

EU asylum procedures and the right to an effective remedy Reneman, A.M.

Citation

Reneman, A. M. (2013, January 15). *EU asylum procedures and the right to an effective remedy. Meijers-reeks*. Retrieved from https://hdl.handle.net/1887/20403

Version: Corrected Publisher's Version

License: License agreement concerning inclusion of doctoral thesis in the

Institutional Repository of the University of Leiden

Downloaded from: https://hdl.handle.net/1887/20403

Note: To cite this publication please use the final published version (if applicable).

Cover Page



Universiteit Leiden

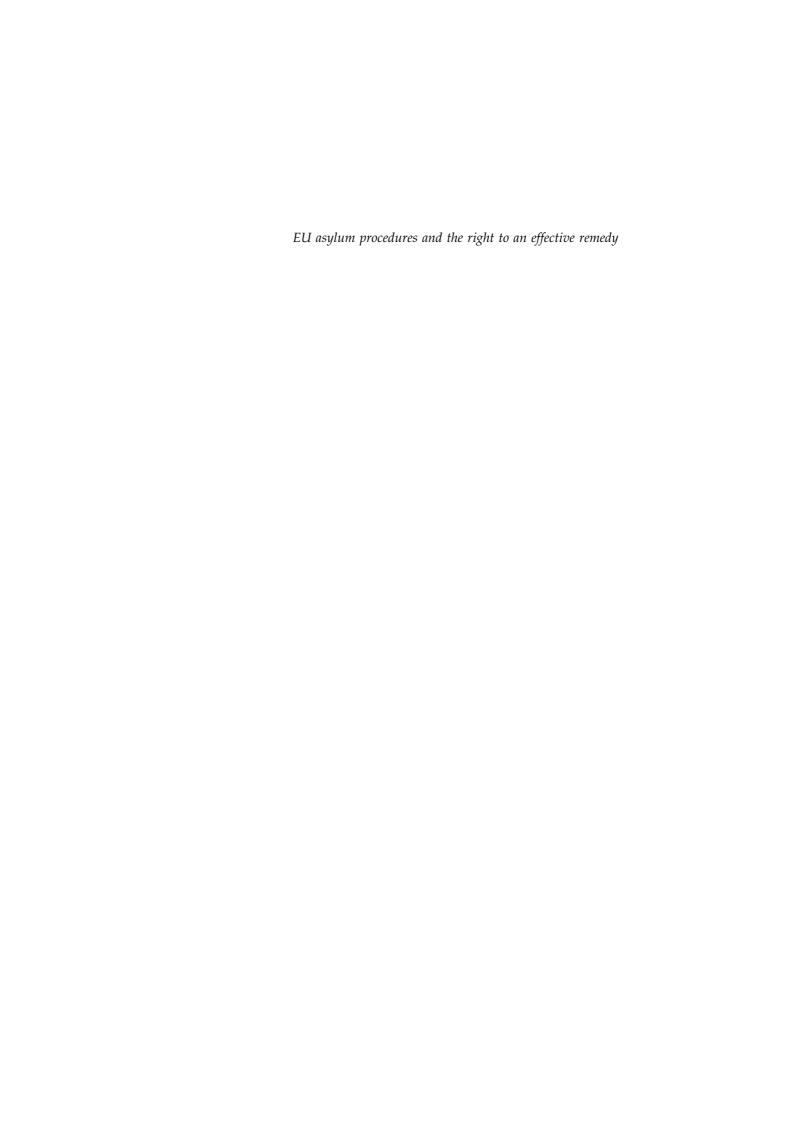


The handle http://hdl.handle.net/1887/20403 holds various files of this Leiden University dissertation.

Author: Reneman, Anne Marcelle

Title: EU asylum procedures and the right to an effective remedy

Date: 2013-01-15



EU asylum procedures and the right to an effective remedy

PROEFSCHRIFT

ter verkrijging van de graad van Doctor aan de Universiteit Leiden, op gezag van Rector Magnificus prof. mr. P.F. van der Heijden, volgens besluit van het College voor Promoties te verdedigen op dinsdag 15 januari 2013 klokke 16.15 uur

door

Anne Marcelle Reneman

geboren te Alkmaar in 1977

Promotiecommissie:

Promotores: prof. mr. P. Boeles

prof. mr. T.P. Spijkerboer (Vrije Universiteit Amsterdam)

