

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
(Text with EEA relevance)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Regulation (EU) 2022/850 of the European Parliament and of the Council of 30 May 2022 on a computerised system for the cross-border electronic exchange of data in the area of judicial cooperation in civil and criminal matters (e-CODEX system), and amending Regulation (EU) 2018/1726 ⁽¹⁾, and in particular Article 6(1), point (c), thereof,

Whereas:

- (1) It is necessary to establish the detailed arrangements for the handover and takeover process for the transfer of the e-CODEX system from the entity managing the e-CODEX system to eu-LISA.
- (2) These arrangements should include the criteria for a successful handover and takeover process and for the successful completion of that process and related documentation.
- (3) Detailed handover arrangements should also establish provisions on intellectual property rights or usage rights relating to the e-CODEX system and its supporting software products, documentation and other assets that the common handover document should lay down to enable eu-LISA to carry out its responsibilities and tasks.
- (4) In accordance with Articles 1 and 2 of Protocol No 22 on the position of Denmark, annexed to the Treaty on European Union and to the Treaty on the Functioning of the European Union, Denmark did not take part in the adoption of Regulation (EU) 2022/850 and is therefore not bound by or subject to the application of this Decision.
- (5) In accordance with Articles 1 and 2 and Article 4a(1) of Protocol No 21 on the position of the United Kingdom and Ireland in respect of the area of freedom, security and justice, annexed to the Treaty on European Union and to the Treaty on the Functioning of the European Union, and without prejudice to Article 4 of that Protocol, Ireland did not take part in the adoption of Regulation (EU) 2022/850 and is therefore not bound by or subject to the application of this Decision.
- (6) The European Data Protection Supervisor was consulted in accordance with Article 42(1) of Regulation (EU) 2018/1725 of the European Parliament and of the Council ⁽²⁾ and delivered an opinion on 24 November 2022.
- (7) The measures provided for in this Decision are in accordance with the opinion of the committee established by Article 19(1) of Regulation (EU) 2022/850,

HAS ADOPTED THIS DECISION:

Article 1

The detailed arrangements for the handover and takeover process of the e-CODEX system referred to in Article 10 of Regulation (EU) 2022/850 shall be as set out in the Annex to this Decision.

⁽¹⁾ OJ L 150, 1.6.2022, p. 1.

⁽²⁾ Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC (OJ L 295, 21.11.2018, p. 39).

Article 2

The criteria for a successful handover and takeover process and for the successful completion of that process and related documentation, referred to in Article 10 of Regulation (EU) 2022/850 shall be as set out in the Annex to this Decision.

Article 3

The provisions on intellectual property rights or usage rights relating to the e-CODEX system to be included in the common handover document shall be as set out in the Annex to this Decision.

Article 4

This Decision shall enter into force on the twentieth day following that of its publication in the *Official Journal of the European Union*.

Done at Brussels, 20 December 2022.

For the Commission
The President
Ursula VON DER LEYEN

ANNEX

Specific arrangements for the handover and takeover process of the e-CODEX system**1. INTRODUCTION**

A handover and takeover process is to take place between the entity managing the e-CODEX system and eu-LISA. Until the handover, the entity managing the e-CODEX system is to retain full responsibility for it and is to ensure that no changes to the e-CODEX system are made and that no new software release is delivered other than for the purpose of carrying out corrective maintenance of the e-CODEX system.

The objective of these specific arrangements is to specify:

- the detailed arrangements for the transfer of the e-CODEX system to eu-LISA;
- the criteria for a successful handover and takeover process and for successful completion of that process and related documentation;
- provisions on intellectual property rights or usage rights relating to the e-CODEX system and the supporting software products, documentation and other assets (listed in the Annex to Regulation (EU) 2022/850 of the European Parliament and of the Council ⁽¹⁾).

On the basis of the specific arrangements for the handover and takeover process set out in this Annex, the entity managing the e-CODEX system is to, in accordance with Article 10(1) of Regulation (EU) 2022/850, submit a common handover document to eu-LISA by 31 December 2022. A template for this common handover document is in the appendix to this Annex.

The Commission is to monitor the handover and takeover process in order to ensure that the detailed arrangements for the transfer of the e-CODEX system are correctly implemented.

