REPORT


Committee on Civil Liberties, Justice and Home Affairs

Rapporteur: Jeroen Lenaers
Symbols for procedures

* Consultation procedure
*** Consent procedure
***I Ordinary legislative procedure (first reading)
***II Ordinary legislative procedure (second reading)
***III Ordinary legislative procedure (third reading)

(The type of procedure depends on the legal basis proposed by the draft act.)

Amendments to a draft act

Amendments by Parliament set out in two columns

Deletions are indicated in bold italics in the left-hand column. Replacements are indicated in bold italics in both columns. New text is indicated in bold italics in the right-hand column.

The first and second lines of the header of each amendment identify the relevant part of the draft act under consideration. If an amendment pertains to an existing act that the draft act is seeking to amend, the amendment heading includes a third line identifying the existing act and a fourth line identifying the provision in that act that Parliament wishes to amend.

Amendments by Parliament in the form of a consolidated text

New text is highlighted in bold italics. Deletions are indicated using either the symbol or strikeout. Replacements are indicated by highlighting the new text in bold italics and by deleting or striking out the text that has been replaced.
By way of exception, purely technical changes made by the drafting departments in preparing the final text are not highlighted.
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DRAFT EUROPEAN PARLIAMENT LEGISLATIVE RESOLUTION


(Ordinary legislative procedure: first reading)

The European Parliament,

– having regard to the Commission proposal to Parliament and the Council (COM(2019)0003),

– having regard to the decision by the Conference of Presidents of 11 February 2021 to authorise the Committee on Civil Liberties, Justice and Home Affairs to split the abovementioned Commission proposal and to draw up two separate legislative reports on the basis thereof,

– having regard to Article 294(2) and point (d) of Article 82(1) of the Treaty on the Functioning of the European Union, pursuant to which the Commission submitted the proposal to Parliament (C8-0025/2019),

– having regard to Article 294(3) of the Treaty on the Functioning of the European Union,

– having regard to Rule 59 of its Rules of Procedure

– having regard to the report of the Committee on Civil Liberties, Justice and Home Affairs (A9-0083/2021),

1. Adopts its position at first reading hereinafter set out;

2. Calls on the Commission to refer the matter to Parliament again if it replaces, substantially amends or intends to substantially amend its proposal;

3. Instructs its President to forward its position to the Council, the Commission and the national parliaments.

PE-CONS No/YY - 2019/0001B(COD)
REGULATION (EU) 2021/...
OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL

of ...

amending Regulations (EU) 2019/816 and (EU) 2019/818 as regards the establishment of the conditions for accessing other EU information systems for the purposes of the European Travel Information and Authorisation System

THE EUROPEAN PARLIAMENT AND THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty on the Functioning of the European Union, and in particular point (d) of Article 82(1) thereof,
Having regard to the proposal from the European Commission,
After transmission of the draft legislative act to the national parliaments,
Acting in accordance with the ordinary legislative procedure¹,

¹ Position of the European Parliament of ... (not yet published in the Official Journal) and decision of the Council of ... .
Whereas:

(1) Regulation (EU) 2018/1240 of the European Parliament and of the Council\(^2\) established the European Travel Information and Authorisation System (‘ETIAS’) for third-country nationals exempt from the requirement to be in possession of a visa when crossing the external borders. It laid down the conditions and procedures to issue or refuse a travel authorisation under that system.

(2) ETIAS enables consideration of whether the presence of those third-country nationals in the territory of the Member States would pose a security, illegal immigration or high epidemic risk.

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(3) In order to enable the processing of the application files by the ETIAS Central System referred to in Regulation (EU) 2018/1240, it is necessary to establish the interoperability between the ETIAS Information System, other EU information systems and Europol data referred to in that Regulation.

(4) This Regulation lays down how this interoperability and the conditions for the consultation of data stored in other EU information systems and Europol data by the ETIAS automated process for the purposes of identifying hits are to be implemented. As a result, it is necessary to amend Regulations (EU) 2019/816 and (EU) 2019/818 of the European Parliament and of the Council in order to connect the ETIAS Central System to the other EU information systems and to Europol data and to specify the data that will be sent to and from those EU information systems and Europol data.

