Proposal for a

REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL
amending Regulation (EU) 2016/399 as regards the use of the Entry/Exit 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 Articles 77(2)(b) thereof,

Having regard to the proposal from the European Commission,

After transmission of the draft legislative act to the national parliaments,

Having regard to the opinion of the European Economic and Social Committee,

Having regard to the opinion of the Committee of the Regions,

Acting in accordance with the ordinary legislative procedure,

Whereas:


(2) Regulation (EU) N° XXX of the European Parliament and of the Council establishing the Entry/Exit System ('EES') to register entry and exit data and refusal of entry data of third country nationals crossing the external borders of the Member States of the European Union and determining the conditions for access to the EES for law enforcement purposes\(^2\) aims at creating a centralised system for the registration of entry and exit data and refusal of entry data of third country nationals crossing the external borders of the Member States of the Union for a short stay.

(3) In order to carry out checks on third country nationals pursuant to Regulation (EU) 2016/399, which include the verification of the identity and/or the identification of the third country national as well as the verification that the third country national has not exceeded the maximum duration of authorised stay in the territory of the Member States, border guards should use all the information available, including data from the EES, where required. The data stored in that system should also be used to verify that third country nationals holding a single or double entry visa have respected the maximum number of authorised entries.

(3a) In certain cases biometric data need to be provided by the third country national for the purpose of border checks. The entry conditions for third country nationals should therefore be amended by the obligation to provide that biometric data. If a third country national

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\(^2\) OJ L ...
refuses to provide biometric data for the creation of the individual file or for the performance of border check, a refusal of entry decisions should be adopted.

(4) To ensure full effectiveness of the EES, entry and exit checks need to be carried out in a harmonised way at the borders at which the EES is operated.

(5) The establishment of an EES requires adapting the procedures for checking persons when crossing the borders at which the EES is operated. In particular, the EES aims to abolish on entry and exit the stamping of the travel documents of third country nationals admitted for a short stay by replacing it by the electronic recording of the entry and exit directly in the EES. Furthermore, the establishment of the interoperability between the EES and the Visa Information System (VIS) needs to be taken into account in the border checks procedures. Lastly, the EES opens the possibility to use new technologies for the border crossings of short stay travellers.

(5a) The above-mentioned adaptations of procedures should become effective in the Member States operating the EES on the date of entry into operation of the EES determined in accordance with the EES Regulation (EU) № XXX.

(6) During a period of six months after the EES has started operations, border guards should take into account the stays in the territories of the Member States during the six months preceding the entry or the exit by checking the stamps in the travel documents in addition to the entry/exit data recorded in the EES. Such measure should enable the required verifications to be carried out in those cases where a person would have been admitted for a short stay on the territory of the Member States in the six months preceding the start of operations of the EES. In addition there is a need to lay down specific provisions for those persons having entered the territory of the Member States and who have not yet exited it before the entry into operations of the system. In these situations, the last entry should also be recorded into the EES when exiting the territory of the Member States.

(7) Taking into account the different situations in the Member States and at different border crossing points within the Member States concerning the number of third country nationals crossing the borders, Member States should be able to decide whether and to what extent to make use of technologies such as automated border control systems, "self-service kiosks" and e-gates. When using such technologies, it should be ensured that entry and exit checks are carried out in a harmonised way at the external borders and that an appropriate level of security is ensured.

(8) In addition, the tasks and roles of the border guards when making use of such technologies need to be defined. In this regard, it should be ensured that the results of border checks performed through automated means are available to border guards so as to enable them to take the appropriate decisions. In addition, there is a need to supervise the use of the automated border control systems, "self-service kiosks" and e-gates by travellers so as to prevent fraudulent behaviour and uses. In addition, when carrying out this supervision, border guards should pay particular attention to minors and should be placed in a position that should enable them to identify persons needing protection.

(9) Member States should also be able to establish national facilitation programmes on a voluntary basis to allow pre-vetted third country nationals to benefit at entry from derogations to the thorough checks. When using such national facilitation programmes, it should be ensured that they are established in a harmonised way and that the appropriate level of security is guaranteed.
(10) This Regulation is without prejudice to the application of Directive 2004/38/EC of the European Parliament and of the Council³.

(10a) (10a) The European Data Protection Supervisor was consulted in accordance with Article 28(2) of Regulation (EC) No 45/2001 and delivered an opinion on 21 September 2016.

(11) Since the objective of this Regulation, namely to provide for amendments to the existing rules of Regulation (EU) 2016/399 can only be achieved at Union level, the Union may adopt measures in accordance with the principle of subsidiarity as set out in Article 5 of the Treaty on European Union. In accordance with the principle of proportionality, as also set out in that Article, this Regulation does not go beyond what is necessary in order to achieve this objective.

(12) 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 is not taking part in the adoption of this Regulation and is not bound by it or subject to its application. Given that this Regulation builds upon the Schengen acquis, Denmark shall, in accordance with Article 4 of that Protocol, decide within a period of six months after the Council has decided on this Regulation whether it will implement it in its national law.

(13) 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/EC⁴; the United Kingdom is therefore not taking part in the adoption of this Regulation and is not bound by it or subject to its application.

(14) 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/EC⁵; Ireland is therefore not taking part in the adoption of this Regulation and is not bound by it or subject to its application.

(15) 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 latters' association with the implementation, application and development of the Schengen acquis⁶ which fall within the area referred to in Article 1, point A of Council Decision 1999/437/EC⁷.

(16) As regards Switzerland, this Regulation constitutes a development of the provisions of the Schengen acquis within the meaning of 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 acquis⁸.

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⁶ OJ L 176, 10.7.1999, p. 36.
⁷ Council Decision 1999/437/EC of 17 May 1999 on certain arrangements for the application of the Agreement concluded by the Council of the European Union and the Republic of Iceland and the Kingdom of Norway concerning the association of those two States with the implementation, application and development of the Schengen acquis (OJ L 176, 10.7.1999, p. 31).
which fall within the area referred to in Article 1, point A of Council Decision 1999/437/EC\(^9\) read in conjunction with Article 3 of Council Decision 2008/146/EC\(^10\).

