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NOTE

From:	Presidency
To:	Working Party on Information Exchange and Data Protection (DAPIX)
No. prev. doc.:	15701/1/14; 5237/15; 14636/15
Subject:	Renewed Information Management Strategy (IMS) - draft 5th Action List

On 26 June 2009 (16637/09), the Presidency submitted a proposal for an Information Management Strategy (IMS) to the Ad Hoc Working Group on Information Exchange. The aim of this strategy is to provide a methodology (the “how”) to ensure that decisions about the need for managing and exchanging data, and decisions about the ways to do so are taken in a coherent, professional, efficient, cost-effective way, accountable and comprehensible to the citizens and the professional users.

On 30 November 2009, the Council approved Conclusions on an updated Information Management Strategy (IMS) for EU internal security. The Strategy as such has a long-term focus and can be further developed and updated as the overarching vision develops. Upon proposal from DAPIX, the Council approved a renewed IMS Strategy (15701/1/14) on 18 December 2014.

The IMS aims at supporting, streamlining and facilitating the management of information necessary for carrying out expedient cross-border information exchange between law enforcement authorities, authorities responsible for border management, and judicial authorities dealing with criminal matters. The IMS provides guidance on how to translate business needs into structures and content, and contained under a number of focus areas the strategic goals to be achieved.

The Council Conclusions on IMS set out that steps should be taken to develop and update as necessary a detailed IMS action list in order to fulfil the overall aims and objectives of the Strategy. To that end, delegations are regularly invited to propose actions and define their concrete goals, processes and deadlines.

So far, three action lists with a life-span of 18 months each were established. The 4th IMS action list, which currently contains six actions, was drafted in line with the outcome of questionnaire CM 5306/14. As discussed at the DAPIX meeting of 2 September 2015, it was understood to be living document supposed to expire, in principle, on 30 June 2016.

With this in mind, the Presidency suggests considering the setting up of a 5th Action List whose life span would be limited to 18 months and start on 1 July 2016. It includes the actions of the 4th list which are not yet concluded, as well as actions such as the 'PCCC: European dimension' action, and the 'A.T.H.E.N.A. - SPOC training' action, the PNRDEP (Passenger Name Record Data Exchange Pilot) and the action to define Prüm post-hit procedures, on which preliminary presentations or discussions were on the DAPIX agenda of 26 January 2016. Pursuant to these discussions, the Presidency invited delegations leading those actions to submit detailed descriptions.

The current overview takes note of contributions submitted by 8 March 2016. Taking, in particular, into account the Implementation Report on the Renewed European Union Internal Security Strategy (2015-2020) (14636/15), **the Presidency invites therefore delegations to review and further update the current overview in Annex and to submit suggestions for new actions** with concrete goals, processes and deadlines by **29 April 2016**.

OVERVIEW OF DRAFT 5th ACTION LIST

Action	Subject	Doc.
1	A.T.H.E.N.A. - SPOC training	6770/16
2	ADEP (Automation of Data Exchange Process)	14944/12 updated doc pending
3	PNRDEP (Passenger Name Record Data Exchange Pilot)	6857/16
4	Info Exchange Platform for Law Enforcement Agencies	7752/10
5	UMF 3 (Universal Message Format 3)	6882/16
6	Prüm DNA post-hit procedures	5113/12 updated doc pending
7	PCCC: European dimension	5131/16
8		
9		
10		

OVERVIEW OF MEMBER STATES AND EU BODIES INVOLVED

Action	1	2	3	4	5	6	7
BE							<u>X</u>
BG			X		X		
CZ							X
DK					X		
DE		X			<u>X</u>		X
EE					X		
EL					X		
ES		o	X		X		
FR		<u>X</u>					
IE							
IT	<u>X</u>				X		X
CY							
LV					X		
LT			X		X		
LU							
HU		o	<u>X</u>		X		X
MT					X		
NL					X		
AT					X		
PL					X		X
PT			X				
RO			X				
SI							
SK							
FI		X			X	<u>X</u>	
SE					X	<u>X</u>	
UK					X		
CH					o		
IC							
LI							
NO					X		
COM		o			X		X
GSC							
Europol		o	o	<u>X</u>	X		X
Eurojust		o			o		
Frontex					X		
EDPS		o					
euLISA					X		
OLAF					o		
JSA/JSB		o					
JRC							
Interpol					X		