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(5) In accordance with Regulation (EU) 2018/1240, when the recast of Regulation (EU) No 603/2013 of the European Parliament and of the Council will be adopted, the necessary consequential amendments will be adopted.

(6) The European Search Portal (ESP), established by Regulation (EU) 2019/818, will enable the data stored in ETIAS to be compared to the data stored in the other EU information systems concerned by means of a query.

(7) Technical modalities should be defined to enable ETIAS to regularly and automatically verify in other systems whether the conditions for the retention of application files, as laid down in Regulation (EU) 2018/1240, are still fulfilled.

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5 Regulation (EU) No 603/2013 of the European Parliament and of the Council of 26 June 2013 on the establishment of ‘Eurodac’ for the comparison of fingerprints for the effective application of Regulation (EU) No 604/2013 establishing the criteria and mechanisms for determining the Member State responsible for examining an application for international protection lodged in one of the Member States by a third-country national or a stateless person and on requests for the comparison with Eurodac data by Member States’ law enforcement authorities and Europol for law enforcement purposes, and amending Regulation (EU) No 1077/2011 establishing a European Agency for the operational management of large-scale IT systems in the area of freedom, security and justice (OJ L 180, 29.6.2013, p. 1).
In accordance with Regulation (EU) 2019/816 and in line with the intention expressed in Regulation (EU) 2018/1240, ETIAS should be able to verify if correspondences exist between data in the ETIAS application files and the European Criminal Records Information System – Third Country Nationals (‘ECRIS-TCN’) data in the Common Identity Repository (‘CIR’) as regards which Member States hold conviction information on third-country nationals and stateless persons for a terrorist offence over the previous 25 years or any other serious criminal offence over the previous 15 years, as listed in the Annex to Regulation (EU) 2018/1240 where those criminal offences are punishable under national law by a custodial sentence or a detention order for a maximum period of at least three years.
(9) Member States already collect and process data of third country nationals and stateless persons for the purposes of the ECRIS-TCN Regulation. This Regulation does not impose any obligation on Member States to modify or extend the data of third country nationals and stateless persons already being collected under the ECRIS-TCN Regulation. For the purpose of the querying by ETIAS, only the flag and the code of the convicting Member State should be added.

(10) The conditions, including access rights, under which the ETIAS Central Unit and ETIAS National Units may consult data stored in other EU information systems for the purposes of ETIAS should be safeguarded by clear and precise rules regarding the access by the ETIAS Central Unit and ETIAS National Units to the data stored in other EU information systems, the type of queries and categories of data, all of which should be limited to what is strictly necessary for the performance of their duties. In the same vein, the data stored in the ETIAS application file should only be visible to those Member States that are operating the underlying information systems in accordance with the modalities of their participation.
(11) In order to support the ETIAS objective of assessing whether the applicant for a travel authorisation would pose a threat to public policy or public security, ETIAS should be able to verify if correspondences exist between data in the ETIAS application files and the ECRIS-TCN data in the CIR as regards which Member States hold conviction information on third-country nationals and stateless persons for a terrorist offence or any other criminal offence listed in the annex to Regulation (EU) 2018/1240 if they are punishable under national law by a custodial sentence or a detention order for a maximum period of at least three years.

(12) A hit indicated by the ECRIS-TCN system should not of itself be taken to mean that the third-country national concerned has been convicted in the Member States that are indicated. The existence of previous convictions should only be confirmed based on information received from the criminal records of the Member States concerned.
According to Regulation (EU) 2018/1240, the European agency for the operational management of large-scale information systems in the area of freedom, security and justice ('eu-LISA'), established by Regulation (EU) 2018/1726 of the European Parliament and of the Council\(^6\), should be responsible for the design and development phase of the ETIAS Information System.

This Regulation is without prejudice to Directive 2004/38/EC of the European Parliament and of the Council\(^7\).

In accordance with Articles 1 and 2 of Protocol No 22 on the position of Denmark, annexed to the Treaty on European Union (TEU) and to the Treaty on the Functioning of the European Union (TFEU), Denmark is not taking part in the adoption of this Regulation and is not bound by it or subject to its application.


(16) Ireland may notify the President of the Council its wish to take part in the adoption and application of this Regulation, in accordance with Article 3 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 TEU and to the TFEU.

