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COVER NOTE

From:	Mr. Didier Reynders, European Commissioner for Justice
To:	H.E. Ambassador Marcos Alonso Alonso, Permanent Representative of Spain to the European Union
Subject:	Letter from the Commissioner Didier Reynders transmitting on behalf of the Commission the Handover Report delivered by the entity managing the e-CODEX system and the Takeover Report delivered by eu-LISA

Delegations will find attached the Handover Report delivered by the entity managing the e-CODEX system and the Takeover Report delivered by eu-LISA produced in accordance to Section 3 of the Annex to Commission implementing Decision (EU) 2022/2520.

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MEMBER OF THE EUROPEAN COMMISSION
JUSTICE

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Brussels,
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Dear Ambassador,

The e-CODEX system is designed to facilitate the cross-border electronic exchange of data in the area of judicial cooperation in civil and criminal matters, constituting the backbone for creating a decentralized IT system for that purpose. It is crucial in the context of the ongoing digitalisation of proceedings in these fields.

Regulation (EU) 2022/850 (the e-Codex Regulation) establishes the legal framework for the e-CODEX system and guarantees its sustainability by entrusting its management to the European Union Agency for the Operational Management of Large-Scale IT Systems in the Area of Freedom, Security and Justice (eu-LISA).

Article 10 of the e-CODEX Regulation establishes the procedure to transfer the e-CODEX system from the entity currently managing it, composed of Member States and other entities, to eu-LISA. According to Article 10(4) of the e-CODEX Regulation, eu-LISA is to take over responsibility for the e-CODEX system on the date on which the Commission declares the successful completion of the handover and takeover process.

Section 3 of the Annex to Commission implementing Decision (EU) 2022/2520 require both the entity managing the e-CODEX system and eu-LISA to produce respectively, by 30 June 2023, Handover and Takeover Reports on the activities undertaken, to allow the European Commission to update the European Parliament and the Council by 31 July 2023 on the handover and takeover progress.

His Excellency Mr Marcos Alonso Alonso
Ambassador Permanent Representative
Spanish Presidency of the Council of the EU
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I am therefore pleased formally to transmit on behalf of the Commission the Handover Report delivered by the entity managing the e-CODEX system and the Takeover Report delivered by eu-LISA.

Both the entity managing the e-CODEX system and eu-LISA recognise delays in the fulfilment of the criteria for the successful handover and takeover of the e-CODEX system. However, both entities still confirm the feasibility of finalising the handover and takeover process in a way allowing the Commission to declare its successful completion and taking over responsibility for the system by eu-LISA before the deadline, i.e. by 31 December 2023.

In the exercise of its monitoring role, the Commission will encourage the entity managing the e-CODEX system and eu-LISA to intensify their efforts in order to accelerate the fulfillment of the criteria for the successful handover and takeover of the e-CODEX system.

Together with the recent interinstitutional agreement on the Digitalisation of Justice proposals, the swift handover and takeover of the e-CODEX system is a crucial step towards the digitalisation of justice, at which we are aiming at both EU and national level.

Yours sincerely,

(e-signed)
Didier REYNDERS



e-CODEX Handover Report

REPORT ON THE E-CODEX SYSTEM HANDOVER PROGRESS AT
THE DATE OF 30 JUNE 2023

E-CODEX CONSORTIUM

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0. INTRODUCTION

This handover report presents the results of the activities undertaken by the Consortium of Member States, international organisation and organisations representing legal professionals currently managing the e-CODEX system (European project Me-CODEX III), hereafter called “the entity managing the e-CODEX system” and eu-LISA since the start of the handover and takeover process in January 2023.

The report is prepared in accordance with the provisions of the annex of the Commission Implementing Decision (EU) 2022/2520 of 20 December 2022 on the specific arrangements for the handover and takeover process of the e-CODEX system. This report must be submitted to the European Commission by 30 June 2023, to allow the Commission to update the European Parliament and the Council by 31 July 2023 on the handover and takeover process.

1. LIST OF THE ASSETS AND ARTEFACTS PROVIDED TO EU-LISA AT THE END OF THE HANDOVER PERIOD

General assessment:

The documentation listed in the table below is transmitted via a dedicated collaborative workspace on a repository server called the BSCW Shared Workspace Server, managed by the Ministry of Justice of North Rhine-Westphalia (project's coordinator), which has been set up and open to eu-LISA.

The effective transmission of components is linked to the holding of the corresponding masterclasses, this is why, on June, 30th, handover of components and artefacts is not completely achieved (see below, 2.4).

Eu-LISA is nevertheless already involved in certain processes at an early stage. This is the case, for example, with support, where eu-LISA already has access to the ticketing tool in order to start learning about typical request and solutions.

In addition to the below-mentioned documentation, documentation relating to previous projects of the entity managing the e-CODEX system which enabled the implementation and maintenance of the technology has been transmitted to eu-LISA. As these are official documents from former projects, this documentation is not meant to be updated at the end of the handover process.

	Component	Artefacts	Handover Support	Handover Status
Items to develop & operate	Configuration Management Tool - CMT	Source Code Configuration Database and pModes Documentation Database dump at the initial and final handover stages	Documentation Masterclass "CMT" Development and maintenance, installation, configuration, operation and troubleshooting	Ongoing, to be finished after relevant Master Class in Q3
	Central Testing Platform - CTP	Source Code Documentation Database dump at the initial and final handover stages	Documentation Masterclass "CTP" Development and maintenance, installation, configuration, operation and troubleshooting	Ongoing, to be finished after relevant Master Class in Q3
	Repository Server (currently: Nexus)	Repositories	Masterclass "Decentralized components"	Planned in Q3 and Q4, to be finished after relevant Master Class in Q3 & Q4
	Integration Server (currently: Jenkins)	Integration Items		
	Source Code Repository (currently: Gitblit)	Source Code		
	e-CODEX Website	e-CODEX Website Contents	Masterclass "e-CODEX overview"	Planned in Q4
Items to develop	e-CODEX Architecture	e-CODEX Website Documentation	Documentation Masterclass "e-CODEX overview"	Achieved

