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ANNEXES 1 to 8

ANNEXES

to the

Proposal for a Regulation of the European Parliament and of the Council establishing the Internal Security Fund

{SWD(2018) 347 final} - {SWD(2018) 348 final} - {SEC(2018) 315 final}

ANNEX I

Criteria for the allocation of funding to the programmes under shared management

The financial envelope referred to in Article 10 shall be allocated to the Member States programmes as follows:

- (1) a one-time fixed amount of EUR 5 000 000 will be allocated to each Member State at the start of the programming period to ensure a critical mass for each programme and to cover needs that would not be directly expressed through the criteria indicated below;
- (2) the remaining resources will be distributed according to the following criteria:
 - (a) 45 % in inverse proportion to their gross domestic product (purchasing power standard per inhabitant),
 - (b) 40 % in proportion to the size of their population,
 - (c) 15 % in proportion to the size of their territory.

The initial allocation shall be based on the latest annual statistical data produced by the Commission (Eurostat) covering the preceding calendar year. For the mid-term review, the reference figures shall be the latest annual statistical data produced by the Commission (Eurostat) covering the preceding calendar year available at the time of the mid-term review in 2024.

ANNEX II

Implementation measures

The Fund shall contribute to the specific objective set out in Article 3(2)(a) by focusing on the following implementation measures:

- (a) to ensure the uniform application of the Union *acquis* on security supporting information exchange for example via Prüm, EU PNR and SIS II, including through the implementation of recommendations from quality control and evaluation mechanisms such as the Schengen evaluation mechanism and other quality control and evaluation mechanisms;
- (b) to set up, adapt and maintain security relevant Union IT systems and communication networks, including their interoperability, and to develop appropriate tools to address identified gaps;
- (c) to increase the active use of Union security relevant information exchange tools, systems and databases ensuring that these are fed with high quality data;
- (d) to support relevant national measures if relevant to implement the specific objectives set out in Article 3(2)(a).

The Fund shall contribute to the specific objective set out in Article 3(2)(b), by focusing on the following implementation measures:

- (a) to increase law enforcement operations between Member States, including when appropriate with other relevant actors, in particular to facilitate and improve the use of joint investigation teams, joint patrols, hot pursuits, discreet surveillance and other operational cooperation mechanisms in the context of the EU Policy Cycle (EMPACT), with special emphasis on cross-border operations;
- (b) to increase coordination and cooperation of law enforcement and other competent authorities within and between Member States and with other relevant actors, for example through networks of specialised national units, Union networks and cooperation structures, Union centres;
- (c) to improve inter-agency cooperation and at Union level between the Member States, or between Member States, on the one hand, and the relevant Union bodies, offices and agencies on the other hand as well as at national level among the national authorities in each Member State.

The Fund shall contribute to the specific objective set out in Article 3(2)(c), by focusing on the following implementation measures:

- (a) to increase law enforcement training, exercises, mutual learning, specialised exchange programmes and sharing of best practice including in and with third countries and other relevant actors;
- (b) to exploit synergies by pooling resources and knowledge among Member States and other relevant actors, including civil society through, for instance, the creation of joint centres of excellence, the development of joint risk assessments, or common operational support centres for jointly conducted operations;

- (c) to promote and develop measures, safeguards, mechanisms and best practices for the early identification, protection and support of witnesses, whistleblowers and victims of crime and to develop partnerships between public authorities and other relevant actors to this effect;
- (d) to acquire relevant equipment and to set up or upgrade specialised training facilities and other essential security relevant infrastructure to increase preparedness, resilience, public awareness and adequate response to security threats.

ANNEX III

Actions to be supported by the Fund in-line with Article 4

- IT systems and networks contributing to the achievement of the objectives of this Regulation, training on the use of such systems, testing and improving interoperability and data quality of such systems;
- monitoring of the implementation of Union law and Union policy objectives in the Member States in the area of security information systems;
- EMPACT actions implementing or facilitating the implementation of the EU Policy Cycle;
- actions supporting an effective and coordinated response to crisis linking up existing sector-specific capabilities, expertise centres and situation awareness centres, including those for health, civil protection and terrorism;
- actions developing innovative methods or deploying new technologies with a potential for transferability to other Member States, especially projects aiming at testing and validating the outcome of Union-funded security research projects;
- support to thematic or cross-theme networks of specialised national units to improve mutual confidence, exchange and dissemination of know-how, information, experiences and best practices, pooling of resources and expertise in joint centres of excellence;
- education and training of staff and experts of relevant law-enforcement and judicial authorities and administrative agencies taking into account operational needs and risk analyses, based on the LETS and in cooperation with CEPOL and, when applicable, the European Judicial Training Network;
- cooperation with the private sector in order to build trust and improve coordination, contingency planning and the exchange and dissemination of information and best practices among public and private actors including in the protection of public spaces and critical infrastructure;
- actions empowering communities to develop local approaches and prevention policies, and awareness-raising and communication activities among stakeholders and the general public on Union security policies;
- equipment, means of transport, communication systems and essential security-relevant facilities;
- cost of staff involved in the actions that are supported by the Fund or actions requiring involvement of staff for technical or security-related reasons.

