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**NOTE**

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From: General Secretariat of the Council  
To: Delegations

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Subject: eu-LISA's report on the ETIAS state of preparation

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**DOCUMENT PARTIALLY ACCESSIBLE TO THE PUBLIC (13.05.2020)**

Delegations will find enclosed eu-LISA's third report on the ETIAS state of preparation.

Protection level **LIMITED BASIC**

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RELEASABLE TO Information stakeholder

**Ms Christine Roger**  
Director-General for Justice and Home Affairs  
General Secretariat of the Council of the European Union

Tallinn, 8 April 2020

**Subject: Third progress report on the state of play of the development of ETIAS**

Dear Ms Roger, *Dear Christine,*

Pursuant to Article 92(2) of Regulation (EU) 2018/1240, during the development phase of the ETIAS Information System, every six months eu-LISA shall submit a report to the European Parliament and the Council on the state of play of the development of the ETIAS Central System, the National Uniform Interfaces (NUIs) and the communication infrastructure between the ETIAS Central System and the NUIs.

The document in annex is the third progress report that addresses the provision of Article 92(2) and covers the six months period as from 11 October 2019.

I remain at your disposal should you need any additional information.

Yours sincerely,



Krum Garkov  
Executive Director

**Annex: Progress report on the development of the European Travel Information and Authorisation System (ETIAS)**

**Copy:** Mr Juan Fernando López Aguilar, Chair of the Committee on Civil Liberties, Justice and Home Affairs, European Parliament

eu-LISA **LIMITED BASIC**

2020-078

# Progress Report on the development of the European Travel Information and Authorisation System (ETIAS)

as per Article 92(2) of Regulation (EU) 2018/1240

**3<sup>rd</sup> ETIAS Progress Report  
2020**

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# Background

On 9 October 2018, Regulation (EU) 2018/1240<sup>1</sup> of 12 September 2018 establishing a European Travel Information and Authorisation System (ETIAS) and Regulation (EU) 2018/1241<sup>2</sup> amending Regulation (EU) 2016/794 for the purpose of establishing a European Travel Information and Authorisation System (ETIAS) (hereinafter, “the ETIAS Regulation”) entered into force.

The ETIAS will be an electronic system that will enable Schengen Member States to determine whether the presence of a certain visa-exempt Third-Country National (TCN) would pose irregular migration, security or public health risks. For this purpose, the ETIAS will introduce a travel authorisation as a new condition for Visa-Exempt TCNs entering the Schengen area for a short stay. Even though border guards will still conduct border control checks and take the final decision for granting or refusing entry, a valid travel authorisation will be a reliable indication to the visitor that the risk assessments performed by ETIAS in advance of the arrival at a border crossing point make him/her eligible for entering the Schengen area. These risk assessments will be largely based on interoperability with other information systems, such as the Entry/Exit System, Visa Information System, Europol data, the Schengen Information System II, the European Criminal Records Information System, etc. Where applicable, the carriers will also have to check that passengers hold a valid travel authorisation before allowing them to board the transportation means bound to a Schengen Member State.

The European Union Agency for the Operational Management of Large-Scale IT Systems in the Area of Freedom, Security and Justice (eu-LISA), in cooperation with the users of the system indicated in the above-mentioned Regulation, is expected to develop, implement and maintain the new system.

According to Article 92(1) of Regulation (EU) 2018/1240 establishing the European Travel Information and Authorisation System (ETIAS), eu-LISA shall ensure that procedures are in place to monitor the development of the ETIAS Information System in light of objectives relating to planning and costs, and to monitor the functioning of ETIAS in light of objectives relating to the technical output, cost-effectiveness, security and quality of service.

Article 92(2) of the ETIAS Regulation establishes a reporting obligation that by 10 April 2019 and every six months thereafter, eu-LISA shall submit a report to the European Parliament and to the Council on the state of play of the development of the ETIAS Central System, the National Uniform Interfaces (NUIs) and the communication infrastructure between the ETIAS Central System and the NUIs. That report shall contain detailed information about the costs incurred and information as to any risks which may impact the overall costs of the system to be borne by the general budget of the Union in accordance with Article 85. Article 19(1)(ee) of Regulation (EU) 2018/1726 on the European Union Agency for the Operational Management of Large-Scale IT Systems in the Area of Freedom, Security and Justice (eu-LISA) provides that these reports shall be adopted by the Management Board.

**The present document is the third report that addresses the provisions of Article 92 and covers the six months period starting from the 11 October 2019.**

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<sup>1</sup> Regulation (EU) 2018/1240 of the European Parliament and the Council of 12 September 2018 establishing a European Travel Information and Authorisation System (ETIAS).

<sup>2</sup> Regulation (EU) 2018/1241 of the European Parliament and the Council of 12 September 2018 amending Regulation (EU) 2016/794 for the purpose of establishing a European Travel Information and Authorisation System (ETIAS).

# Executive Summary

eu-LISA has organized implementation of ETIAS as a program which is at the time of writing of this report in its Preparatory phase which consists of four work streams: legal, recruitment, technical and transversal procurement.