(17) 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 TEU and to the TFEU, and without prejudice to Article 4 of that Protocol, Ireland is not taking part in the adoption of this Regulation and is not bound by it or subject to its application.
(18) Regulations (EU) 2019/816 and (EU) 2019/818 should therefore be amended accordingly.

(19) Since the objectives of this Regulation cannot be sufficiently achieved by the Member States but can rather, by reason of its scale and effects, be better achieved at Union level, the Union may adopt measures, in accordance with the principle of subsidiarity as set out in Article 5 TEU. In accordance with the principle of proportionality as set out in that Article, this Regulation does not go beyond what is necessary in order to achieve those objectives.

(20) The European Data Protection Supervisor was consulted, in accordance with Article 41(2) of Regulation (EU) 2018/1725 of the European Parliament and the Council, HAVE ADOPTED THIS REGULATION:

Article 1

Amendments to Regulation (EU) 2019/816

Regulation (EU) 2019/816 is amended as follows:

(1) in Article 1, the following point is added:

‘(e) the conditions under which data included in the ECRIS-TCN system may be used by the ETIAS Central Unit for the purpose of supporting the ETIAS objective of contributing to a high level of security by providing for a thorough security risk assessment of applicants, prior to their arrival at external border crossing points, in order to determine whether there are factual indications or reasonable grounds based on factual indications to conclude that the presence of the person on the territory of the Member States poses a security risk.’;
(2) Article 2 is replaced by the following:

‘Article 2
Scope

This Regulation applies to the processing of identity information of third country nationals who have been subject to convictions in the Member States for the purpose of identifying the Member States where such convictions were handed down. With the exception of point (b)(ii) of Article 5(1), the provisions of this Regulation that apply to third country nationals also apply to citizens of the Union who also hold a nationality of a third country and who have been subject to convictions in the Member States.
This Regulation:

(a) supports the VIS objective of assessing whether the applicant for a visa, a long-stay visa or a residence permit would pose a threat to public policy or public security, in accordance with Regulation (EC) No 767/2008 of the European Parliament and of the Council*;

(b) supports the ETIAS objective of contributing to a high level of security;

(c) facilitates and assists in the correct identification of persons in accordance with this Regulation and with Regulation (EU) 2019/818 of the European Parliament and of the Council**.


(3) In Article 3, point 6 is replaced by the following:

'(6) 'competent authorities' means the central authorities, Eurojust, Europol, and the EPPO, VIS designated authorities as referred to in Article 9ca and Article 22b(11) of Regulation (EC) No 767/2008, and the ETIAS Central Unit established in accordance with Article 7 of Regulation (EU) 2018/1240 of the European Parliament and of the Council*, which are competent to access or query ECRIS-TCN in accordance with this Regulation;

Article 5 is amended as follows:

(a) in paragraph 1, the first indent of point (a)(iii) is replaced as follows:

‘– identity number, or the type and number of the person's identification documents, including travel documents, as well as the name of the issuing authority;’;

(b) in paragraph 1, the following point is added:

‘(c) a flag indicating, for the purpose of Regulation (EC) No 767/2008 and of Regulation (EU) 2018/1240, that the third-country national concerned has been convicted in the past 25 years of a terrorist offence or in the past 15 years of any other criminal offence as listed in the Annex to Regulation (EU) 2018/1240 where those criminal offences are punishable under national law by a custodial sentence or a detention order for a maximum period of at least three years, and in those cases the code of the convicting Member State(s).’;
the following paragraph is added:

7. Flags and the code of the convicting Member State or Member States as referred to in point (c) of paragraph 1 of this Article shall be accessible and searchable only by:

(a) the VIS Central System for the purpose of the verifications pursuant to Articles 7a of this Regulation in conjunction with point (e) of Article 9a(4) or point (e) of Article 22b(3) of Regulation (EC) No 767/2008;

(b) the ETIAS Central System for the purpose of the verifications pursuant to Article 7b of this Regulation in conjunction with point (n) of the second subparagraph of Article 20(2) of Regulation (EU) 2018/1240 where hits are identified following the automated processing referred to in Article 11(1) of that Regulation.
Without prejudice to the first subparagraph, flags and the code of the convicting Member State or Member States as referred to in point (c) of paragraph 1 shall not be visible to any authority other than the central authority of the convicting Member State that created the flagged record.’;