Overige leden: prof. mr. T. Barkhuysen

prof. mr. H. Battjes (Vrije Universiteit Amsterdam)

prof. mr. P.R. Rodrigues

prof. dr. J. Vedsted-Hansen (Aarhus University,

Denmark)

prof. mr. R.J.G.M. Widdershoven (Universiteit Utrecht)

Lay-out: Anne-Marie Krens - Tekstbeeld - Oegstgeest

Printed by: Proefschriftmaken.nl - Uitgeverij BOXPress

© 2012 A.M. Reneman

Behoudens de in of krachtens de Auteurswet van 1912 gestelde uitzonderingen mag niets uit deze uitgave worden verveelvoudigd, opgeslagen in een geautomatiseerd gegevensbestand of openbaar gemaakt, in enige vorm of op enige wijze, hetzij elektronisch, mechanisch, door fotokopieën, opnamen of enige andere manier, zonder voorafgaande schriftelijke toestemming van de uitgever.

Het reprorecht wordt niet uitgeoefend.

No part of this publication may be reproduced, stored in a retrieval system, made available or communicated to the public, in any form or by any means, without the prior permission in writing of the publisher, unless this is expressly permitted by law.

Acknowledgements

The adventure of writing this book started somewhere in 2006, when I was working as a policy officer for the Dutch Council for Refugees. Upcoming reorganisations urged me to think about my plans for the future. I decided to explore the possibilities to write a PhD thesis. The topic I intended to research, the meaning of the right to an effective remedy for asylum procedures, followed logically from my work for the Dutch Council for Refugees. The previous years I had focused on the Dutch asylum procedure, in particular the problems encountered by asylum applicants and their lawyers in the Netherlands as a result of, amongst others, the 48-hour accelerated procedure, the limited form of judicial review and the strict requirements for new evidence imposed by the case-law of the Council of State. Pieter Boeles' instant enthusiasm about my ideas convinced me that I had chosen the right direction. We agreed that we would try to find funding for a PhD position. Together with Thomas Spijkerboer we submitted an application for the MaGW Open competition of the Netherlands Organisation for Scientific Research (NWO), which was granted. This allowed me to dedicate myself full-time to my PhD research from 1 December 2007.

There are so many things I learned during the process of writing this thesis. Probably most important to me was my discovery of the potential impact of EU law on national asylum procedures. I never imagined that it would be that relevant and inspiring to read EU Courts' judgments concerning competition law, tax law or agricultural policies. It became clear to me that the same procedural questions arise in all kinds of cases, and that EU law provides similar answers to these questions. Hopefully this book will inspire lawyers working in the field of asylum law to use EU law in order to improve procedural guarantees for asylum applicants in Europe.

I am very grateful to my supervisors, Pieter Boeles and Thomas Spijkerboer for their invaluable insights, guidance and support. It was amazing to notice how their comments resulted in great improvements, not only in the content of the research, but also to the readability and accessibility of the text. Their positive criticism and reassurances gave me the energy to review and restructure the chapters of this book time and again.

I would like to thank my colleagues of the Institute of Immigration Law of the Leiden University, Peter Rodrigues, Gerrie Lodder, Maarten den Heijer, VI Acknowledgements

Mark Klaassen, Kees Wouters, Brigitte Straathof, Ciara Smith, Christian Mommers and Suzanne Guèvremont. In our office under the roof of the Law Faculty we had (and still have) many inspired discussions and I have always felt supported in my work. I am very happy that the Institute has survived and is now full of new energy and initiatives.

As a starting lawyer I was privileged to work with so many interesting, inspired and clever people. Thanks to them I developed a passion for asylum law and got the opportunity to grow as a lawyer and as a person. In particular I am grateful to my colleagues of the aliens chamber of the Council of State, the policy unit of the Dutch Council for Refugees, the editorial boards of the Nieuwsbrief Asiel- and Vluchtelingenrecht and Asiel & Migrantenrecht, the Advisory Committee of the Dutch Council for Refugees and the Meijers Committee.

I found an invaluable sparring partner in René Bruin. Thank you for always being there to read and discuss the annotations or articles I wrote. Dana Baldinger, Karen Geertsema and Hannah Helmink, I really enjoyed the many interesting meetings we had on procedural topics and your feedback on several chapters of this book was very useful.

I am grateful to the members of the PhD committee, professors Tom Barkhuysen, Hemme Battjes, Peter Rodrigues, Jens Vedsted-Hansen and Rob Widdershoven, for reviewing the manuscript and providing useful feedback.

