NOTE
from: Presidency

to: COREPER/Mixed Committee
(EU-Iceland/Liechtenstein/Norway/Switzerland)

No Cion prop. 10834/1/11 REV1 VISA 96 CODEC 927 COMIX 369 (COM(2011) 290 final/2
No previous doc. 7438/12 VISA 60 CODEC 598 COMIX 160

Subject: Draft Regulation of the European Parliament and of the Council amending
Council Regulation (EC) No 539/2001 listing the third countries whose nationals
must be in possession of visas when crossing the external borders and those
whose nationals are exempt from that requirement

INTRODUCTION

The Commission submitted on 26 May 2011 a proposal for a Regulation of the European
countries whose nationals must be in possession of visas when crossing the external borders and
those whose nationals are exempt from that requirement. The final version of the proposal is set out
in doc. 10834/1/11.

The European Parliament has not yet delivered its position on the proposal.¹

¹The AFET Committee adopted its opinion on the proposal on 24 November 2011
(AD:884295EN.doc). The Rapporteur (Mr Diaz de Meira) presented his draft report
(Amendments 1 to 12) to the LIBE Committee on 29 November 2011 (PR/88155/EN).
Additional amendments (13 to 54) can be found in AM:886293XM.doc.
The proposal contains several elements and has been discussed on a number of occasions by the Visa Working Party/Mixed Committee, by the JHA Counsellors Group/Mixed Committee and on 1 December 2011 by the Strategic Committee on Immigration, Frontiers and Asylum (SCIFA) on the basis of 17513/11.

The Council adopted at its meeting on 13-14 December 2011 a general approach on the suspension mechanism contained in Article 1(2) of the above draft Regulation (new Article 1a). The text of Recitals 5b and 8b and of Article 1a on the suspension mechanism is therefore not under discussion.

Following the meeting of JHA Counsellors on 15 March 2012 on the basis of 7438/12, the Presidency has prepared the text set out in Annex I and II.

The Presidency at this stage invites Coreper/Mixed Committee to examine the main outstanding question, namely the provisions on reciprocity, with a view to reaching agreement within the Council and with the European Parliament on the draft Regulation. Certain other questions of less importance are set out in footnotes in Annex I.

**RECIROCITY**

The main outstanding question is the wording of Article 1(1)(b) regarding reciprocity. The Presidency, based on the concerns raised by CZ, has suggested the revised wording of that provision set out in the Annex.

CZ/BG/RO have entered reservations on this amended text.

Furthermore, the possibility of involving other policy areas as part of a strategy to induce a third country to restore or introduce visa free travel for nationals of Member States concerned was taken into account by means of a declaration at the time of the adoption of Regulation (EC) No 851/2005 amending Regulation 539/2001 in which the current reciprocity mechanism was established. In the light of discussions, the Presidency proposes the adoption of a similar statement regarding the present proposal. The Presidency suggests for that purpose the draft statement of the European Parliament, the Council and the Commission as set out in Annex II.

---

1 See doc. 18775/11.
CONCLUSION

The Presidency invites Coreper/Mixed Committee to:
- examine the above question on reciprocity and agree on an approach to follow on that;
- agree that the Presidency will proceed in the contacts with the European Parliament on the basis of the text of the articles in Annex I\(^1\) and of the draft statement in Annex II and the outcome of the discussions on reciprocity, with a view to reaching agreement with the European Parliament on the draft Regulation by the end of this semester.

\(^1\) The text of the Recitals will be further examined at a later stage.
Draft

REGULATION (EU) No …/2012 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL

of

amending Council Regulation (EC) No 539/2001 listing the third countries whose nationals must be in possession of visas when crossing the external borders and those whose nationals are exempt from that requirement

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 Article 77(2)(a) 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 procedure²,

Whereas:

(1) This Regulation should establish a mechanism for the temporary suspension of the visa waiver for a third country listed in Annex II to Council Regulation (EC) No 539/2001 in case of an emergency situation, where an urgent response is needed in order to resolve the difficulties faced by one or more Member States, and taking account of the overall impact of the emergency situation on the European Union as a whole.