(17) 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\(^11\) which fall within the area referred to in Article 1, point A, of Council Decision 1999/437/EC\(^12\) read in conjunction with Article 3 of Council Decision 2011/350/EU\(^13\).

(17a) As regards Cyprus, Bulgaria, Romania and Croatia, provisions related to the Entry Exit System should be applied only when the conditions set out in Article 60 (1a) of [Regulation establishing the Entry/Exit System (EES)] are met. As a result, for those Member States that would not be fulfilling the conditions set under Article 60 (1a) of [Regulation establishing the Entry/Exit System (EES)] at the date of entry into operations of the EES, it is necessary to lay down specific transitional provisions on stamping pending their connection to the EES. The transitional provisions should ensure that the stamping encompasses those effects that are entrusted to the EES data.

(17aa) The Member States which would not meet the conditions referred to under Article 60(1a) of [Regulation establishing the Entry/Exit System (EES)] at the date of entry into operation of the EES should continue the systematic stamping on entry and exit of the travel documents of third country nationals admitted for a short stay. These Member States should examine the entry and exit stamps on the travel document of the third-country national concerned in order to verify, by comparing the dates of entry and exit that the person has not already exceeded the maximum duration of authorised stay in the territory of the Member State concerned. The stamping and the examination of the stamps should be pursued until the Member State concerned is connected to the EES as referred to under Article 60 (1b) of [Regulation establishing the Entry/Exit System (EES)].

(18) Regulation (EU) 2016/399 should therefore be amended accordingly,

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\(^9\) Council Decision 1999/437/EC of 17 May 1999 on certain arrangements for the application of the Agreement concluded by the Council of the European Union and the Republic of Iceland and the Kingdom of Norway concerning the association of those two States with the implementation, application and development of the Schengen acquis (OJ L 176, 10.7.1999, p. 31).


\(^12\) Council Decision 1999/437/EC of 17 May 1999 on certain arrangements for the application of the Agreement concluded by the Council of the European Union and the Republic of Iceland and the Kingdom of Norway concerning the association of those two States with the implementation, application and development of the Schengen acquis (OJ L 176, 10.7.1999, p. 31)

\(^13\) Council Decision 2011/350/EU of 7 March 2011 on the conclusion, on behalf of the European Union, 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, relating to the abolition of checks at internal borders and movement of persons (OJ L 160, 18.6.2011, p. 19).
HAVE ADOPTED THIS REGULATION:

Article 1

Regulation (EU) 2016/399 is amended as follows:

(1) In Article 2, the following points 22, 23, 24, 25 and 25a are added:

"22. 'Entry/Exit System (EES)' means the system established by [Regulation (EU) No XXX of the European Parliament and of the Council establishing the Entry/Exit System (EES) to register entry and exit data and refusal of entry data of third country nationals crossing the external borders of the Member States of the European Union and determining the conditions for access to the EES for law enforcement purposes;

23. 'Self-service system' means an automated system which performs all or some of the border checks that are applicable to a person and which may be used for pre-enrolling data in EES;

24. 'e-gate' means an infrastructure operated by electronic means where the effective crossing of an external border or an internal border where controls have not been lifted takes place;

25. 'Automated Border Control system' means a system which allows for an automated border passage, and which is composed of a self-service system and an e-gate.

25a. 'confirmation of the authenticity and integrity of the chip data' means the process by which it is verified, through the use of certificates, that the data on the chip originates from the issuing authority and that it has not been changed.

(1a) In Article 6 paragraph 1, point (f) is added:

“(f) they provide the biometric data, if required for:

(i) creating the individual file in the Entry/Exit system in accordance with Articles 14 and 15 of [Regulation establishing the Entry/Exit System (EES)];

(ii) carrying out border checks in accordance with Article 8(3)(a)(i) and (g)(i) of this Regulation, Article 21(2) and (4) of [Regulation establishing the Entry/Exit System (EES)] and, where applicable, Article 18 of Regulation (EC) No 767/2008.

(1b) In Article 6, a new paragraph 1a is added:

The period of 90 days in any 180-day period referred to in paragraph 1 shall be calculated as a single period for the Member States operating the EES on the basis of Regulation…/[EES Regulation]. This period shall be calculated separately for each of the Member States which do not operate the EES.
The following Article 6a is inserted:

"Article 6a

"Third country nationals for whom data is to be entered into the EES"

1. Data on entry and exit of the following categories of persons shall be entered into the EES in accordance with Articles 14, 15, 17 and 18 of [Regulation establishing the Entry/Exit System (EES)]:

(a) third country nationals admitted for a short stay pursuant to Article 6(1);

(b) third country nationals who are members of the family of a Union citizen to whom Directive 2004/38/EC applies and who do not hold a residence card pursuant to that Directive;

(c) third country nationals who are members of the family of a national of a third country enjoying the right of free movement equivalent to that of Union citizens under an agreement between the Union and its Member States on the one hand and a third country on the other and who do not hold a residence card referred to under Directive 2004/38/EC or a residence permit pursuant to Regulation (EC) No 1030/2002.

2. Data on third country nationals whose entry for a short stay has been refused in accordance with Article 14 of this Regulation shall be entered in the EES in accordance with Article 16 of [Regulation establishing the Entry/Exit System (EES)].

3. Data on the following categories of persons shall not be entered into the EES:

(a) third country nationals who are members of the family of a Union citizen to whom Directive 2004/38/EC applies and who hold a residence card in accordance with that Directive;

(b) third country nationals who are members of the family of a national of a third country enjoying the right of free movement equivalent to that of Union citizens under an agreement between the Union and its Member States on the one hand and a third country on the other and who hold a residence card referred to under Directive 2004/38/EC or a residence permit pursuant to Regulation (EC) No 1030/2002.

