



1. BACKGROUND

The Council of Europe Convention on Cybercrime (also known as the Budapest Convention), which was opened for signature in 2001 and entered into force in 2004, was the first international treaty to focus explicitly on cybercrime and electronic evidence. After 20 years, it remains the most significant one in the area. A large number of countries worldwide, including 26 EU Member States¹, are Parties to the Budapest Convention.

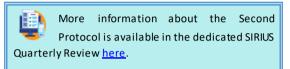
A review of the Budapest Convention is available in the dedicated SIRIUS Quarterly Review here.

In 2003, the Budapest Convention was extended by an <u>Additional Protocol</u> (First Protocol) covering offences of racist or xenophobic nature.

Following significant developments in the field of information and communication technology which took place since the adoption of the Budapest Convention, on 17 November 2021, after 4 years of negotiations, the Committee of Ministers of the Council of Europe adopted the Second Additional Protocol to the Convention on Cybercrime on enhanced co-operation and disclosure of electronic evidence (Second Protocol). The Second Protocol was opened for signature by the Parties to the Budapest Convention in May 2022 and will enter into force after being ratified by at least five Parties².

The Second Protocol is accompanied by an <u>Explanatory Report</u> intended to assist Parties in its application. The Budapest Convention itself is similarly accompanied by an <u>Explanatory Report</u> with the same aim.

The Second Protocol is intended to enhance cooperation among the Parties, as well as between the Parties and service providers and other entities, for obtaining disclosure of electronic evidence for the purpose of criminal investigations or proceedings³.



An important provision of the Second Protocol aimed at enhancing cooperation among the Parties is Article 10. Pursuant to Article 10, each Party may seek mutual assistance from another Party on a rapidly expedited basis where it is of the view that an emergency exists. Article 10 is without prejudice to other types of cooperation, including spontaneous cooperation, between the Parties, or between Parties and service providers, through other applicable agreements, arrangements, practices or domestic law4. Therefore, under the Second Protocol, all of the aforementioned mechanisms remain available to competent authorities that seek data in an emergency. What the Second Protocol does is to set out two articles which oblige all Parties to provide, at a minimum, specific channels for rapidly expedited cooperation in emergency situations: Article 9 and Article 105. For more information about Article 9



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This document may not necessarily reflect the official position of the Council of Europe or of the Parties to the Budapest Convention on Cybercrime and does not constitute an authoritative interpretation of provisions of this treaty or its protocols.

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https://www.coe.int/en/web/conventions/full-list?module=signatures-by-treaty&treatynum=185. All EU Member States, except for Ireland.

² Second Protocol, Article 16.

³ Explanatory Report, para. 25.

⁴ Second Protocol, Article 5(7).

⁵ Explanatory Report, para. 150.





and a comparison between the two articles, see section 7 and the annex below.

2. SCOPE

• Types of crimes covered

The measure provided for under Article 10 of the Second Protocol is applicable to **specific criminal investigations or proceedings** relating to:

- Criminal offences established in accordance with Section 1 of the Budapest Convention and other criminal offences committed by means of a computer system;
- The collection of evidence in electronic form of a criminal offence; and
- Between Parties to the First Protocol, criminal offences established pursuant to the First Protocol⁶.

Therefore, the specific criminal investigations and proceedings covered include not only cybercrime, but **any criminal offence involving evidence in electronic form**. This means that the measure provided for under Article 10 of the Second Protocol applies either where a crime is committed by use of a computer system, or where a crime not committed by use of a computer system (for example a murder) involves electronic evidence⁷.

This is also confirmed in <u>Guidance Note #13</u>8, which states that: "The [Cybercrime Convention Committee (T-CY)] agrees that the procedural law provisions and the principles and measures for international co-operation of the [Budapest Convention] are applicable not only to offences related to computer systems and data but also to the collection of electronic evidence of any criminal offence. This broad scope also applies to the measures of the [Second Protocol]."

• Definition of "emergency"

"Emergency" is defined in Article 3(2)(c) of the Second Protocol as "a situation in which there is a significant and imminent risk to the life or safety of any natural person". This definition is intended to impose a significantly higher threshold than "urgent circumstances" under Article 25(3) of the Budapest Convention⁹. The definition covers situations in which the risk is significant and imminent, meaning that it does not include situations in which the risk to the life or safety of the person has already passed or is insignificant, or in which there may be a future risk that is not imminent¹⁰.

Because Article 10 of the Second Protocol is limited to emergencies involving significant and imminent risk to the life or safety of any natural person, it is distinct from Article 25(3) of the Budapest Convention, according to which requests for mutual assistance may be made by expedited means of communications in urgent circumstances that do not rise to the level of emergency as defined in the Second Protocol.

Article 25(3) of the Budapest Convention is therefore broader in scope and covers situations that are not covered under Article 10 of the Second Protocol, such as:

- Ongoing but non-imminent risks to life or safety of persons;
- Potential destruction of evidence that may results from a delay in execution;
- A rapidly approaching trial date; or
- Other types of urgencies ¹¹.