(2) (…) (See recital 8a).

(3) The mechanism regarding reciprocity to be implemented if one of the third countries listed in Annex II to Regulation (EC) No 539/2001 decides to introduce a visa requirement for the nationals of one or more Member States (…) needs to be adapted to the entry into force of the Treaty of Lisbon in combination with the case-law of the Court of Justice of the European Union on secondary legal bases.

1 The amendments to the text of the draft Regulation as already agreed appears in bold whereas new suggestions by the Presidency are underlined.

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

(3a) The mechanism regarding reciprocity should be applicable both in the case of introduction as well as reintroduction and maintaining of the visa requirement by a third country listed in Annex II to Regulation (EC) No 539/2001, for nationals of a Member State.

(4) (deleted)

(5) (…)

(5a) This regulation should provide a legal basis for the visa requirement or exemption of holders of travel documents issued by certain entities subjects of international law which are not intergovernmental international organisations.

(5b) (…) (See 8c).

(6) (…) (See 8d).

(7) Having regard to certain obligations on the Member States under international agreements concluded by the European Community before the entry into force of Regulation (EC) No 539/2001 which imply the need to derogate from the common visa rules, the case-law of the Court of Justice of the European Union should be taken into account.¹

(8) (…) (See 5a).

(8a) In order to ensure uniform conditions for the implementation of the visa suspension mechanism, implementing powers should be conferred on the Commission. Those powers should be exercised in accordance with Regulation (EU) No 182/2011 of the European Parliament and of the Council of 16 February 2011 laying down the rules and general principles concerning mechanisms for control by the Member States of the Commission's exercise of implementing powers².

(8b) A substantial and sudden increase as mentioned in Article 1a(2) indicates reaching beyond the threshold of 50 percent, nevertheless it may also be lower if the Commission deems it applicable in the particular case notified by the Member State under pressure.

(8c) It is necessary to avoid and counter any abuse resulting from the granting of visa free travel for short-stay visits for nationals of a particular third-country where they pose a threat to the public policy ("ordre public") and internal security of the Member States.

¹ DE and the Council Legal Service (CLS) are of the opinion that this Recital should be deleted.

As the visa rules applicable for refugees and stateless persons, introduced by Council Regulation (EC) No 1932/2006 of 21 December 2006 amending Regulation (EC) No 539/2001, do not apply to such persons when they are residing in the United Kingdom or Ireland, it is necessary to clarify the situation concerning the visa requirement for certain refugees and stateless persons who reside in the United kingdom or in Ireland. This Regulation should leave Member States free to decide on the visa exemption or obligation for that category of persons in compliance to their international obligations. Such national decisions should be notified to the Commission.

(8e) (New recital regarding statement to be drafted).

(9) This Regulation constitutes a development of the Schengen acquis, in accordance with the Protocol integrating the Schengen acquis into the framework of the European Union, as defined in Annex A to Council Decision 1999/435/EC of 20 May 1999 concerning the definition of the Schengen acquis for the purpose of determining, in conformity with the relevant provisions of the Treaty establishing the European Community and the Treaty on European Union, the legal basis for each of the provisions or decisions which constitute the acquis.\(^2\)

(10) As regards Iceland and Norway, this Regulation constitutes a development of the provisions of the Schengen acquis within the meaning of the Agreement concluded by the Council of the European Union and the Republic of Iceland and the Kingdom of Norway concerning the latter's association with the implementation, application and development of the Schengen acquis, which falls within the area referred to in Article 1, point (B), of Council Decision 1999/437/EC of 17 May 1999 on certain arrangements for the application of that Agreement.\(^3\)

(11) As regards Switzerland, this Regulation constitutes a development of the provisions of the Schengen acquis within the meaning of the Agreement concluded between the European Union, the European Community and the Swiss Confederation on the Swiss Confederation's association with the implementation, application and development of the Schengen acquis, which fall within the area referred to in Article 1, point (B) of Council Decision 1999/437/EC read in conjunction with Article 3 of Council Decision 2008/146/EC.\(^4\)