Finally I want to thank my family and friends for their support, encouragements and confidence. Mama, papa, Lotte, thanks for being there for me during all the ups and downs. And then of course my dearest three men, Gilles, Yves and Xavier, you are the ones I always long to come home to.

August 2012

Table of contents

LIST	OF ABB	REVIATIONS	XII	
1	Intro	DUCTION: IN SEARCH OF EU STANDARDS FOR ASYLUM PROCEDURES	1	
1.1	Adear	nate and fair asylum procedures in the EU: State of the art	1	
1.2		rch of EU standards for asylum procedures	8	
	1.2.1	Protection of fundamental rights in the EU legal order	8	
	1.2.2	· · · · · · · · · · · · · · · · · · ·	11	
	1.2.3	Function of EU fundamental rights and general principles	13	
	1.2.4	v v	14	
1.3	Resear	rch goal and questions	18	
	1.3.1	Preliminary issues (Part I)	18	
	1.3.2	· · · · · · · · · · · · · · · · · · ·	20	
	1.3.3	Conclusions (Part III)	21	
1.4	Step v	vise approach	21	
	1.4.1	The method of selecting research material	22	
1.5	Scope	and limitations of the study	24	
PAF	RT I – Pi	reliminary issues	29	
2	Тне С	OMMON EUROPEAN ASYLUM SYSTEM AND THE APPLICABILITY OF EU		
	PROCE	DURAL STANDARDS	31	
2.1	The C	ommon European Asylum System and its legal basis	32	
	2.1.1	Legal basis of EU asylum legislation	32	
	2.1.2	Policy framework: the Common European Asylum System	33	
2.2	The P	The Procedures Directive		
	2.2.1	Scope of application	38	
	2.2.2	Overview of the directive's provisions	39	
	2.2.3	Low level of harmonisation and wide discretion	40	
2.3	The Q	ualification Directive	41	
	2.3.1	Scope of application	42	
	2.3.2	Overview of the directive's provisions	42	
2.4	Appli	cability of EU fundamental rights	43	
	2.4.1	Testing the legality of minimum standards	43	
	2/12	Interpreting and filling in gaps in FII asylum legislation	16	

VIII Table of contents

2.5	The ro	ole of national courts and the Court of Justice	47			
	2.5.1	Legality review of EU legislation	48			
	2.5.2	Interpretation of EU law	49			
	2.5.3	The important role of the national courts as EU courts	50			
		1				
3	Intern	NATIONAL TREATIES AS SOURCES OF INSPIRATION FOR				
	EU fu	NDAMENTAL RIGHTS	53			
3.1	Intern	ational rights versus EU fundamental rights	54			
	3.1.1	May EU fundamental rights provide a lower level of				
		protection?	54			
	3.1.2	May EU fundamental rights provide broader protection?	56			
3.2	Intern	ational treaties and the Common European Asylum System	56			
	3.2.1	The European Convention on Human Rights	57			
	3.2.2	The Refugee Convention	58			
	3.2.3	The International Covenant on Civil and Political Rights	59			
	3.2.4	The UN Convention against Torture	59			
	3.2.5	The UN Convention on the Rights of the Child	60			
	3.2.6	Direct application of international treaties?	61			
3.3	The w	The weight of international treaties in the case-law of the Court of				
	Justice		62			
	3.3.1	The ECtHR's judgments	64			
	3.3.2	Council of Europe documents	68			
	3.3.3	UNHCR documents and Excom Conclusions	69			
	3.3.4	The views of the UN Committees	70			
	3.3.5	Should non-binding documents be taken into account?	72			
3.4	The re	lative weight of international treaties as sources of inspiration	74			
4	THE E	U right to an effective remedy and related procedural				
•		S AND PRINCIPLES	77			
4.1		tions to the procedural autonomy of the Member States	78			
4.2		nk between EU procedural rights and principles	81			
4.3		U right to an effective remedy	86			
1.5	4.3.1	Provisions of international law inspiring the EU right to an	00			
	1.0.1	effective remedy	87			
	4.3.2	Application to asylum cases	91			
	4.3.3	Effectiveness	93			
	4.3.4	Institutions responsible for providing effective remedies	95			
	4.3.5	Effect in the national legal order	97			
	4.3.6	The right of acces to a court or tribunal	98			
	4.3.7	The right to equaliy of arms and adversarial proceedings	99			
4.4	The E	U right to good administration	101			
	4.4.1	Provisions of international law inspiring the EU right to				
		good administration	102			
	4.4.2	The right to be heard	103			
	4.4.3	The duty to state reasons	105			