ANNEX IV

Actions eligible for higher co-financing in-line with Articles 11(2) and 12(6)

- Projects which aim to prevent and counter radicalisation.
- Projects which aim at improving the interoperability of IT systems and communication networks.¹

¹ In line with the Commission Communication on stronger and smarter information systems for borders and security COM(2016) 205.

ANNEX V

Core performance indicators referred to in Article 24(1)

Specific Objective 1: Better information exchange

- (1) Use of EU information exchange mechanisms,
data source: Europol, EU-LISA, Council, Member States

Specific Objective 2: Increased operational cooperation

- (1) Number of joint operational actions supported by the Fund.
data source: Europol, Eurojust, Member States
- (2) The estimated value of assets frozen, estimated value of assets confiscated with the help of the Fund.
data source: Member States
- (3) Value of illicit drug seizures achieved with involvement of cross-border cooperation between law enforcement agencies.
data source: Member States, Union action grant beneficiaries
- (4) Number of Schengen Evaluation Recommendations with a financial implication in the area of security addressed with the support of the Fund, as compared to the total number of recommendations with a financial implication in the area of security.
data source: Member States

Specific Objective 3: Strengthened capabilities to combat and to prevent crime

- (5) Number of law enforcement officials that completed training, exercises, mutual learning or specialised exchange programmes on cross-border related topics provided with the support of the Fund.
data source: Member States
- (6) Number of critical infrastructures and public spaces of which the protection against security-related incidents has been improved with the help of the Fund.
data source: Member States
- (7) Number of initiatives to prevent radicalisation leading to violent extremism.
data source: RAN

ANNEX VI

Types of intervention

TABLE 1: CODES FOR THE INTERVENTION FIELD DIMENSION

| | |
|----|---|
| 1 | TER-Countering Terrorist Financing |
| 2 | TER-Prevention and countering of radicalisation |
| 3 | TER-Protection and resilience of public spaces and other soft targets |
| 4 | TER- Protection and resilience of critical infrastructure |
| 5 | TER-Chemical Biological Radioactive Nuclear |
| 6 | TER-Explosives |
| 7 | TER-Crisis Management |
| 8 | TER-Other |
| 9 | OC-Corruption |
| 10 | OC-Economic and Financial Crime |
| 11 | OC-Drugs |
| 12 | OC-Firearms trafficking |
| 13 | OC-Trafficking in Human Beings |
| 14 | OC-Migrant Smuggling |
| 15 | OC-Environmental Crime |
| 16 | OC-Organised Property Crime |
| 17 | OC-Other |
| 18 | CC-Cybercrime - Other |
| 19 | CC-Cybercrime – Prevention |
| 20 | CC-Cybercrime - Facilitating investigations |
| 21 | CC-Cybercrime - Victims assistance |
| 22 | CC-Child Sexual Exploitation - Prevention |
| 23 | CC-Child Sexual Exploitation – Facilitating investigations |
| 24 | CC-Child Sexual Exploitation - Victims assistance |
| 25 | CC- Child Sexual Exploitation – Other |
| 26 | CC-Other |
| 27 | GEN-Information exchange |
| 28 | GEN-Police or interagency cooperation (customs, border guards, intelligence services) |
| 29 | GEN-Forensics |

| | |
|----|---|
| 30 | GEN-Victim support |
| 31 | GEN-Operating support |
| 32 | TA-Technical assistance - information and communication |
| 33 | TA-Technical assistance - preparation, implementation, monitoring and control |
| 34 | TA-Technical assistance - evaluation and studies, data collection |
| 35 | TA-Technical assistance - capacity building |

TABLE 2: CODES FOR THE TYPE OF ACTION DIMENSION

| | |
|----|---|
| 1 | IT-systems, interoperability, data quality, communication systems (excluding equipment) |
| 2 | Networks, centres of excellence, cooperation structures, joint actions and operations |
| 3 | Joint Investigation Teams (JITs) or other joint operations |
| 4 | Secondment or deployment of experts |
| 5 | Training |
| 6 | Exchange of best practices, workshops, conferences, events, awareness raising campaigns, communication activities |
| 7 | Studies, pilot projects, risk assessments |
| 8 | Equipment (included in calculation of 15% cap) |
| 9 | Means of transport (included in calculation of 15% cap) |
| 10 | Buildings, facilities (included in calculation of 15% cap) |
| 11 | Deployment or other follow-up of research projects |

TABLE 3: CODES FOR THE IMPLEMENTATION MODALITIES DIMENSION

| | |
|---|---|
| 1 | Cooperation with third countries |
| 2 | Actions in third countries |
| 3 | Implementation of Schengen evaluation recommendations in the area of police cooperation |
| 4 | Specific Actions (not known at programming stage) |
| 5 | Emergency Assistance (not known at programming stage) |
| 6 | Actions listed in Annex IV |