According to Article 10(4) of Regulation (EU) 2022/850, 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, between 1 July 2023 and 31 December 2023, after consulting the entity managing the e-CODEX system and eu-LISA.

2. MAIN MILESTONES

- (a) Common handover document delivery date: by 31 December 2022;
- (b) Handover and takeover process: Within the six month period following the delivery of the common handover document;
- (c) Handover and takeover process kick-off meeting is to take place in January 2023, the exact date is to be agreed upon between eu-LISA, the entity managing the e-CODEX system and the Commission;
- (d) Transfer of responsibility to eu-LISA: 31 December 2023 at the latest, but not earlier than 1 July 2023.

3. HANDOVER AND TAKEOVER ACTIVITIES

The handover and takeover process starts by the submission by the entity managing the e-CODEX system to eu-LISA of a common handover document. eu-LISA is to check and confirm that all the relevant information is included in the common handover document to ensure a successful handover. That common handover document is to include detailed information regarding, at least, the following items:

- (a) planning of all activities to be carried out as specified in this Annex, including synchronisation meetings, trainings, testing, etc.;

⁽¹⁾ Regulation (EU) 2022/850 of the European Parliament and of the Council of 30 May 2022 on a computerised system for the cross-border electronic exchange of data in the area of judicial cooperation in civil and criminal matters (e-CODEX system), and amending Regulation (EU) 2018/1726 (OJ L 150, 1.6.2022, p. 1).

- (b) all assets and artefacts to be handed over at the start of the handover period and at its end (initial handover of assets and final handover of assets). The definition of “initial handover of assets” and “final handover of assets” can be found in the appendix to this Annex;
- (c) all trainings, workshops, information and shadowing sessions that will be scheduled;
- (d) all the working procedures of the entity managing the e-CODEX system in place. In case these procedures are not documented, they are to be clearly identified, documented and handed over to eu-LISA;
- (e) the contact details of all involved parties during the whole period of handover and takeover activities, together with a roles and responsibilities matrix;
- (f) clear, verifiable and objective success criteria to assess the handover and takeover process;
- (g) test specifications to assess the correct execution of the takeover process;
- (h) provisions on intellectual property rights or usage rights relating to the e-CODEX system and the supporting software products, documentation and other assets listed in the Annex to Regulation (EU) 2022/850, enabling eu-LISA to carry out its responsibilities in accordance with Article 7 of Regulation (EU) 2022/850.

The purpose of the common handover document is to provide a tool for a transparent, smooth and complete migration of the IT services from the entity managing the e-CODEX system to eu-LISA, under monitoring by the Commission.

It is to describe all means to be put in place by eu-LISA and the entity managing the e-CODEX system to ensure this smooth transition.

An example of the structure of such document is in the appendix to this Annex. It may be adapted as necessary, provided that it contains detailed information regarding the items listed in this section.

Both the entity managing the e-CODEX system and eu-LISA shall produce respectively by 30 June 2023 handover and takeover reports on the results of 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 process (see points 5 and 6 of this Annex).

The format and means of transfer (e.g. common collaboration space such as the previous “Basic Support for Cooperative Work”, Communication and Information Resource Centre for Administrations, Businesses and Citizens – CIRCABC, access to current repositories, etc.) of each artefact are to be agreed upon mutually between eu-LISA and the entity managing the e-CODEX system, taking into account the target system to be used in eu-LISA’s environment.

Infrastructure and security requirements for each asset are to be addressed in the documentation of the relevant component and/or the referred masterclass.

A non-exhaustive list of components of the e-CODEX system, the supporting software products, documentation and other assets is presented in the following table.

