners and provide for effective two-way communication	Updating the External Communication Strategy	X				X	X			0.16	Ensure that updated Strategy is presented to management for approval by Q4
119	3	2.2.3.3	Further Strengthen External Communications	Liaise with key partners and provide for effective two-way communication	Managing eu-LISA media and public relations	X				X	X			0.24	Ensure timely responses to public and media enquiries according to standards set to EU institutions and ensure timely implementation of all planned activities as per agreed timetables
120	3	2.2.3.3	Further Strengthen External Communications	Liaise with key partners and provide for effective two-way communication	Coordinating awareness events to info-relays and partners in BRX					X	X			0.12	Ensure that invitations reach relevant and appropriate target-groups and related services are delivered by Contractors on time and within the budget

#	STRAAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs			
						<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
121	3	2.2.3.3	Further Strengthen External Communications	Liaise with key partners and provide for effective two-way communication	Implementation of the Annual External Communication plan	X	X	X	X		GCU	0.20	Ensure that invitations reach relevant and appropriate target-groups and related services are delivered by Contractors on time and within the budget		
122	4	2.2.4.1	Strategic Planning	Implement an effective stakeholder engagement strategy	Identify and categorise Agency stakeholders & identify reporting obligations to them and other requirements:						GCU?	0.2	Stakeholder satisfaction survey to return above average stakeholder satisfaction level above 75%		
123	4	2.2.4.1	Strategic Planning	Implement an effective stakeholder engagement strategy	Implement effective and appropriate communication mechanisms with stakeholders						GCU	0.10	Stakeholder satisfaction survey to return above average stakeholder satisfaction level above 75%		
124	4	2.2.4.1	Strategic Planning	Production, adoption and distribution of Agency's multi-annual strategic reporting, annual work programme and other reporting obligations	Production, approval and adoption of Agency's Annual Work Programme for 2017 or single programming document	X					GCU	0.15	Document finalised and adopted as per agreed timetable in place		
125	4	2.2.4.1	Strategic Planning	Production, adoption and distribution of Agency's multi-annual strategic reporting, annual work programme and other reporting obligations	Production & publication of Agency's Annual Activity Report for 2015	X	X				GCU	0.35	Document finalised, adopted and transmitted to COM & the relevant budgetary authorities as per agreed timetable		
126	4	2.2.4.1	Strategic Planning	Production, adoption and distribution of Agency's multi-annual strategic reporting, annual work programme and other reporting obligations	Production of Agency's implementation reports for the AWP2016	X	X	X	X		GCU	0.10	Production and delivery of implementation reports to the MB for review within 4 weeks of the end of the respective quarter		

STRAAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
#	4	2.2.4.1 Strategic Planning	Production, adoption and distribution of Agency's multi-annual strategic reporting, annual work programme and other reporting obligations	Production, approval and adoption of Agency's Annual Work Programme for 2018 or single programming document		X	X	X	X	X	GCU	0.25	Commence AWP 2018 production as per agreed timetable. Get v1 draft of AWP2018 to MB for review by end of Q4 2016	
127	4	2.2.4.1 Strategic Planning	Production, adoption and distribution of Agency's multi-annual strategic reporting, annual work programme and other reporting obligations	Annual Review of Agency's Strategy 2014-2020			X				GCU	0.05	Complete review of strategy goals and objectives by end of Q2 2016	
128	4	2.2.4.1 Strategic Planning	Production, adoption and distribution of Agency's multi-annual strategic reporting, annual work programme and other reporting obligations	Annual Review of Multi-Annual Work Programme [process may be incorporated into production of single programming document in 2017]			X				GCU	0.05	Complete review of MAWP goals and objectives by end of Q2 2016	
129		2.2.4.1 Strategic Planning	Production, adoption and distribution of Agency's multi-annual strategic reporting, annual work programme and other reporting obligations	Preparation of production of Agency Annual Report for 2016			X		X	X	GCU	0.10	Ensure adherence to Agency's corporate reporting deadlines.	
130	4	2.2.4.1 Strategic Planning	Refine & strengthen Agency's strategic planning & embed strategic planning processes within annual Agency	Develop & implement a clear & well-communicated timetable for all required staff input for the production and adoption of the annual		X	X	X	X	X	GCU	0.15	Ensure reporting timetable with dates and required inputs of all Agency staff is circulated to all in Q1 2016 & recirculate updates during each quarter	
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					<	Q1	Q2	Q3	Q4		>	Inter nal FTE		Budget Allocated
			reporting cycle	activity report, annual work programme, MAWP & quarterly AWP implementation reports.										
4	2.2.4.1	Strategic Planning	Refine & strengthen Agency's strategic planning & embed strategic planning processes within annual Agency reporting cycle	Develop and implement a regular annual review mechanism for eu-LISA's external multi-annual reporting processes (MAWP and the Agency strategy)	X	X			X	GCU	0.15		Ensure annual review carried out in Q2 or Q3 2016	
4	2.2.4.2	Financial Management	Financial and budgetary management responsibilities are further distributed within the Agency until full ownership by implementing units is achieved.	Drafting of a manual of financial procedure	X	X	X			BFU	0.40		Complete manual to be drafted by end of reporting period	
4	2.2.4.2	Financial Management	Financial and budgetary management responsibilities are further distributed within the Agency until full ownership by implementing units is achieved.	Phase III of the Smart Budget programme: Delegation of Authorising Officer duties to implementing units up to designated thresholds	X	X				BFU	0.50		>75% of HoUs to receive delegations	
4	2.2.4.2	Financial Management	Financial and budgetary management responsibilities are further distributed within the Agency until full ownership by implementing units is achieved.	Phase III of the Smart Budget programme: End-to-end Commitments and payments flows processing in ABAC	X	X				BFU	0.20		Operational initiation and verification using only routing slips is discontinued	