Table of contents	IX
	

4.5	Three basic notions	1
	4.5.1 Balancing of interests	1
	4.5.2 Assessing the overall fairness of a procedure	1
	4.5.3 The subject matter of the procedure	1
	4.5.3.1 The nature of the rights claimed	1
	4.5.3.2 Special vulnerability of the persons concerned	1
5	PRELIMINARY CONCLUSIONS AND METHODOLOGY USED FOR THE	
	FOLLOWING CHAPTERS	1
5.1	Method for defining the meaning of the EU right to an effective remedy	1.
PAR	T II – Key issues of asylum procedures	1
6	The right to remain on the territory of the Member States	1
6.1	The right to remain during the examination of the asylum claim	1.
6.2	The right to remain during the time necessary to lodge the appeal	1
6.3	The right to remain during appeal proceedings	1
	6.3.1 The right to interim protection	1
	6.3.1.1 The Court of Justice's case-law	1
	6.3.1.2 Obligations stemming from the ECHR, ICCPR, CAT and	
	Refugee Convention	1
	6.3.1.3 Subconclusion: the right to interim protection	1
	6.3.2 The meaning of automatic suspensive effect	1
	6.3.2.1 The Court of Justice's case-law	1
	6.3.2.2 Obligations stemming from the ECHR	1
	6.3.2.3 Subconclusion: the mening of automatic suspensive effect	1
6.4	Synthesis of findings	1
7	THE ASYLUM APPLICANT'S RIGHT TO BE HEARD ON HIS ASYLUM MOTIVES	1
7.1	The right to a personal interview in first instance proceedings	1
	7.1.1 Dependent adults	1
	7.1.2 Accompanied and unaccompanied minor asylum applicants	1
7.2	Requirements as to the conduct of the interview	1
	7.2.1 Language of the interview	1
	7.2.2 The right to a free and competent interpreter	1
	7.2.3 The competence of the interviewer	1
	7.2.4 Gender-sensitive interviews	1
	7.2.5 Child-friendly interviews	1
7.3	The asylum applicant's right to be heard following the personal	
	interview	1
	7.3.1 The right to comment on the report of the interview	1
	7.3.2 The right to comment on the fact-finding and risk assessment	1
7.4	The right to an oral hearing before a court or tribunal	1
,	Synthesis of findings	18

X Table of contents

8	THE BU	RDEN AND STANDARD OF PROOF AND EVIDENTIARY ASSESSMENT	189
8.1 8.2		ndard of proof: what needs to be proved rden of proof: who needs to make plausible?	191 201
	8.2.1	Adducing evidence and dispelling doubts	202
	8.2.2	Produding evidence: a shared duty	209
8.3		lual assessment and the use of presumptions	214
8.4		ng the credibility of the applicant's statements	219
8.5		tiary assessment	233
	8.5.1	Expert reports	239
	8.5.2	Country of origin information reports	242
	8.5.3	Medical evidence	247
8.6	Synthe	sis of findings	251
9	JUDICIA	L REVIEW AND ESTABLISHMENT AND QUALIFICATION OF THE FACTS	257
9.1	Limitat	ion of judicial review to points of law?	258
	9.1.1	The Court of Justice's case-law	259
	9.1.2	Obligations stemming from the ECHR, CAT and ICCPR	260
	9.1.3	Subconclusion: limitation of judicial review to points of law?	262
9.2		igh review of the assessment of the facts	263
	9.2.1	The EU Court's case-law	265
	9.2.2	Obligations stemming from the ECHR, CAT and ICCPR	275
	9.2.2.1		
	, . _	remedy	277
	9.2.2.2	The subsidiary role of the ECtHR, ComAT and HRC in	
	, . _	asylum cases	281
	9.2.2.3	The right to a fair trial	289
	9.2.3	Subconclusion: thorough review of the assessment of the facts	292
9.3		evant moment in time: <i>ex tunc</i> or <i>ex nunc</i> review?	294
	9.3.1	The Court of Justice's case-law	296
	9.3.2	Obligations stemming from the ECHR, CAT and ICCPR	298
	9.3.3	Subconclusion: the relevant moment in time	300
9.4		sis of findings	300
10	T		202
10		E OF SECRET INFORMATION IN ASYLUM CASES	303
10.1		e of secret information under EU law	305
		Competition cases and the protection of business secrets	308
		The right of access to the file	309
		The right to confidentiality	313
		Confidentiality versus access to the file	315
		Judicial review	318
	10.1.1.5	Subconclusion: the use of secret information in EU	
		competition cases	323
		EU sanctions and the protection of national security	324
		Legal framework and scope of judicial review	325
	10122	The right to be heard	329