Summary table of the components, artefacts and handover support activities:

	Component	Artefacts	Handover Support
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
	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
	Repository Server (currently: Nexus)	Repositories	Masterclass "development and infrastructure"
	Integration Server (currently: Jenkins)	Integration Items	
	Source Code Repository (currently: Gitblit)	Source Code	
	e-CODEX Website	e-CODEX Website Contents	Masterclass "e-CODEX Overview"
Items to develop & deliver	e-CODEX Architecture	e-CODEX Website Documentation	Documentation Masterclass "e-CODEX Overview"
	Connector Suite	For each component (Connector, Client, Plugin, Security Library, Utilities, etc.): Source Code Documentation	Documentation Masterclass "Connector"
	Use Case Schemas: — European Payment Order — Small Claims — European Arrest Warrant — Financial Penalties — MLA — FD 909 (Custodial Sentences) — Matrimonial Matters — EU Account Preservation Order — Register of Wills — Service of Documents	Schemas Business Process Model EU e-Justice Core Vocabulary (Access to be granted via the tool "Metadata Workbench")	Documentation Masterclass "Schemas"
Other Items	e-CODEX Tickets	All tickets including all statuses (for knowledge management purposes)	Masterclass "Connector" Database dump with all data
	e-CODEX Connector Suite Roadmap	e-CODEX Website	Masterclass "Connector"
	e-CODEX Security Requirements	Document	Masterclass "Connector"

4. ACTIVITIES

(a) Training Activities

The entity managing the e-CODEX system is to prepare a list of training modules to ensure the complete knowledge transfer to eu-LISA.

Training materials and planning needs are to be defined and agreed upon between all involved actors for each training module and masterclass. In particular, if eu-LISA considers them necessary it is to be allowed to request for and receive additional training modules and masterclasses.

The specific planning and scheduling of the training, hands-on and shadowing sessions (where eu-LISA team can learn by observing the technical team of the entity managing e-CODEX system) are to be detailed in the common handover document.

A minimum, non-exhaustive list of trainings to be provided is included in the following table:

Title	Content of the module	Doc type
Training Materials Module 1: Masterclass e-CODEX overview	During this first Masterclass the participants will get a general overview of what e-CODEX entails, including an overview of the basic e-CODEX architecture, the general e-CODEX principles and a short historical overview of how e-CODEX came to be. This module is mainly based on theoretical facts.	PPT presentation & e-CODEX Syllabus materials
Training Materials Module 2: Masterclass connector	During this Masterclass the participants will receive an in-depth explanation on the Connector Suite and its different products/components, including the relation with the gateway. This module consists of a theoretical part, a hands-on training and optional shadowing session(s), including installation, troubleshooting and technical support.	PPT presentation & e-CODEX Syllabus materials
Training Materials Module 3: Masterclass Schemas	During this Masterclass the participants will get familiar with the data schemas developed by the entity managing the e-CODEX system. The focus will also lie on the Metadata Workbench in which the EU e-Justice Core Vocabulary is being administered and to the technique of business process modelling. This module consists of a theoretical part, a hands-on training and optional shadowing sessions(s).	PPT presentation & e-CODEX Syllabus materials
Training Materials Module 4: Masterclass CMT	During this Masterclass the participants will get acquainted with the features and processes of the Configuration Management Tool. The CMT is an online tool to manage the collection of participant data and the distribution of e-CODEX configuration files. This module consists of a theoretical part, a hands-on training and optional shadowing sessions(s).	PPT presentation & e-CODEX Syllabus materials

Title	Content of the module	Doc type
Training Materials Module 5: Masterclass CTP	During this Masterclass the participants will get familiar with the features and processes of the Central Testing Platform and the testing strategy. The CTP provides a full e-CODEX test environment and a web interface for sending and receiving customisable test messages. This module consists of a theoretical part, a hands-on training and optional shadowing sessions(s).	PPT presentation & e-CODEX Syllabus materials
Training Materials Module 6: Masterclass development and infrastructure	During this Masterclass the participants will further discuss development and infrastructural topics, such as repository server management. This module consists of a theoretical part, a hands-on training and optional shadowing sessions(s).	PPT presentation & e-CODEX Syllabus materials
Training Materials Module 7: Debugging masterclass	During this masterclass the participants will learn about the detection and correction of the potential e-CODEX system bugs and problem resolution, including resolution of support requests. This module consists of a theoretical part, a hands-on training and optional shadowing sessions(s).	PPT presentation & e-CODEX Syllabus materials

(b) Transparency of the handover and takeover process

The handover and takeover process are to be transparent to the end-users, minimising the impact on their working procedures and daily activities. The entity managing the e-CODEX system is to ensure and continue providing technical support to the entities operating and or installing authorised e-CODEX access points until eu-LISA takes over responsibility for the e-CODEX system.