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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4					>
#														
4	2.2.4.2	Financial Management	Financial & budgetary management responsibilities further distributed within Agency until full ownership by units is achieved.	Phase III of the Smart Budget programme: Direct support in terms of advice and early warning is provided to organisational units implementing specific budget lines	X	X	X	X	X	BFU	1.80		Budget implementation rate (all appropriations) improved over previous FY	
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4	2.2.4.3	Logistics and Facilities Management	Co-operate with, support and advise the Estonian authorities in charge of the permanent HQ project, relying as appropriate on external technical expertise where appropriate.	Continued co-operation with, support and advise the Estonian authorities in charge of the permanent HQ project, relying as appropriate on external technical expertise where appropriate.	X	X	X	X	X	BFU	0.30		Progress on permanent HQ project continues as per project plan	
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4	2.2.4.4	Procurement	Large contracts supporting the maintenance and development of the Systems and of shared infrastructures are aligned with best practices and lessons learned.	Clinics and Seminars on MWOs: continuation of the community of practice approach to cross-sector analysis and continuous improvement of IT related contracts; collection of best practices and lessons learned in a catalogue.	X		X			BFU	0.25		two community of practice clinics/seminars organised during the reporting period	
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4	2.2.4.4	Procurement	Large contracts supporting the maintenance and development of the Systems and of shared infrastructures are aligned with best practices and lessons learned.	Any new tender procedure is designed and verified to comply with the best practices and lessons learned, including catalogues from communities of practice.	X	X	X	X	X	BFU	0.25		All applicable best practices and lessons learned are applied to new tenders	
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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME						BUDGET & FTES			
					<	Q1	Q2	Q3	Q4	>	OWNER	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
#	4	2.2.4.4	Procurement Large contracts supporting the maintenance and development of the Systems and of shared infrastructures are aligned with best practices and lessons learned.	Transition of the VIS/BMS MWO Framework Contract. Activities include creation and management of contractual arrangements to ensure a smooth transition, in legal and financial terms (e.g. Licensing, HW management handover, due diligence process).	X	X	X					1.50		Transition process carried out without disruption in the financial and legal area.
140	4	2.2.4.5	HR Annual training plan for staff	Organise training for skills development, financial management, EU Governance, HR, Organisational development, communication, strategic planning	X	X	X	X	X	X	HRTU	0.20		90% of staff attend at least one training activity provided by the Agency
141	4	2.2.4.5	HR Annual training plan for staff	Further develop e-Learning products offered to staff (produced in house and procured from service providers)	X	X	X	X	X	X	HRTU	0.20		Development and update of 4 e-Learning Modules, quarterly update of the catalogue
142	4	2.2.4.5	HR Annual training plan for staff	Further develop a learning culture within the organisation (catalogue of training opportunities available on Intranet)	X	X	X	X	X	X	HRTU	0.10		Learning Catalogue of eu-LISA includes at least 20 courses on general skills and 5 in technical training
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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME						OWNER	BUDGET & FTES		PERFORMANCE INDICATOR
					<	Q1	Q2	Q3	Q4	>		Internal FTE	Budget Allocated	
4	2.2.4.5	HR	Annual training plan for staff	Organise technical training for the staff members in the Operational Department in STR	X	X	X	X	X	X	HRTU	0.30	€240,000	At least 6 courses under this category during the reporting period
4	2.2.4.5	HR	Annual training plan for staff	Monitoring and intervention when needed in the Staff Skills Index of the Agency (by then relevant KPI will be developed)	X	X	X	X	X	X	HRTU	0.05		80% of staff meets the Staff Skills Index set annually for the job family
4	2.2.4.5	HR	Annual training plan for staff	Induction programme for the newcomers including all relevant organisational aspects	X	X	X	X	X	X	HRTU	0.05		100% of newcomers to attend the induction course
4	2.2.4.5	HR	Annual training plan for staff	Provision of flexible in-house training in third European language for staff (including staff working on shifts)	X	X	X	X	X	X	HRTU	0.10		Third language knowledge to B2 level is reached for every new Agency staff member within 3 years of start date.