	Connector Suite	For each component (Connector, Client, Plugin, Security Library, Utilities, etc.): Source Code Documentation	Documentation Masterclass "Decentralized components"	Planned in Q3 and Q4, to be finished after relevant Master Class in Q3 & Q4
	Use Case Schemas: — European Payment Order — Small Claims — European Arrest Warrant — Financial Penalties — MLA — FD 909 (Custodial Sentences) — Matrimonial Matters	Schemas Business Process Model EU e-Justice Core Vocabulary (Access to be granted via the tool "Metadata Workbench")	Documentation Masterclass "Semantics and metadata management" and Masterclass "Business collaboration design"	Achieved
Other items	e-CODEX Tickets	All tickets including all statuses (for knowledge management purposes)	Masterclass "CTP" Dump with all data	Planned in Q4, to be finished after relevant Master Class in Q3
	e-CODEX Connector Suite Roadmap	e-CODEX Website	Masterclass "Decentralized components"	Planned in Q3 and Q4, to be finished after relevant Master Class in Q3 & Q4
	e-CODEX Security Requirements	Document	Masterclass "Decentralized components"	Achieved

2. DESCRIPTION AND CONTENT OF ALL WORKSHOPS ORGANISED DURING THE HANDOVER

General assessment:

A wide variety of exchange formats have already been carried out, even prior to the official beginning of the handover and takeover process, enabling a truly co-constructed technology transfer process to be put in place. Partners hold meetings every 15 days to discuss all questions and issues related to the handover.

Due to scheduling difficulties, as well as the need to jointly adapt the transfer of knowledge, the masterclasses schedule will not be finalised by 30 June 2023. However, the programme for all the sessions has been finalised.

2.1. Exchanges prior to the official beginning of the handover and takeover process

A first involvement of eu-LISA staff took place in 2021.

A first meeting was held on 8 June 2022 in Madrid (Spain). The meeting was also the kick-off meeting for the entity managing the e-CODEX system. In addition to the presentation of the tasks and plans for the next two years, the upcoming handover of the e-CODEX system to eu-LISA was a major topic. From a technical point of view, an outlook on the planned

developments was given. All participants were aware that no further technical developments would take place at the end of 2022 and that the development would be limited to corrective maintenance.

Another meeting was held in Vienna on 26 September 2022. The subject of the conference was security and e-CODEX. This meeting was also attended by eu-LISA representatives, who provided valuable input for the future of the e-CODEX system.

The coordinator of the entity managing the e-CODEX system was a guest speaker at the eu-LISA conference on 13 October 2022 and had the opportunity to present the e-CODEX system to a larger audience outside the justice sector for the first time.

2.2. Kick-off meeting

A kick-off meeting, as foreseen in Article 3 Commission Implementing Decision (EU) 2022/2520 of 20 December 2022 (see section 2), was held on 24 January 2023 in Dusseldorf.

The meeting provided an opportunity to introduce the respective teams and get an overview of each other's work. It enabled the transfer to get off to a smooth, formal start.

2.3. Workshops

Since 23 February 2023, the entity managing the e-CODEX system has organized bimonthly synchronization meetings every two weeks (7 as of June 30th) as videoconference with eu-LISA to monitor the steps needed to finalize the handover process. A good working basis has been established here, where all questions and problems can be discussed directly with all different activities of the entity managing the e-CODEX system.

The entity managing the e-CODEX system has also organized several technical meetings with eu-LISA to monitor the technical steps to ensure a complete handover to Eu-LISA. In doing so, eu-LISA is not only informed about the current technical issues, but is already closely involved in the problem-solving process.

Finally, the entity managing the e-CODEX system has organized several coordination meetings to align the masterclass initiatives and preparations of the entity managing the e-CODEX system with the needs, requirements and schedule of eu-LISA (see below, 2.4).

2.4. Masterclasses

The entity managing the e-CODEX system has prepared a list of training modules (i.e. masterclasses) to ensure the complete knowledge transfer to eu-LISA. These masterclasses have been designed and adapted to meet the specific needs of certain audiences. For example, the "General Overview" masterclass has been split into two to create a special session for eu-LISA heads of sectors and heads of units. Similarly, the CMT and CTP masterclasses have been split into two sessions, one for administrators and one for developers.

All masterclasses are defined and scheduled, but not all have been held by 30 June 2023. There are a number of reasons for this delay: the need to co-construct and adapt the knowledge transfer programme; difficulties in reconciling the agendas of the many participants, especially from the perspective of face-to-face meetings in Strasbourg or Tallinn; problems linked to the departure

or absence of certain key people; and the need to give participants time to assimilate information between training sessions.

#	Name Masterclass Module	Dates	Audience	Scope	Status
1	General overview (staff edition)	25 & 26 April 2023	All eu-LISA staff with interest and/or future role in e-CODEX	A general introduction to e-CODEX with a focus on enterprise architecture and infrastructure architecture.	Completed
1	General overview (management edition)	21 June 2023	Executive managers and heads of unit	A “crash course” e-CODEX with a focus on enterprise architecture, infrastructure architecture and user perspectives.	Completed
2	Business collaboration design	29 & 30 June 2023	Business/semantic analysts and information architects	A practical course on how to design/model (and guide) a business collaboration out of European directives or regulations in consultation with experts from Member States and EU bodies.	Completed
3	Semantics and metadata management	5 & 6 July 2023	Business/semantic analysts and information architects	A practical course on semantic interoperability, the creation of XML schemas following the principles of the Core Component Technical Specification and a hands-on user training on the Metadata Workbench.	Dates and location confirmed
4	Decentralized components	Session 1: 26, 27, 28	Development team, application	A dedicated course on the DomibusConnector.	To be confirmed