During the reporting period, the following progress in the different work streams was achieved:

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- **DELETED**
  
- **Transversal Procurement work stream:** the preparation of the specifications for the call for tenders related to the Transversal Engineering Framework (TEF) has been completed and the related procurement procedure was launched on the 29 January 2020.
- **Recruitment work stream:** selection procedures were conducted and some are still on-going. They are not always singularly planned for ETIAS, but cover a range of posts from different systems, covering both 2019 and 2020 ETIAS posts.

During the reporting period, first effects of the COVID-19 crisis on ETIAS works started to materialize. In particular:

- **Legal work stream:** March Smart Border Committee has been cancelled. Most of the discussions are now carried through offline exchanges which are less efficient than direct communication. **DELETED**
  
- **DELETED**
  
- **Transversal Procurement work stream:** **DELETED**, the deadline for submission of offers for the Transversal Engineering Framework has been extended by 2 weeks. **DELETED**

- **Recruitment work stream:** pace of ongoing recruitment procedures was reduced due to the need Agency to make alternative to face-to-face meetings arrangements to conduct interviews and written tests. Travel restrictions might also affect ability of successful candidates to join the Agency on time.

Related risks have been identified and are closely monitored to decrease their potential impacts as much as possible.

# 1. Programme Organisation

The work for the development and implementation of ETIAS has been structured into a program with three distinct phases:

- (i) Phase I, the preparation phase began in 2018 **DELETED**
- (ii) **DELETED**

(iii) Phase III, the implementation phase will comprise of three main tracks: (1) the detailed requirements analysis and design of ETIAS, (2) its development, and (3) the system testing and entry into operation.

The Agency has prepared the planning for the project. The latter is addressed and subject to continuous monitoring and fine-tuning in the EES-ETIAS Advisory Group and the ETIAS PMB meetings. The Management Board of eu-LISA is continuously kept informed with the progress made.

## Phase I: The preparation phase

The preparation phase is **currently on-going** and comprises four parallel work streams:

- **Recruitment:** to hire staff entrusted to the Agency according to the legal base, to oversee the design and set-up of ETIAS, and assure the entry into operation of the system and its operational management;
- **Legal:** to support the European Commission and the Member States in drafting and revising the Legal Acts (Implementing Acts, Delegated Acts, Implementing Regulation); the scope of this activity has been enhanced for including the elements stemming from the Interoperability Regulations [[Regulations (EU) 2019/817, 2019/818];];

- **Technical:** to draft the TTS and to organise the relevant call for tender procedures for the ETIAS implementation, as well as components stemming from the Interoperability Regulations [Regulations (EU) 2019/817, 2019/818], the Common Identity Repository and the European Search Portal which will be first used by the ETIAS and then enhanced for progressively complying with the interoperability framework between EU systems;
- **Transversal Procurement:** this fourth work stream has been introduced in the preparation phase and complements the initial scope of the ETIAS preparation activities to address the challenges from a growing, interoperable system landscape and adapt to eu-LISA's new transversal organisation. Its objective is to setup a contractual shell for the design, development, testing and implementation of new systems, starting with the ETIAS.

The status of each individual work stream is provided in the following section.

## 2. Work Streams' Progress

### Recruitment

The Legal Financial Statement attached to the ETIAS Regulation sets the number of additional staff provided to eu-LISA to deliver ETIAS, in particular thirty five (35) Contract Agents and seven (7) Temporary Agents.

As part of its recruitment, the Agency has identified the adequate profiles for the preparation, implementation and operations of the ETIAS on the basis of a capability gap assessment. The identified profiles have been grouped in order to speed up the recruitment process and aligned with the Agency's new organisational structure.

Selection procedures were conducted and some are still on-going, covering both 2019 and 2020 ETIAS posts. However, the selection procedures are not always singularly planned for ETIAS, but cover a range of posts from different systems.

### Legal

The Agency has been supporting the European Commission and Member States in the framework of the Smart Borders Committee and Expert Group meetings, with the preparation of the relevant Legal Acts necessary for the drafting of the ETIAS TTS.

Together with the ETIAS consequential amendments, stable versions of the legal acts are necessary for finalising the preparation of the TTS that will support, as the main input, the call for tender for the ETIAS implementation.

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## Technical

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More details on these elements are provided in the next paragraphs of this section.

Since the start of Q4 2018, the Agency has been developing functional and technical requirements from the legal base and from the consultations with Member State experts, the European Commission, Frontex (EBCGA) and Europol. From these requirements, the legal and technical teams develop workflows and use-cases as well as share and discuss these with the Member State experts, the European Commission and other agencies.

eu-LISA translates and consolidates the agreed use-cases, workflows and other requirements from the various implementing and delegated acts into technical specifications.

Two (2) intermediate versions of the TTS have been consolidated in May and September 2019, aligned with the progress about the legal acts at those points. **DELETED**

**DELETED**

On 12 February 2020, the Management Board mandated the ETIAS Programme Management Board to review the ETIAS technical specifications pursuant to the legal base. The objective of this review is to ensure that requirements set in ETIAS Regulation are correctly translated into the technical specifications of the system. Based on the review the ETIAS PMB should then provide the Management Board of eu-LISA with recommendation for decision.