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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
4	2.2.4.5	HR	Effective and efficient personnel administration service	Leave administration and work time management (verification of presence absence, flexi time, shift-work, stand-by duty)	X	X	X	X	X	X	HRTU	0.40		All relevant leave /working hours records for all staff verified within one calendar month of submission to HR
4	2.2.4.5	HR	Effective and efficient personnel administration service	Personnel administration (verification of entitlements and social allowances, facilitation of their receipt, transmissions and coordination of communication between the employees and the PMO)	X	X	X	X	X	X	HRTU	0.50		For all personnel administration processes, process lag to be no longer than two calendar months
4	2.2.4.5	HR	Effective and efficient personnel administration service	Administration of employees' welfare benefits allocated by the Agency (nurses, nurses, schools, kindergartens for the employees' children, medical examination)	X	X	X	X	X	X	HRTU	0.30		All individual staff records to be updated by eu-LISA HR within one calendar month of notification by staff member
4	2.2.4.5	HR	Effective and efficient personnel administration service	Counselling for staff on benefits and entitlements	X	X	X	X	X	X	HRTU	0.20		Staff satisfaction survey to indicate that >75% staff happy with guidance offered by HR on benefits and entitlements
4	2.2.4.5	HR	Effective and efficient personnel administration service	Cooperation with the Staff Committee of eu-LISA	X	X	X	X	X	X	HRTU	0.30		HRTU representatives to attend all relevant staff committee meetings

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STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTEs			
					<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
					X	X	X	X	X		X			
4	2.2.4.5	HR	Effective and efficient personnel administration service	Personal administration of newcomers related to Smart Borders Project recruitment	X	X	X	X	X	X	HRTU	0.80	Administration of newcomers files to be completed within a month from entry on duty	153
4	2.2.4.5	HR	Effective HR policy, case administration and Human Resources management	Preparation, negotiation, introduction and implementation of the Implementing Rules (IRs) at eu-LISA	X	X	X	X	X	X	HRTU	0.30	Adopted Implementing Rules	154
4	2.2.4.5	HR	Effective HR policy, case administration and Human Resources management	Preparation of the internal guidance documents for the staff and organisation of the awareness sessions on the relevant issues	X	X	X	X	X	X	HRTU	0.30	KPI – at least 4 sessions throughout the year on 2 topics	155
4	2.2.4.5	HR	Effective HR policy, case administration and Human Resources management	Improving effectiveness and efficiency with the HR IT tools introduction	X	X	X	X	X	X	HRTU	1.00	Relevant HR reports to be included in the 2016 Annual Work Programme quarterly Implementation Reports	156
4	2.2.4.5	HR	Effective HR policy, case administration and Human Resources management	Implementation and Modification of HR Strategy and the Staff Retention Policy of the Agency	X	X	X	X	X	X	HRTU	0.20	HR strategy and Staff Retention Policy up to date and reflecting the evolving reality of the Agency's mandate and work	157
4	2.2.4.5	HR	Effective HR policy, case administration and Human Resources management	Preparation Multiannual Staff Policy (MSPP)	X	X	X	X	X	X	HRTU	0.50	MSPP delivered to Management and the Management Board as per agreed timelines	158
4	2.2.4.5	HR	Effective HR policy, case administration and Human Resources management	Contribution to the organisational development, preparation of strategic documents, reporting, oversight of the budget of the Agency in the field of HR	X	X	X	X	X	X	HRTU	0.20	HRTU submission to relevant strategic documents (AWP, MAWP, Annual Activity report etc.) to be delivered within agreed deadlines	159
4	2.2.4.5	HR	Implement transparent and fair staff appraisal system	Launch and monitoring annual appraisal exercise reflected in the Career Passport of eu-LISA	X	X	X	X	X	X	HRTU	0.20	100% compliance with deadlines set in the Implementing Rules	160