(b1) holders of residence permits referred to in point 16 of Article 2 other than those covered by points (a) and (b) of this paragraph;

(b2) holders of long-stay visas;

(b3) third country nationals exercising mobility in accordance with Directive 2014/66/EU\(^{14}\) or Directive (EU) 2016/801\(^{15}\) as those Directives set up specific intra-EU mobility schemes;

(c) nationals of Andorra, Monaco, and San Marino and holders of a passport issued by the Vatican City State;

(d) persons or categories of persons exempt from border checks or benefitting from facilitation of border crossing:

(i) Heads of State, Heads of Government and the members of national government with accompanying spouses, sovereigns and other members of

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a royal family and members of their delegation in accordance with point 1 of Annex VII;

(ii) pilots of aircraft and other crew members in accordance with point 2 of Annex VII;

(iii) seamen in accordance with point 3 of Annex VII and seamen who are present within the territory of a Member State only when their ship puts in and in the area of the port of call;

(iv) cross-border workers in accordance with point 5 of Annex VII;

(v) rescue services, police, fire brigades acting in emergency situation and border guards in accordance with point 7 of Annex VII;

(vi) offshore workers in accordance with point 8 of Annex VII;

(vii) crew members and passengers of cruise ships in accordance with points 3.2.1, 3.2.2 and 3.2.3 of Annex VI;

(viii) persons on board a pleasure boat who are not subject to border checks in accordance with points 3.2.4, 3.2.5 and 3.2.6 of Annex VI;

(e) persons who are exempt from the obligation to cross external borders only at border crossing points and during the fixed opening hours pursuant to Article 5(2);

(f) persons who present a valid local border traffic permit for their border crossing in accordance with Regulation (EC) No 1931/2006 of the European Parliament and of the Council;

(g) crews of passenger and goods trains on international connections;

(h) persons who present for their border crossing

(i) a valid Facilitated Rail Transit Document issued in accordance with Regulation (EC) No 693/2003 or

(ii) a valid Facilitated Transit Document issued in accordance with Regulation (EC) No 693/2003 provided that they perform their transit by train and they do not disembark in the territory of a Member State.

The data of the family members referred to in points (a) and (b) shall not be entered into the EES, even if they are not accompanying or joining the Union citizen or a third country national enjoying the right of free movement.

(3) Article 8 is amended as follows:

(a) in paragraph (2)(a), the last subparagraph is replaced by the following:

If the travel document contains an electronic storage medium (chip), the authenticity and integrity of the chip data shall be confirmed using the complete valid certificate chain, unless this is impossible, for technical reasons or, in the case of a travel document issued by a third country, due to the non-availability of valid certificates.

In paragraph (2)(b), the following sentence is added:

For persons whose entry is subject to a registration in the EES pursuant to Article 6a of this Regulation, a verification of the identity of the person in accordance with Article 21(2) of [Regulation establishing the Entry/Exit System (EES)] and, where applicable, an identification shall be carried out in accordance with Article 21(4) of [Regulation establishing the Entry/Exit System (EES)].
(b) paragraph 3 is amended as follows:

(i) points (a)(i) last subparagraph, and (a)(iii) are replaced by the following:

"(a)(i) For passports and travel documents containing a storage medium, the authenticity and integrity of the chip data shall be checked, subject to the availability of valid certificates. If the travel document contains a facial image recorded in the electronic storage medium (chip) and if the facial image recorded in the chip can be technically accessed, this verification shall include the verification of the facial image recorded in the chip, by comparing electronically this image with the live facial image of the concerned third country national, except for third country nationals who have an individual file already registered in the EES. If technically and legally possible, this verification may be done by verifying the live fingerprints with the fingerprints recorded in the chip (a)(iii) for persons whose entry or whose refusal of entry is subject to a registration in the EES pursuant to Article 6a of this Regulation, a verification of the identity of the person in accordance with Article 21(2) of [Regulation establishing the Entry/Exit System (EES)] and, where applicable, an identification shall be carried out in accordance with Article 21 (4) of [Regulation establishing the Entry/Exit System (EES)]."

(ii) the following point (a)(iiiia) is inserted after point (a)(iii):

"(iiiia) for persons whose entry or whose refusal of entry is subject to a registration in the EES pursuant to Article 6a of this Regulation, verification that the third country national has not already reached or exceeded the maximum duration of authorised stay in the territory of the Member States and, for third country nationals holding a single or double entry visa, verification that they have respected the number of the maximum authorised entries, by consulting the EES in accordance with Article 21 of [Regulation establishing the Entry/Exit System (EES)]."

(iii) (...) 

(iv) point g(i) is replaced by the following:

"(i) verification of the identity and the nationality of the third-country national and of the authenticity and validity of the travel document for crossing the border, including by consulting the relevant databases, in particular:

(1) the SIS;
(2) Interpol’s SLTD database;
(3) national databases containing information on stolen, misappropriated, lost and invalidated travel documents.

For passports and travel documents containing a storage medium, the authenticity and integrity of the chip data shall be checked, subject to the availability of valid certificates.

If the travel document contains a facial image recorded in the electronic storage medium (chip) and if the facial image recorded in the chip can be technically accessed, this verification shall include the verification of the facial image recorded in the chip, by comparing electronically this image with
the live facial image of the concerned third country national, except for third country nationals who have an individual file already registered in the EES. If technically and legally possible, this verification may be done by verifying the live fingerprints with the fingerprints recorded in the chip.

