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To:	Mr Uwe CORSEPIUS, Secretary-General of the Council of the European Union
Subject:	Report on the technical functioning of the Visa Information System (VIS)

Delegations will find attached the above-mentioned report.

Encl.:

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

Report on the technical functioning of VIS, including the security thereof, pursuant to Article 50(3) of the VIS Regulation

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Summary

The European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice (eu-LISA) was established by virtue of Regulation (EU) No 1077/2011[1] of the European Parliament and of the Council of 25 October 2011 (hereinafter the Regulation), which entered into force on 21 November 2011. The eu-LISA has been solely responsible for the operation of the VIS system since 1 December 2012.

This report describes the technical functioning of the system between 11 October 2011 (the date that the system first became operational) and 31 August 2013[2] and presents statistics regarding system usage. It has been prepared pursuant to Article 50(3) of the VIS Regulation[3].

VIS is being progressively deployed, region by region, and should eventually cover the entire world by the first quarter of 2015. At the end of the reporting period, VIS had been rolled out in 7 out of 23 planned regions and had more than 215 000 end-users, as per information provided by Member States.

In the reporting period, the VIS processed more than 4.3 million visa applications of which more than 3.6 million resulted in the issue of a short-stay visa.

No security incident or relevant security issue has been reported by Member States during the reporting period.

The information presented confirmed that the VIS fully and satisfactorily serves the objectives[4] for which it was created: supporting the implementation of the common EU visa policy as well as the EU's migration and border management policy; assisting in the fight against irregular migration and contributing to the prevention of threats to internal security of Member States.

[1] OJ L 286, 01.11.2011, p.1.
[2] The reporting period was set until 31 August 2013 in order to submit the report two years after the VIS is brought into operation, as set by Article 50(3) of VIS Regulation.
[3] Regulation (EC) No 767/2008 of the European Parliament and of the Council of 9 July 2008 concerning the Visa Information System (VIS) and the exchange of data between Member States on short-stay visas (hereinafter VIS Regulation).
[4] According to the VIS Regulation, VIS should have the purpose of improving the implementation of the common visa policy, consular cooperation and consultation between central visa authorities by facilitating the exchange of data between Member States on applications and on the decisions relating thereto, in order to facilitate the visa application procedure, to prevent 'visa shopping', to facilitate the fight against fraud and to facilitate checks at external border crossing points and within the territory of the Member States. VIS should also assist in the identification of any person who may not, or may no longer, fulfil the conditions for entry to, stay or residence on the territory of the Member States, and facilitate the application of Council Regulation (EC) No 343/2003 of 18 February 2003 establishing the criteria and mechanism for determining the Member State responsible for examining an asylum application lodged in one of the Member States by a third-country national, and contribute to the prevention of threats to the internal security of any of the Member States.

1. Introduction

The Visa Information System (VIS) is a large-scale IT system for the exchange of data on short-stay visas between Schengen States[5]. Its objective is to support the implementation of a common EU visa policy – as well as the EU's migration and border management policy – by preventing "visa shopping", assisting in the fight against irregular migration, contributing to the prevention of threats to internal security of Member States, and bringing transparent and faster procedures for *bona fide* travellers. It is accompanied by the Biometric Matching System (BMS), which performs fingerprint matching services.

VIS started operations on 11 October 2011 and has been progressively rolled out in defined regions[6] in accordance with Article 48 of the VIS Regulation. The deployment will progressively continue with the third and last set of regions[7] and shall be finalised worldwide by the first quarter of 2015[8].

During the reporting period considered, the VIS was rolled out in the following regions:

	Regions	EIO[9]
1	North Africa: Algeria, Egypt, Libya, Mauritania, Morocco, Tunisia	11/10/2011
2	The Near East: Israel, Jordan, the Lebanon, Syria	10/05/2012
3	The Gulf region: Afghanistan, Bahrain, Iran, Iraq, Kuwait, Oman, Qatar, Saudi Arabia, United Arab Emirates, Yemen	02/10/2012
4	West Africa: Benin, Burkina Faso, Cape Verde, Cote d'Ivoire, Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone and Togo	14/03/2013
5	Central Africa: Burundi, Congo, Democratic Republic of Congo, Equatorial Guinea, Gabon, Rwanda, Sao Tome and Principe, Cameroon, Central African Republic and Chad	14/03/2013
6	East Africa: Comoros, Kenya, Madagascar, Mauritius, Seychelles, Tanzania, Uganda, Djibouti, Eritrea, Ethiopia, Somalia, South Sudan and Sudan	06/06/2013
7	Southern Africa; Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia, Zimbabwe	06/06/2013

From the first stages of planning in 2004, the Commission took responsibility for the development and entire implementation process of the VIS. The operational management of the VIS was delegated to the French Administration (C.SIS) for the first year of operation (between the go-live on 11 October 2011 and 1 December 2012).

[5] Schengen States are: Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland (not an EU Member State), Italy, Latvia, Liechtenstein (not an EU Member State), Lithuania, Luxembourg, Malta, Netherlands, Norway (not an EU Member State), Poland, Portugal, Slovenia, Slovakia, Spain, Sweden and Switzerland (not an EU Member State).
[6] Commission Decision 2010/49/EC of 30 November 2009 determining the first regions for VIS for the start of operations of the Visa Information System (VIS); Commission implementing Decision 2012/274/EU of 24 April 2012 determining the second set of regions for the start of operations of the Visa Information System (VIS).
[7] Commission implementing Decision 2013/493/EU of 30 September 2013 determining the third and last set of regions for the start of operations of the Visa Information System (VIS).
[8] According to the information available at the time this report was drafted.
[9] Entry into Operations.

On 1 December 2012, eu-LISA commenced operations and took over the operational management of the VIS, in line with the Regulation.

Currently, 26 Schengen States are connected to the VIS, while Romania, Bulgaria, Cyprus and Croatia are preparing to be connected in the future.

1.1 Legal base for the report

In accordance with Article 50(3) of the VIS Regulation, two years after the VIS is brought into operations and every two years thereafter, the Management Authority (eu-LISA) shall submit to the European Parliament, the Council and the Commission a report on the technical functioning of the VIS, including the security thereof[10].

Pursuant to Article 50(6), Member States shall provide the Management Authority and the Commission with the information necessary to draft the report.

1.2 Scope of the report

This report constitutes an element of the procedures designed to monitor the functioning of the VIS as referred to in Article 50 of the VIS Regulation and it includes a description of the technical functioning of VIS from its entry into operations (11 October 2011) until the 31 August 2013.

Discussions on the legal reporting obligations associated with the VIS took place initially at a meeting of the VIS National Project Managers Working Group (NPM) in July 2008. In the following months, workshops were organised by the Commission to discuss and agree on templates to be used by Member States in order to submit information for each reporting exercise.

The content of this report has been prepared with the collaboration and information[11] provided by all the Member States connected to the VIS, as the access to the VIS data by eu-LISA is limited only to technical operational activities. In this regard, Member States have been requested to contribute by filling in a template (Annex IX) in order to provide both quantitative and qualitative information.

2. Management of VIS

2.1 General description of the management

In accordance with Article 1(2) of the Council Decision 2004/512/EC the VIS consists of the Central VIS system (CS-VIS), a National Interface (NI-VIS) in each Member State and the communication infrastructure[12]. The National Interface provides the connection to the relevant central national authority of the respective Member State. The complete end-to-end solution involves, in addition to the elements listed in the Council Decision 2004/512/EC, the national systems that provide the interface to the end users.

[10] Regulation (EC) No 767/2008.
[11] Article 50(6) of the VIS Regulation.
[12] OJ 15.06.2004, p.5, Council Decision 2004/512/EC of 8 June 2004 establishing the Visa Information System (VIS).

Each Member State is responsible for implementing, operating and managing its own national system, while the operational management of CS-VIS and certain aspects of the communication infrastructure are, as of 1 December 2012, the eu-LISA's responsibility.

As per Article 28(2) of the VIS Regulation, each Member State shall designate a national authority that shall provide for access by the competent authorities referred to in Article 6(1) and (2) to the VIS Regulation and connect that national authority to the national interface. The list of National Authorities pursuant to Article 28(2) can be found in Annex VII.

In accordance with Article 6 of the VIS Regulation, each Member State shall designate the competent authorities, the duly authorised staff of which shall have access to enter, amend, delete or consult data in VIS. The list of these authorities and specifications for what purpose each authority may process data in VIS shall be communicated to the Commission for publication[13].

The end-users (individual persons) who are allowed access to VIS must therefore belong to one of these competent authorities. It should be noted that the number of end-users has considerably increased during the reporting period as VIS has been progressively deployed, region by region, thus increasing the number of consular posts which can access VIS. The list of competent authorities together with the total number of end users[14] for each of them is available in Annex VIII, giving a global figure of more than 215 000 end-users with access to the VIS, as per information provided by Member States. Most of these users come from consular offices or border posts.

With regard to the Law Enforcement Access to VIS, Council Decision 2008/633/JHA[15], which provided for such access, entered into force on 1 September 2013. Analysis of system access and usage by law enforcement personnel is therefore outside the scope of this first report. A report on the technical functioning of the VIS in this regard, pursuant to Article 17(3) of the 2008 Council Decision, will be available in two years.