(12) As regards Liechtenstein, this Regulation constitutes a development of the provisions of the Schengen acquis within the meaning of the Protocol between the European Union, the European Community, the Swiss Confederation and the Principality of Liechtenstein on the accession of the Principality of Liechtenstein to the Agreement between the European Union, the European Community and the Swiss Confederation on the Swiss Confederation's association with the implementation, application and development of the Schengen acquis, which fall within the area referred to in Article 1, point (B) of (...) Decision 1999/437/EC read in conjunction with Article 3 of Council Decision 2011/350/EU.\(^5\)

---

3. OJ L 176, 10.7.1999, p. 36.
This Regulation constitutes a development of the provisions of the Schengen acquis in which the United Kingdom does not take part, in accordance with Council Decision 2000/365/EC of 29 May 2000 concerning the request of the United Kingdom of Great Britain and Northern Ireland to take part in some of the provisions of the Schengen acquis. The United Kingdom is therefore not taking part in its adoption and is not bound by it or subject to its application.

This Regulation constitutes a development of the provisions of the Schengen acquis in which Ireland does not take part, in accordance with Council Decision 2002/192/EC of 28 February 2002 concerning Ireland's request to take part in some of the provisions of the Schengen acquis. Ireland is therefore not taking part in its adoption and is not bound by it or subject to its application.

HAVE ADOPTED THIS REGULATION:

Article 1

Regulation (EC) No 539/2001 is hereby amended as follows:

(1) Article 1 is hereby amended as follows:

(a) 

   (i) (...) ;

   (ii) (...) (moved to Article 4)

---

1 OJ L 131, 1.6.2000, p. 43.
3 The Representative of the Commission (COM) has suggested to change the definition of the duration of stay via the amendments to the Schengen Borders Code (SBC) (see Commission's proposal in 7661/11 and last compromise of the Presidency in 7698/12), which are still currently under discussions within the Frontiers Working Party and aim at introducing horizontal changes regarding the definition of the short-stay. COM is of the opinion that this is the best way to ensure legal coherence, as it is likely that the entry into force of the Regulation amending Regulation (EC) No 539/2001 and the entry into force of the Regulation amending the SBC modification will differ. PL disagrees with COM and suggests reverting to the previous version for reasons of consistency. EL is of the opinion that there should be here a reference to the calculation of stay.
(b) paragraph 4 is replaced by the following:

"4. Where a third country listed in Annex II has introduced a visa requirement for nationals of a Member State, the following provisions shall apply:

(a) the Member State concerned shall notify the European Parliament, the Council and the Commission in writing within 90 days of such introduction, or its announcement. This notification shall include a detailed explanation of the preliminary measures that the Member State concerned has taken with a view to restoring visa-free travel with the third country in question and shall include all relevant information. The notification shall be published without delay by the Commission in the C series of the Official Journal of the European Union; it shall specify the date of implementation of the visa requirement and the type of travel documents and visas concerned.

(b) Immediately following the date of publication of that notification and in consultation with the Member State concerned, the Commission shall take steps with the authorities of the third country in order to restore or introduce visa-free travel and shall without delay inform the European Parliament and the Council about these steps.

---

1 CZ, RO and BG are of the opinion that enabling the Commission to simply issue a report is not a sufficient signal to the third country concerned and argue that the Commission should be obliged to put forward a solution, whether in relation to visas or to any other matters (trade, transport,…). PL and EL believe the new procedure concerning the reciprocity mechanism is too long and too complex. Furthermore, PL questions whether the EP will agree with the complexity of the proposal. COM supports the new procedure suggested by the Presidency. The term "introducing" has been deleted since only the case when a third country has introduced a visa requirement is referred to here.
(c) If within 90 days following the date of publication of the Member State's notification the third country has not lifted the visa obligation, the Member State concerned may request the Commission to propose to suspend the exemption from the visa requirement for the nationals of the third country concerned. Where a Member State makes such a request, it shall inform the European Parliament thereof. The Commission shall examine the notification and the request, taking into account the outcome of the measures taken by the Member State concerned, the steps taken in accordance with point (b) in order to restore or introduce visa-free travel, and the consequences of the suspension of the exemption of the visa requirement for the external relations of the Union and its Member States with the third country in question.