"(v) the following points (g) (iii) and (iv) are added:

"(iii) for persons whose exit is subject to a registration in the EES pursuant to Article 6a of this Regulation, a verification of the identity of the person in accordance with Article 21(2) of [Regulation establishing the Entry/Exit System (EES)] and, where applicable, an identification shall be carried out in accordance with Article 21(4) of [Regulation establishing the Entry/Exit System (EES)];

(iv) for persons whose exit is subject to a registration in the EES pursuant to Article 6a of this Regulation, verification that the third country national did not exceed the maximum duration of authorised stay in the territory of the Member States, by consulting the EES in accordance with Article 21(3) of [Regulation establishing the Entry/Exit System (EES)]"

(vi) point (h)(ii) is deleted.

(vii) point (i) is replaced by the following:

"(i) for the purpose of identification of any person who may not fulfil, or who may no longer fulfil, the conditions for entry, stay or residence on the territory of the Member States, the VIS may be consulted in accordance with Article 20 of Regulation (EC) No 767/2008 and the EES may be consulted in accordance with Article 25 of [Regulation establishing the Entry/Exit System (EES)]."

(viii) the following paragraph 9 is added:

"9. The border authorities shall inform the third country national of the maximum number of days of authorised stay which shall take into account the number of entries and the length of stay authorised by the visa, in accordance with Article 8(9). The information may be provided either by the border guard at the moment of the border check or by means of an equipment installed at the border crossing point enabling the third country nationals to consult the webservice as referred to in Article 12 (1) of [Regulation establishing the Entry/Exit System (EES)]."
The following Article 8c is inserted:

"Article 8c

Use of self-service systems for pre-enrolling data in the EES

1. Persons whose border crossing is subject to a registration in the EES in accordance with Article 6a may use self-service systems for the purpose of pre-enrolling in the EES the data referred in paragraph (4)(a) of this Article provided the following cumulative conditions are verified:
   (a) the travel document shall contain an electronic storage medium (chip) and the authenticity and integrity of the chip data shall be confirmed using the complete valid certificate chain;
   (b) the travel document shall contain a facial image recorded in the chip which can be technically accessed by the self-service system so as to verify the identity of the holder of the travel document by comparing the facial image recorded in the chip and his or her live facial image; if technically and legally possible, this verification may be done by verifying the live fingerprints with the fingerprints recorded in the chip of the travel document.

2. Pursuant to paragraph 1, the self-service system shall verify whether the person has a previous registration in the EES and the identity of the third country national in accordance with Article 21(2) of [Regulation establishing the Entry/Exit System (EES)].

3. In conformity with Article 21(4) of [Regulation establishing the Entry/Exit System (EES)], the self-service system shall carry out an identification in accordance with Article 25 of [Regulation establishing the Entry/Exit System (EES)]
   (a) (…)
   (b) (…)
   (c) (…)

In addition, in accordance with Articles 21(4) of the [Regulation establishing the Entry/Exit System (EES)] where an identification in the EES is carried out, the following provisions shall apply:
   (a) for third country nationals who are subject to a visa requirement to cross the external borders, if the search in the VIS with the data referred to in Article 18(1) of Regulation (EC) No 767/2008 indicates that the person is recorded in the VIS, a verification of fingerprints against the VIS shall be carried out in accordance with Article 18 (5) of Regulation (EC) No 767/2008. In circumstances where a verification of the person pursuant to paragraph 2 of this Article failed, the VIS data shall be accessed for identification in accordance with Article 20 of Regulation (EC) No 767/2008.
   (b) for third country nationals who are not subject to a visa requirement to cross the external borders and who are not found in the EES further to the identification run in accordance with Article 25 of [Regulation establishing the Entry/Exit System (EES)], the VIS shall be consulted in accordance with Article 19a of Regulation (EC) No 767/2008.

4. In the event that data on the person is not recorded in the EES pursuant to paragraphs 2 and 3, the following provisions shall apply:
   (a) third country nationals who are subject to a visa requirement to cross the external borders shall pre-enrol in the EES through the self-service system the data listed
under Article 14(1), (2)(c), (d)(e), (f) and, where relevant, the data referred to under Article 14 (6) of [Regulation establishing the Entry/Exit System (EES)] and third country nationals who are not subject to a visa requirement to cross the external borders shall pre-enrol in the EES through the self-service system the data listed under Articles 15(1)(a), (b) and (c) and 14(2)(c) and, where relevant, the data referred to in Article (15)(1)(d), of [Regulation establishing the Entry/Exit System (EES)];

(b) subsequently, the person shall be referred to a border guard who shall:

(i) where not all the required data could be collected through the self-service kiosk, pre-enrol the concerned data,

(ii) verify:

(1) that the travel document used at the self service system corresponds to the one held by the person in front of the border guard;

(2) that the live facial image of the person concerned corresponds to the facial image that was collected though the self service system;

(3) and, for persons who do not hold a visa required pursuant to Regulation (EC) No 539/2001, that the live fingerprints of the concerned person correspond to the fingerprints that were collected though the self-service system;

(iii) when the decision to authorise or refuse entry has been taken, confirm the data referred to in point (a) of this paragraph and introduce the data foreseen under Articles 14(2)(a), (b) or 16(2)(a), (b), (c) and (d)) of the [Regulation establishing the Entry/Exit System (EES)].

5. Where it results from the operations provided for in paragraphs 2 and 3 that data on the person are recorded into the EES, the self-service system shall check whether one or more of the data referred in paragraph (4)(a) of this Article need to be updated.

6. Where it is verified pursuant to paragraph 5 that the person has an individual file registered in the EES but that his or her data needs to be updated, the following provisions shall apply:

(a) the person shall pre-enrol through the self-service system the updated data in the EES;

(b) the person shall be referred to a border guard. That border guard shall verify the correctness of the update that was pre-enrolled through the self-service system and, when the decision to authorise or refuse entry has been taken, update the individual file in accordance with Article 13(2) of [Regulation establishing the Entry/Exit System (EES)].