2.2 Monitoring and reporting procedures

National Level

Limited information was provided by Member States regarding any monitoring or reporting that they undertake at national level. Half of the Member States confirmed that they have monitoring procedures and activities in place to check the status and functioning of their national systems whereas the other Member States did not provide any input whatsoever or provided input that was not considered to be pertinent for this section of the report.

In case of issues being detected, Member States can contact the eu-LISA's helpdesk via telephone, secure e-mail or a web interface. The desk operates on a 24/7 basis. A set of procedures to govern and assure the efficiency of this communication has been agreed with Member States and constitutes the "VIS Operator Manual".

Central Level

[13] OJ C 79, 17.3.2012 p. 5 - List of competent authorities the duly authorised staff of which shall have access to enter, amend, delete or consult data in the Visa Information System (VIS).

[14] Approached by Member States demanding on how to interpret the template field "End-Users", eu-LISA recommended the following: *"End users" should be the physical persons accessing the system per MS/Authority. This is consistent with the end-user definition as described in the VIS Core Concept Access Control - 2.1.3 END-USER - Any individual person authorised to access the CS-VIS is called an End-User.* It has to be noted that this interpretation slightly differs from the instructions agreed by the Commission and Member States in 2008 and explained in the template distributed to Member States.

[15] OJ L 218/129, 13.8.2008 p.129.

eu-LISA has defined and implemented IT Service Management (ITSM) processes following international standards[16] to assure quality of service to the Member States and to better cope with incidents, problems and service requests. VIS is continuously monitored and a technical team is present on site 24/7.

Operational statistics at the central level (including quality of fingerprints) are gathered and analysed on a daily, weekly, monthly, quarterly and yearly basis. Business information extracted from these statistics is periodically shared and presented to Member States in order to identify and follow up on areas requiring improvement. Such improvements can be related not only to the technical performance of the system but also to the quality of the data inserted into the VIS by Member States.

These operational statistics also allow the monitoring and analysis of the system, identifying the ways in which it is used by Member States, highlighting in some cases incorrect practices.

Member States have access to these statistics, either via a dedicated web platform or through the VIS Advisory Group. Reporting functionality is also available to the Member States at a central level, allowing them to execute reports to obtain business information on a regular or ad-hoc basis.

It should be noted that there is no possibility of monitoring end-to-end communication, as the management responsibility is split between Member States (national systems) and eu-LISA (CS-VIS and communication infrastructure to connect to the National interfaces).

3. Technical functioning of VIS

3.1 Description of the technical infrastructure

3.1.1 CS-VIS and BMS

VIS was designed to offer a high level of reliability, implying full system availability, robustness and data integrity; as such, the system should be fully available to all end users 99.99% of the time. Because of this, the CS-VIS infrastructure is located in two different data centres - a central unit (CU) in Strasbourg (France) and a backup central unit (BCU) in Sankt Johann im Pongau (Austria) - providing redundancy via real time data copying between the CU and BCU. This redundancy is also used to perform planned maintenance activities.

Member States also have at their disposal a preproduction environment that they can use for training and testing activities.

CS-VIS is a transactional system that mainly offers a set of operations that Member States can execute, such as searches, retrievals, data insertions, etc. Member States cannot execute operations in BMS directly, as these are triggered through VIS (Member States are connected to VIS, and BMS is a subsystem that enters into play depending on the specific VIS operation). Depending on the criticality of the operation, this should be executed with a given priority and the response sent to the relevant Member State within a specific agreed timeframe.

CS-VIS has been designed with a maximum capacity[17] that is currently set to 60 000 transactions per hour. Due to the progressive roll-out, the amount of operations performed by Member States has been progressively increasing. This initial capacity therefore needs to be

[16] eu-LISA follows Information Technology Infrastructure Library (ITILv3) best practices.
[17] Number of operations that the system is able to process per time unit.

increased. A project (VIS Evolutions) to enhance the system and increase the capacity by a factor of seven is on-going. Another goal of the project is to change the search engine to improve its performance.

It should be noted that, per design, this overall capacity of CS-VIS is split among all Member States in a fixed way. Therefore, each Member State should – from a technical perspective and not forgetting the legal obligations that require Member States to perform certain transactions – only use the capacity allocated to it. If a specific Member State exceeds this capacity for a sustained period of time, the CS-VIS performance could potentially be degraded.

Some Member States including France, Spain, Finland and Estonia have expressed their needs for more capacity than they have been allocated as they make more use of VIS than expected during the design phase. The afore-mentioned VIS Evolutions project plans to substantially increase the specific capacity for every Member State.

On the other hand, Estonia, Portugal, Slovenia and Iceland all indicated that they are satisfied with the level of service provided when submitting information for this reporting exercise. Lithuania, Luxembourg and Malta also reported that they have not encountered any issues during the reporting period due to the low number of transactions performed.

eu-LISA has detected several technical issues in recent months and informed the Member States thereof. Reports have included analyses on the potential business impacts of the issues, the root cause and the likely eventual solution(s). The causes of these issues have been variable and have included:

- Temporary hardware and infrastructure problems;
- Bug-fixing;
- Usage of the VIS by Member States that was not always in line with the design specifications of the CS-VIS (e.g. larger number of operations in unit time than intended or a distribution of operation types different to that expected, etc.)

Analysis and investigation typically resulted in identification of root causes for those issues. The eu-LISA already undertook appropriate actions to, depending on the issue, solve and/or prevent and/or mitigate the issues. Other actions are planned in the short term that should further improve system performance.

3.1.2 National systems

Each Member State has its own specific national system that includes the interface used by its end-users. It allows them to connect to CS-VIS. The implementation, operation and maintenance of these national systems are the responsibility of the Member States; eu-LISA has no control over the national systems in any form.

Most of the Member States have deployed several updates in their national systems since VIS became operational in order to fine tune performance, fix identified bugs or implement recommendations for better compliance, performance and/or user experience.

Schengen candidate countries

Romania, Bulgaria, Cyprus and Croatia are not yet connected to the VIS production system, but preparatory works are on-going. eu-LISA requested these four countries to provide a report on their current state of technical preparation ahead of their connection to the system. Assuming that preparations are appropriate, connection is expected to occur as soon as these Member States join the Schengen area and the relevant legal requirements are in place.

Bulgaria, Romania and Cyprus successfully completed all three compliance test phases and are currently connected to the VIS pre-production environment for the purposes of training and

preparation. The relevant technical information has also been delivered to them for the future connection to the VIS production environment. Regarding VIS Mail, the aforesaid three countries completed the first phase of testing. Bulgaria has already completed the VIS Mail Phase 2 (see section 3.1.4) integration testing campaign, while Romania and Cyprus will perform it by late 2013.

Croatia has established an arrangement with Slovenia with the aim of acquiring technical know-how and learning best practices in the implementation of its NI-VIS and its connection with the CS. They will work on their NI-VIS in 2014, implementing modules for scanning, entering and searching biometric data (first in testing, then in production at national level). In 2015 Croatia plans to undertake work on designing, tendering and implementing the connection with the CS-VIS.

3.1.3 Communication infrastructure

Commission Decision 2008/602/EC lays down requirements concerning the physical architecture of the national interfaces and the communication infrastructure between the CS-VIS and the National Interfaces for the development phase.

The Member States' NI-VIS and the CS-VIS are linked through a European private secure network named Secure Trans European Services for Telematics between Administrations (sTESTA). This network is continuously monitored and strict performance requirements have been established. During the reporting period covered in this report, there were no major incidents affecting the central network backbone.

As per Article 7 of the Regulation, eu-LISA and the Commission have shared responsibilities regarding the common infrastructure. A Memorandum of Understanding[18] will govern the division of tasks as regards the communication infrastructure between eu-LISA and the Commission.

Currently, there is an on-going project to migrate the network to the TESTA-ng (New Generation) during the second half of 2014, as per the limited duration of a framework contract under the current financial regulation.

3.1.4 VIS Mail

As set out in the Annex to the Commission Decision 2009/377/EC[19], in Phase 1, from the start of operations of VIS, the VIS Mail communication mechanism may be used for transmission of the following types of information: information on the issue of visas with limited territorial validity and other messages related to consular cooperation; requests to the competent visa authorities to forward copies of travel documents and other document supporting the application and transmission of electronic copies of those documents; messages on inaccurate data; or information that an applicant has acquired the nationality of a Member State. During Phase 1 of the VIS Mail operation, the Schengen Consultation Network (VISION) shall be used in parallel, as per the 2009 decision, for prior consultation between central visa authorities in accordance with Article 22 of the Visa Code.

In Phase 2, when all the Schengen visa issuing posts are connected to VIS, the VIS Mail communication mechanism will replace VISION, meaning that all requests for and responses to prior consultation between central visa authorities will be sent via VIS Mail.

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[18] At the time of drafting this report, the Memorandum of Understanding was not yet finalised.
[19] Commission Decision of 5 May 2009 adopting implementing measures for the consultation mechanism and the other procedures referred to in Article 16 of VIS Regulation (EC) No 767/2008.

Currently, VIS Mail is not extensively used although no serious operational issues have been reported by Member States. 6 Member States did not provide any contribution on the usage of the tool whereas 11 Member States reported limited and occasional usage.

Reasons raised by Member States to justify the low usage are the lack of user-friendliness at national level, the unavailability of direct end-user to end-user communication[20] and a small number of inconsistencies in the list of authorities[21].