At the latest 90 days following the receipt of this request and, in the absence of such request, within six months following the date of publication of the Member State's notification, the Commission:

(i) may adopt an implementing decision suspending the exemption from the visa requirement for the nationals of the third country concerned or for certain categories of these nationals for a period of six months at the request of the Member State concerned or at its own initiative; this implementing decision shall be adopted in accordance with the examination procedure referred to in Article 4a(2); the implementing decision shall determine a date within 90 days on which the suspension of the exemption of the visa requirement is to take effect taking into account the available resources in the consulates of the Member States; or

1 EL suggests adding that this examination has to be carried out in consultation with the EEAS or the High Representative (HR). CLS states that pursuant to Art.18 of the Treaty on European Union, only the HR could be referred to. COM believes that this issue has to be further reflected and that in any case EEAS is already being consulted, in accordance with internal procedures, on issues having an external relations character; moreover, the HR is one of the Vice-Presidents of the Commission.
(ii) shall submit a report assessing the situation and containing the reasons why it does not propose to suspend the exemption of the visa requirement to the committee referred to in Article 4a(1) and shall inform the European Parliament thereof.

(d) If the third country concerned has not lifted the visa requirement in the case referred to in point (c)(ii), the Commission, in cooperation with the Member State concerned, shall report to the committee referred to in Article 4a(1) at the latest six months after the publication of the report referred to in point (c)(ii), and every six months thereafter. The Commission may, on the basis of such report, adopt an implementing decision referred to in point (c)(i) and shall inform the European Parliament thereof.

(e) Where an implementing decision has been adopted pursuant to points (c)(i) or (d), the Commission may extend its validity for six months, in accordance with the examination procedure referred to in Article 4a(2).

(f) Before the end of the period of validity of the implementing decision adopted pursuant to points (c)(i) or (d) or its extension adopted pursuant to point (e), the Commission, in cooperation with the Member State concerned, shall submit a report to the European Parliament and the Council. The report shall be accompanied by a legislative proposal for amending this Regulation in order to transfer the reference to the third country concerned to Annex I.

---

1 CZ suggests inserting a new paragraph along the following lines: "(dbis): If within two years following the date of publication of the Member State's notification the third country has not lifted the visa obligation and no implementing decision pursuant to points (c)(i) or (d) has been taken the Commission shall propose to adopt an implementing decision suspending the exemption from the visa requirement for the nationals of the third country concerned or for certain categories of these nationals for a period of six months; this implementing decision shall be adopted in accordance with the examination procedure referred to in Article 4a(2); the implementing decision shall determine a date within 90 days on which the suspension of the exemption of the visa requirement is to take effect taking into account the available resources in the consulates of the Member States."
The European Parliament and the Council shall act on such proposal by the ordinary legislative procedure. The procedures referred to in points (c) to (e) do not prevent the Commission from presenting a proposal amending this Regulation in order to transfer the reference to the third country concerned to Annex I at any time.

(g) Where the Commission has proposed to transfer the reference to the third country concerned to Annex I pursuant to point (f), it can extend the validity of the implementing decision adopted pursuant to points (c)(i), (d), or (e) for a period of maximum twelve months. The decision to extend the validity of the implementing decision shall be adopted in accordance with the examination procedure referred to in Article 4a(2).

