COUNCIL OF
THE EUROPEAN UNION

Brussels, 5 July 2011

12002/11

LIMITE

JAI 442
CATS 56
DAPIX 70
DATAPROTECT 70
ASIM 68
JURINFO 52

NOTE	
from :	Presidency
to :	Working Group on Information Exchange and Data Protection (DAPIX)
No prev doc	16951/1/09 REV 1 JAI 894 CATS 133 ASIM 139 JURINFO 152
	6660/10 JAI 154 CATS 20 ASIM 29 JURINFO 2 + COR 1
Subject :	Draft 2nd action list for the implementation of IMS

The Council Conclusions on an Information Management Strategy for EU internal security (cf. doc. 16637/09 JAI 873 CATS 131 ASIM 137 JUSTCIV 249 JURINFO 145) set out that steps should be taken to develop and update as necessary a detailed action list in order to fulfil the overall aims and objectives of the strategy.

The Presidency hereby presents a draft 2nd action list taking account of experience made in the first implementation round of the IMS and of latest discussions in DAPIX on the issue of continuing actions not yet concluded or actions initially proposed for the first list as well as new suggestions.

The draft list contains 11 priority actions indicating strategic objectives, the actions to be taken, performance indicators and the outcome to be achieved as well as the terms of reference as far as possible. The life span for the action list is proposed to be limited to an 18-months period. Actors and other parties concerned with the carrying-out of actions are listed in a separate document[1]

---

[1]   Cf. doc DS 1429/11

setting out an overview of activated / proposed actions for the period 1 July 2011 - 31 December 2012.

DAPIX is invited to discuss and approve the Presidency proposal on the second action list for the implementation of the IMS at its meeting of 7 July 2011.

_____

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
1[*]	Development of EIXM: In this second phase COM will work on recommendations to consolidate cross-border exchange of information and criminal intelligence. Building upon the mapping report COM will describe appropriate structures, instruments and essential processes of information exchange.	Objective of the EIXM is to give guidance by recommending ways how to improve consolidation and coherence of cross-border information exchange.	1.d, 2.b, 3.a, 4.a, 5.a	- Mapping report submitted and adopted by DAPIX during the HU Presidency in April 2011. - COM communication end of 2012	Recommendations on cross-border information and intelligence exchange by providing an appropriate description of essential processes, instruments and structures thereof.

Terms of reference:

Both the Hague and the Stockholm Programme (Section 4.2.2) highlighted the need for coherence and consolidation in developing information exchange in the field of EU internal security. The European Information Exchange Model (EIXM) seeks to map, assess and recommend ways to reach this goal. The EIXM follows the methodology established by the IMS. The first step – the mapping exercise, carried out in 2010 – has been concluded with a report in spring 2011. Building upon this report EIXM will elaborate recommendations on how law enforcement information exchange can be developed in a more efficient and consolidated way. For doing so COM will closely liaise with (former) action 10 to avoid duplications or diverging results. The final results will be presented in a Communication by the Commission end of 2012. (see also doc. 5046/10)

---

[*] Continuation of 1st action list

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
2[*]	Develop the methodology and indicators for data protection impact assessment concerning new initiatives for information exchange	Ensure that information exchange is fully compliant with fundamental rights, including data protection, and that the principles of lawfulness, necessity and proportionality are met when new information exchange initiatives are set up and implemented	3.a, 3b	Report discussed and adopted by DAPIX	Data protection implications have been carefully considered and compliance with data protection requirements has been ensured

Terms of reference:
The work on the European Information Exchange Model (EIXM) should be taken into account when developing the envisaged assessment.

---

[*] Continuation of 1st action list

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
3	Identification of existing intelligence models including the gaps and the related intelligence requirements	Assessment of existing intelligence products to meet the identified needs for decision making	2.b	Report adopted by DAPIX	Completion and implementation of the European Criminal Intelligence Model

Terms of reference:

The project is aimed at identifying the needs for intelligence products that support strategic, tactical and operational decision making concerning law enforcement cooperation at EU le
on regional developments.

It should result in an assessment of the existing intelligence products as regards the extent to which they meet the needs for informed decision making.

This will enable the completion and full implementation of the European Criminal Intelligence Model (ECIM).

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
4[*]	Information Exchange Platform for Law Enforcement Agencies	Central cooperation and information platform for Law Enforcement Agencies (LEA); exchange of high quality data in a secure manner and under a well defined framework; compatibility and interoperability between various applications and MS systems	4, 5.d	Report adopted by the DAPIX	Web-based platform integrating access to a variety of services and resources related to information exchange between MS Law Enforcement Agencies. The platform could also be used for cooperation activities in the context of the IMS action list. As an integral part of the platform, a list of open sources will be produced, being those sources of public access or any other not classified, so that each MS could know the contents, terms of access, reliability or not of the information, classification concerning its utility, etc. It would provide LEA with the capability to find, acquire, extract and analyze data and documents to support ongoing investigations and phases of intelligence gathering information.

Terms of reference:
This initiative aims to provide a proposal for a programme 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.