3.2 Workload and performance

3.2.1 Overall use of VIS

From its entry into operations until 31 August 2013, over 82.6 million operations have been executed on VIS with an average, by the end of August, of close to 120 000 operations per day.

Most of the operations[22] come from consular posts or border posts as VIS has been mostly used for visa issuance and visa checks purposes. Due to the time zones in regions in which the system has been already deployed, the workload received by VIS is concentrated in the hours from 5 am to 18 pm UTC, with peaks that sometimes exceed 20 000 operations per hour.

It should be noted that the way each Member State uses VIS is very different. Member States such as France have more activity at the consular posts[23] while Poland and Finland, among others, have significantly higher activity at the borders[24]. For the time being, Poland has proven to be the major user of the VIS together with France, executing about 20% of all VIS operations in each case. Spain is the third highest user of the system with 13% of the operations, closely followed by Lithuania (10%), Finland (10%) and Germany (8%).

By 31 August 2013, VIS has been used to process 4 380 582 visa applications[25], of which 3 681 377 culminated in the issue of a visa while 535 261 applications were eventually refused.

During the last two months of the reporting period - July and August 2013 (when VIS had been rolled out in 7 regions) – 10 538 short-stay visas were issued and registered in VIS every day on average.

The behaviour of VIS as well as the quality of service offered has been adequate and satisfactory from a performance point of view during the reporting period. The main issues found are those stated in point 3.1.1 above.

3.2.2 Activities at the consular posts and usage of fingerprints

Based on the data provided by Member States and extracted from the VIS, approximately 25.4% of the all applications do not have fingerprints attached[26]. Nevertheless, there has been

[20] The system was designed to support communication only via Central National Authorities (one per each Member States), no direct communication end-user to end-user was foreseen.
[21] Eu-LISA identified the issue; Member States were requested to take action in order to correct the inconsistencies. At the time of drafting this report the issue was resolved.
[22] The graph in Annex II shows the distribution of operations in the reporting period, whereas the table in Annex VI shows the volume of operations in the same period.
[23] The graph in Annex III shows the distribution of registered application per Member State in the reporting period.
[24] The graph in Annex IV shows the distribution of activities per Member State at the borders in the reporting period.
[25] The graph in Annex I shows the evolution of registered applications and issued and refused visas in the reporting period.
[26] It should be clarified that Member States are allowed to start using the VIS in a given region, ahead of the common date of start of operations, with or without collecting fingerprints. Some Member States (such as Belgium and Estonia) are already using the

an increase in the proportion of registered applications[27] with fingerprints compared to the total amount of registered applications over the reporting period. In 2011, registered applications with fingerprints represented 62% of the total amount of registered applications. In 2012 the amount increased to 69% whereas in 2013, registered applications with fingerprints represented 77% of all registered applications.

There are different reasons for which the fingerprints could not be attached to a visa application: 1- the applicant is exempted from the fingerprinting requirement for legal reasons stated in Article 13(7) of the Visa Code; 2- it was physically impossible for the applicant to provide fingerprints (Article 13(7) of the Visa Code); 3- the VIS file was created for an application lodged in a region where the use of the VIS and the collection of the fingerprints are not yet mandatory, i.e. a MS has anticipated on the VIS go-live and decided not to collect fingerprints.

From the data provided by Member States, 35.8% of those applications without fingerprints have no such data as fingerprint submission was not legally required (reason 1 above) , while in 33.5% of the cases fingerprints could not be provided factually (reason 2 above).

However, Member States do not always respect the rules defining how to indicate the reasons for not collecting fingerprints, which specifically imply that two different fields should be used in the system. This obviously affects the quality and accuracy of the data stored in VIS. The relevant Member States were identified and eu-LISA is continuously following up as appropriate until it is evident that the organizational and technical measures needed have been implemented correctly at national level.

As already stated, France had the highest activity at the consular posts[28], with 34% of the applications created coming from French consular posts. Spain was responsible for 14% of the created applications and Germany and Belgium (it has already rolled-out the system worldwide) for 10% in each case. Those statistics should be read together with the list of regions (Africa[29], the Near East and the Gulf region) in which VIS has already been rolled-out, as the situation is expected to evolve when the VIS roll-out is finalised worldwide. The distribution of visas issued per Member State is similar to the distribution of registered applications.

Ensuring the quality of the fingerprints captured by the Member States has proven to be a real challenge, and continuous improvements both at the technical and organizational levels have been implemented by the Member States in order to ensure that the fingerprints collected are of the quality required such that they can be used afterwards for identification purposes. Member States are responsible for the equipment and capturing systems that they use; a further challenge has been introduced by the extensive and increasing national cooperation with external service providers[30] in this regard. By the end of the reporting period, approximately 97% of the fingerprints captured and provided by the Member States are compliant with the quality requirements.

3.2.3 Activities at the borders

VIS in all their consulates worldwide, but do not capture fingerprints except in the regions where the use of the VIS and the collection of fingerprints have become mandatory following a Commission Decision to that effect. This explains partially the large amount of applications without fingerprints.

[27] Registered Applications, terminology used in the template for Member States to contribute, stands for created application.

[28] The graph in Annex III shows the distribution of registered application per Member States in the reporting period.

[29] Comprising North Africa, West Africa, Central Africa, East Africa and Southern Africa.

[30] As permitted by Article 40(3) of Visa Code.

Regarding VIS usage at the borders[31], 42 397 778 operations have been performed during the reporting exercise. The number of visa checks during this period reaches 40 129 284 verifications and 2 268 494 identifications.

All Member States with border posts[32] used VIS for verification[33] purposes as foreseen by Article 18 of the VIS Regulation. Identification[34] at the border posts, a second line control foreseen in Article 18(5) and Article 20 of VIS Regulation, was performed by 12 Member States. 9 Member States did not perform any identification at border posts, whereas 3 Member States performed very limited second line controls.

According to Article 18 of the VIS regulation, identification (second line control) should be performed in those cases where verification fails or where there are doubts as to the identity of the visa holder (first line control). However, sometimes due to misconfigurations in their national systems some Member States are overusing this second line control. Relevant Member States are already working in order to improve their systems and/or procedures.

On the other hand, the usage of fingerprints for checking visas at the borders has been progressively increasing, even though it will not be compulsory until three years[35] after VIS entry into operations (i.e. until October 2014). 726 077 verifications by means of fingerprints have been done at the borders by 18 Member States, totalling 95% of all fingerprint-based operations at the borders (the other 5% are identifications). No specific issue has been communicated by Member States as regards the accuracy of these fingerprint based verification operations.

3.2.4 Activities within the territory and related to asylum

Checks within the territory of Member States, as per Article 19 of the VIS Regulation[36], were carried out during the reporting period by competent authorities in 6 Member States. 4 more Member States carried out very limited checks as foreseen in Article 19 of the VIS Regulation, while 16 Member States did not carry out any checks. Identification within the territory using second line controls as foreseen in Article 19(3) and Article 20 of the VIS Regulation was performed by 7 Member States. 11 Member States provided the information that they did not carry out any identification within the territory, whereas 8 Member States provided the information that they carried out a very limited number of identifications during the reporting period.

Finland, Germany, Sweden, Switzerland, Hungary, Poland, Belgium, Italy and the Netherlands use VIS for performing searches related to asylum as foreseen in Article 21 of the VIS Regulation (in 5 of those Member States, the usage was very limited). 15 Member States did not use this functionality. In addition to that, asylum authorities carried out identification as foreseen in Article 22 of VIS Regulation in 7 Member States (out of the 9 that performed the searches mentioned above). The number of searches and identifications made by asylum authorities in VIS was 384 493, of which more than half were performed by Sweden and Germany.

[31] The graph in Annex IV shows the distribution of activities per Member States at the borders in the reporting period.
[32] Liechtenstein does not have any border posts.
[33] Verification means that the visa holder is compared to the record already existing in VIS, obtained by introducing the Visa Sticker Number.
[34] Identification means that the visa holder is searched in the whole VIS database, which is a lengthy process that is very resource intensive.
[35] Article 18(2) VIS Regulation.
[36] For the sole purpose of verifying the identity of a visa holder and/or the authenticity of the visa and/or whether the conditions for entry, stay or residence on a territory of the Member States have been complied with.

4. Security

4.1 Description of CS security measures

At central level, VIS complies strictly with the requirements of the VIS Regulation in terms of data protection and with international best practices in information security. Both a System Security Officer and a Local Security Officer have been formally appointed to ensure the operational effectiveness of the security controls and the continual improvement of the security strategy.

Having regards to Regulation (EC) No 767/2008 (art. 32) and having regards to Regulation 1077/2011 (art. 12(1)(p)), the overall security plan and corresponding security measures applicable to CS-VIS have been defined within the VIS Security Plan, the VIS Security Policy and the VIS Business Continuity Plan. All mentioned documents are in force and have been duly approved by the Management Board of eu-LISA following review and recommendation by the VIS Advisory Group.

CS-VIS is protected with strong physical controls: several layers of electric fences, permanent CCTV and intrusion detection monitoring, the permanent presence of security guards, access control via fingerprints and badge, environmental detectors, etc. Moreover, in case of contingency, operations can be switched to the Backup site in Austria where a permanent personnel presence is ensured. All persons having logical or physical access to the production systems (Central or Backup sites) have a valid security clearance at EU Secret level.