(h) Where the third country in question abolishes the visa requirement, the Member State concerned shall immediately notify the European Parliament, the Council and the Commission to that effect. The notification shall be published by the Commission in the C series of the Official Journal of the European Union. Any implementing decision adopted pursuant to points (c)(i), (d) or (e) or (g) shall terminate seven days after the publication in the Official Journal of the European Union. In case the third country in question has introduced a visa requirement for nationals of two or more Member States, the implementing decision adopted pursuant to points (c)(i), (d) or (e) or (g) shall only terminate after the (...) publication of the last notification."
(c) the following paragraph is inserted:

"6. Member States whose nationals on [date of entry into force of this Regulation] are subject to a visa requirement by a third country listed in Annex II shall notify the European Parliament, the Council and the Commission in writing by [one month after the entry into force of this Regulation]. The notification shall include a detailed explanation of the preliminary measures that the Member State concerned has taken with a view to restoring or introducing visa-free travel with the third country in question. The notification shall be published by the Commission in the C series of the Official Journal of the European Union. Points (b) to (h) of paragraph 4 shall apply mutatis mutandis."

(2) The following article (...) is inserted:

"Article 1a (...)\(^1\)

1. **By way of derogation from Article 1(2), Article 1(1) shall temporarily apply in emergency situations in relation to a third country listed in Annex II when so decided in accordance with this Article.**

2. A Member State may notify the Commission if it is confronted with one or more of the following circumstances leading to an emergency situation which it is unable to remedy on its own:

(a) a **substantial and sudden increase (...)**, over a six month period, in the number of nationals of a third country listed in Annex II found to be illegally staying in the Member State's territory, in comparison with the corresponding period of the previous year or the last six months prior to the introduction of the visa waiver;

---

\(^1\) The title has been deleted for reasons of coherence as the current articles of Regulation 539/2001 have no title.
(b) a **substantial and sudden increase** (…), **leading to specific pressures on the asylum system** over a six month period, in comparison with the **corresponding period of the previous year or the last six months prior to the introduction of the visa waiver**, in the number of asylum applications from the nationals of a third country listed in Annex II **which are manifestly unfounded or which do not fulfil the conditions for international protection**;

(c) a **substantial and sudden increase** (…), over a six month period, in the number of rejected readmission applications submitted by a Member State to a third country listed in Annex II for its own nationals, in comparison with the **corresponding period of the previous year or the last six months prior to the introduction of the visa waiver**.

This notification shall be duly motivated and shall include relevant data and statistics as well as a detailed explanation of the preliminary measures that the Member State concerned has taken with a view to remedying the situation.

**Where a Member State notifies the Commission in accordance with the above, it shall inform the European Parliament thereof.**

3. The Commission shall examine the notification(s) made by one or more Member State(s) pursuant to paragraph 2, taking into account:

(a) the number of Member States affected by any of the situations described in paragraph 2;

(b) the scale of the **substantial and sudden** increase mentioned in points a), b) and/or c) of paragraph 2;

(c) the overall impact of the increases on the migratory situation in the Union as the latter appears from the data provided by the Member States as well as from reports prepared by FRONTEX and/or the European Asylum Support Office; (…);
(d) the overall question of public policy and internal security, in consultation with 
the Member State(s) concerned and, if necessary, after consultations with 
Europol, having regard to its tasks;

(e) the consequences of a suspension of the exemption of the visa requirement for 
the external relations of the EU and its Member States.

(…) Where the Commission, on the basis of this examination, determines that 
action is needed, it shall submit a proposal, within three months following receipt of 
the notification, with a view to the adoption by the Commission of an implementing 
decision providing that Article 1(1) shall temporarily apply in relation to the third 
country concerned for a period of six months. The implementing decision shall be 
adopted in accordance with the examination procedure referred to in Article 4a(2). The 
implementing decision shall determine the date on which the suspension of the 
exemption of visa requirement is to take effect.

4. Before the end of the period of validity of the implementing decision adopted pursuant 
to paragraph 3, the Commission, in cooperation with the Member State(s) concerned, 
shall submit a report to the European Parliament and the Council. The report may be 
accompanied by a proposal amending this Regulation in order to transfer the reference 
to the third country concerned to Annex I.