(c) Responsibility of eu-LISA and the entity managing the e-CODEX system during the handover and takeover process

In accordance with Article 10(2) of Regulation (EU) 2022/850, until the handover, the entity managing the e-CODEX system is to retain full responsibility for it and is to ensure that no changes to the e-CODEX system are made and that no new software release is delivered other than for the purpose of carrying out corrective maintenance of the e-CODEX system.

For this purpose, the entity managing the e-CODEX system, is to continue to provide component maintenance and support during this period.

For all support requests, the entity managing the e-CODEX system is to be the single point of contact until eu-LISA takes over responsibility for the e-CODEX system.

eu-LISA may request that the support requests received by the entity managing the e-CODEX system before eu-LISA takes over responsibility for the e-CODEX system are communicated to designated personnel at eu-LISA who is to be allowed to follow the resolution steps carried out by the entity managing the e-CODEX system.

The entity managing the e-CODEX system is to resolve all support requests received before eu-LISA takes over responsibility for the e-CODEX system. Only when justified on objective technical grounds, the entity managing the e-CODEX system may agree with eu-LISA on handover of support requests received by it, but which cannot be resolved by the time of transfer of responsibility for the e-CODEX system to eu-LISA. The entity managing the e-CODEX system is to ensure that such an agreement has no impact on the end user and that it implies no delay in resolving the support request. This agreement will be formalised under success criterion number 6 under point 5 of this Annex.

The entity managing the e-CODEX system is to provide eu-LISA with an exhaustive list of users of the e-CODEX system, whom eu-LISA is to notify that it has taken over responsibility for the e-CODEX system within 30 days after that takeover takes place.

The entity managing the e-CODEX system is to support eu-LISA and assist it as needed until 31 March 2024.

For each component, the entity managing the e-CODEX system could suggest a list of developments to be made in relation to users' needs.

5. CRITERIA FOR A SUCCESSFUL HANDOVER PROCESS

	Criteria	Monitoring indicator	Means of verification	Deadline
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
2	Transfer of all components of the e-CODEX system	All assets delivered and complete	Express acknowledgement by eu-LISA	By 1 July 2023
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
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
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.	<ol style="list-style-type: none"> 1. 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. 2. 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. 	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

	Criteria	Monitoring indicator	Means of verification	Deadline
			3. 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.	
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	1. A list of open support requests by the entity managing the e-CODEX system. 2. 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
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

6. CRITERIA FOR A SUCCESSFUL TAKEOVER PROCESS

For each artefact and each transferred asset, the purpose of the handover and takeover process is to ensure that the e-CODEX system, the business knowledge, technical knowledge, and best practises and techniques concerned with the services provided by the entity managing the e-CODEX system are correctly taken over by eu-LISA, following the completion of a test process.

The scope of the takeover test process is to consist of the execution of test cases prepared to prove that business knowledge has been acquired by eu-LISA and readiness exists for the activities foreseen to be taken over. The test specifications are to be provided by the entity managing the e-CODEX system.

When a test execution fails, its impact level is to be determined as follows:

Impact level	Effect on service
1	Service cannot be carried out
2	Corresponding service(s) cannot be performed properly and problem cannot be circumvented.
3	Minor impact on corresponding service(s).

The test cases are to cover specific processes that are applicable to the assets taken over. Test cases are to be grouped per main process; the execution of all the test cases of a main process is to prove the status of readiness of eu-LISA.

The test execution is to conclude when all the following success criteria are met:

- (a) No defect of impact level 1 is open. If an impact level 1 defect is encountered:
 - (i) The test is to be suspended;
 - (ii) The defect is to be resolved;
 - (iii) The failed test case and any associated cases are to be rerun until the defect is corrected;
 - (iv) The test is to be successfully completed.
- (b) No impact level 2 defect is open;
- (c) Max 10 % of test cases are marked with impact level 3 defects.