In terms of information security, operational and administrative access to the Central and Backup systems is managed following the segregation of duties and the least required privileges principles. All activities are strictly controlled, monitored and logged. Any communication between systems and towards Member States is encrypted and network controls with several layers of firewalls and integrity checks are in place. CS-VIS system is an isolated, controlled and secure environment.

The VIS risk analysis and mitigation strategy covers all layers of the security spectrum: physical security, personnel security, network security, operating systems security, application security and data security.

Finally, the protection of personal data related to individuals processed by the VIS at central system level is controlled by the eu-LISA Data Protection Officer and by the European Data Protection Supervisor (EDPS).

4.2 Description of Member States security measures and audits

Contributions from Member States on incidents or problems encountered related to the security of the system were limited in number. Some Member States stated that nothing was reported because no security incidents occurred.

Some reported that their NS-VIS installations respect national security regulations and the ISO standards related to information security, which should assure the needed security level. Other Member States reported that the security of their NS-VIS is integrated in the security system of the national authorities that are the end-users of the system.

No security incident or relevant security issue has been reported by Member States.

11 Member States reported that no system audit was carried out during the reporting period.

Five Member States reported having conducted an audit or a security risk assessment during the reporting period. Two of them had positive evaluations, where the usage and security of the systems were considered in line with the legal base. One expects feedback/recommendations by the end of 2013. The outcome of the audit performed in one Member State at border posts showed that more identifications than verifications were being performed at the border; measures were taken as follow up to this observation. The audit performed in another Member State focused on the whole personal data workflow for delivering visas managed by the Ministry of Foreign Affairs. In response to those findings, the Member State has extended the security measures related to outsourced visa applications from consular posts.

5. Conclusions

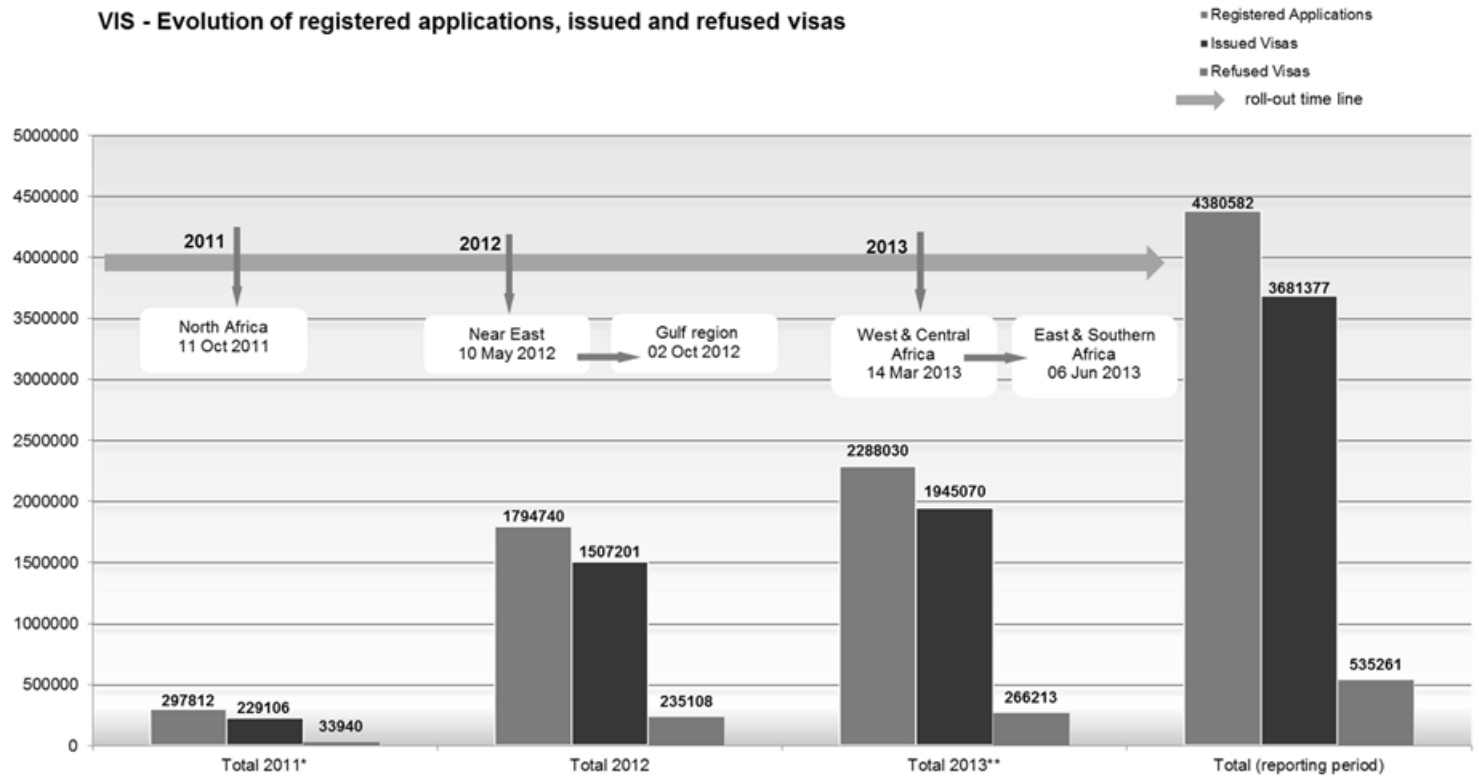
The information presented, which covers 23 months of VIS operations, shows that VIS fully and satisfactorily serves the objectives for which it was created, supporting the implementation of the common EU visa policy as well as the EU's migration and border management policy among others.

During this time, Member States have registered over 4.3 million visa applications and issued over 3.6 million visas. These achievements come from the smooth collaboration of all Member States with eu-LISA. The proper communication and interaction between the Central System and the National Systems is one of the key factors in fulfilling the business needs.

It has to be noted that by the end of this reporting exercise, VIS was operational in only 7 regions out of 23 regions in the roll-out planning. Thus, the usage of the system is still very much lower than initially estimated (based on worldwide roll-out).

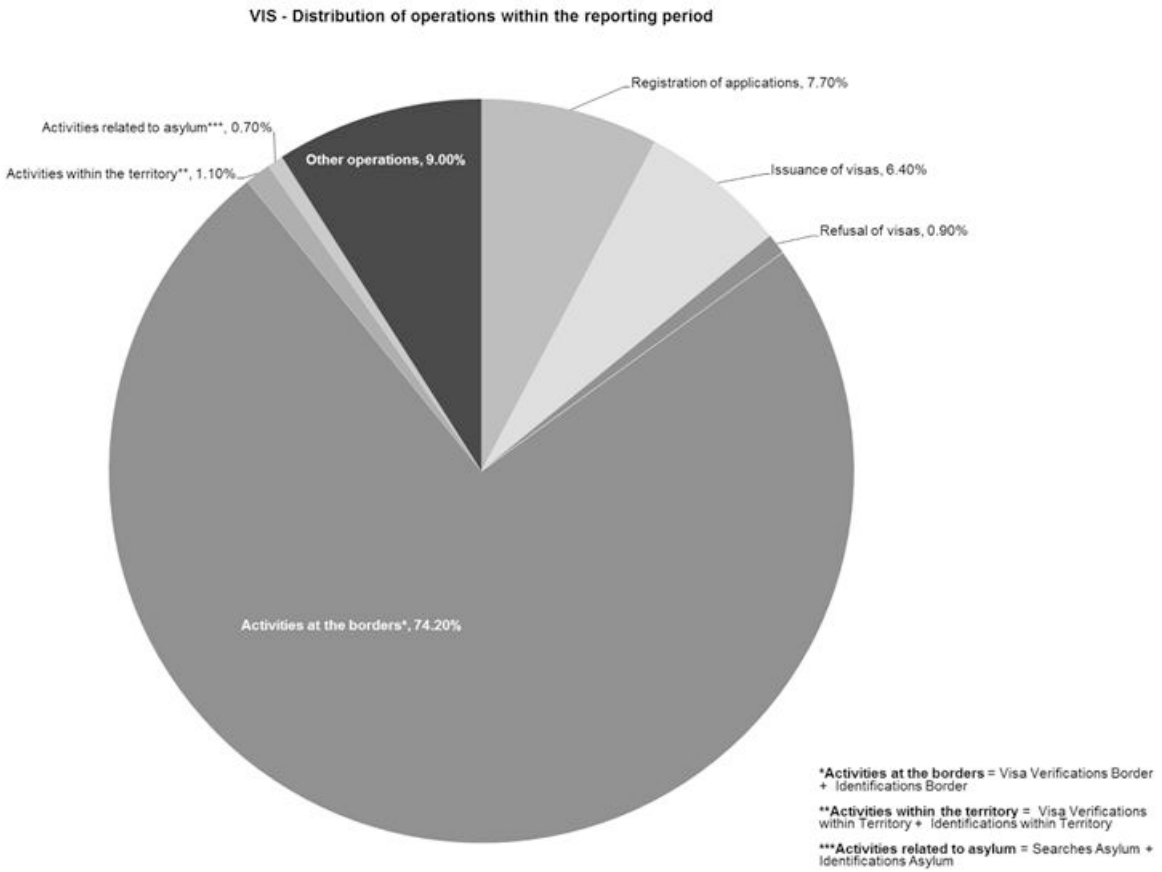
The overall reliability, performance, security and functioning of the system have been adequate in relation of the roll-out and have met the expectations of Member States. Some issues have been identified, mainly arising from the progressive roll-out and consequent increases in the usage of the VIS. Most have already been addressed and solved, but efforts to keep improving the quality of service provided are on-going nonetheless. eu-LISA is confident that the implementation of the VIS Evolutions project will bring further improvements that will be positively perceived by the end users.