X = Lead X = Actors o = other concerned parties /observers

OVERVIEW OF CHAIRS FOR ACTIVATED/PROPOSED ACTIONS

AP	Subject	Chairperson	E-mail
1	A.T.H.E.N.A. - SPOC training	Italy To be defined	
2	ADEP (Automation of Data Exchange Process)	France -Jacques Weber, -Gilles Barbey (ass)	jacques.weber1@interieur.gouv.fr gilles.barbey@interieur.gouv.fr
3	PNRDEP (Passenger Name Record Data Exchange Pilot)	Hungary -Zsolt Szolonoki -Zsuzsa Petho	zsolt.szolnoki@bm.gov.hu zsuzsa.petho@bm.gov.hu Functional e-mail address: pnr@bm.gov.hu
4	Information Exchange Platform for Law Enforcement Agencies (IELEA)	Europol To be defined	
5	Universal Message Format 3(UMF 3)	Germany Krzysztof Klebek	IT-UMF@bka.bund.de
6	Prüm DNA post-hit procedures	Finland/Sweden Virpi Koivu	Virpi.Koivu@intermin.fi
7	PCCCEuropean dimension	Belgium Daniel Colling	daniel.colling.6260@police.be

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
1	A.T.H.E.N.A.: Addressing training needs of SPOCs as hubs of a European network of law enforcement agencies	Comprehensive training on the different EU police communication channels and EU information exchange mechanisms and instruments. Exchange of best practices regarding the functioning of SPOCs, and/ or establishing a format for regular contacts of heads of SPOC/ SPOC staff, focusing on training needs and activities. Identification of common workflow requirements for SPOCs in Member States and development of related guidelines as a basis for SPOC staff training.	1, 6, 8	Reports to DAPIX	Establishment, together with Cepol, of a repository of good practices regarding training on EU law enforcement information exchange, taking into account related existing curricula and results of related initiatives
Terms of reference: 6770/16					

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
2	ADEP: (Automation of Data Exchange Process)	<p>Streamlining and speeding up information exchange by automation of manual procedures;</p> <p>know quickly where the relevant information is located.</p> <p>Contribution to achieve the goals of Council Framework Decision 2006/960/JHA (SFD) and, therefore, to implement the principle of availability, taking into account Decision 2009/316/JHA (ECRIS) and Annex A on categories of offences thereof,</p> <p>Cost efficiency and data protection reinforced</p>	1, 3, 4	<p>Test in laboratory of an ADEP prototype based on anonymisation/pseudonymisation of data and encryption/optimisation by the filter of Bloom in line with the similar work led by Europol..</p> <p>work (Item 05/pseudonymisation of criminal intelligence) and Commission (FIUs</p>	<p>Information exchange based on an automatically generated reply protocol (Hit/noHit) complemented by a minimum set of mandatory and optional data (Hit +++).</p> <p>Automation of requests for information by: consulting an « index » provided by each MS, using a standard transliteration interface, such as the one used in the SIS or in the EIS, giving preference to the UMF technology, SIENA Channel taking into account the information exchange with Europol, allowing MS to set up their connection to the system at their own pace.</p>
Terms of reference:					

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
3	PNRDEP : Develop technical solutions for the implementation of PNR data exchange by means of a pilot	Explore possible use of existing law enforcement data exchange channels – especially SIRENE, SIENA and FIU.net – for PNR data exchange . Assess most appropriate information exchange channel.	1, 2, 3, 4, 5, 6	Comparative study including national PNR legislation and examination of use of existing law enforcement data exchange channels Meeting reports to DAPIX	Document compiling the best practices regarding the possible technical solution and interconnectivity of PIUs
<p>Terms of reference: 6857/16</p> <p>Project aims at providing possible solutions for the technical implementation of passenger name record (PNR) data exchange between Passenger Information Units (PIU) by</p> <ul style="list-style-type: none"> • exploring the feasibility of using existing law enforcement data exchange channels – especially SIRENE, SIENA and FIU.net – for PNR data exchange between PIUs; • conducting a comparative study in the first part of the project which will incorporate an integrated legal analysis on the national legislations governing the functioning of national PNR systems as well as the examination of the infrastructure and technical solution of existing law enforcement data exchange channels possibly used for PNR data exchange; • testing the most appropriate channel(s). <p>Several meetings are planned and DAPIX will regularly be informed about the outcome by means of reports.</p> <p>Duration: 01 January 2016 – 30 June 2017 (18 months).</p>					