Table of contents	XI
-------------------	----

	10.1.2.4 The right to an effective remedy	339
		337
	10.1.2.5 Subconclusion: the use of secret information in El	J sanction
	cases	343
10.2	The use of secret information under international law	344
	10.2.1 The ECtHR's case-law on secret evidence	347
	10.2.2 The right of adversarial proceedings: level of pro-	ection 350
	10.2.3 Limitations of the right of adversarial proceeding	s 354
	10.2.4 Confidentiality versus adversarial proceedings	361
	10.2.5 Subconclusion: the use of secret information under	r
	international law	371
.0.3	Synthesis of findings	373
PAR	RT III – Conclusions	379
1	TOWARDS A COMMON AND FAIR EUROPEAN ASYLUM PROCEI	DURE? 381
1.1	EU procedural law: common principles, specific application	
	11.1.1 Common procedural principles	382 384
	11.1.2 Specific applications: the three basis notions	384
	11.1.2.1 Balancing of interests	385
	11.1.2.2 The overall fairness of the procedure	386
	11.1.2.3 The subject matter of the procedure 11.1.3 Wider applicability of the methodology	388
1 2		
1.4	The Procedures Directive: ugly creature or important step	391
	11.2.1 The Procedures Directive's potential11.2.2 Broader protection than the ECHR	392
	*	
	11.2.3 Supervision and practical support for the Membe11.2.4 Subconclusion: the Procedures Directive, an impo	
	forward	395
1.3	A set of EU procedural standards for asylum procedures	395
1.4	Enforcing the EU right to an effective remedy in practice	400
	11.4.1 Incorporating case-law in EU legislation: the recast	st of the
	Procedures Directive	401
1.5	The recasts of the Procedures Directive and Qualification	Directive put
	to the test	402
	11.5.1 The proposals for a recast of the Procedures Direction	
	11.5.2 The recast of the Qualification Directive	405
	11.5.3 The right to remain on the territory of the Member	
	11.5.4 The asylum applicant's right to be heard on his a motives	sylum 407
	11.5.5 The burden and standard of proof and evidentian	
	11.5.6 Judicial review of the establishment and qualificated facts	•
	11.5.7 The use of secret information in asylum cases	412
	· · · · · · · · · · · · · · · · · · ·	412
11.6		413

XII	Table of contents
	
SAMENVATTING	415
BIBLIOGRAPHY	427
TABLE OF CASES	435
Index	449
CURRICULUM VITAE	455

List of abbreviations

Adm admissibility decision A.G. Advocate-General

CAT United Nations Convention against Torture and Other Cruel,

Inhuman or Degrading Treatment or Punishment

CEAS Common European Asylum System

CEDAW Convention on the Elimination of All Forms of Discrimination

against Women

CFI Court of First Instance

Charter Charter of Fundamental Rights of the European Union CRC United Nations Convention on the Rights of the Child

ComAT Committee against Torture

ComRC Committee on the Rights of the Child EASO European Asylum Support Office

EC European Community

EC Treaty Treaty establishing the European Community
ECHR European Convention on Human Rights
ECtHR European Court of Human Rights
EComHR European Commission of Human Rights

EEA European Economic Area

EU European Union

EXCOM Executive Committee of the Programme of the High

Commissioner

GC Grand Chamber (European Court of Human Rights)

HRC Human Rights Committee

ICCPR International Covenant on Civil and Political Rights

ICERD International Convention on the Elimination of All Forms of

Racial Discrimination

PD Procedures Directive (2005/85/EC)

Plen plenary session

RCD Reception Conditions Directive (2003/9/EC)

RD Return Directive (2008/115/EC)

SIAC Special Immigration Appeal Commission

TEU Treaty on European Union

TfEU Treaty on the functioning of the European Union TPD Temporary Protection Directive (2001/55/EC)

UN United Nations

UNHCR United Nations High Commissioner for Refugees

UNWRA United Nations Relief and Works Agency for Palestine Refugees

QD Qualification Directive (2004/83/EC)