Annex I – Evolution of registered applications, issued and refused visas

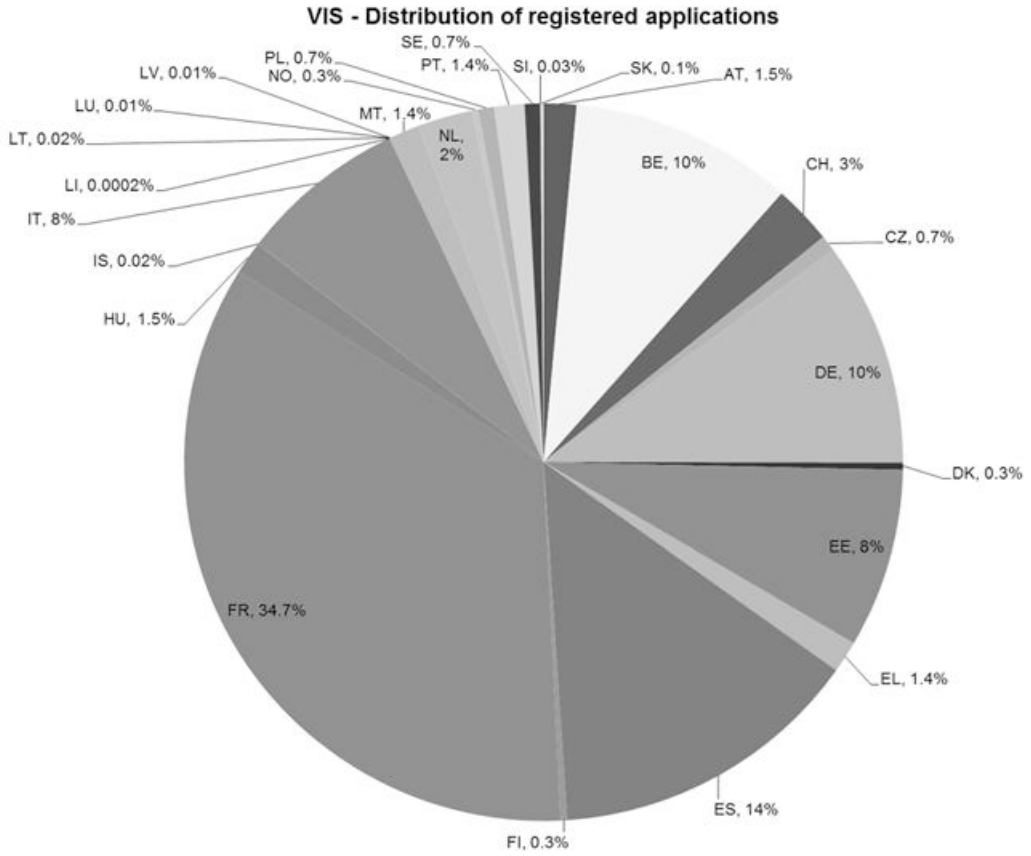


2011* = as from EiO (11 October)
2013** = till 31 August

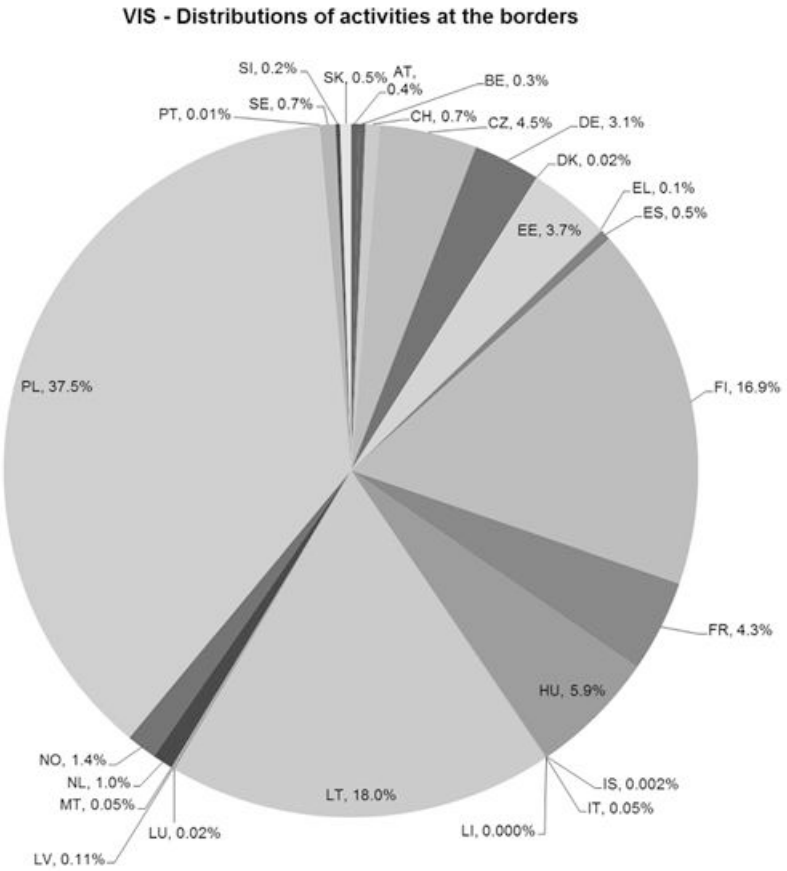
Annex II – Distribution of operations in the reporting period



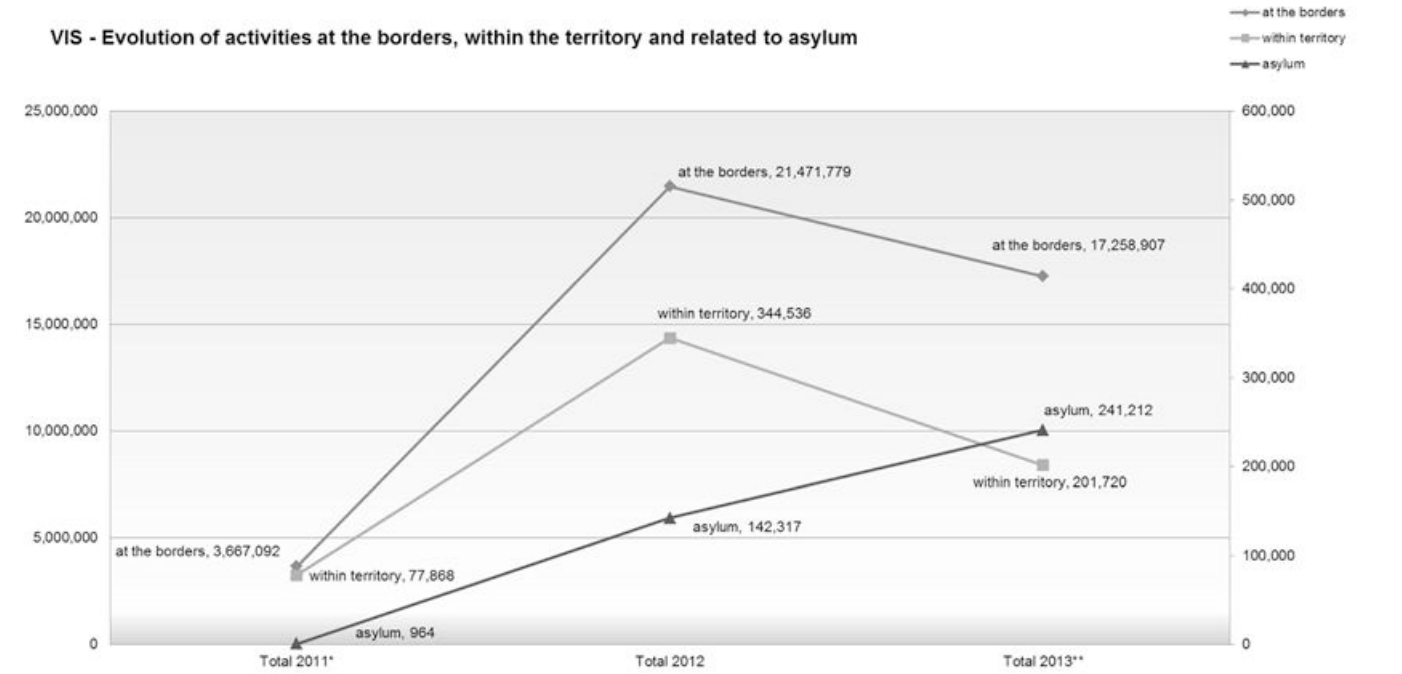
Annex III – Distribution of registered applications in the reporting period



Annex IV – Distribution of activities at the borders in the reporting period



Annex V – Evolution of activities at the borders, within the territory and related to asylum



2011* = as from EiO (11 October)
2013** = till 31 August

Activities at the borders = Visa Verifications Border + Identifications Border

Activities within the territory = Visa Verifications within Territory + Identifications within Territory