		September 2023 Session 2: 10, 11, 12 October 2023 Session 3: late October / early November 2023	management and the network services	the DomibusConnector Client, the Domibus-Connector-Plugin, the functionalities of the Gateway and the building and maintenance of the e-CODEX lab box.	(dates and location)
5	CMT (for administrators)	12 and 13 September 2023 <u>or</u> 13 and 14 September 2023	Support team(s) administrators	A brief overview of the PModes in relation to the CMT and a practical outline on how to use the CMT.	To be confirmed (dates and location)
5	CMT (for developers)	Late October / early November 2023	Development team	A focus on CMT development topics, such as the structure and module overview, build process and PMode generation.	To be confirmed (dates and location)
6	CTP (for administrators)	12 and 13 September 2023 <u>or</u> 13 and 14 September 2023	Support team(s) administrators	Design philosophy and intended use combined with testing management and real-life scenarios.	To be confirmed (dates and location)
6	CTP (for developers)	Late October / early November 2023	Development team	A focus on CTP development topics, such as message module (with a link to connector-client API), log handling and presentation, test creation, assignment and reporting (with a link to OASIS TAML).	To be confirmed (dates and location)
7	Security & certificates	30 May 2023	Cyber security experts and application management	An overview of different approaches and security policies	Completed

				that are an essential part of the e-CODEX architecture.	
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3. LIST OF PRESENTATIONS AND RELATED DOCUMENTS GIVEN DURING THE WORKSHOPS

For each module, training material, and timeline (incl. the preferred sequence of the masterclasses) has or will be provided and agreed upon between all involved actors.

Before the start of each training the participants receive the syllabus chapter for the specific course and the detailed agenda for the training day(s). After a training has been finished all material (incl. presentations) are stored on the BSCW server mentioned above. The video recordings of the masterclasses are created and stored by eu-LISA (for future viewing).

All documents are (agenda, syllabus, and presentation material) plus video recordings of the masterclasses are available for:

- Module 1 : general overview
 - Staff edition
 - Management edition
- Module 2 : business collaboration design
- Module 7 : security and certificates

The agenda and syllabus are available for (presentation material and video recording are to be made available for):

- Module 3 : semantic and metadata management

The agenda, syllabus, presentation material and video recordings are to be made available for:

- Module 4 : e-CODEX decentralized components
- Module 5 : Configuration Management Tool (CMT)
- Module 6 : Central Testing Platform (CTP) and testing scenarios

4. LIST OF LESSONS LEARNED

Although the complete list of lessons learned cannot be provided as of June 30, since at that date the complete handover process is not achieved, some lessons can already be listed.

Some of these lessons concern the handover / takeover process itself. Since the delivery of the initial Common handover document, in December 2022, the entity managing the e-CODEX

system and eu-LISA have worked closely together. This work has led to adapt the Common handover document itself, and more generally the handover process. For example, along with the common meetings that were originally to be held (visio-meetings every two weeks), specific technical and ad hoc meetings have been set up, to ensure better communication and exchange of knowledge. In the same way, as described above, the masterclasses programme has been adapted.

A second lesson learned from this handover process is the importance of the people behind the e-CODEX system. During the transfer, schedule availability of certain key players may have affected operations and planning. In this respect, formalising the transfer of knowledge will be a major asset in the future in terms of potential turnover and/or future recruitment within the eu-LISA team.

Other lessons concern the governance of the e-CODEX system. The separation of the actors in charge of the governance of the e-codex technology and those in charge of integration in the Member States and/or stakeholders will hopefully lead to a clarification of the respective roles of each. Similarly, the transfer of e-CODEX governance to eu-LISA requires closer coordination with the work related to the e-EDS portal and of other e-CODEX-related projects, particularly in the context of the forthcoming generalisation of this technology to all Member States.

5. LIST OF OPEN ISSUES AT THE END OF THE HANDOVER

The list of open issues at the end of the handover cannot be provided as of June 30, since at that date the complete handover process is not achieved.

At this date, due to the unfinished masterclasses, complete handover of knowledge, components, artefacts and documentation is not complete. Workshops and constant exchanges between eu-LISA and the entity managing the e-CODEX system have allowed the transfer to be well engaged anyway.

One of the open issue on June 30 is the question of the support, as many tickets are received by the entity managing the e-CODEX system, which increases the burden for the entity managing the e-CODEX system on the one hand, and makes it difficult to carry out the task allocated to it of closing all the tickets on the date of the effective transfer on the other hand. In order to solve this issue and facilitate the future transfer, it was decided to open the ticketing tool to eu-LISA.

Another open question is the availability of eu-LISA development team, as eu-LISA expects to finalise the setup of the development team at the beginning of Q4 2023. In order to ensure the best transfer of knowledge, Masterclasses for developers have thus been set in Q4 2023. Besides, presentations and syllabuses are meant to allow future training sessions to be carried on by eu-LISA itself.

6. CONCLUSION AND READINESS OF EU-LISA

General assessment:

In addition to the actual provision of all software components, artefacts and documentation during the handover process, the transfer of knowledge is an essential task of the handover process. To make this possible, the entity managing the e-CODEX system sought contact with eu-LISA staff at an early stage, even before the official handover period began, and continued with the organisation of regular, technical and ad hoc meetings, as well as a complete set of Masterclasses, suited for all different eu-LISA teams.

Although not all tasks have been achieved, the remaining steps for a successful handover are planned and from the entity managing the e-CODEX system point of view, direct and effective communication channels have been put in place, which contributes significantly to the success of the handover process.

This substantial work is currently in progress and the entity managing the e-CODEX system is confident that the handover and takeover process will be finalised during Q4 2023, thus allowing a transfer of responsibility for the e-CODEX system before December 31, 2023.