7. Self-service systems shall be operated under the supervision of a border guard who shall be in charge of detecting any inappropriate, fraudulent or abnormal use of the system."
Use of self-service systems and/or e-gates for the border crossing by third country nationals whose border crossing is subject to a registration in the EES

1. Persons whose border crossing is subject to a registration in the EES in accordance with Article 6a may be permitted to use a self-service system to have their border checks performed if the following cumulative conditions are met:
   (a) the travel document shall contain an electronic storage medium (chip) and the authenticity and integrity of the chip data shall be confirmed using the complete valid certificate chain;
   (b) the travel document shall contain a facial image recorded in the chip which can be technically accessed by the self-service system so as to verify the identity of the holder of the travel document, by comparing the facial image recorded in the chip and his/her live facial image;
   (c) the person is already enrolled or pre-enrolled in the EES.

2. Where the conditions laid down in paragraph 1 are met, the border checks on entry provided for in Articles 8(2) and 8(3)(a) and (b) and on exit provided for in Articles 8(2) and 8(3)(g) and (h) may be carried out through a self-service system. When carried out through an automated border control system, the border checks on exit shall include the checks provided for in Article 8(3)(h).

Where a person is granted access to a national facilitation programme established by a Member State pursuant to Article 8e, the border checks carried out through a self-service system on entry may omit the examination of the aspects referred to in Article 8(3)(a)(iv) and (v) when crossing the external borders of that Member State or the external borders of another Member State having concluded an agreement with the Member State which granted the access as referred to under Article 8e(8).

3. On entry and exit, the results of the border checks carried out through the self-service system shall be made available to a border guard. This border guard shall monitor the results of border checks and, taking into account these results, authorise the entry or exit or, otherwise, refer the person to a border guard who shall proceed with further checks.

4. The person shall be referred to a border guard in the following situations:
   (a) when one or several of the conditions listed under paragraph 1 is or are not fulfilled;
   (b) when the checks on entry or exit under paragraph 2 reveal that one or several of the entry or exit conditions are not met;
   (c) when the results of the checks on entry or exit under paragraph 2 put into question the identity of the person or when they reveal that the person is considered to be a threat to the internal security, public policy, international relations of any of the Member States or to public health;
   (d) in case of doubt;
   (e) when no e-gates are available.

5. In addition to the situations referred to in paragraph 4, the border guard supervising the border crossing may decide to refer persons using self-service system to a border guard based on other reasons.
6. Persons whose border crossing is subject to a registration in the EES in accordance with Article 6a(1) and who used a self-service system for the performance of their border checks may be authorised to use an e-gate. Where an e-gate is used, the corresponding registration of the entry/exit record and the linking of that record to the concerned individual file pursuant to Article 13 of [Regulation establishing the Entry/Exit System (EES)] shall be carried out when performing the border crossing through the e-gate. Where the e-gate is not aggregated to the self-service system, a verification of the identity of the user shall take place at the e-gate in order to verify that the person using the e-gate corresponds to the person that used the self-service system. The verification shall be made by using at least one biometric identifier.

7. Where the conditions listed in paragraph 1(a) or (b) of this Article, or in both, are not fulfilled, part of the border checks on entry pursuant to Article 8(3)(a) and (b) and exit pursuant to Article 8(3)(g) and (h) may be carried out through a self-service system. The border guard may perform only those verifications pursuant to Article 8(3)(a) and (b) as well as Article 8(3)(g) and (h) that could not be carried out through the self-service system. In addition, the border guard shall verify that the travel document used at the self-service system corresponds to the one held by the person standing before the border guard.

8. Self-service systems and e-gates shall be operated under the supervision of a border guard who shall be in charge of detecting any inappropriate, fraudulent or abnormal use of the system or e-gate, or both.

9. This Article is without prejudice to the possibility for Member States to allow for the use of self-service systems and/or e-gates for the border crossings by EU/EEA/CH citizens and by third country nationals whose border crossing is not subject to registration in the EES.

(7a) The following Article 8da is inserted:

"Article 8da
Standards for automated border control systems
Automated border control systems should be designed in such a way that they can be used by all persons, with the exception of children under 12 years of age. They shall also be designed in a way that fully respects human dignity, in particular in cases involving vulnerable persons. Where Member States decide to use automated border control systems, they shall ensure the presence of a sufficient number of staff to assist persons with the use of such systems."

(8) The following Article 8e is inserted:

"Article 8e
National facilitation programmes
1. Each Member State may establish a voluntary programme in order to allow third country nationals or nationals of a specific third country who do not enjoy the right of free movement under Union law to benefit from the facilitations made pursuant to paragraph 2 of this Article when crossing the external border of a Member State.
2. By way of derogation from Article 8(3)(a), for third country nationals referred to paragraph 1 of this Article and who are granted access to the programme, the thorough checks on entry may not include examination of the aspects referred to in Article 8(3)(a) (iv) and (v) when crossing the external border of such a Member State."
2a. The Member State shall carry out a pre-vetting of third country nationals applying to the programme in order to verify in particular that the conditions referred to in paragraph 3 are fulfilled.

The pre-vetting shall be carried out by border guards, visa authorities as defined in Article 4(3) of Regulation 767/2008 or by immigration authorities defined under Article 3(1)(3) of Regulation establishing the Entry/Exit system (EES);

3. The authorities referred to in paragraph 2a shall only grant access to the programme when the following minimum conditions are met:

a) the applicant fulfils the entry conditions set out in Article 6(1) of this Regulation;
b) the applicant's travel document, visa, long-stay visa and/or residence permit presented, is or are valid and not false, counterfeited or forged;
c) the applicant proves the need for or justifies the intention to travel frequently or regularly;
d) the applicant proves his or her integrity and reliability, in particular, where applicable, the lawful use of previous visas or visas with limited territorial validity, his or her economic situation in the country of origin and his or her genuine intention to leave the territory of the Member States before the end of the authorised period of stay. In accordance with Article 23 of [Regulation establishing the Entry/Exit System (EES)], the authorities referred to in paragraph 2a of this Article shall have access to consult the EES to verify that the applicant has not previously exceeded the maximum duration of authorised stay in the territory of the Member States;
e) the applicant justifies the purpose and conditions of the intended stays;
f) the applicant possesses sufficient means of subsistence both for the duration of the intended stays and for the return to the country of origin or residence, or that the applicant is in a position to acquire such means lawfully;

(g) the SIS is consulted.