To this end, at least the following criteria are to be met and their fulfilment demonstrated by eu-LISA at the deadlines set up in the following table:

	Criterion	Monitoring indicator	Means of verification	Deadline
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
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
3	Allocation of sufficient resources within eu-LISA	1. Recruitment of e-CODEX project staff by 1 January 2023. 2. Designation of the project manager 3. Designation of the technicians to be trained	eu-LISA acknowledgement	By 1 January 2023
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.
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

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
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
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
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
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
11	Application access credentials	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

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
13	Takeover of the development activities	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
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
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
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
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
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

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.	<ol style="list-style-type: none"> 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
20	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

7. INTELLECTUAL PROPERTY RIGHTS OR USAGE RIGHTS

The entity managing the e-CODEX system is to transfer to eu-LISA the intellectual property rights and usage rights relating to the e-CODEX system and the supporting software products, documentation and other assets listed in the Annex to Regulation (EU) 2022/850 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.

eu-LISA is to receive these rights free of charge and without any limitation, becoming their sole owner.

eu-LISA is to continue to provide those software components and their subsequent versions under the European Union Public Licence (EUPL).

8. TIMELINE

A timeline, conditional on the availability of each entity (entity managing the e-CODEX system and eu-LISA) will be reviewed and validated at the first scoping meeting.

Duration of the masterclasses (indication):

	Component	Handover Support	Duration (indication)	Sequence
Items to develop & operate	Configuration Management Tool – CMT	Documentation Masterclass "CMT"	2 days	4th
	Central Testing Platform – CTP	Documentation Masterclass "CTP"	2 days	5th
	Repository Server (currently: Nexus)	Masterclass "development and infrastructure"	2 days	6th
	Integration Server (currently: Jenkins)			
	Source Code Repository (currently: Gitblit)			
Items to develop & deliver	e-CODEX Architecture	Documentation Masterclass "e-CODEX Overview"	4 days	1st
	Connector Suite	Documentation Masterclass "Connector"	20 days	2nd
	Use Case Schemas	Documentation Masterclass "Schemas"	10 days	3rd

9. STRUCTURE OF THE HANDOVER REPORT TO BE PROVIDED BY THE ENTITY MANAGING THE e-CODEX SYSTEM

The Handover report will be written as a summary of all activities performed within the scope of the handover:

- (a) List of the assets and artefacts provided to eu-LISA at the end of the handover period;
- (b) description and content of all workshops organised during the handover;
- (c) list of presentations and related documents given during the workshops;
- (d) list of lessons learned;
- (e) list of open issues at the end of the handover;
- (f) conclusion and readiness of eu-LISA.

10. STRUCTURE OF THE TAKEOVER REPORT TO BE PROVIDED BY eu-LISA

The main deliverable produced by eu-LISA during this phase is the takeover report. This document will contain, among other, information about:

- (a) Statement of readiness to take over the project;
- (b) demonstration, for each process, that eu-LISA is indeed ready to take over the activities;
- (c) the report will list the test plan that is run and the results of each test. The test coverage is to include all assets and activities performed during this period, and according to the completion criteria defined earlier in this document.

At least the following items should be present in the takeover report document:

- (a) Security Measures;
- (b) Knowledge transfer and acquisition:
 - (i) Transfer of documentation;
 - (ii) Transfer of data;
 - (iii) Transfer of tickets (closed and open ones);
 - (iv) Technical meetings;
 - (v) Training sessions;
 - (vi) Hands-on session;
 - (vii) Shadowing sessions;
 - (viii) If applicable, parallel dry run sessions.
- (c) Procedure in place when applicable;
- (d) Finalisation of the takeover process and cut off actions:
 - (i) e-CODEX system connectivity (all necessary components reachable);
 - (ii) Data backups in place;
 - (iii) All necessary updates are installed on the servers;
 - (iv) Credentials and password transfer.

APPENDIX

COMMON HANDOVER DOCUMENT STRUCTURE

Document change log

Edition	Issue Date		Modified paragraphs	Modifications

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Note: The text inserted in the following document sections is only provided as an example for clarification purposes. The entity managing the e-CODEX system and eu-LISA teams may adapt its structure as necessary in order to carry out their activities, provided that it contains detailed information regarding the items listed in section 3 of the Annex.