	Criteria	Monitoring indicator	Means of verification	Deadline	Status
1	Knowledge transfer of the different components of the e-CODEX system	All the training sessions held.	Registration forms completed and training materials delivered to eu-LISA	By 1 July 2023	Ongoing
2	Transfer of all components of the e-CODEX system	All assets delivered and complete	Express acknowledgement by eu-LISA	By 1 July 2023	Ongoing
3	Technical stability of the e-CODEX system (all components)	The 2 latest versions produced by the entity managing the e-CODEX system.	A stable version of the e-CODEX system, meaning a package that can be deployed in production and that ensures the integrity of all the exchanges taking place on this version.	By 31 December 2022	Achieved
4	Allocation of sufficient resources within eu-LISA	The composition of the e-CODEX team (including the technicians to be trained) communicated by eu-LISA to the Commission and the entity managing the e-CODEX system.	eu-LISA notification to the Commission and the entity managing the e-CODEX system	By 1 January 2023	Ongoing

5	Transfer of intellectual property and usage rights	The handover of the e-CODEX system and the supporting software products, documentation and other assets listed in the Annex to Regulation (EU) 2022/850 carried out with all intellectual property rights and usage rights.	An exhaustive statement by the entity managing the e-CODEX system concerning intellectual property and usage rights regarding all components of the e-CODEX system and the supporting software products, documentation and other assets listed in the Annex to Regulation (EU) 2022/850. A declaration by the entity managing the e-CODEX system that it and its members are legally in a position to transfer to eu-LISA all intellectual property rights and usage rights mentioned in item 1. in a way enabling eu-LISA to carry out its responsibilities in accordance with Article 7 of Regulation (EU) 2022/850. A declaration by the entity managing the e-CODEX system of total and free of charge transfer to eu-LISA of all intellectual property rights and usage rights mentioned in item 1.	By the date of joint request by the entity managing the e-CODEX system and eu-LISA to the Commission to declare the successful completion of the handover and takeover process	Planned in Q4
6	Resolution of all support requests received by the entity managing the e-CODEX system before eu-LISA takes over the responsibility for the e-CODEX system	All support requests received by the entity managing the e-CODEX system before eu-LISA takes over the responsibility for it closed or the agreement to take them over acknowledged by eu-LISA	A list of open support requests by the entity managing the e-CODEX system. Agreement between the entity managing the e-CODEX system and eu-LISA to take them over, with an express statement by the entity managing the e-CODEX system that the agreement has no impact on the end user and that it implies no delay in resolving the support request.	By the date of joint request by the entity managing the e-CODEX system and eu-LISA to the Commission to declare the successful completion of the handover and takeover process	Planned in Q4
7	Agreement between the entity managing the e-CODEX system and eu-LISA regarding the successful completion of the handover and takeover process	Agreement between the entity managing the e-CODEX system and eu-LISA regarding the fulfilment of the criteria for a successful handover process and for the successful completion of that process	Joint request by the entity managing the e-CODEX system and eu-LISA to the Commission to declare the successful completion of the handover and takeover process	Between 1 July and 31 December 2023	Planned in Q4

e-CODEX Takeover report

eu-LISA state of readiness to take over the operational management of e-CODEX

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1. Introduction

This takeover report presents the results of the activities undertaken by eu-LISA and the entity managing the e-CODEX system since the start of the handover and takeover process in January 2023. The report is prepared in accordance with the provisions of the annex of the Commission Implementing Decision (EU) 2022/2520 of 20 December 2022 on the specific arrangements for the handover and takeover process of the e-CODEX system. This report must be submitted to the European Commission by 30 June 2023, to allow the Commission to update the European Parliament and the Council by 31 July 2023 on the handover and takeover process.

2. Statement of Readiness

The handover/takeover process, which was officially kicked-off on 24 January, progressed well, allowing the Me-CODEX III consortium and eu-LISA to work efficiently and reach several milestones.

The handover/takeover activities are ongoing with the target for eu-LISA to take over the full responsibility for the operational management of e-CODEX between 1 July 2023 and 31 December 2023 in line with the e-CODEX Regulation.

At the end of June 2023, eu-LISA is working on two main dependencies that need to be addressed for completing the takeover process:

- **availability of the internet-facing hosting environment:** The secure hosting environment planned to be used as a frontend for the e-CODEX, and which is also used for the Entry-Exit System (EES) is at the moment still not available due to the delay in the EES implementation. To address the issue, eu-LISA is preparing an alternative solution which will provide the necessary secure internet access. The solution is expected to be ready by Q3 2023.
- **availability of the development team:** the eu-LISA service operational model to deliver the maintenance and development of large-scale IT systems is carried out under transversal framework contracts. During the takeover process, eu-LISA decided to adapt this approach to a more in-house model for the maintenance and development services related to e-CODEX, which will provide additional control and agility. Taking into consideration the corresponding contractual/capabilities acquisition process, eu-LISA expects to finalise the setup of the development team at the beginning of Q4 2023, fully in line with the staffing provisions of the LFS that foresees the availability of four intramuros resources during 2023, and eight during 2024.

The resolution activities are going according to plan and eu-LISA is confident to close the two remaining dependencies in line with the e-CODEX Regulation.