5. Where the Commission has proposed an amendment to this Regulation in order to 
transfer the reference to a third country to Annex I pursuant to paragraph 4, it can 
extend the validity of the implementing decision adopted pursuant to paragraph 3 for a 
period of maximum twelve months. The decision to extend the validity of the 
implementing decision shall be adopted in accordance with the examination procedure 
referred to in Article 4a(2)".
(4) Article 4 is hereby amended as follows:

(a) paragraph 1 is replaced by the following:

"1. A Member State may provide for exceptions from the visa requirement provided for by Article 1(1) or from the exemption from the visa requirement provided for by Article 1(2) as regards:

(a) holders of diplomatic passports, service/official passports or special passports;

(b) civilian air crew members when acting in the course of their duties;

(c) civilian sea crew members when they go ashore who hold a seafarer's identity document issued in accordance with the International Labour Organisation Conventions (No 108 of 13 May 1958 or No 185 of 16 June 2003) or the International Maritime Organisation Convention on Facilitation of International Maritime Traffic of 9 April 1965 (FAL Convention);

(d) crew and members of emergency or rescue missions in the event of disaster or accident;

(e) civilian crew of ships navigating in international inland waters;

(f) holders of travel documents issued by intergovernmental international organisations of which one or more Member States are members, or by other entities recognised by the Member State concerned as subjects of international law, to officials of these organisations or entities”.

---

1 The definition of the visa has been deleted here since COM has suggested to change the definition of the visa via the amendments to the Schengen Borders Code (SBC) (see 7698/12 and footnote 3 on p.7). PL is of the opinion that the definition of the visa should be reintroduced.

2 DE has entered a reservation since it was of the opinion that unilateral decisions of Member States on such exemptions were to be avoided and that the Council should decide upon them (as in the now-repealed Regulation 789/2001). EL, IT and PT disagree with DE. COM has reminded delegations that after the entry into force of the Treaty of Lisbon no right of initiative for the Member States, as laid down in repealed Regulation 789/2001, could be envisaged.

3 COM takes note of the compromise suggestions but states that it would await the EP's position before accepting them.

4 COM takes note of the compromise suggestions but states that it would await the EP's position before accepting them.
(b) in paragraph 2 the following point is added:

"(d) recognised refugees and stateless persons and other persons who do not hold the nationality of any country who reside in the United Kingdom or in Ireland and are holders of a travel document issued by the United Kingdom or Ireland, which is recognised by the Member State concerned."

(c) (…)

(5) The following article (…) is inserted:

"Article 4a
(…)\(^1\)

1. The Commission shall be assisted by a committee. That committee shall be a committee within the meaning of Regulation (EU) No 182/2011 of the European Parliament and of the Council of 16 February 2011 laying down the rules and general principles concerning mechanisms for control by Member States of the Commission's exercise of implementing powers\(^2\).

2. Where reference is made to this paragraph, Article 5 of Regulation (EU) No 182/2011 shall apply.

3. Where the committee delivers no opinion, the Commission shall not adopt the draft implementing act and the third subparagraph of Article 5(4) of Regulation (EU) No 182/2011 shall apply."

---

\(^1\) The title has been deleted for reasons of consistency, as the current articles of Regulation 539/2001 have no title.

Article 2

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 , [...] 

For the European Parliament For the Council

The President The President
Statement on Council Regulation (EU) No .../2012 of ...2012
amending
Regulation (EC) No 539/2001
as regards the reciprocity mechanism

The European Parliament, the Council and the Commission stress that the reciprocity mechanism which is the subject of this Regulation, accompanied where necessary by provisional introduction of the visa requirement for a third country which imposes a visa requirement for nationals from one or more Member States, in no way prevents the application of other provisional measures to such a third country in one or more other fields (particularly political, economic or commercial fields) in accordance with the relevant legal basis or bases in the Treaties if such measures would be deemed an advisable part of the strategy to be implemented to induce the third country to restore or introduce visa-free travel for nationals from the Member State or States concerned. The European Parliament, the Council and the Commission consider that, when a notification under the reciprocity mechanism occurs, due consideration should be given in the appropriate fora to the advisability of such other measures.