Activities related to asylum = Searches Asylum + Identifications Asylum

Annex VI – VIS volume of operations in the reporting period

2 x 12 months data separately [Note exception with 1st report 12 + 9]	Registered Applications	Registered Applications with Fingerprints	Registered Applications without Fingerprints	Registered Applications without Fingerprints – legal	Registered Applications without Fingerprints – factual	Issued Visas	Refused Visas	Refused Visas per Applicant[3]	Refused Visas – fingerprints could not be provided factually	Visa Verifications Border	Visa Verifications within Territory	Identifications Border	Identifications within Territory	Searches Asylum	Identifications Asylum	Successful Identifications Asylum
Oct-11	75331	47463	24255	5590	7770	46700	6013	271	392	51717	14159	99702	249	284	0	0
Nov-11	109201	66748	37960	8388	15083	85375	13402	308	732	1036661	33331	662660	377	274	0	0
Dec-11	113280	71909	37871	9332	17207	97031	14525	395	849	1436037	29167	380315	585	405	1	0
Total 2011	**297812**	**186120**	**100086**	**23310**	**40060**	**229106**	**33940**	**974**	**1973**	**2524415**	**76657**	**1142677**	**1211**	**963**	**1**	**0**
Jan-12	107687	77521	26216	7186	7673	88269	17903	1530	728	1369494	35191	274070	658	271	4	0
Feb-12	109356	74547	31130	7486	9882	86893	17508	721	705	1133128	22910	144945	689	1571	839	0
Mar-12	126720	82799	41936	10114	12069	105855	16233	545	874	1552118	28710	175089	979	1762	1035	4
Apr-12	130514	82472	46798	9785	14721	111116	16579	634	847	1483430	17553	128476	869	1440	703	10
May-12	164430	106425	55578	13173	15933	128268	16484	585	759	1693514	21480	42853	1660	4949	3401	22
Jun-12	178613	121063	55098	17780	16423	151197	17580	339	911	1878348	32379	6863	1289	6543	5206	38
Jul-12	162838	109384	51633	15514	18861	148193	21111	490	1381	1916258	34878	10159	1576	8325	6750	81
Aug-12	137834	95000	41451	10919	14051	122255	17007	43	1066	2052048	22144	17737	6326	8809	7103	91
Sep-12	138456	99146	37150	8217	13494	114187	21218	99	1571	1766117	17555	17612	5890	11599	7955	153
Oct-12	188941	140096	46140	14533	17526	155134	25444	553	1283	1895726	22454	20141	7591	13695	8883	197
Nov-12	179773	131705	46189	12802	20297	145891	23289	440	1031	1898841	27008	15126	5983	13293	7680	302
Dec-12	169578	125458	42491	14327	19111	149943	24752	229	1396	1956174	23485	23512	5279	12656	7845	321
Total 2012	**1794740**	**1245616**	**521810**	**141836**	**180041**	**1507201**	**235108**	**6208**	**12552**	**20595196**	**305747**	**876583**	**38789**	**84913**	**57404**	**1219**
Jan-13	174294	139095	33654	12799	10591	140845	27203	147	1328	1903678	31267	26669	7412	15993	8504	417
Feb-13	181369	141685	38108	13587	13117	146540	24590	154	1260	1583570	22420	14285	6194	14810	8025	318
Mar-13	226136	174936	48734	19039	15108	183086	28541	197	1655	2035665	21896	18705	8900	18355	10732	687
Apr-13	272297	204684	64185	22626	23878	229562	31322	269	1612	2092835	11852	19145	9748	19165	11828	777
May-13	329111	251692	73201	34118	20705	266945	34247	257	2014	2191004	12393	21075	9407	17962	11677	645
Jun-13	382390	295107	82740	46445	23795	324692	38492	182	2901	2264852	8625	51792	11069	17346	12156	652
Jul-13	415911	319326	92227	53677	27753	366574	43075	195	3517	2431994	11464	49821	10937	20721	15247	902
Aug-13	306522	246180	56804	30416	17683	286826	38743	101	2962	2506075	7933	47742	10203	22526	16165	935
Total 2013	**2288030**	**1772705**	**489653**	**232707**	**152630**	**1945070**	**266213**	**1502**	**17249**	**17009673**	**127850**	**249234**	**73870**	**146878**	**94334**	**5333**
Total	**4380582**	**3204441**	**1111549**	**397853**	**372731**	**3681377**	**535261**	**8684**	**31774**	**40129284**	**510254**	**2268494**	**113870**	**232754**	**151739**	**6552**

Annex VII - List of National Authorities pursuant to Article 28(2) of VIS Regulation

Austria	Ministry of Interior
Belgium	FPS of Interior - DVZOE Brussels
Czech Republic	Directorate of alien police service
Denmark	Ministry of Justice - Justitsministeriet
Estonia	Ministry of the Interior
Finland	Visa National Authority, Helsinki, Ministry for Foreign Affairs
France	Ministry of Interior
Germany	Federal Office of Administration - Bundesverwaltungsamt
Greece	Ministry of Foreign Affairs
Hungary	Office of Immigration and Nationality
Iceland	Icelandic Directorate of Immigration
Italy	Ministry of Foreign Affairs — Directorate-General for Italians Abroad and Immigration Policies — Department VI (Visa Centre)
Latvia	OCMA Migration division
Liechtenstein	Ausländer- und Passamt
Lithuania	Ministry of the Interior of the Republic of Lithuania

Luxembourg	Ministry of Foreign Affairs (Passport, Visa and Legalization Office / Immigration Direction)
Malta	Central Visa Unit - MFA
Netherlands	Minister for Foreign Affairs - Minister van Buitenlandse Zaken
Norway	Directorate of Immigration - Utlendingsdirektoratet
Poland	General Police Headquarters - Central Technical Body for the National Information System
Portugal	Ministry of Foreign Affairs, Consular department
Slovenia	Ministry of Foreign Affairs, Consular department
Slovakia	Ministry of Foreign Affairs
Spain	Directorate-General of Consular and Immigration Affairs — Ministry of Foreign Affairs and Cooperation (Dirección General de Asuntos Consulares y Migratorios — Ministerio de Asuntos Exteriores y de Cooperación)
Sweden	The Swedish Migration Board
Switzerland	FDJP, FOM, Division Entry

Annex VIII – Number of end-users per Member States

Austria	Category 1[37] - Ministry of European and International Affairs: 66 end-users + Ministry of Interior: 5 end-users Category 2 - Ministry of Interior: 231 end-users Category 3 - Ministry of Interior: 10 end-users Category 4 - Ministry of Interior: 13 end-users Category 5 - Ministry of Interior: 5 end-users
Belgium	Visa National Authority: 413 end-users Consular Post: 806 end-users Border Post: 797 end-users Territory Check Authority: 181 end-users Asylum Authority: 181 end-users
Czech Republic	Directorate of alien police service: 95 end-users Police of the Czech Republic - Section for residency issues: 709 end-users Ministry of Foreign Affairs: 352 end-users Department for asylum and migration policy:150 end-users
Denmark	Ministry of Justice: 15 end-users Danish Immigration Service: 213 end-users Ministry of Foreign Affairs: 537 end-users at the consular posts National Police[38]: 350 end-users

[37] Categories as listed in the List of competent authorities the duly authorised staff of which shall have access to enter, amend, delete or consult data in the VIS, OJ C 79, 17.03.2012.

Estonia	Police and Border Guard Board: 39 end-users Prefectures: Northern 127 end-users, Eastern 80 end-users, Southern 65 end-users, Western 48 end-users Ministry of Foreign Affairs: 90 end-users Estonian Internal Security Service: 2 end-users
Finland	Ministry for Foreign Affairs - Ulkoasiainministeriö/ Utrikesministeriet: 82 end-users Finnish Border Guard - Rajavartiolaitos/Gränsbevakningsväsendet: 1885 end-users Customs - Tulli/Tull: 891 end-users Police - Poliisi/Polisen: 566 end-users Finnish Immigration Service - Maahanmuuttovirasto/ Migrationsverket: 200 end-users
France	Ministry of Foreign Affairs: consular posts 900 end-users Ministry of Interior: - Border posts 3000 end-users - Police posts 1200 end-users - Gendarmerie posts 1500 end-users - 3rd Pilar Authorities 0 end-user - Asylum 0 end-user Ministry of Finance: customs border posts 300 end-users
Germany[39] [40]	Federal Foreign Office (Auswärtiges Amt): 750 end-users [41]

[38] In principle all security cleared operative personnel within the Danish police will have access to perform a verification or identification via the police system where the VIS access is integrated, which would constitute a potential 12000 users. In reality the usage will likely be centred on the external borders and the division within the police working with different aspects concerning foreign nationals, thus an "operational" number of users, will be considerably lower ~ 300-400.

[39] Every access to the VIS can be traced to the individual user who initiated the access. Given the possible integration of the VIS in existing national systems, there is, however, not a uniform user administration at central level. Different user administrations work together.