2.1. Demonstration of readiness of process activities

Criterion	Monitoring indicator	Means of verification	Deadline	Status
1	Knowledge transfer of the different components of the e-CODEX system	eu-LISA participated in all the training sessions that have taken place eu-LISA acknowledgement	By 1 July 2023	Ongoing
2	Transfer of all components of the e-CODEX system	All sources are received and the documents are fully completed eu-LISA acknowledgement	By 1 July 2023	Ongoing

3	Allocation of sufficient resources within eu-LISA	1. Recruitment of e-CODEX project staff by 1 January 2023.	eu-LISA acknowledgement	By 1 January 2023	Ongoing
		2. Designation of the project manager			
		3. Designation of the technicians to be trained			
4	Establishment of the e-CODEX Advisory Group	Establishment of the Advisory Group and meetings during the handover and takeover process held at least every second month, pursuant to Article 12 of Regulation (EU) 2022/850	1. Confirmation by eu-LISA of establishment and composition of the e-CODEX Advisory Group and minutes from its first meeting. 2. Minutes from the first 3 meetings of the e-CODEX Advisory group.	Regarding item 1: by 28 February 2023; Regarding item 2: by 30 June 2023	Achieved
5	Establishment of the e-CODEX Programme Management Board	Establishment of the e-CODEX Programme Management Board and meetings during the handover and takeover pursuant to Article 13 of Regulation (EU) 2022/850	1. Confirmation by eu-LISA of establishment and composition of the e-CODEX Programme Management Board. 2. Minutes from the meetings of the e-CODEX Program management board during the handover/takeover process.	Regarding item 1: by 1 January 2023; Regarding item 2: by 30 June 2023	Achieved
6	Transfer of data	The transfer of all relevant data including but not limited to, tickets, user credentials, etc. are transferred to eu-LISA either in the form of a database dump or any other format agreed upon between entity managing the e-CODEX system and eu-LISA.	eu-LISA acknowledgement	By 1 July 2023	Ongoing
7	Transfer of the history of all issues	In the form of a database dump or any other format agreed upon between entity managing the e-CODEX system and eu-LISA	eu-LISA acknowledgement	By 1 July 2023	Ongoing
8	Transfer of unresolved issues	In the form of a database dump or any other format agreed upon between entity managing the e-CODEX system and eu-LISA.	eu-LISA acknowledgement	By the date of joint request by the entity managing the e-CODEX system and eu-LISA to the Commission to declare the successful completion of the handover and takeover process	Scheduled for Q3
9	Transfer of user management, including end-users (access to CMT, CTP...)	In the form of a database dump or any other format agreed upon between entity managing the e-CODEX system and eu-LISA	Credentials communicated, imported in eu-LISA infrastructure and access to the different components is verified by some end-users.	By 1 July 2023	Scheduled for Q3
10	Takeover of the helpdesk activities: - Helpdesk processes - Incident Management - Technical Support - Service Request	Process is understood and working procedures in place for the takeover team to carry on their daily tasks.	Ticketing tool available, accessible and all tickets have been transferred to eu-LISA tool (functional mailbox if it exists, support templates, support knowledge base etc.)	By the date of joint request by the entity managing the e-CODEX system and eu-LISA to the Commission to declare the successful completion of the handover and takeover process	Scheduled for Q4

11	Application credentials	access	Transfer of user lists and relevant credentials to eu-LISA taking into account security measures and recommendations for this type of data.	Users have received their credentials and connection information.	By 1 July 2023	Scheduled for Q3
12	Takeover of the deployment activities		Backlog, planning and any relevant documentation or related Requests for Change (RfCs) or tickets	Deployment activities are clearly identified and open ones planned for completion	By 1 July 2023	Scheduled for Q3
13	Takeover of the development activities	the	Backlog, planning and any relevant documentation or related RfCs or tickets	Development activities are clearly identified and open ones planned for completion	By 1 July 2023	Scheduled for Q3
14	Takeover of the testing activities		Backlog, planning and any relevant documentation or related RfCs or tickets	Testing activities are clearly identified and open ones planned for completion	By 1 July 2023	Scheduled for Q3
15	Takeover of the Change and Release Management activities		Backlog, planning and any relevant RfCs or documentation	All open RfCs and release plan are taken over and integrated in the overall project plan	By 1 July 2023	Scheduled for Q3
16	Availability of the infrastructure and infrastructure management		All infrastructure requirements received and implemented All e-CODEX identified assets available and provided to eu-LISA	All components are available to all stakeholders as needed. For the development infrastructure, eu-LISA to confirm the setup and the operation	By 1 July 2023	Ongoing
17	Security Management		All security requirements and recommendation communicated and implemented by eu-LISA. The following documentation is to be made available: Security policy; Security plan; User management security measures; Business Continuity Plan.	eu-LISA should confirm their implementation	By 1 July 2023	Ongoing
18	Communication Plan		A communication plan needs to be established in order to inform all users and stakeholders about the upcoming change in the service providers and about the new communication channels and procedures.	Notifications received from eu-LISA by all users and stakeholder before the end of the handover/takeover period to inform them about the new working procedures: credentials, URLs, websites, ticketing tool	By 1 July 2023	Scheduled for Q3
19	Final alignment of data		Final provision of the gap in the assets provided to eu-LISA at the beginning of the handover/takeover process	1. Check connection to all necessary components as needed by the users and stakeholders (servers reachable); 2. Import last situation; 3. All necessary updates are installed on the servers when applicable; 4. Passwords provision by entity managing the e-CODEX system to eu-LISA when applicable; 5. The difference between the initial package handed over to eu-LISA at the beginning of the handover/takeover process and at its end is imported in the relevant infrastructure.	On 1 July 2023	Scheduled for Q3

Agreement between the entity managing the e-CODEX system and eu-LISA regarding the successful completion of the handover and takeover process

Agreement between the entity managing the e-CODEX system and eu-LISA regarding the fulfilment of the criteria for a successful handover process and for the successful completion of that process

Joint request by the entity managing the e-CODEX system and eu-LISA to the Commission to declare the successful completion of the handover and takeover process

Between 1 July and 31 December 2023 for Q4

Scheduled for Q4

2.2. Test plan and results

The takeover tests will focus on the operational tasks, which are expected to be most relevant for the time immediately after the takeover by eu-LISA. These tasks are listed in order of priority in the sections below. The goal of these tests is to prove that eu-LISA staff is capable of performing the tasks which are necessary to keep the operational systems running and handle the most common service requests.