STRT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
					<	Q1	Q2	Q3	Q4		>	Inter- nal FTE		Budget Allocated
					X	X	X	X	X		X	0.10		
4	2.2.4.5	HR	Implement transparent and fair staff appraisal system	Appraisal completion report reflected in the Career Passport of eu-LISA	X	X	X	X	X	HRTU	0.10		100% compliance with deadlines set in the Implementing Rules	
4	2.2.4.5	HR	Implement transparent and fair staff appraisal system	Launch and monitoring of Reclassification (promotion) exercise reflected in the Career Passport of eu-LISA	X		X	X	X	HRTU	0.20		100% compliance with deadlines set in the Implementing Rules	
4	2.2.4.5	HR	Implement transparent and fair staff appraisal system	Reclassification completion report reflected in the Career Passport of eu-LISA	X			X	X	HRTU	0.10		100% compliance with deadlines set in the Implementing Rules	
4	2.2.4.5	HR	Implement transparent and fair staff appraisal system	Awareness sessions and training on career development for staff and managers	X	X	X	X	X	HRTU	0.20		90 % of staff members to attend at least one career awareness session per year	
4	2.2.4.5	HR	Implement transparent and fair staff appraisal system	Guidelines to staff and management on relevant Implementing Rules and EC decisions (and best practices from other EC Agencies) on staff appraisal and development			X			HRTU	0.10		Relevant Guidelines to be issued by 1 June 2016	
4	2.2.4.5	HR	Implement transparent and fair staff appraisal system	Internal control of relevant entries in Allegro (e-HR tool)	X		X		X	HRTU	0.10		98% of relevant HR data in the Allegro database is correct and up to date	
4	2.2.4.5	HR	Maintain the stability of payroll service	Payroll, staff counselling on financial aspects of salaries and allowances, corrective actions with PMO if required	X	X	X	X	X	HRTU	0.90		100% salary payment on time for all staff	
4	2.2.4.5	HR	Maintain the stability of payroll service	Internal control of regularity of the payment process	X	X	X	X	X	HRTU	0.10		Exceptions less than 5% of total monthly payroll	

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#	STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES		PERFORMANCE INDICATOR	
						<	Q1	Q2	Q3	Q4		>	Internal FTE		Budget Allocated
169	4	2.2.4.5	HR	Recruitment & retention to meet targets set	Launching and organising selection and recruitment processes to meet the organisational requirements of eu-LISA compliant with the Implementing Rules	X	X	X	X	X	X	0.50		All posts to be filled in no more than 5 months from the time of Vacancy's publication	
170	4	2.2.4.5	HR	Recruitment & retention to meet targets set	Participation in the Selection process and work of Selection Committees (DV, BS)	X	X	X	X	X	X	0.50		Reports on Status of Recruitment, Minutes of Selection Committees meetings, statistical reports on selections included in the Multiannual Staff Policy Plan	
171	4	2.2.4.5	HR	Recruitment & retention to meet targets set	Recruitment of Additional Staff for the Smart Borders Programme [approximately 29 additional posts]	X	X	X	X	X	X	2.00		Number of recruited staff according to the plan	
172	4	2.2.4.5	Document Management (organisationally part of HR)	Agency to continue to implement and develop effective information and document management systems	Implementation of the Agency's 2016 Document Retention Plan	X	X	X	X	X	X	1.00		Electronic document management system in place by end 2016	
173	4	2.2.4.6	Improve internal Communication	Promote the mission, vision and core values of the Agency and to use them as drivers for the development of its corporate culture	Coordination and Creation of internal publications (newsletter) and input to eu-LISA Intranet (Q&As and Fact Sheets)	X	X	X	X	X	X	0.30		Newsletter edition to be produced on a quarterly basis & monthly update of relevant intranet content	
174	4	2.2.4.6	Improve internal Communication	Promote the mission, vision and core values of the Agency and to use them as drivers for the development of its corporate culture	Organisation of internal events (teambuilding)	X	X	X	X	X	X	0.10		One annual event for all staff, 2 site specific annual events	