(viii) (...)

4. First access to the programme shall be granted for a maximum of one year, and can be prolonged after this first year for a maximum of 5 more years or until the end of the validity period of the travel document, any issued multiple-entry visas, long-stay visas and residence permits, whichever is shorter.

In case of a prolongation the Member State shall reassess every year the situation of each third country national who is granted access to the programme in order to ensure that, based on updated information, the third country national concerned still meets the conditions laid down in paragraph 3. This reassessment could be performed at the occasion of border checks.

5. The thorough checks on entry pursuant to Articles 8(3)(a) and 8(3)(b) and on exit pursuant to Article 8(3)(g) shall also comprise verification that the third country national has a valid access to the programme.

Border guards may carry out verification of the third country national benefiting from the programme on entry pursuant to Articles 8(3)(a) and 8(3)(b) and on exit pursuant to Article 8(3)(g) without comparing electronically biometrics, but by comparing a facial image taken from the chip and the facial image of the passenger’s individual EES file with a passenger. Full verification shall be carried out at random and on the basis of risk analysis.
6. The authorities referred to in paragraph 2a shall immediately revoke the access granted to a third country national to the programme:

(i) if it becomes evident that the conditions for granting access to the programme were not met; or

(ii) if it becomes evident that the conditions for granting access to the programme are no longer met.

7. When verifying in accordance with paragraph 2a that the applicant fulfils conditions set out in paragraph 3, particular consideration shall be given to assessing whether the applicant presents a risk of illegal immigration or a risk to the security of the Member State(s) and whether the applicant intends to leave the territory of the Member State(s) during the authorised stay.

The means of subsistence for the intended stays shall be assessed according to the duration(s) and the purpose(s) of the envisaged stay(s) and by reference to average prices in the Member State(s) concerned for board and lodging in budget accommodation, on the basis of the reference amounts set by the Member States in accordance with Article 39(1)(c). A proof of sponsorship or private accommodation, or both, may also constitute evidence of sufficient means of subsistence.

The examination of an application shall be based in particular on the authenticity and reliability of the documents submitted and on the veracity and reliability of the statements made by the applicant. If a Member State responsible for examining an application has any doubts about the applicant, the applicant's statements or supporting documents that have been provided, it may consult other Member States before any decision on the application is taken.

8. Two or more Member States having established their own national programme pursuant to this Article may conclude among them an agreement in order to ensure that the beneficiaries of their national programmes may benefit from the facilitations recognised by the other national programme(s). Within the time-limit of one month from the conclusion of the agreement, a copy of the agreement shall be transmitted to the Commission.

8a. When establishing such a national facilitation programme, Member States shall ensure that their system operating the programme meets the data security standards laid down in Article 39 of [Regulation establishing the Entry/Exit System (EES)]. Member States shall conduct a proper information security risk assessment and security responsibilities shall be made clear for all steps of the process.

9. The Commission shall, before the end of the third year of application of this Article, transmit to the European Parliament and to the Council an evaluation of its implementation. On the basis of that evaluation, the European Parliament or the Council may invite the Commission to propose the establishment of a Union programme for frequent and pre-vetted third country national travellers."

(9) Article 9 is amended as follows:

(a) Paragraph 3 is replaced by the following:

"3. Even in the event that checks are relaxed, the border guard shall enter the data in the EES, in accordance with Article 6a. Where the data cannot be entered by electronic means it shall be entered manually."

(b) The following paragraph 3a is inserted:
"3a. In case of technical impossibility to enter data in the Central System of the EES or in case of failure of the Central System of the EES, the following provisions shall apply:

(i) by way of derogation from Article 6a of this Regulation, the data referred to in Articles 14, 15, 16, 17 and 18 of [Regulation establishing the Entry/Exit System (EES)] shall be temporarily stored in the National Uniform Interface as defined in Article 6 of [Regulation establishing the Entry/Exit System (EES)]. If this is not possible, the data shall be temporarily stored locally. In both situations, the data shall be entered into the Central System of the EES as soon as the technical impossibility or failure has been remedied. Member States shall take the appropriate measures and deploy the required infrastructure, equipment and resources in order to ensure that such temporary local storage can be carried out at any time and for any of their border crossing points;

Without prejudice to the obligation to carry out border checks under Regulation (EU) 2016/399, the border authority, in the exceptional situation where it is technically impossible to enter data in the Central System and in the National Uniform Interface, and it is technically impossible to temporarily store the data locally in an electronic format, shall manually store entry/exit data in accordance with Articles 14, 15, 16, 17 and 18 of [Regulation establishing the Entry/Exit System (EES)], with the exception of biometric data, and shall affix an entry or exit stamp in the travel document of the third country national. That data shall be inserted into the Central System as soon as technically possible.

Member States shall inform the Commission of the stamping of travel documents in the event of exceptional situations mentioned in the previous subparagraph. Detailed rules on the information to the Commission shall be adopted in accordance with the examination procedure referred to in Article 61(2) of [Regulation establishing the Entry/Exit System (EES)].

(ii) by way of derogation from Articles 8(3)(a)(iii) and 8(3)(g)(iv) for nationals of third countries holding a visa referred to in Article 6(1)(b), when technically possible, the verification of the identity of the holder of the visa shall be carried out by consulting directly the VIS in accordance with Article 18 of Regulation (EC) No 767/2008."

(10) In Article 10, the following paragraphs 3a and 3aa are added:

"3a. Where Member States decide to use automated border control systems, e-gates and/or self-service systems, they shall use the signs provided for in part D of Annex III to identify the respective lanes.