1. REFERENCE AND APPLICABLE DOCUMENTS

1.1. Reference documents

ID	Title	Reference	Version

Table 1: Reference documents

1.2. Applicable documents

ID	Title	Reference	Version

Table 2: Applicable documents

2. TERMINOLOGY

2.1. Abbreviations and acronyms

Abbreviation Or Acronym	Meaning

Table 3: Abbreviations and Acronyms

3. INTRODUCTION

3.1. Purpose of the Document

[The purpose of this document is to describe the approach that will be followed for the handover and takeover process of the e-CODEX System. The handover and takeover covers the transition of all documents and application packages as well as the transfer of knowledge from the entity managing the e-CODEX system to eu-LISA.]

3.2. Target Audience

[List of target audience to be added in this section]

4. ASSUMPTIONS AND RISKS

4.1. Assumptions and Prerequisites

[Assumptions and prerequisites identified by both the entity managing the e-CODEX system and eu-LISA need to be clearly identified and listed in this section]

4.2. Risks

[The entity managing the e-CODEX system and eu-LISA will take all necessary measures for the handover and takeover process to succeed and for risks to be mitigated. Any risk that cannot be mitigated and affects the outcome of the handover and takeover process will be escalated to the Commission at the earliest possible.]

Risk	Risk Owner	Mitigation

5. HANDOVER AND TAKEOVER APPROACH

[The goal of the Handover is:

- Perform a physical Handover of all necessary material (software packages, documentation, tickets, etc.);
- Perform a transfer of application knowledge through training workshops and shadowing;
- Perform a transfer of operational knowledge through training workshops and shadowing;
- Transfer of responsibility from the entity managing the e-CODEX system to eu-LISA for all services;

For the takeover activities, the objective is to perform a knowledge transfer and acquisition by:

- Participation to knowledge transfer, support and training sessions given by the entity managing the e-CODEX system;
- Analysis and assessment of the status and usability of the taken-over information. If any information is perceived as needing improvements, this will be escalated to the Commission;
- Organisation, monitoring and fine-tuning of the parallel running (dry run) of the project if applicable;
- Participation to ad-hoc technical meetings with the entity managing the e-CODEX system;
- Preparation, integration & upload of the data in the eu-LISA tools.]

5.1. Kick-Off meeting

[All handover and takeover activities start with a kick-off meeting with all involved parties. The roles and responsibilities and high-level planning are presented during this meeting.]

5.2. Synchronisation meetings

[Regular management coordination meetings (each 2 weeks) will be held with all parties in order to follow-up on the status of the handover and takeover activities and allow the entity managing the e-CODEX system and eu-LISA to synch their activities.]

5.3. Handover Plan

[All Handover activities are described in the Handover plan i.e. this document.]

5.4. **Initial Handover of assets**

[An initial handover of all the material is planned on the start of the handover and takeover process. This would include at the minimum: the latest version of the applications packages (including documentation), updated software and documentation inventory, and an extract of the tickets database (or other format).]

5.4.1. **Applications**

[List of assets to be delivered to be added here]

5.4.2. **Documentation**

[List of assets to be delivered to be added here]

5.4.3. **Procedures**

[List of assets to be delivered to be added here]

5.4.4. **Backlog (RfC, Tickets, Issues, etc....)**

[List of assets to be delivered to be added here]

6. **FINAL HANDOVER OF ASSETS**

[At the transfer of responsibility, the entity managing the e-CODEX system will provide a final (up-to-date) version of any asset that was modified during the handover and takeover period as well as a new extract of the tickets database (or other format).]

6.1. **Applications**

[List of assets to be delivered to be added here]

6.2. **Documentation**

[List of assets to be delivered to be added here]

6.3. **Procedures**

[List of assets to be delivered to be added here]

6.4. **Backlog (RfC, Tickets, Issues, etc.)**

[List of assets to be delivered to be added here]

7. **KNOWLEDGE TRANSFER**

[The handover of the knowledge of the entity managing the e-CODEX system is done during several workshops and shadowing session(s) taking place during the handover and takeover period. This approach and the support during the after-care period will ensure the complete transfer of operations knowledge.

All workshops will be based on dedicated presentations/documents, either used from previous trainings or custom-made by the entity managing the e-CODEX system. The presentations are delivered to eu-LISA one week before each workshop.]