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
4	Information Exchange Platform for Law Enforcement Agencies	Exchange of high quality data in a secure manner and under a well defined framework; Compatibility and interoperability between various applications and MS systems Provide LEA with the capability to find, acquire, extract and analyse open source data and documents to support ongoing investigations and phases of intelligence gathering information	4, 5.d	Report submitted/adopted by DAPIX 7819/13, 7840/13	Web-based cooperation and information platform for Law Enforcement Authorities (LEA) integrating access to a variety of services and resources related to information exchange between national LEAs.
Terms of reference: 7752/10					
This initiative aims to provide a proposal for the realisation of the Information Exchange Platform (IXP), including the scope, the objectives, the elaborated business concept, a high-level solution concept, the division in stages, the overall governance arrangements and funding as well as a proposal for the implementation plan of the first stage of the IXP, including a concrete solution design, costs, actors, governance, deliverables and timelines.					

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
5	Universal Message Format – UMF 3: a) further technical implementation of EU-PIM in a Universal Message Format b) concept and set-up of a management entity including a governance structure for EU-PIM and the UMF-standard c) development and dissemination of new UMF standard in pilot projects	XML-based data format for structured cross-border data exchange Improve technical interoperability between national LEA Re-use of components Reduction of technical interfaces Simplifying design, development and maintenance	4.b 4.d 5.a	Reports to DAPIX	Common semantic standard for cross-border and EU information exchange (UMF) Simultaneous real-time request of national databases and EIS
<p>Terms of reference: 6882/16</p> <p>The UMF Interoperability Coordination Programme aims at producing a commonly recognised standard specification for the exchange of information between national LEA. The programme is to be realised in three steps: The third activity (UMF3) with 17 MS and Norway participating is about the concept and proposal for a management entity and a governance process for the maintenance and development of the new standard. The management entity may also provide advice and consultancy to national or European projects interested in applying the model and standards thus contributing to a smooth implementation, uniform usage and optimal interoperability. Six pilot projects (Europol & EE, FI, GR, PL and ES) on querying simultaneously national databases and the Europol database (EIS)</p>					

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
6	Prüm post-hit procedures Overview of national operative Prüm DNA post hit procedures Description of reporting of DNA profiles/ FP comparison	Increased knowledge of what action can be expected from Prüm partners	1, 2, 3, 4, 5, 6	Reports to DAPIX	Standard form for Prüm post-hit follow-up procedures
<p>Terms of reference:</p> <p>The action builds upon and complements the outcome of the ISEC funded project "Developing the exchange of DNA data and the related post-hit information exchange under the Prüm Decision" aimed, in particular, at finding out best practices to manage the post-Prüm hit communication process and enhancing information sharing with Europol.</p> <p>The action is aimed at a result as practical and concrete as possible.</p> <p>The added value for Prüm information sharing comes from increased knowledge of what action can be expected from Prüm partners in different situations.</p> <p>By national operative post-hit procedures are meant first and foremost procedures by which the hit information is conveyed to the national investigative units in different hit situations and what is the follow up after the information has been forwarded.</p>					

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
7.2	PCCC: European Dimension	Analysis of cross-border crime Further implementation of SIENA Harmonisation of information exchange in PCCCs Exchange of best practices Strengthening of customs' involvement in PCCCs	1, 2, 3, 4	Implementation of annex 5 to the PCCC Guidelines	<ul style="list-style-type: none"> • workshop: <ul style="list-style-type: none"> ○ participants: Europol, national central services and PCCCs; ○ objective: exchange of views on potential of each of these levels, the need for complementarity between these levels and the possibilities to mutually enrich the analysis to gain a complete picture of cross-border crime ○ exchange of experience • support of PCCC Heerlen • survey the experience and best practices of PCCCs • system interfaces linking national case management systems (i.a. in PCCCs) to SIENA • survey of standards used in PCCCs regarding information exchange • workshops to exchange best practices and to draft recommendations for information exchange standard, based on SIENA requirements and taking into account UMF references • survey on the situation in the PCCCs on the presence of the customs / exchange of best practices in this matter
<p>Terms of reference: 5131/16</p> <p>The action builds upon the results achieved with regard to the pilot project of implementing SIENA in PCCCs with a view r-to strengthening the European dimension of PCCCs. Several initiatives can contribute to promote the further development of PCCCs, e.g. improving the way of working and the quality of service provided, improving information exchange between PCCCs, the respective national central authorities and Europol.</p>					

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
Terms of reference:					