3aa. Where Member States decide to establish a national facilitation programme in accordance with Article 8e, they may decide to use specific lanes for the third country nationals benefiting from such national facilitation programme. They shall use the signs provided for in part E of Annex III to identify the respective lanes."

(11) Article 11 is replaced by the following:

"Article 11

Stamping of travel documents

1. Where provided expressly by its national legislation, a Member State may stamp on entry and exit the travel document of third country nationals holding a residence permit or long-stay visa issued by that Member State."
1a. The travel document of a third-country national holder of a Facilitated Rail Transit Document issued in accordance with Regulation (EC) 693/2003 and the travel document of third country nationals holders of a valid Facilitated Transit Document issued in accordance with Regulation (EC) No 693/2003 who perform their transit by train and who do not disembark in the territory of a Member State shall be stamped on entry and exit.

1b. The travel documents of third-country national entering or exiting the territory of a Member State not yet fully applying the Schengen acquis but operating the EES on the basis of a single or double entry national short-stay visa shall be stamped on entry and on exit.

2. The practical arrangements for stamping are set out in Annex IV”.

(12) Article 12 is replaced by the following:

"Article 12
Presumption as regards fulfilment of conditions of duration of short stay

1. Without prejudice to Article 12a, if a third country national present on the territory of a Member State has no individual file created in the EES or the entry/exit record of the person does not contain an exit date following the date of expiry of the authorised length of stay, the competent authorities may presume that the person does not fulfil, or no longer fulfils, the conditions of duration of authorised stay within the territory of the Member States.

2. This presumption shall not apply to a third country national who can provide, by any means, credible evidence that he or she enjoys the right of free movement under Union law or that he or she holds a residence permit or a long stay visa. Where applicable, Article 32 of [Regulation establishing the Entry/Exit System (EES)] shall be applied.

3. The presumption referred to in paragraph 1 may be rebutted where the third country national provides, by any means, credible evidence, such as transport tickets or proof of his or her presence outside the territory of the Member States or of the date of expiry of a previous residence permit or long stay visa, that he or she has respected the conditions relating to the duration of a short stay.

In such a case the competent authorities shall create an individual file if necessary or indicate in the Entry/Exit System the date on which, and the place where, he or she crossed the external border of one of the Member States or the internal border of a Member State not yet fully applying the Schengen acquis but operating the EES in accordance with Article 18 of [Regulation establishing the Entry/Exit System (EES)];

4. Should the presumption referred to in paragraph 1 not be rebutted, a third country national present on the territory of the Member States may be returned in accordance with Directive 2008/115/EC.

A third country national enjoying the right of free movement under Union law may only be returned in accordance with Directive 2004/38/EC."

(13) The following Article 12a is inserted:

"Article 12a
Transitional period and transitional measures

1. For a period of 180 days after the EES has started operations, in order to verify at entry that a person has not exceeded the number of entries authorised by the single or double
entry visa and to verify at entry and at exit that a person entering for a short stay has not exceeded the length of the maximum authorised stay, the border guards shall take into account the stays in the territories of the Member States during the 180 days preceding the entry or the exit by checking the stamps in the travel documents in addition to the entry/exit data recorded in the EES.

2. Where a person has entered the territory of the Member States and has not yet exited it before the EES started operations, an individual file shall be created in the EES and the date of that entry shall be entered in the entry/exit record in accordance with Article 14(2) of [Regulation establishing the Entry/Exit System (EES)] when the person exits. This rule shall not be limited to the six months after the EES has started operations referred to in paragraph 1. In case of discrepancy between the date of the entry stamp and the data recorded in the EES, the concerned stamp shall prevail."

(14) Article 14 is amended as follows:
(a) in paragraph 2 the following third subparagraph is added:
"Data on third country nationals whose entry for a short stay has been refused shall be registered in the EES in accordance with Article 6a(2) of this Regulation and Article 16 of [Regulation establishing the Entry/Exit System (EES)]."
(b) in paragraph 3 the third subparagraph is replaced by the following:
"Without prejudice to any compensation granted in accordance with national law, the third country national concerned shall, where the appeal concludes that the decision to refuse entry was ill-founded, be entitled to correction of the data inserted into the EES or of the cancelled entry stamp, or both, and any other cancellations or additions which have been made, by the Member State which refused entry."

(14a) Article 20 is amended as follows:
Paragraph 1(a) is replaced by the following:
"(i) Heads of State, Heads of Government and the members of national government with accompanying spouses, sovereigns and other members of a royal family and members of their delegation;"

(14aa) New Article 42a is added:

"Article 42a

Transitional measures for the Member States not yet operating the EES

1. The travel documents of third-country nationals crossing the borders of the Member States referred to in Article 60 (1b) of [Regulation establishing the Entry/Exit System (EES)] shall be systematically stamped on entry and exit ..

The travel documents of third countries nationals referred to in Article 6a (1) (b) and (c) crossing the borders of the Member States referred to in Article 60 (1b) of [Regulation establishing the Entry/Exit System (EES)] shall be stamped on entry and exit:

These stamping obligations shall also apply when border checks are relaxed in accordance with Article 9."
2. By derogation to paragraph 1, no stamp shall be affixed to the travel documents of third-
country nationals referred to in Article 6a (3) (a), Article 6a (3) (b), Article 6a (3) (c),
Article 6a (3) (d) (i), Article 6a (3) (d) (ii), Article 6a (3) (d) (iii), Article 6a (3) (d) (vii)
and Article 6a (3) (g).

3. The provisions of this Regulation that relate to the entry/exit data recorded in the EES
and to the absence of such data in the EES shall apply mutatis mutandis to the entry and/
or exit stamps in particular Article 8 (3) (a) (iii), Article 8 (3) (g) (v), Article 8e (3) (d)
and Article 12.