8. **HANDOVER CONTACT DETAILS**

[Add contact details here]

9. **TAKEOVER CONTACT DETAILS**

[Add contact details here]

10. **INFRASTRUCTURE NEEDS AT EU-LISA**

10.1. **Applications**

10.2. Hardware/System Requirements

10.3. COTS (commercial off-the-shelf)

11. **SECURITY REQUIREMENTS**

[In this section, the measures to be put in place by eu-LISA should be described to cover the following items:

- Overall security management at the project level;
- Security management at system level covering the security measures at the level of the whole e-CODEX system and all its components, including the infrastructure,
- Security management at application level covering the applications under the scope of eu-LISA activities;
- Security management at network level;
- User management processes and procedures for the management, update and maintenance of authorised users list, user credentials, access rights and authorizations.

Moreover and if requested, eu-LISA should be able to provide the following documents:

- Security policy;
- Security plan;
- User management security measures;
- Business Continuity Plan including “Disaster Recovery” DRP requirements.]

12. **WORKSHOP SCHEDULE**12.1. **General workshop about all services**

[Date	Add Date
Duration	Add Duration
Location	Add Location
Audience	All
Scope	Introduction and functional overview of all applications and services of e-CODEX.]

12.2. **Helpdesk and Operations Workshops**

[Date	Add Date
Duration	Add Duration
Location	Add Location
Audience	Helpdesk Team
Scope	Support, incident handling, reporting, notifications, security management...]

12.3. **Installation and Testing Workshops**12.3.1. **Installations**

[Date	Add Date
Duration	Add Duration
Location	Add Location
Audience	Technical team
Scope	installations of releases and patches]

12.3.2. **Testing**

[Date	Add Date
Duration	Add Duration
Location	Add Location
Audience	Testing team
Scope	testing of all applications]

12.3.3. **Workshops on other topics**

[Date	Add Date
Duration	Add Duration
Location	Add Location
Audience	Ad-Hoc
Scope	All remaining items]

12.3.4. **Q&A and Shadowing Workshops**

[Date	Add Date
Duration	Add Duration
Location	Add Location
Audience	Ad-Hoc
Scope	Depending on the topic in scope]

13. **CRITERIA FOR A SUCCESSFUL HANDOVER PROCESS AND FOR THE SUCCESSFUL COMPLETION OF THAT PROCESS**

[To be listed in compliance with the criteria mentioned in Chapters 5 and 6 of the Annex and in the implementing act referred to in Article 6(1)(b) of Regulation (EU) 2022/850 ⁽²⁾.]

14. **SHADOWING PERIOD, TRANSFER OF RESPONSIBILITY AND AFTER-CARE PERIOD**

15. **PLANNING**

15.1. **High-level Planning**

[Can be a diagram with important milestones]

15.2. **Detailed Planning**

[In the form of an mpp file]

16. **TAKEOVER TEST PLAN**

[The scope of the takeover test process is the execution of test cases prepared to prove that business knowledge has been acquired and readiness exists for the activities foreseen to be taken over.]

⁽²⁾ Regulation (EU) 2022/850 of the European Parliament and of the Council of 30 May 2022 on a computerised system for the cross-border electronic exchange of data in the area of judicial cooperation in civil and criminal matters (e-CODEX system), and amending Regulation (EU) 2018/1726 (OJ L 150, 1.6.2022, p. 1).

Each test case will be assigned to specific team(s), member(s) of each team will have to collaborate in order to perform the execution of specific steps. The task of the Test Executor is to perform the execution of the test cases as defined in this test plan, interpret and document the result for every test case.

Acceptance criteria are defined in the Annex.

Test cases should cover all items listed in the handover and takeover approach.

During the handover and takeover process the Test Plan may be enhanced accordingly and detailed Test Cases may be added in case the need arises.

The test report will list the outcome of each test.]

17. **HANDOVER MATERIAL**

[A detailed list of the material identified within the scope of the handover and takeover, and that will be made available to eu-LISA.]

18. **PROVISIONS ON 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 above in a way enabling eu-LISA to carry out its responsibilities in accordance with Article 7 of Regulation (EU) 2022/850.]