STRAT. GOAL	WP2016 SECTION REF	STRAT OBJECTIVE DESCRIPTION	2016 OUTCOME	ANNUAL ACTIVITY/ACTIVITIES	TIMEFRAME					OWNER	BUDGET & FTES			
					<	Q1	Q2	Q3	Q4		>	Internal FTE	Budget Allocated	PERFORMANCE INDICATOR
#	4	2.2.4.6	Improve internal communication between the Agency's sites	Execute broad range of targeted communications strategies and tactics for all Agency sites, including blogs, webcasts, managing intranet, roadshows, team briefings, presentations and a wide range of written communication.	X	X	X	X	X	X	0.65	Coverage of 90% staff to all internal comms output		
175	4	2.2.4.7	At least 80% of audit engagements are carried out as approved in the Internal Audit Plan	Draft and submit the Internal Audit Plan for approval by the Executive Director and Management Board	X						0.10	Internal Audit Plan adopted by the end of February 2016.		
176	4	2.2.4.7	At least 80% of audit engagements are carried out as approved in the Internal Audit Plan	Plan, execute and communicate each audit engagement (outsourced or in-house) according to the standard operating procedure.					X		0.80	Quality assurance report discloses no major findings		
177	4	2.2.4.7	At least 80% of audit engagements are carried out as approved in the Internal Audit Plan	Interim report on the implementation of Internal Audit Plan	X	X	X	X	X		0.10	Implementation Report is communicated quarterly to the Executive Director and Management Board		
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## Annex B: Budget Forecast 2016: 2016 high-level budget forecast (C1 commitments)

Description	2014 <sup>23</sup>	2015 <sup>24</sup>	2016 <sup>25</sup>
<b>Title 1: Staff expenditure</b>	18,290,000	14,655,354	15,241,848
<b>Title 2: Infrastructure and Operating Expenditure</b>	16,850,000	17,882,000	9,802,000
Shared System Infrastructure (Core Systems)	9,050,000	3,710,000	7,032,000
SIS II		1,300,000	11,795,000
VIS/BMS	6,500,000	24,400,000	29,500,000
Eurodac	5,500,000	1,000,000	2,825,000
External Support Services directly related to core systems	1,550,000	3,056,500	2,546,152
Meetings & missions directly related to the core systems	950,000	715,246	540,000
Training directly related to operations	690,000	840,000	740,000
<b>Title 3: Operational Expenditure</b>	24,240,000	35,021,746	54,978,152
<b>Total</b>	59,380,000	67,559,100	80,022,000

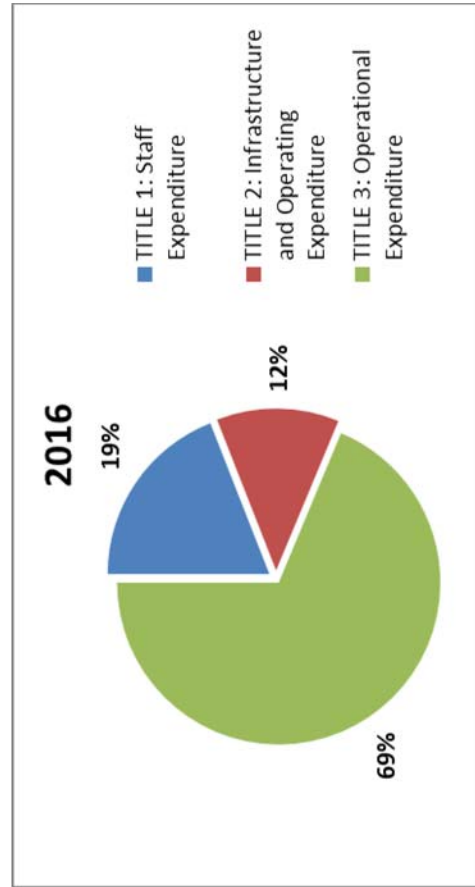
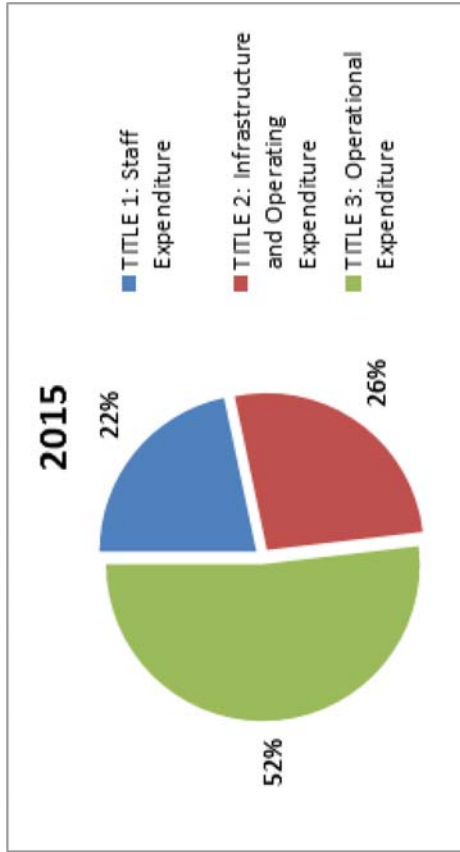
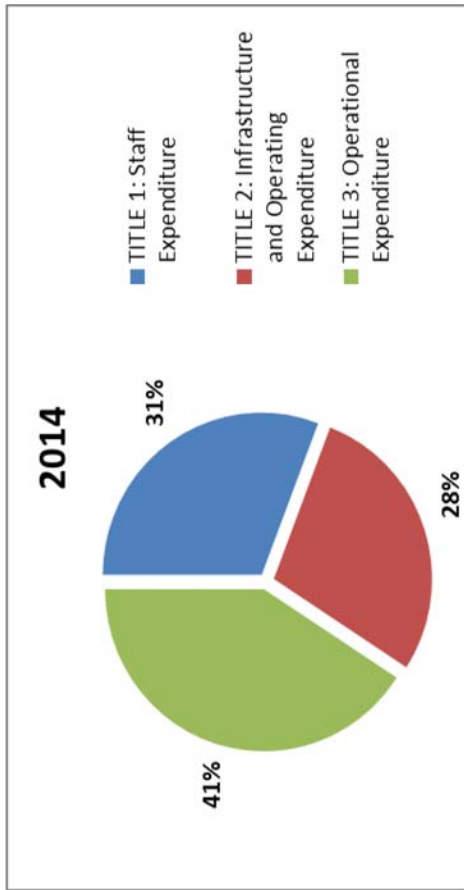
<sup>23</sup> Initial budget