4. When a presumption as regards the fulfilment of conditions of duration of stay is rebutted
in accordance with Article 12(2), the third-country national found on the territory of a
Member State not yet operating the EES shall be entitled to have an indication mentioned
in his or her travel document of the date on which and the place where he or she crossed
the external border or internal border of this Member State. A form as shown in Annex
VIII may also be given to the third-country national.

5. The provisions on stamping set out in Annex IV shall apply.

6. The Member States referred to in Article 60 (1b) of [Regulation establishing the
Entry/Exit System (EES)] shall stamp the travel documents of third country nationals
whose entry for a short stay is refused at their border. The stamping shall be carried out in
accordance with the specifications laid down in Annex V part A point 1d.

7. These stamping obligations shall apply until the moment the EES starts its operation in
the concerned Member State."

(15) Annexes III, IV, V and VII are amended in accordance with the Annex to this Regulation

(16) (…)

**Article 2**

1. This Regulation shall enter into force on the twentieth day following that of its publication.

2. It shall apply from the date on which the EES is to start operations, as determined by the
Commission in accordance with Article 60 of [Regulation (EU) N° XXX of the European
Parliament and of the Council establishing the Entry/Exit System (EES) to register entry and
exit data and refusal of entry data of third country nationals crossing the external borders of
the Member States of the European Union and determining the conditions for access to the
EES for law enforcement purposes].

2a. By way of derogation from paragraph 2, this Regulation shall apply to Member States
referred to in Article 60 (1b) of the EES Regulation not yet operating the EES from the date
of their connection to the EES in accordance with Article 60(1b) of the EES Regulation.
Pending their connection to the EES, transitional provisions concerning the stamping of the
travel documents shall be laid down in Article 42 a of the SBC shall apply to those Member
States.

3. 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 EP
The President

For the Council
The President
ANNEX to the Proposal for a REGULATION OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL amending Regulation (EU) 2016/399 as regards the use of the Entry/Exit System

ANNEX

Annexes to Regulation (EU) 2016/399 are amended as follows:

1. Part D and E are added to Annex III:

"PART D

Part D1: ABC lanes for EU/EEA/CH citizens

Stars are not required for Switzerland, Liechtenstein, Norway and Iceland

Part D2: ABC lanes for third country nationals
Third-Country Nationals

Stars are not required for Switzerland, Liechtenstein, Norway and Iceland

Part D3: ABC lanes for all passports

All Passports

Stars are not required for Switzerland, Liechtenstein, Norway and Iceland

Part E: Lanes for Registered Travelers

Registered Travelers

2. Annex IV is amended as follows:
(a) point 1 is replaced by the following:
in accordance with Regulation (EC) No 693/2003 who perform their transit by train and who do not disembark in the territory of a Member State shall be stamped on entry and exit. Besides, where provided expressly by its national legislation, a Member State may stamp on entry and exit the travel document of those third country nationals holding a residence permit or long-stay visa issued by that same Member State in accordance with Article 11.

The travel documents of third-country nationals entering or exiting the territory of a Member State not yet fully applying the Schengen acquis but operating the EES on the basis of a single or double entry national short-stay visa shall be stamped on entry and on exit.

(b) point 1a is added:

"The specifications of those stamps are laid down in the Schengen Executive Committee Decision SCH/COM-EX (94) 16 rev and SCH/Gem-Handb (93) 15 (CONFIDENTIAL)."

(ba) point 2a is added:

"2a. On the entry and exit of third-country nationals subject to the visa obligation and to the stamping, the stamp shall, as a general rule, be affixed on the page facing the one on which the visa is affixed.

If that page cannot be used, the stamp shall be entered on the following page. The machine readable zone shall not be stamped."

(c) point 3 is deleted.

3. Annex V part A is amended as follows:

(a) point 1(b) is replaced by the following:

"(b) for third country nationals whose entry for a short stay has been refused, the data on refusal of entry shall be registered into the EES in accordance with Article 6a(2) of this Regulation and Article 16 of [Regulation establishing the Entry/Exit System (EES)]."

(b) point 1(d) is replaced by the following:

"(d) for third country nationals whose refusals of entry shall not be registered into the EES, the border guard shall affix an entry stamp on the passport, cancelled by a cross in indelible black ink, and write opposite it on the right-hand side, also in indelible ink, the letter(s) corresponding to the reason(s) for refusing entry, the list of which is given on the standard form for refusing entry shown in Part B of this Annex. In addition, for these categories of persons, the border guard shall record every refusal of entry in a register or on a list stating the identity and nationality of the third country national concerned, the references of the document authorising the third country national to cross the border and the reason for, and date of, refusal of entry;"

(c) point 1(e) is added:

"(e) The practical arrangements for stamping are set out in Annex IV."

3a. In Annex V part B, the following is added under the section entitled “comments”:

"(to be marked by the border authority if data is stored in the EES)"
The person concerned is hereby informed that her/his personal data and information on this refusal of entry are entered into the Entry/Exit System in accordance with Article 16 of [Regulation establishing the Entry/Exit System (EES)].

According to Article 46 of [Regulation establishing the Entry/Exit System (EES)] the person concerned has the right to obtain the data relating to her/him recorded in the EES and may request that data relating to her/him which are inaccurate be rectified and that data recorded unlawfully be erased.”

4. In Annex V, part B, in the Standard form for refusal of entry at the border, is amended as follows:

(J) has refused to provide the biometric data, if required
☐ for the creation of the individual file in the Entry/Exit system
☐ to carry out the border check.

5. Annex VII is amended as follows:

point 1 is replaced by the following:

By way of derogation from Article 6 and Articles 8 to 14, Heads of State, Heads of Government and the members of national government with accompanying spouses, sovereigns and other members of a royal family, and members of their delegation invited by Member States’ governments or by international organisations for an official purpose and whose arrival and departure have been officially announced through diplomatic channels, may not be subject to border checks.