The test scenarios will be presented in the respective master classes organised with the consortium and in the relevant documentation. For the execution of the test scenarios, eu-LISA and the e-CODEX consortium will set up separate test sessions.

2.2.1. Availability of Single Points of Contact / e-CODEX Correspondents

In order to provide services to e-CODEX users and in compliance with the e-CODEX Regulation (Art. 7), eu-LISA must have a list of e-CODEX correspondents in each Member State, the European Commission and international partner organisations.

Furthermore, eu-LISA must adapt its internal procedures, if necessary, to provide services to e-CODEX users. This includes the setup of a ticketing system for registering and handling service requests, technical issues and other requests.

Test Scenario ID	Title	Description	Verification
01_PoC.01	Service offer to e-CODEX users	eu-LISA announces that it is ready to provide e-CODEX support in accordance with the e-CODEX Regulation and asks each Member State (Art. 8), the European Commission (Art. 6) and cooperating international organisations (Art. 15) to provide the contact details of their designated e-CODEX correspondents.	Message from eu-LISA to the named institutions asking for the contact details of their designated e-CODEX correspondents. <i>Comment: The response from the institutions is NOT relevant for the verification of this test scenario.</i>
01_PoC.02	Availability of a ticketing system	eu-LISA provides a ticketing system for registering and handling service requests, technical issues and other requests from e-CODEX users.	Announcement of the availability of a ticketing system for e-CODEX users.

2.2.2. Configuration Management Tool (CMT)

The availability of the CMT and eu-LISA's capability to operate the system and execute service requests is crucial for the operation of the decentralised e-CODEX Access Points. eu-LISA must be able to renew certificates, add users, add use cases and also produce and disseminate a new set of configuration files called pModes to e-CODEX users, among other tasks.

The current CMT already uses a test protocol with 42 test cases (in German), e.g. when a new version of the CMT is ready to be released. An English version of the test protocol will be ready by the time of the CMT master class.

Member States need not be involved in executing the test protocol if a test instance of the CMT is available.

Precondition: (at least) an instance of the CMT is available in eu-LISA environment.

Test Scenario ID	Title	Description	Verification
02_CMT.01	Execution of CMT Test Protocol	eu-LISA executes the test cases listed in the CMT test protocol. The test protocol will be made available during the CMT master class.	Expected test results as per the CMT test protocol are achieved and confirmed by the CMT master class trainers.

2.2.3. Central Testing Platform (CTP)

eu-LISA must be able to respond to connectivity test request from e-CODEX users by providing connectivity tests via the CTP.

The test protocol, describing the current procedure of testing new versions or instances of the CTP, will be provided during the CTP master class.

Precondition: (at least) an instance of the CTP is available in eu-LISA environment.

Test Scenario ID	Title	Description	Verification
03_CTP.01	Execution of CTP Test Protocol	eu-LISA executes the test cases listed in the CTP test protocol. The test protocol will be made available during the CTP master class.	Expected test results as per the CTP test protocol are achieved and confirmed by the CTP master class trainers.

2.2.4. Schemas

eu-LISA must be able to adapt changes in existing schemas, validate schemas and publish them.

Precondition: eu-LISA has access to the Metadata Workbench hosted by the Netherlands.

Test Scenario ID	Title	Description	Verification
04_XSD.01	Adapt existing schema	eu-LISA can adapt an existing schema (e.g. small claims) by adding or deleting XSD elements.	Adapted schema confirmed by master class trainers.
04_XSD.02	Export and provide schema	eu-LISA can export (adapted) schemas and provide them to e-CODEX users.	Exported schema, confirmed by master class trainer.

		A schema, adapted and published by eu-LISA, is used for communication between:	
04_XSD.03	Verification of schema	a) the CTP and a test instance of a Member State of the e-CODEX consortium.	1. Confirmation from CTP and participating Member States of the successful (a) sending and (b) receiving of an e-CODEX message.
		b) two test instances of separate Member States of the e-CODEX consortium.	2. Confirmation from the receiving party that the e-CODEX message could be validated.
		<i>Comment: if possible, real (but anonymised) e-CODEX messages will be used to be as close as possible to a real-life situation.</i>	

2.2.5. Business Collaboration

eu-LISA must be able to design and verify new business collaborations for e-CODEX. If possible, the EPPO (European Public Prosecutor Office) use case with its European Crime Report can serve as the basis. Alternatively, (parts of) a use case from the upcoming Judicial Digitalisation Regulation can be used as well.

Test Scenario ID	Title	Description	Verification
05_BC.01	Creation of a new Business Collaboration	eu-LISA designs, documents and validates a new e-CODEX business collaboration.	e-CODEX Business Collaboration documentation, confirmed by the master class trainers.

2.2.6. e-CODEX Connector

eu-LISA must be able to set up and operate an e-CODEX Access Point, although not being used by eu-LISA itself in a production environment. The above-mentioned test cases 03_CTP.01 and 04_XSD.03 already require the use of the CTP and thus the setup and operation of an e-CODEX Access Point. This capability is thus deemed as proven, if eu-LISA is capable of successfully executing test cases 03_CTP.01 and 04_XSD.03 of the above chapters.

eu-LISA must also be able to update current e-CODEX Connector versions, and subsequently release new versions. For the purpose of this test topic, it is NOT necessary to add business functionality to the e-CODEX Connector.

Test Scenario ID	Title	Description	Verification
06_Conn.01	Release the e-CODEX Connector	<p>eu-LISA releases a new version of the current version 4.4.x of the e-CODEX Connector as version 4.5.x - regardless of the need for fixes or new features. Connector v4.5.x can then be labelled as the first official Connector release by eu-LISA and thus having a clear cut-off between the consortium and eu-LISA versions of the Connector.</p> <p>Releasing the new version of the Connector must include the successful execution of the built-in unit and integration tests during the build process.</p>	<p>1. Confirmation from the master class trainer of the correct execution of steps to create a Connector release build.</p> <p>2. Test report from the (Jenkins) build tool about the successful execution of unit and integration tests.</p> <p>3. A connectivity test between the CTP and a Member State or between two Member States can be executed successfully with the new release. Confirmation by the CTP and participating Member State(s).</p>
06_Conn.02	Integration of e-CODEX into eu-LISA security monitoring and security tests	eu-LISA's existing processes for security monitoring (e.g. periodic check of vulnerabilities in libraries, etc.) and security testing take into account the e-CODEX components and their libraries.	Confirmation from eu-LISA's security team.