<sup>24</sup> Budget after amendment 1

<sup>25</sup> Final estimates of revenue and expenditure



## Annex B: Budget Forecast 2016: Budget Composition by Title



## Annex C: Overview of Business Critical Risks and Mitigations

eu-LISA considers its Risk Management framework and processes as one of the key enablers of the smooth and effective implementation of its work programme. The Agency has developed and implemented an organisation-wide risk management process which is fully integrated into the annual planning and reporting cycle (in compliance with Internal Control Standard (ICS) N° 6 of the Commission). The Agency's risk register contains identified risks and appropriate risk responses. It also defines the ownership for each risk within the Agency. Action plans are then defined that outline relevant mitigation measures to be undertaken in each case.

A risk will be considered significant by eu-LISA and will be reported in the Work Programme and subsequent annual Activity Report if it falls within one of the following impact categories:

- jeopardises the achievement of strategic goals or effective implementation of the mandate of the Agency;
- causes serious damage to the Agency's stakeholders or partners (Commission, Member States, companies, citizens, etc.);
- results in critical intervention at political level (e.g. Council/Parliament) regarding the Agency's performance;
- results in the infringement of laws and regulations;
- results in significant material and/or financial loss;
- jeopardises the safety of the Agency's staff ; or
- seriously damages the Agency's image and reputation.

The below table outlines the Agency's identified major organisational risks. [These risks will be reviewed during the Agency's annual Risk Management Workshop scheduled for 5 November 2014 and may be further amended or re-categorised as a result].

ID	Risk Description	Strategic Goal(s)	Risk Response	Summary of Mitigating Actions
R1	Lack of procurement staff & volume of work in addition to Agency staff being located over two separate locations affecting the management of agency's procurement contracts	1, 2	Reduce	Strengthen planning & increase coordination; Increase staffing in the procurement team; Increase awareness across the Agency on the importance of planning procurement requests; Identify opportunities for joint procurements with host States and/or other EU bodies.
R2	The separate locations of the Agency's HQ, operational centre and back-up site might lead to a lack of management and organisational cohesiveness	1, 2, 3, 4	Accept	Accept risk temporarily but initiate technical study to investigate potential strategies for a more efficient organisational structure.
R3	Uncoordinated & poor project planning leading to inefficiencies in resource allocation or challenging project timescales	1	Reduce	Identify potential projects that may require additional resources and undertake estimate of additional requirements 2) acquire additional resources needed by external contractors (if possible).
R4	Poor communication of legislative impact assessment	1, 2, 3, 4	Reduce	Introduce mapping of relevant and important legislative proposals that might impact the