---

[*] Continuation of 1st action list

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
5[*]	UMF Interoperability Coordination Programme: - European Police Information Model (EU-PIM) - UMF II: a) 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	The recommendations of the European interoperability strategy (ISA) should be considered (=implementation of ISA to further interoperability in the JLS area). Identification of integration enablers designed to provide security, scalability and performance (=coordination of common standards) The "information map" should include information flows, functions and solutions; (supplements the information map by providing a solution)	4.b 4.d 5.a	Report adopted by DAPIX	Produce a common semantic standard for cross-border and EU information exchange between law enforcement agencies.

Terms of reference:
The UMF Interoperability Coordination Programme aims at producing a commonly recognised standard specification for the exchange of information between European Law enforcement agencies. The programme is to be realised in three steps:
- Develop a comprehensive European Police Information Model (EU-PIM) which will integrate the current police information models in European Member States and central institutions. It should encompass the full range of police information to be exchanged at European level and across borders.
- Based on the EU-PIM the technical information exchange specification for a Universal Message Format (UMF II) will be developed. UMF II will deliver a common technical standard ready for implementation in IT-systems. This project part can draw on the experience of the EU-financed UMF I-Pilot realised by DE, SE and NL.
- The third activity 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.

---

[*] Continuation of 1st action list

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
6	Overview of the national Prüm post-hit procedures	Make national Prüm procedures transparent and predictable to all, in order to maximize the effect of Prüm queries.		Replies to questionnaire from MS.	Manual of national procedures for operators

Terms of reference:
Information management strategy implementation

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
7	PCCC: European dimension				

Terms of reference:

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
8*	Benchmarking project on CIO role in information management and development	MS key stakeholders involved at early stage both at national and EU level	1.a, 6.b	Report to DAPIX	Improved co-ordination between national and EU level Promotion of best practices

Terms of reference:
Several MS have appointed Chief Information Officers (CIO) for law enforcement information exchange. The role of such national CIOs varies significantly. This benchmarking project aims at identifying and promoting best practices in the field.

---

* Continuation of 1st action list

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
9[*]	Guidelines for product management for information management solutions	To define common standards and criteria for the governance of information management solutions	7.c	Framework of minimum standards and criteria for product management adopted by DAPIX (including data protection requirements –privacy by design)	Guidelines for the governance of IM tools that meet the common expectations of stakeholders

Terms of reference:

This initiative is aimed at establishing an agreed set of minimum standards and criteria supporting the management of information management solutions throughout their lifecycle.

The framework should address all relevant product management elements, like product strategy, quality management, involvement of business representation, efficiency, data protection compliance, etc.

It is aimed at supporting the governance of IM solutions from the conceptual phase, through development and maintenance until their decommissioning.

This project will also consider the COM's 2010 European Interoperability Architecture Guidelines.

---

[*] Follow-up of action No 9 of 1st action list

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome	Actors	Other concerned parties
10[*]	Target information management architecture describing how the main information management processes, workflows, actors and tools are aimed to interact at EU level by 2015.	To establish the basis for the assessment and prioritisation of new initiatives in the area of information management. Criteria in terms of added value and priority can be derived from the agreed strategic perspective.	1.a, 1.f, 2.b, 3.a, 4.b, 5.a, 5.e,	Report, compliant with business, data protection and security requirements, adopted by Council	Clear view on the direction for information management development at EU level. Selection of most relevant initiatives for development. Efficient mechanisms for information exchange and reduction of redundancies	- Presidency - COM - Europol - FI - DE - FR - NL	- MS - EDPS - Frontex

Terms of reference;
Being a synthesis of the EIXM mapping exercise, the target management architecture is aimed at providing a picture of how information management at EU level
should be structured by 2015,
including the roles of actors, the main information and intelligence products, the sources, channels, networks
and information management tools to be used in an efficient, compliant, interactive and effective manner.
This picture can also serve as the basis for identifying focus areas for interoperability and provide guidance for prioritisation as well as the rationalisation of information management initiatives
The project will also consider the COM's 2010 European Interoperability Architecture Guidelines.

---

[*] Continuation of 1st action list

Action no:	Proposed action	Strategic objectives	Focus area	Performance indicator	Possible outcome
11	Infopolex Coordination Initiative: Improving international information and intelligence exchange between national information units, edged along 1) analysing systematically the practical and operational sticking points of cross-border information exchange by means of questionnaires focused on practical requirements such as data quality, information availability, response time, access to databases, etc.; 2) examining the possibility of integrated/flexible usage of communication channels; 3) elaborating training and staff exchange programmes;	Coordinated actions to manage the challenge due to the significant increase of international information exchange at the level of national information units	1.a, 1.b, 1.d, 6.a, 6.b, 6.c, 8.a	Interim and final report submitted and adopted by DAPIX	Identification of the most appropriate techniques and tools for improving information flows: - test system for a mutual quality management; - recommendations for best practices; - agreed common standards; - handbooks and guidelines for officers on the ground

Terms of reference: Both the Hague and the Stockholm Programme (Section 4.2.2) highlighted the need for coherence and consolidation in developing information exchange in the field of EU internal security. The Infopolex Coordination Initiative will convene meetings, study visits (will be conducted in focus countries) and prepare questionnaires to collect further information by in-depth research and systematic process analysis in order to fulfil the aim of the improvement of international police cooperation. Background information may be found in doc. 8339/11.