2.3. Security Measures

Security policy: The Agency's security team has taken notice of e-CODEX security recommendations and has attended the security master class provided by the me-CODEX III consortium. eu-LISA will maintain these recommendations and promote these into security policy in collaboration with the e-CODEX Advisory Group

Security plan: When taking over the e-CODEX components from the Me-CODEX III consortium, eu-LISA will maintain these components based on the principles of security by design. It is envisaged that the e-CODEX security plan shall be based on the common practices eu-LISA applies for the management of its other core business systems, taking into account the specific characteristics of the e-CODEX system. The security plan for e-CODEX is yet to be established.

User management: As per the e-CODEX regulation, users that will exchange communication with the Agency are referred to as e-CODEX correspondents. The e-CODEX Operator's Manual outlines the procedure for e-CODEX users to communicate which correspondents are associated with which Access Points and which Digital Procedural Standards, in line with point 6(a) and 7 of the Commission implementing decision (EU) 2023/117.

3. Knowledge transfer and acquisition

3.1. Transfer of documentation

In addition to the documentation mentioned in the e-CODEX regulation and the implementing decisions, the Agency has requested the consortium to deliver additional documentation. The requested documents have been provided in the designated collaboration workspace created by the e-CODEX consortium. As per eu-LISA's request, the list of documentation has been added to the Common Handover Document.

3.2. Transfer of data

During the reporting period, eu-LISA established direct contact with the Me-CODEX III WP3 project team, through regular and ad hoc meetings. The consortium provided eu-LISA with access to their file-sharing and collaboration platform. Additionally, the consortium provided access to the repository for the connector's artefact (Nexus). A dedicated workshop was organised for eu-LISA teams to become more familiar with the Nexus and the different artefacts.

3.3. Transfer of tickets

eu-LISA's team from the Systems Operations Unit (SOU) worked closely with the consortium partner responsible for the ticketing system. eu-LISA's team was provided access to the tool, to get familiar with the tool and the incidents and requests logged by the users. Additionally, eu-LISA was granted access to all recorded tickets in that tool.

In addition, eu-LISA created a temporary functional mailbox for service or incident requests communication shared via email. eu-LISA and the consortium agreed that this functional mailbox would be a temporary measure to support the handover/takeover process, as all users have already been instructed to use the ticketing tool for support requests.

3.4. Technical meetings

The collaboration between eu-LISA and the Me-CODEX III consortium started in 2022 and developed into a closer and more operational cooperation starting from the handover/takeover kick-off meeting that took place in Düsseldorf on 24 January 2023. The meeting was hosted by the Ministry of Justice of North Rhine-Westphalia. During the meeting, the consortium and eu-LISA agreed on the organisation and arrangements of the handover/takeover process.

Following the kick-off meeting, eu-LISA engaged on a regular basis with the Me-CODEX III consortium, following the internal structure of the project:

- bi-weekly coordination calls have been set up to coordinate the handover/takeover process with the Work Package (WP) 2 project team, starting with the finalisation of the Common Handover Document;
- eu-LISA attended the monthly meetings of the WP3 project team, responsible for the transfer of e-CODEX components;
- eu-LISA attended regular meetings with the WP4 project team, responsible for the knowledge transfer, in the format of master classes.

eu-LISA and the consortium held meetings on specific aspects of the takeover, in particular:

- several meetings were organised on the topic of service requests and on the ticketing tool.
- a meeting was organised to discuss the test cases that will be used to confirm the successful transfer of the components (as listed in section 2.2 above).

3.5. Training sessions

Internally, eu-LISA held several meetings to prepare and inform its teams about e-CODEX, in particular with the Infrastructure Management Unit (IMU), to prepare for the hosting of components and application management.

eu-LISA supported the consortium in the organisation and preparation of master classes. The general structure of the master classes was presented and agreed at the kick-off meeting in January. The consortium then worked on a more detailed preparation, in consultation with eu-LISA. All masterclasses organised during the first half of 2023 were held at eu-LISA premises, and could also be joined online by participants from eu-LISA, as well as from the consortium. Some masterclasses have been recorded so that eu-LISA could retain the knowledge and support the onboarding of future team members.

3.5.1. General overview master class (MC1)

The first master class, module 1, took place on 25-26 April 2023, at the eu-LISA premises in Strasbourg. It addressed the topics of enterprise architecture, and infrastructure architecture. The first master class was meant to lay the foundation for the transfer of knowledge, and was therefore geared towards a broad audience of eu-LISA staff. The two-day master class was attended by 30 eu-LISA staff members and 10 members of the e-CODEX consortium. eu-LISA participants came from different teams and units, incl. systems operation, infrastructure management, test and transition, planning and standard, training and capabilities and security teams.

3.5.2. Business collaboration design master class (MC2)

The module 2 master class was held at eu-LISA in Strasbourg on 29 and 30 June 2023. The two-day master class was attended by 11 eu-LISA staff members and 4 members of the consortium. It addressed the topic of business collaboration design, and help eu-LISA create the capability to coordinate business collaboration workshops and to model business collaboration. The master class also covered the different standards and frameworks used so far to design business collaboration for e-CODEX.

3.5.3. Semantics and metadata master class (MC3)

The module 3 master class will take place on 5 and 6 July at eu-LISA in Strasbourg, and will cover the topics of semantics and data management in support of interoperability for e-CODEX. The master class will also cover the creation of XML schemas following the principle of the Core Component Technical Specifications (CCTS), as well as the Metadata workbench.