<b>ID</b>	<b>Risk Description</b>	<b>Strategic Goal(s)</b>	<b>Risk Response</b>	<b>Summary of Mitigating Actions</b>
	<i>&amp; lack of forward planning leading to unrealistic work programmes &amp; budgetary assumptions</i>			<i>Agency in Q3 2014 &amp; introduce monthly tool to communicate results to Management Team in Q4 2014;</i>
<i>R5</i>	<i>Uncoordinated implementation of relevant Industry standards for corporate governance of ICT when deploying agency's corporate governance could affect overall Agency governance</i>	<i>1, 2, 3, 4</i>	<i>Reduce</i>	<i>Review Agency ICT corporate governance and create eu-LISA ICT strategy and implementation plan to guide all ICT developments to be in compliance with industry standards and best practices.</i>
<i>R6</i>	<i>Reductions in the Agency's budget resulting in discrepancies between available resources and expected outputs outlined in the work programme.</i>	<i>1, 2, 3</i>	<i>Reduce</i>	<i>Regular reviews and reprioritisation of project portfolio of the agency alongside with allocated human and budgetary resources.</i>
<i>R7</i>	<i>Lack of engagement with the stakeholders during production of annual work programme leads to a reduced commitment of stakeholders to Agency's activities</i>	<i>1, 2, 3, 4</i>	<i>Reduce</i>	<i>Early engagement with AG chairs on annual work priorities; annual work programme timetable revised to reflect earlier engagement of all stakeholders in order for them to have more time to comment on draft; following AWP approval, draft executive summary for JHA counsellors' network in Brussels for better outreach.</i>
<i>R8</i>	<i>Inadequate allocation of resources for corporate IT services and infrastructure may hamper the daily work and performance</i>	<i>3</i>	<i>Reduce</i>	<i>Access to additional external resources from new framework contract will be available from 11/2014. Role of available in-house resource to be reviewed.</i>
<i>R9</i>	<i>Lack of robust document management system and procedures may lead to documents lost/not retrievable.</i>	<i>1, 2, 3, 4</i>	<i>Accept</i>	<i>Accept risk temporarily but continue to look into possible DMS as part of ongoing efforts to implement necessary corporate IT infrastructure (including MS SharePoint).</i>
<i>R10</i>	<i>Delay in reconstruction work in Strasbourg due to further budget reductions leading to reductions in efficiency and</i>	<i>1, 2, 3, 4</i>	<i>Reduce</i>	<i>The procurement for the contract for temporary office space in Strasbourg is to be launched shortly. An additional reconstruction project Strasbourg will start in early 2015 &amp; is scheduled to last for 36</i>

<i>ID</i>	<i>Risk Description</i>	<i>Strategic Goal(s)</i>	<i>Risk Response</i>	<i>Summary of Mitigating Actions</i>
	<i>high turnover.</i>			<i>months.</i>
<i>R11</i>	<i>Agency not be able to achieve target budget utilisation levels indicated as targets in the Budget Circular, triggering automatic cuts in appropriations made available by the Commission</i>	<i>1, 2, 3, 4</i>	<i>Reduce</i>	<i>Ensure management buy-in for financial forecasting: decentralise the budgetary process &amp; redistribute ownership across the Agency; systematic monitoring and forecasting of budget (frequency of review linked to size &amp; importance of budget line) with the active involvement of the budget owner; increase resources: recruit a dedicated, full time budget officer; improve contractual architecture for the large systems contracts; increase expertise of operational initiators and verifiers;</i>
<i>R12</i>	<i>Inability of the Agency to fulfil elements of its core operational tasks in full due to insufficient staffing of some functions within the Operations area</i>	<i>1, 2, 3, 4</i>	<i>Reduce</i>	<i>Reinforce and automate whenever possible technical tools to support operational staff; 2) Undertake biannual needs assessment for training within Ops in close liaison with HR to identify gaps; 3) expertise or knowledge to be filled by short-term contractors as per framework contract where possible</i>

## ANNEX D: Summary Table of Major Procurements and Projects Planned for 2016

REF	Budget Chapter Reference	Project Description	Explanation/Rationale	Est. Budget (€ mio)	Procurement Necessary?	Comments
1	32	Maintenance in Working Order (MWO) of VIS/BMS	Corrective, adaptive, evolutionary maintenance services, including supply of hardware and software to ensure the functioning of VIS and BMS in accordance with the applicable Regulation requirements.	29.5	Yes, for the new MWO starting September 2016.	Current contract expiring in August 2016. Procedure for a new MWO launched in 2015.  Estimated budget is intended to cover both contracts.
2	33	Ongoing maintenance activities for EURODAC under existing MWO	Corrective, adaptive, evolutionary maintenance services, including supply of hardware and software to ensure the functioning of EURODAC in accordance with the applicable Regulation requirements.	2.85	No:	Activities will be performed under the existing Recast FWC. Its expiration date is June 2016 and will be replaced with a new MWO contract (see line 11).
3	30	External support services - Unique data shared backup facilities	Unique data backup facility in place and ready to be used by all systems by end 2016 at the latest in order to avoid any renewal of existing backup infrastructure due	3.0	No.  Specific contracts will be issued under relevant FWCs.	