(5) in Article 7, paragraph 7 is replaced by the following:

‘7. In the event of a hit, the central system or the CIR shall automatically provide the competent authority with information on the Member States holding criminal record information on the third country national, along with the associated reference numbers referred to in Article 5(1) and any corresponding identity information. Such identity information shall only be used for the purpose of verifying the identity of the third country national concerned. The result of a search in the central system may only be used for the purpose of:'
(a) making a request according to Article 6 of Framework Decision 2009/315/JHA;

(b) making a request referred to in Article 17(3) of this Regulation;

(c) assessing whether the applicant for a visa, a long-stay visa or a residence permit would pose a threat to public policy or public security, in accordance with Regulation (EC) No 767/2008; or

(d) supporting the ETIAS objective of contributing to a high level of security;
in Chapter II, the following article is added:

‘Article 7b

Use of the ECRIS-TCN system for ETIAS verifications

1. The ETIAS Central Unit, established pursuant to Article 7 of Regulation (EU) 2018/1240, shall have, for the purpose of performing the tasks conferred on it by Regulation (EU) 2018/1240, the right to access and search ECRIS-TCN data in the CIR. However, it shall only have access in accordance with Article 11(8) of that Regulation to data records to which a flag has been added in accordance with point (c) of Article 5(1) of this Regulation.

The data referred to in the first subparagraph may only be used for the purpose of verification by:

(a) the ETIAS Central Unit pursuant to Article 22 of Regulation (EU) 2018/1240; or
(b) the ETIAS National Units pursuant to Article 25a(2) of Regulation (EU) 2018/1240 for the purpose of consulting national criminal records; national criminal records shall be consulted prior to the assessment and decision referred to in Article 26 of Regulation (EU) 2018/1240 and, where applicable, prior to the assessment and opinion referred to in Article 28 of that Regulation.

2. The CIR shall be connected to the ESP to enable the automated processing referred to in Article 11 of Regulation (EU) 2018/1240.

3. Without prejudice to Article 24 of Regulation (EU) 2018/1240, the automated processing referred to in Article 11 of Regulation (EU) 2018/1240 shall enable the verifications provided for in Article 20 and the subsequent verifications of Articles 22 and 26 of that Regulation.
For the purpose of proceeding to the verifications of point (n) of Article 20(2) of Regulation (EU) 2018/1240, the ETIAS Central System shall use the ESP to compare the data in ETIAS with the data flagged in ECRIS-TCN in the CIR, pursuant to point (c) of Article 5(1) of this Regulation and in accordance with Article 11(8) of Regulation 2018/1240, and using the correspondences listed in the table in Annex II.’;

(7) in Article 8, the following paragraph is added:

‘3. The flags referred to in point (c) of Article 5(1) shall be erased automatically upon the expiry of the retention period referred to in paragraph 1 of this Article or at the latest, 25 years after the creation of the flag, as far as convictions related to terrorist offences are concerned, and 15 years after the creation of the flag, as far as convictions related to other serious criminal offences are concerned.’;
(8) in Article 24, paragraph 1 is replaced by the following:

‘1. The data entered into the Central System and the CIR shall only be processed for the purposes of:

(a) the identification of the Member States holding the criminal records information of third country nationals;

(b) supporting the VIS objective of assessing whether the applicant for a visa, a long-stay visa or a residence permit would pose a threat to public policy or public security in accordance with Regulation (EC) No 767/2008;

(c) supporting the ETIAS objective of contributing to a high level of security.

The data entered into the CIR shall also be processed in accordance with Regulation (EU) 2019/818 for facilitating and assisting in the correct identification of persons registered in the ECRIS-TCN in accordance with this Regulation.’;
(9) the following article is inserted:

‘Article 31b
Keeping of logs for the purpose of interoperability with ETIAS

For the consultations listed in Article 7b of this Regulation, a log of each ECRIS-TCN data processing operation carried out within the CIR and ETIAS shall be kept in accordance with Article 69 of Regulation (EU) No 2018/1240.’;

(10) in Article 32(3), the second subparagraph is replaced by the following:

‘Every month eu-LISA shall submit to the Commission statistics relating to the recording, storage and exchange of information extracted from criminal records through the ECRIS-TCN system and the ECRIS Reference implementation, including on the data records which include a flag in accordance with point (c) of Article 5(1). eu-LISA shall ensure that it is not possible to identify individuals on the basis of those statistics. At the request of the Commission, eu-LISA shall provide it with statistics on specific aspects related to the implementation of this Regulation.’;
(11) the following annex is added:

‘Annex II

Table of correspondences referred to in Article 7b

<table>
<thead>
<tr>
<th>Data of Article 17(2) of Regulation 2018/1240 sent by ETIAS Central System</th>
<th>The corresponding ECRIS-TCN data of Article 5(1) of this Regulation in the CIR against which data in ETIAS are to be checked</th>
</tr>
</thead>
<tbody>
<tr>
<td>surname (family name)</td>
<td>surname (family name)</td>
</tr>
<tr>
<td>surname at birth</td>
<td>previous name(s)</td>
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<td>first name(s) (given name(s))</td>
</tr>
<tr>
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<td>pseudonym and/or alias name(s)</td>
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<td>date of birth</td>
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</tr>
<tr>
<td>country of issue of the travel document</td>
<td>name of the issuing authority</td>
</tr>
</tbody>
</table>
Article 2

Amendments to Regulation (EU) 2019/818

Regulation (EU) 2019/818 is amended as follows:

(1) in Article 18, the following paragraph is inserted:

‘1b. For the purpose of Article 20 of Regulation (EU) 2018/1240, the CIR shall also store, logically separated from the data referred to in paragraph 1 of this Article, the data referred to in point (c) of Article 5(1) of Regulation (EU) 2019/816. The data referred to in point (c) of Article 5(1) of Regulation (EU) 2019/816 shall only be accessible in the manner referred to in Article 5(7) of that Regulation.’;

(2) in Article 68, the following paragraph is inserted:

‘1b. Without prejudice to paragraph 1, for the purposes of the automated processing of Article 20, Article 23, point (c)(ii) of Article 24(6), Article 41 and point (b) of Article 54(1) of Regulation (EU) 2018/1240, the ESP shall start operations, limited to those purposes, once the conditions laid down in Article 88 of Regulation (EU) 2018/1240 have been met.’.
Article 3
Entry into force

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

This Regulation shall be binding in its entirety and directly applicable in the Member States in accordance with the Treaties.

Done at Brussels,

For the European Parliament
The President

For the Council
The President
**PROCEDURE – COMMITTEE RESPONSIBLE**

| Title | Proposal for a Regulation of the European Parliament and of the Council amending Regulations (EU) 2019/816 and (EU) 2019/818 as regards the establishment of the conditions for accessing other EU information systems for the purposes of the European Travel Information and Authorisation System |
| Date submitted to Parliament | 7.1.2019 |
| Committee responsible | LIBE |
| Date announced in plenary | 8.3.2021 |
| Committees asked for opinions | AFET | TRAN |
| Date announced in plenary | 8.3.2021 | 8.3.2021 |
| Not delivering opinions | AFET | TRAN |
| Date of decision | 25.3.2021 | 21.1.2019 |
| Rapporteurs | Jeroen Lenaers |
| Date appointed | 8.3.2021 |
| Date adopted | 7.12.2020 |
| Result of final vote | +: 55  
-: 9  
0: 0 |
| Substitutes present for the final vote | Delara Burkhardt, Leopoldo López Gil, Kostas Papadakis, Anne-Sophie Pelletier, Rob Rookens, Domènec Ruiz Devesa, Hilde Vautmans, Petar Vitanov |
| Substitutes under Rule 209(7) present for the final vote | Andor Deli, Lívia Járáka |
| Date tabled | 30.3.2021 |
## FINAL VOTE BY ROLL CALL IN COMMITTEE RESPONSIBLE

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<td>Martin SONNEBORN, Milan UHRÍK</td>
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<td>Patrick BREYER, Saskia BRICMONT, Damien CARÊME, Tineke STRIK</td>
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<td>THE LEFT</td>
<td>Konstantinos ARVANITIS, Fernando BARRENA ARZA, Cornelia ERNST, Anne-Sophie PELLETIER</td>
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<tr>
<td>NI</td>
<td>Kostas PAPADAKIS</td>
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</tbody>
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**Key to symbols:**
- **+** : in favour
- **-** : against
- **0** : abstention