	Federal Police Headquarters (Bundespolizeipräsidium): 27,238 end-users
	Federal Office for Migration and Refugees (Bundesamt für Migration und Flüchtlinge): ca. 390 end-users in 22 branch offices
	Baden-Württemberg Ministry of the Interior (Innenministerium des Landes Baden-Württemberg): ca. 1130 end-users in immigration offices and 14,650 end-users within state police
	Bavarian Ministry of the Interior (Bayerisches Staatsministerium des Innern): ca. 700 end-users in immigration offices and 37,915 end-users within state police
	Berlin Senate Administration for the Interior and Sport (Senatsverwaltung für Inneres und Sport des Landes Berlin): ca. 300 end-users in immigration offices and 485 within state police
	Brandenburg Ministry of the Interior (Ministerium des Innern des Landes Brandenburg): 103 end-users in immigration offices and 4,248 end-users within state police
	Senator for the Interior and Sport of the Free and Hanseatic City of Bremen (Der Senator für Inneres und Sport der Freien Hansestadt Bremen): 12 end-users in 2 immigration offices
	Authority for the Interior and Sport of the Free and Hanseatic City of Hamburg (Behörde für Inneres und Sport der Freien und Hansestadt Hamburg): ca. 25 end-users in immigration offices and ca. 5,700 end-users within state police
	Hesse Ministry of the Interior and Sport (Hessisches Ministerium des Innern und für Sport): 602 end-users in 31 local immigration offices and 15,729 within state police
	Mecklenburg-Western Pomerania Ministry of the Interior (Innenministerium des Landes Mecklenburg- Vorpommern): 73 end-users in 8 local immigration offices and 1,250 end-users within state police
	Lower Saxony Ministry of the Interior and Sport (Niedersächsisches Ministerium für Inneres und Sport): ca. 409 end-users in 53 local immigration offices and 2,163 end-users within state police
	North Rhine-Westphalia Ministry of the Interior and Municipal Affairs (Ministerium für Inneres und Kommunales des

[40] Figures for the *Länder* police authorities vary to the degree upon which the VIS access is integrated in the *Länder* police information systems. If access is granted via the web portal solution provided by the Bundesverwaltungsamt, the number of end-users with direct access rights tends to be lower than if access is granted via an interface connecting police systems to the VIS. For this reason, the number of direct end-users within the police is expected to increase once all interface solutions currently under development will have been implemented.

[41] The 750 end-users within the Foreign Office fall into 2 groups: 350 are empowered to initiate queries to the VIS by recording Visa applications, but do not have access to the results of the queries. 400 end-users are authorized as decision makers and have access to the results of the query, together with the respective visa application. None of the Foreign Office's employees has direct access to the VIS system. The VIS query is initiated automatically by the national visa system once a qualifying visa application is recorded in the national system. The results are then displayed with the application to the decision maker.

	Landes Nordrhein-Westfalen): 1,421 end-users in 84 immigration offices and ca. 16,000 end-users within state police Rhineland-Palatinate Ministry of Integration, Family, Children, Youth and Women (Ministerium für Integration, Familie, Kinder, Jugend und Frauen des Landes Rheinland-Pfalz): 269 end-users in immigration offices Rhineland-Palatinate Ministry of the Interior, Sport and Infrastructure (Ministerium des Innern, für Sport und Infrastruktur des Landes Rheinland-Pfalz): 313 end-users within state police Saarland Ministry of the Interior and European Affairs (Ministerium für Inneres und Europaangelegenheiten des Saarlandes): ca. 65 end-users in immigration offices and 76 end-users within state police Ministry of the Interior of Saxony (Sächsisches Staatsministerium des Innern): ca. 167 end-users and 2,366 end-users within state police Saxony-Anhalt Ministry of the Interior (Ministerium des Innern des Landes Sachsen-Anhalt): 122 end-users in immigration offices and 6,715 end-users within state police Schleswig-Holstein Ministry of the Interior (Innenministerium des Landes Schleswig-Holstein): ca. 120 end-users in 16 local immigration offices Thuringia Ministry of the Interior (Thüringer Innenministerium): 105 end-users in immigration offices and ca. 4770 end-users within state police
Greece	Ministry of Foreign Affairs: 185 end-users Aliens' Directorate of the Hellenic Police + Ministry of Citizens' Protection and Public Order: 2726 end-users in total Hellenic Data Protection Authority: 3 end-users
Hungary	Office of Immigration and Nationality: 82 end-users Police: 1070 end-users
Iceland	Embassy of Iceland (Beijing): 3 end-users District Commissioner of Akureyri - Syslumadurinn á Akureyri: 8 end-users District Commissioner of the Sudurnes Area - Lögreglustjórinn á Sudurnesjum: 47 end-users District Commissioner of the Greater Reykjavik Area - Lögreglustjóri Höfudborgarsvaedisins: 44 end-users District Commissioner of Seydisfjördur - Syslumadurinn á Seydisfirdi: 8 end-users

	Icelandic Directorate of Immigration: 30 end-users Territory Check Authority: 0 end-user The Data Protection Authority - Persónuvernd : 1 end-user
Italy	Consular Post: 270 end-users Border Post: 2000 end-users Visa National Authority: 15 end-users Territory Check Authority: 700 end-users Asylum Authority: 19 end-users National Supervisor: 5 end-users
Latvia	Ministry for Foreign Affairs: 11 end-users State Border Guard: 783 end-users
Liechtenstein	Ausländer- und Passamt 15 end-users Landespolizei 20 end-users Datenschutzstelle 1 end-user
Lithuania	Ministry of Foreign Affairs - Lietuvos Respublikos užsienio reikalų ministerija:12 end-users State Border Protection Service - Valstybės sienos apsaugos tarnyba prie Lietuvos Respublikos vidaus reikalų ministerijos: 1400 end-users Department of Migration - Migracijos departamentas prie Lietuvos Respublikos vidaus reikalų ministerijos: 12 end-users
Luxembourg	Ministry for Home Affairs and the Greater Region - Grand Ducal Police – Airport: 69 end-users Ministry for the Civil Service and Administrative Reform: 1 end-user Ministry of Foreign Affairs: 72 end-users

	Ministry of Foreign Affairs (Passport, Visa and Legalization Office / Immigration Direction): 10 end-users Ministry of State: 5 end-users
Malta	Consular Post: 39 end-users Border Post: 99 end-users Visa National Authority: 4 end-users Law Enforcement Designated Authority: 7 end-users National Supervisor: 6 end-users
Netherlands	Minister for Foreign Affairs - Minister van Buitenlandse Zaken: 200 end-users Royal Military Constabulary - Koninklijke Marechaussee: 4235 end-users Rotterdam-Rijnmond Seaport Police - Zeehavenpolitie Rotterdam Rijnmond: 125 end-users Immigration and Naturalisation Service - Immigratie- en Naturalisatiedienst: 200 end-users Police - Politie: 0 end-users Minister for Immigration and Asylum - Minister voor Immigratie en Asiel: 0 end-users
Norway	Directorate of Immigration - Utlendingsdirektoratet: 259 end-users National Police Directorate - Politidirektoratet: 206 end-users
Poland	Minister of Foreign Affairs: 10 end-users Border Guards: 11800 end-users Consul: 400 end-users Provincial Governor: 233 end-users Head of the Office for Aliens: 100 end-users Customs Service: 298 end-users

Portugal	Visa National Authority: Ministry of Foreign Affairs, Consular department 33 end-users Consular Post: Ministry of Foreign Affairs 250 end-users Border Post: Ministry of Interior, State border and aliens sections 383 end-users
Slovenia	Visa National Authority: Ministry of Foreign Affairs 2 end-users + Consular department 2 end-users Consular Post: Ministry of Foreign Affairs 5 end-users Border Post: Ministry of Interior, Police, State border and aliens sections: 2863 end-users Territory Check Authority: Ministry of Interior, General police directorate: 2722 end-users
Slovakia	Consular Post: 62 end-users Border Post: 84 end-users Territory Check Authority: 45 end-users Visa National Authority: 34 end-users
Spain	Category 1[42]: a) Directorate-General of Consular and Immigration Affairs, Ministry of Foreign Affairs and Cooperation - Dirección General de Asuntos Consulares y Migratorios, Ministerio de Asuntos Exteriores y de Cooperación: 690 end-users b) General Aliens and Borders Department, Ministry of the Interior - Comisaría General de Extranjería y Fronteras, Ministerio del Interior): 1420 end-users Category 2: General Aliens and Borders Department, Ministry of the Interior - Comisaría General de Extranjería y Fronteras, Ministerio del Interior: 3254 end-users Category 3: General Aliens and Borders Department, Ministry of the Interior - Comisaría General de Extranjería y Fronteras,

[42] Categories as listed in the List of competent authorities the duly authorised staff of which shall have access to enter, amend, delete or consult data in the VIS, OJ C 79, 17.03.2012

	Ministerio del Interior: 0 end-user Category 4: Asylum and Refugee Office, Ministry of the Interior - Oficina de Asilo y Refugio, Ministerio del Interior: 0 end-user Category 5: Directorate-General of Consular and Immigration Affairs, Ministry of Foreign Affairs and Cooperation - Dirección General de Asuntos Consulares y Migratorios, Ministerio de Asuntos Exteriores y de Cooperación: 9 end-users
Sweden	Ministry for Foreign Affairs - Utrikesdepartementet: 906 end-users The Swedish Migration Board - Migrationsverket: 3069 end-users Swedish Police Service - Polismyndigheten/Swedish Coast Guard - Kustbevakningen/Swedish Customs - Tullverket: 6177 end-users
Switzerland	Federal office for migration: 603 end-users Border guards: 2116 end-users Migration offices in the cantons: 1375 end-users Embassies:1079 end-users Sirene office: 31 end-users Police in the cantons: 1036 end users