REF	Budget Chapter Reference	Project Description	Explanation/Rationale	Est. Budget (€ mio)	Procurement Necessary?	Comments
4	30	Implementation of a virtualised test platform for core systems (SIS II, Eurodac, VIS, BMS).	Decommissioning of the physical test environments and replacement by a virtualised one by end of 2016	2.0	No. Specific contracts will be issued under relevant FWCs.	
5		PMO evolutions; ITSM evolutions	<p><b>Project Management office evolution:</b>            Implementation of a Reporting tool for KPIs, SLAs and Statistics;            Project Management Office evolution: project status monitoring;            Establishment of integrated monitoring across the systems managed by the agency;            Integration of the ITSM configuration management database (CMDB) with eu-LISA            Asset management and establishment of an unique source of information for asset</p>	1.25	No. Specific contracts will be issued under relevant FWCs.	

REF	Budget Chapter Reference	Project Description	Explanation/Rationale	Est. Budget (€ mio)	Procurement Necessary?	Comments
			management; Ongoing preparation for ITSM certification in 2017			
6		External support services	Technical support to administrative and operational functions (external support services)	2.7	No. Specific contracts will be issued under relevant FWGs (eu-LISA).	
7	30	Business continuity management system	Audit and evaluation consultancy. Implementation of business continuity management strategy through the Business Continuity Management System (in accordance with ISO22301) in CU and BCU. Audit and evaluation consultancy costs are foreseen in 2016.	0.15	No. Specific contracts will be issued under relevant FWGs.	
8		Testa-NG evolutions; network evolutions	consultancy and supplies	0.85	No. Specific contracts will be issued under relevant FWGs.	
9		Maintenance in Working Order (MWO) of SISII	Corrective, adaptive, evolutionary maintenance services, including supply of hardware and software to ensure the functioning	11.8	No. Specific contracts for evolutionary maintenance and technical assistance under the	AFIS evolution to be ordered by an RFS of approximately 9.7 mio made available as follows: EUR 7.5 mio from rescheduling of SIS

REF	Budget Chapter Reference	Project Description	Explanation/Rationale	Est. Budget (€ mio)	Procurement Necessary?	Comments
			of SIS II in accordance with the applicable Regulation requirements.		existing SIS II MWO.	activities; EUR 1.57 mio from a transfer from BL2010- expenditure for France premises to BL3100- SIS MWO, representing contingencies for the Strasbourg reconstruction project not approved by the Budgetary Authority; EUR 0.66 mio from reallocation of Ro credits from associated countries – in addition to the C1 credits. AFIS evolution requires the extension of the current MWO into the 4 <sup>th</sup> year, as foreseen in the contract, as well as the ceiling increase of SC4 (evolutions) .
10	30	Framework contract for Common Shared Infrastructure	Supply framework contract to source hardware, software, integration services, maintenance horizontal to the core systems' infrastructure, including security and corporate IT as appropriate.	n/a	Yes	The Agency plans to launch in Q1 2016 the call for tenders to procure this multi-year (3+1+1+1 years) framework contract. The provisional ceiling is estimated at 4,0 million euros (the ratio supply:services is estimated at 60:40).
11	33	Maintenance in Working Order (MWO) of	Corrective, adaptive, evolutionary maintenance	n/a	Yes	The Agency plans to launch in Q4 2016 the call for tenders to procure



REF	Budget Chapter Reference	Project Description	Explanation/Rationale	Est. Budget (€ mio)	Procurement Necessary?	Comments
		EURODAC	services, including supply of hardware and software to ensure the functioning of EURODAC in accordance with the applicable Regulation requirements.			this multi-year (3+1+1+1 years) framework contract. The provisional ceiling is estimated at 2.69 million euros.
<b>SUBTOTAL</b>				53.97		
<b>OTHER PROCUREMENT</b>						
			(Meetings and missions directly related to operations, training in support of operations; small value procurement).	1.0		
<b>TOTAL</b>				54.97		