ANNEX VII

Eligible actions for operating support

Within specific objective *better information exchange*, operating support within the programmes shall cover:

- maintenance and helpdesk of Union and where relevant national IT systems contributing to the achievement of the objectives of this Regulation.
- staff costs contributing to the achievement of the objectives of this Regulation

Within specific objective *increased operational cooperation*, operating support within the national programmes shall cover:

- maintenance of technical equipment or means of transport used for actions in the area of prevention, detection and investigation of serious and organised crime with a cross-border dimension.
- staff costs contributing to the achievement of the objectives of this Regulation

Within specific objective *strengthened capabilities to prevent and to combat crime*, operating support within the national programmes shall cover:

- maintenance of technical equipment or means of transport used for actions in the area of prevention, detection and investigation of serious and organised crime with a cross-border dimension.
- staff costs contributing to the achievement of the objectives of this Regulation

Actions which are not eligible under Article 4(3) shall not be covered.

ANNEX VIII

Output and result indicators referred to in Article 24(3)

Specific Objective 1: Better information exchange

- (1) Use of EU information exchange mechanisms measured through the:
 - (a) number of searches performed in the Schengen Information System (SIS);
 - (b) number of searches in the system for transnational exchange of forensic data (DNA, fingerprints, number plates) between Member States (Prüm automated data exchange system);
 - (c) number of messages exchanged through Europol's Secure Information Exchange Network Application (SIENA);
 - (d) number of searches performed in Europol's Information System (EIS);
 - (e) total number of passengers whose EU Passenger Name Record (PNR) data have been collected and exchanged;

data source: Europol, EU-LISA, Council, Member States

- (2) Number of new connections between security-relevant databases made with support of the Fund:
 - (a) with EU and where relevant international databases;
 - (b) within the Member State;
 - (c) with one or more other Member States;
 - (d) with one or more third countries.

data source: Member States

- (3) Number of active users of EU and where relevant national security relevant information exchange tools, systems and databases added with support from the Fund, as compared to number of total users.

data source: Member States

Specific Objective 2: Increased operational cooperation

- (4) Number of joint operational actions supported by the Fund, including the participating Member States and authorities and broken down by area (counter-terrorism, organised crime general, organised crime firearms, cybercrime, other):
 - (a) number of joint investigation teams (JITs);
 - (b) number of European Multidisciplinary Platform against Criminal Threats (EMPACT) operational projects;
 - (c) other joint operational actions.

data source: Europol, Eurojust, Member States

- (5) Participation in transnational networks operating with support of the Fund.

data source: Member States, Union action or EMAS grant beneficiaries

- (6) The estimated value of assets frozen, estimated value of assets confiscated with the help of the Fund.
data source: Member States
- (7) Value of illicit drug seizures achieved with involvement of cross-border cooperation between law enforcement agencies.
data source: Member States, Union action grant beneficiaries
- (8) Number of outputs of existing transnational networks generated with the help of the Fund, such as for example manuals on best practices, workshops, common exercises.
data source: Union action grant beneficiaries
- (9) Number of Schengen Evaluation Recommendations with a financial implication in the area of security addressed with the support of the Fund, as compared to the total number of recommendations with a financial implication in the area of security.
data source: Member States

Specific Objective 3: Strengthened capabilities to combat and to prevent crime

- (10) Number of law enforcement officials that completed training, exercises, mutual learning or specialised exchange programmes on cross-border related topics provided with the support of the Fund, broken down by the following areas:
- (a) counter terrorism;
 - (b) organised crime;
 - (c) cybercrime;
 - (d) other areas of operational cooperation.
- data source: Member States*
- (11) Number of manuals on best practices and investigation techniques, standard operating procedures and other tools developed with support of the Fund as a result of interaction between different organisations across the EU.
data source: Member States, Union action or EMAS grant beneficiaries
- (12) Number of victims of crime assisted with the support of the Fund, broken down by type of crime (trafficking in human beings, migrant smuggling, terrorism, serious and organised crime, cybercrime, child sexual exploitation).
data source: Member States
- (13) Number of critical infrastructures and public spaces of which the protection against security-related incidents has been improved with the help of the Fund.
data source: Member States
- (14) Number of initiatives to prevent radicalisation leading to violent extremism:
- (a) number of hits on the website of the Radicalisation Awareness Network (RAN);
 - (b) number of participants in the RAN broken down by type of expert;
 - (c) number of study visits, trainings, workshops and counselling completed in Member States in close coordination with national Authorities broken down by beneficiaries (law enforcement authorities, other).

data source: RAN

(15) Number of partnerships established with the support of the Fund contributing to improving support of witnesses, whistle-blowers and victims of crime:

(a) with the private sector;

(b) with civil society.

data source: Member States, Union action or EMAS grant beneficiaries