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## Transversal procurement

Pursuant to the decision to setup and use a global transversal procurement approach, the preparation of the specifications for the call for tenders related to the Transversal Engineering Framework (TEF) has been completed in January 2020. An internal task force had been assigned for the final strengthening and final revision of the deliverables before validation publication, which led to a number of revisions and fine-tuning.

The procedure was launched on the 29 January 2020 **DELETED**,  
resulting in the award of the contractors for each of the lots composing the TEF, as identified below with the associated services in scope:

- Lot 1: design, coordination, quality assurance and integration support;
- Lot 2: development;
- Lot 3: infrastructure (hardware, software, related services);
- Lot 4: testing and qualification.

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The deadline for submission of offers for the Transversal Engineering Framework has been extended by 2 weeks.

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### 3. Governance

The ETIAS Regulation defines the governance bodies to oversee and monitor the implementation of ETIAS. In this respect, the Agency has put in place the following governance bodies:

The ETIAS Programme Management Board (PMB), as per Article 73(4) is composed of ten (10) members. Its first monthly meeting was held on 1 February 2019 and continues its proceedings on monthly basis. Monthly reports on the progress of the project are submitted by the Agency to the ETIAS PMB, who submits to eu-LISA's Management Board (MB), as per legal provisions.

The EES-ETIAS Advisory Group (AG), as per Article 91, is mandated to follow up on the state of preparations of the Member States; it also covers the preparation activities of the involved EU Agencies, i.e. EBGCA and Europol. The Advisory Group is fully operational and continues its regular meetings on monthly basis and reports after each meeting to the ETIAS PMB. During the reporting period, the AG focused on:

**DELETED**

eu-LISA, in cooperation with the European Commission, established a Working Group (WG) for Carriers. The WG meets on regular basis and its activities are reported to the AG and to the ETIAS PMB; it aims at facilitating the carriers' preparation for the implementation of their obligations stemming from the EES and ETIAS legal frameworks. At the time of writing of this report, the WG discussed with the Carrier associations, business and technical aspects. The latter assisted to covering additional aspects in the associated Carrier Implementing Regulation.

Due to the corona virus crisis, new ways are explored (virtual tele conference) to organise the PMB and AG meetings) in order to comply with the provisions of the ETIAS regulation.

## 4. Budget Execution

The ETIAS Legislative Financial Statement accompanying the European Commission's proposal for ETIAS indicates that the amount of **EUR 100,800,800** is to be transferred to the eu-LISA budget line to cover the activities taking place during the 2018-2020 period of development.

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## 5. Major Issues

The following info on major issues has been identified:

Issue	Description	Management approach
Issue related to the COVID-19 situation	<p>The first effects of the COVID-19 crisis on ETIAS works started to materialize, in particular:</p> <ul style="list-style-type: none"> <li>• Cancellation or re-organisation of several decisional meetings;</li> <li>• Difficulties for tenderers to prepare offers for the TEF procurement;</li> <li>• Due to travel restrictions, pace of ongoing recruitment procedures was reduced.</li> </ul>	<p>The following remediation has been applied:</p> <ul style="list-style-type: none"> <li>• Most of the discussions are now carried through offline exchanges which are less efficient than direct communication;</li> <li>• The deadline for submission of offers for the Transversal Engineering Framework has been extended by 2 weeks;</li> <li>• Agency had to make alternative to face-to-face meetings arrangements to conduct interviews and written tests.</li> </ul>
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# 6. Major Risks

The following major risks have been identified:

Risk title	Risk description	Management approach
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## 7. Abbreviations

Abbreviation	Description
AG	Advisory Group
BCU	Backup Central Unit
CA	Consequential Amendments
CEPOL	European Union Agency for Law Enforcement Training
CR	Change Request
CS	Central System
COM	European Commission
CT	Compliance Test
CU	Central Unit
DC	Data Centre
DRP	Disaster Recovery Plan
EiO	Entry into Operation
EBCGA	European Border and Coast Guard Agency (Frontex)
EP	European Parliament
ETIAS	European Travel Information and Authorisation System
EU	European Union
FwC	Framework Contract
HL	High Level
HR	Human Resources
HW	Hardware
IA	Implementing Acts
ICD	Interface Control Document / technical documentation
ICT	Information and Communication Technology
IT	Information Technology
LFS	Legislative Financial Statement
MB	Management Board
MFF	Multi-annual Financial Framework
MS	Member State(s)
N/A	Not Applicable



NUI	National Uniform Interface
PID	Project Initiation Document
PoC	Proof of Concept
PMB	Programme Management Board
TA	Temporary Agent
tbc	To be confirmed
TCN	Third Country Nationals
TEF	Transversal Engineering Framework
TTS	Tender Technical Specifications
WFE	Workflow Engine
WG	Working Group
WP	Work Package

\*\*\*End of the Report\*\*\*

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