3.5.4. Decentralised components master class (MC4)

This master class has been scheduled for delivery in two separate sessions, both lasting for three days. The first session is scheduled to take place on 26-28 September, and the second session on 10-12 October. In addition, sessions for specialised developers have also been scheduled.

3.5.5. Configuration management tool master class (MC5) and Central testing platform master class (MC6)

Following discussions between eu-LISA and the consortium, it was decided to organise a master class for administrators/operators of the central components (CMT, CTP) on 12-15 September. In October, a follow-up master class will be organised specifically for developers.

3.5.6. Security and certificates master class (MC7)

The security master class (Module 7) was held on 30 May at eu-LISA in Strasbourg. The master class covered the security considerations applied to e-CODEX, including network security, cryptography and certificates. 20 eu-LISA staff members attended the master class, mainly from the security unit, but also from the infrastructure, architecture, test, business relations and product teams.

3.5.7. Master class for eu-LISA management (added MC)

On 21 June, a master class tailored to eu-LISA management was organised. The Agency's management and middle management were treated to a shorter dedicated master class, separately from the first master class. This e-CODEX for management master class was attended by some 30 management staff members either in person or online.

3.5.8. Hands-on sessions

Hands-on sessions, where participants have the opportunity to practice the skills they have acquired, will be organised during master classes for: business collaboration design (MC2), metadata management (MC3), pMode creation and CTP use case support (MC5-6).

3.5.9. Shadowing sessions

Shadowing sessions, where eu-LISA participants will perform operational tasks together with the experts from the consortium, will be organised before the full transfer of responsibility. These sessions will cover the following tasks:

- **pMode creation:** It is very likely that during the takeover period in the second half of 2023, an update of pMode will need to be distributed, e.g. due to the expiration of used security certificates or new participants joining existing use cases. From the moment eu-LISA staff have obtained the required knowledge regarding the use of the CMT and a CMT instance is installed at eu-LISA, the Agency's staff will perform that task having me-CODEX III consortium members at their disposal to assist when necessary and evaluate the produced output on quality.
- **DPS creation:** The aim is to practice business collaboration design and data structure design in a setting with an actual use case specific sub-group. eu-LISA staff members who have attended the MC1, MC2 and MC3 master classes will be moderating these sub-group DPS creation sessions, while being monitored by the respective specialists from the consortium. Should it not be possible to set up a sub-group for a specific use case target audience, the planned activities will be performed in so-called dry run sessions, simulating a use case.
- **EU e-Justice Core Vocabulary maintenance:** As a result of DPS creation activity or required maintenance of an existing DPS, eu-LISA staff will have the opportunity to maintain the Core Vocabulary in accordance with the changes required by the DPS updates. The Me-CODEX III consortium specialists are available to support this session.
- **Connector development:** currently, no shadowing activities for Domibus Connector development are foreseen.

3.5.10. Dry run sessions

The dry run sessions are foreseen in case shadowing sessions cannot be arranged in a suitable window of opportunity. By simulating an actual use case based on an existing legal basis (e.g. one of the procedures mentioned in the upcoming e-Justice regulation), eu-LISA staff can execute all tasks necessary, while being evaluated by consortium members. In contrast to the activities carried out in the context of shadowing sessions, the outcomes of dry run sessions will not entail implementable deliverables, because no actual stakeholders are involved. Dry run sessions will demonstrate that eu-LISA staff have acquired the relevant skills and mastered the relevant techniques to perform the task.

3.6. Procedures in place

The service provision for e-CODEX will follow eu-LISA's established procedures that are common for all core business systems managed by the Agency. e-CODEX correspondents will be instructed on how to initiate these procedures based on the description in the e-CODEX Operators Manual.

- Demand management
- Change management
- Requirement management
- Stakeholder management
- Incident management
- Service requests

4. Finalisation of the takeover process and cut off actions

The following plan presents the main activities that will be completed in Q3 and Q4 2023 until eu-LISA has assumed full responsibility for the operational management of e-CODEX.

ID	Task Name	Q1 23			Q2 23			Q3 23			Q4 23		
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
1	Takeover team setup												
2	Knowledge transfer												
3	Masterclass 1												
4	Masterclass 2												
5	Masterclass 3												
6	Masterclass 4												
7	Masterclass 5-6 operators												
8	Masterclass 5-6 developers												
9	Masterclass 7												
10	Components transfer												
11	Operations setup												
12	Operations takeover												
13	Management of Digital Procedural Standards												

Takeover team setup

Since the entry into force of the e-CODEX Regulation, eu-LISA has been preparing its teams for the takeover of e-CODEX. During Q3, eu-LISA will complete the contractual process to setup the development team function.

Knowledge transfer

Together with the consortium, eu-LISA will complete all remaining master classes by the end of October.

Components transfer

During Q3, eu-LISA will prepare the different environments that will host the e-CODEX components. Once the environments are ready, the transfer of the components will be organised in coordination with the Me-CODEX consortium. This task will be completed by the end of October.

Operations setup

As part of the operations setup, eu-LISA will finalise all tasks related to the service operation of e-CODEX.

Operational takeover

Once all elements are ready and all tests have been successfully conducted, eu-LISA will consult with the Me-CODEX consortium to jointly request the Commission to set a date for declaring the successful completion of the handover and takeover process.

As part of the last tests that will be conducted, the following elements will be confirmed:

- e-CODEX system connectivity,
- data backups in place,
- all necessary updates installed on the servers,
- transfer of all credentials and passwords.

Management of Digital Procedural Standards

As part of the handover/takeover process, eu-LISA is structuring its resources and processes to be able to carry out all tasks related to the creation and maintenance of Digital Procedural Standards following the full transfer of responsibility.