Annex IX – Excel template for Member States to submit the required information

Report 3: Report on the technical functioning of the VIS and the security thereof pursuant to Article 50(3) of the Regulation (EC) No 767/2008	
Member State	<Member State>
Report generated at	<timestamp> [VIS into operation +21 months, Frequency +24 months]
Year:	<Year(date)>
Time period from	<date> to <date> [VIS into operation +12 months +9 months (separately), every 12 months thereafter]
Management of the System	
General Description of MS	
Central National Authority	<Name> [Article 28(2)]
End-Users[1]	<Authority Name +Total Number of End-users in each>…
Monitoring and Reporting	<Description of Procedures>
Description of audits, if any	<Description of audits by the National Supervisor and findings>
Technical Functioning of the System	
CS-VIS and EBMS	<Description of experiences and findings>
NI-VIS	<Description of technical functionality, updates, encountered issues, if any>
VIS Mail	<Description of functionalities, encountered issues, if any>
Security of the System	
MS Security Measures	<Description of audits, if any, any incidents or problems encountered>
Workload and Performance[2]	
CS-VIS and EBMS, NI-VIS	<Description of the Performance> +the following Statistics, if available

2 x 12 months data separately [1-the exception with 1st report 12 + 9]	Registered Applications	Registered Applications with Fingerprints	Registered Applications without Fingerprints	Registered Applications without Fingerprints – legal	Registered Applications without Fingerprints – factual	Issued Visas	Refused Visas	Refused Visas per Applicant[3]	Refused Visas – fingerprints could not be provided factually	Visa Verifications Border	Visa Verifications within Territory	Identifications Border	Identifications within Territory	Searches Asylum	Identifications Asylum	Successful Identifications Asylum
January	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
February	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
March	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
April	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
May	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
June	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
July	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
August	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
September	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
October	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
November	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
December	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>
Total	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>	<Total>

Reference for collection of data																
	CCR 3.2.3	CCR 3.2.3	CCR 3.2.3	CCR 3.2.3	CCR 3.2.3	CCR 3.2.2	CCR 3.2.1	CCR 3.2.14	CCR 3.2.18	Retrieve VerificationBorder + Authenticate ByFingerprint VerificationBorder	Retrieve VerificationTerritory + Authenticate ByFingerprint VerificationTerritory	Search Identification Border + Retrieve Identification Border + SearchByFingerprint IdentificationBorder	Search IdentificationTerritory + Retrieve IdentificationTerritory + SearchByFingerprint IdentificationTerritory	Search AsylumResponsibility/AsylumExamination + Retrieve AsylumResponsibility/AsylumExamination + SearchByFingerprint AsylumResponsibility/AsylumExamination	SearchByFingerprint AsylumResponsibility/AsylumExamination	<Positive Results of the Previous>

[1] The purpose of this field is to have the total number of end-users per End-user Authority, e.g. in Ministry for Foreign Affairs, Border Guard Service and/or Police.

[2] These items are to describe the volume of operations against which the technical functioning will be mirrored. Other aspects of technical functioning will be covered by the Helpdesk and Error Statistics as well as written descriptions.

[3] Total number of applications refused when the same applicant applied at different decision authority.

Report on the technical functioning of the VIS
March 2014

*eu-LISA •European Agency for the **operational management** of **large-scale information systems** in the area of **freedom, security and justice***

The Visa Information System (VIS)

EU has been developing large-scale IT systems for collecting, processing and sharing information relevant to external border management. The Visa Information System (VIS) is one of these large scale IT systems.

VIS allows data exchange on short stay visas between Schengen States and supports the implementation of the common EU visa policy, by preventing "visa shopping", assisting in the fight against irregular migration, contributing to the prevention of threats to internal security of Member States, and bringing transparent and faster procedures for bona fide travellers.

Schengen States are: Austria, Belgium, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Slovenia, Slovakia, Spain, Sweden and Switzerland.

Schengen candidate countries Romania, Bulgaria, Cyprus and Croatia are not yet connected to the VIS system, but preparatory works are on-going. Connection is expected to occur as soon as these countries join the Schengen area and the relevant legal requirements are in place.

eu-LISA role

The European Agency **eu-LISA** has been established to manage large scale information systems in the area of freedom, security and justice. On 1 December 2012, eu-LISA commenced operations and became responsible for the operational management of VIS.

Since then, the Agency is ensuring continuous, interrupted and cost effective operational management of VIS system for 24 hours a day and seven days a week, in line with the business needs of Member States.
eu-LISA is currently working on the VIS evolution project which will bring further improvements to the system. System 24/7 availability, stability and further evolution as well as stakeholder satisfaction will continue to form the basis for the operational development of eu-LISA.

The obligation of regularly reporting to the European Parliament, European Council and European Commission on the technical functioning of VIS is foreseen in:

- the system's legal basis, Article 50(3) VIS Regulation (EC) No 767/2008
- the Agency's founding Regulation, Article 12(1)t eu-LISA Regulation (EU) No 1077/2011

The Report

The Report issued in March 2014 is the first one under the direct responsibility of eu-LISA. It describes the technical functioning of the system between 11 October 2011 and 31 August 2013 and presents statistics regarding system usage.

The Report shows that VIS fully and satisfactorily serves the objectives for which it was created. The overall reliability, performance, security and functioning of the system during the reporting period have been adequate in relation of the world wide VIS roll-out and have met the expectations of Member States.

Roll out

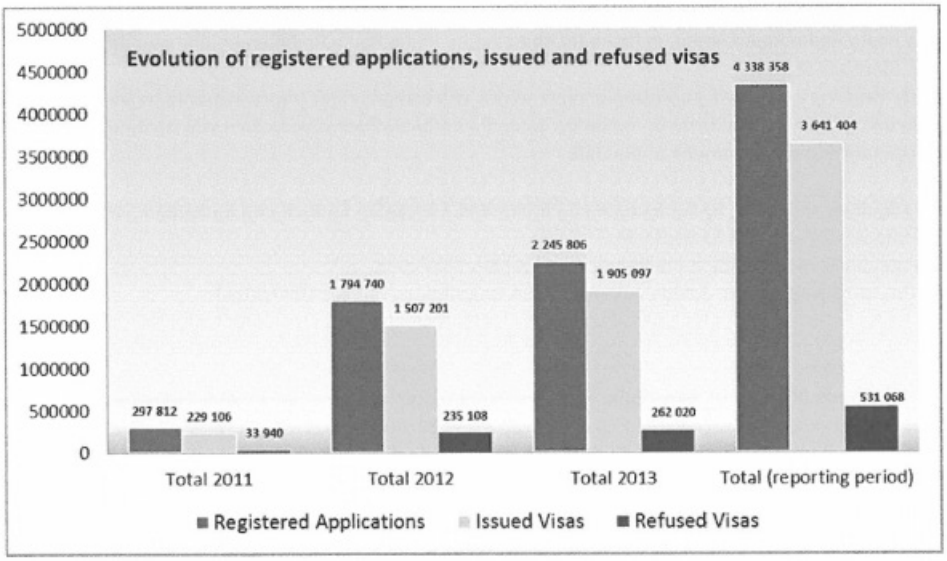
VIS started operations on 11 October 2011 and has been progressively rolled out in defined regions. By the end of the reporting period 31 August 2013, VIS had been rolled out in 7 out of 23 planned regions and had more than 215 000 end-users.

	Regions	Entry into operations
1	North Africa: Algeria, Egypt, Libya, Mauritania, Morocco, Tunisia	11/10/2011
2	The Near East: Israel, Jordan, the Lebanon, Syria	10/05/2012
3	The Gulf region: Afghanistan, Bahrain, Iran, Iraq, Kuwait, Oman, Qatar, Saudi Arabia, United Arab Emirates, Yemen	02/10/2012
4	West Africa: Benin, Burkina Faso, Cape Verde, Cote d'Ivoire, Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone and Togo	14/03/2013
5	Central Africa: Burundi, Congo, Democratic Republic of Congo, Equatorial Guinea, Gabon, Rwanda, Sao Tome and Principe, Cameroon, Central African Republic and Chad	14/03/2013
6	East Africa: Comoros, Kenya, Madagascar, Mauritius, Seychelles, Tanzania, Uganda, Djibouti, Eritrea, Ethiopia, Somalia, South Sudan and Sudan	06/06/2013
7	Southern Africa; Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia, Zimbabwe	06/06/2013

The deployment will progressively continue to cover the entire world.

Number of VISA

Between 11 October 2011 and 31 August 2013, the VIS processed more than 4.3 million visa applications of which more than 3.6 million resulted in the issue of a short-stay visa.



About the Agency

eu-LISA, with its seat in Tallinn, fulfils the operational management tasks for the second generation Schengen Information System (SIS II), Visa Information System (VIS) and EURODAC. The Agency started its operations on 1 December 2012.

The headquarters of the Agency is in Tallinn (Estonia), while the operational management of the large-scale systems is carried out in Strasbourg (France) with a backup site in Sankt Johann im Pongau (Austria).

www.eulisa.europa.eu