For a comparison between the two provisions, see Figure 1 below.

the use of the Budapest Convention and its protocols, see https://www.coe.int/en/web/cybercrime/guidance-notes.

 $^{^6}$ Second Protocol, Article 2(1); Budapest Convention, Article 14(2)(a)-(c).

⁷ Explanatory Report, para. 33. See also Explanatory Report to the Budapest Convention, paras 141, 243.

⁸ Although not binding, Guidance Notes adopted by the T-CY represent the common understanding of the Parties regarding

⁹ Explanatory Report, para. 41.

¹⁰ Explanatory Report, para. 42.

¹¹ Explanatory Report, para. 172.







Legal provision	Article 10 of the Second Protocol	Article 25(3) of the Budapest Convention
Purpose	Expedited mutual assistance in emergencies	Expedited mutual assistance in urgent circumstances
Scope	Significant and imminent risk to life or safety	Broader scope, including non-imminent risks, potential evidence destruction, approaching trial dates, and other urgencies
Obligations	Significantly greater	More rapid response but fewer obligations

Figure 1 – Comparison between Article 10 of the Second Protocol and Article 25(3) of the Budapest Convention

Emergency situations may involve, for example, hostage situations in which there is a credible risk of imminent loss of life, serious injury or other comparable harm to the victim; ongoing sexual abuse of a child; immediate post-terrorist attack scenarios in which authorities seek to determine with whom the attackers communicated in order to determine if further attacks are imminent; and threats to the security of critical infrastructure in which there is a significant and imminent risk to the life or safety of a natural person¹².

It is notable that the definition of an emergency set out in the EU Electronic Evidence legislative package refers specifically to both: (i) an imminent threat to the life, physical integrity or safety of a person; and (ii) an imminent threat to a critical infrastructure, where the disruption or destruction of such critical infrastructure would result in an imminent threat to the life, physical integrity or safety of a person, including through serious harm to the provision of

basic supplies to the population or to the exercise of the core functions of the State 13 .

Decision-making with regard to the existence of an emergency lies both with the requesting and the requested Party. The requesting Party must determine whether an emergency exists before making a request. The requested Party will then assess whether an emergency exists when deciding on the execution of the request.

3. DEFINING THE TOOLBOX

Article 10 of the Second Protocol is intended to provide a rapidly expedited procedure for mutual assistance requests made in emergency situations.

As opposed to, for example, Articles 6, 7, 8 and 9 of the Second Protocol, which require Parties to adopt certain legislative measures, Article 10 is a self-executing provision, not requiring any implementing domestic legislation. This means that Parties can rely on the text of the provision itself to seek expedited mutual assistance from another Party.

Furthermore, Article 10 applies whether or not there is a mutual legal assistance treaty or arrangement on the basis of uniform or reciprocal legislation in force between the requesting and the requested Party. There are therefore two possibilities with respect to the procedures that govern Article 10:

- When the Parties concerned are not mutually bound by an applicable mutual assistance agreement or arrangement on the basis of uniform or reciprocal legislation, the Parties apply certain procedures set out in Article 27(2)(b) and (3)-(8) and Article 28(2)-(4) of the Budapest Convention, governing mutual assistance in the absence of a treaty¹⁴; or
- When the Parties concerned are mutually bound by such an agreement or arrangement, Article 10 is supplemented by the provisions of that agreement or

¹² Explanatory Report, para. 42.

¹³ Electronic Evidence Regulation, Article 3(18).

¹⁴ Second Protocol, Article 10(7).







arrangement unless the Parties concerned mutually determine to apply any or all of the aforementioned provisions of the Budapest Convention, in lieu thereof¹⁵.

The provisions set out in Article 27(2)(b) and (3)-(8) and Article 28(2)-(4) of the Budapest Convention pertain to:

- Direct communication between the central authorities of the requesting and the requested Party (Article 27(2)(b));
- The procedure for mutual assistance, including the possibility for the requested Party to postpone action on a request and to execute the request subject to conditions (Article 27(3), (5)-(8));
- Grounds for refusal (Article 27(4));
- Confidentiality (Article 28(2)(a), (3)-(4)); and
- The principle of speciality (Article 28(2)(b), (3)-(4)).

4. CONDITIONS AND SAFEGUARDS

A – OVERALL SYSTEM OF SAFEGUARDS

• Purpose limitation

In addition to what is noted above (see section Scope), the procedure under Article 10 may be used in the context of "specific investigations or proceedings"¹⁶.

• Additional safeguards

The mutual assistance treaty or arrangement on the basis of uniform or reciprocal legislation in force between the requesting and the requested Party or, alternatively, the relevant provisions of the Budapest Convention governing mutual assistance in the absence of a treaty, as well as the domestic legislation of the requesting and the requested

Party may assist the Parties in applying relevant domestic safeguards.

<u>B – ARTICLE 13 OF THE SECOND PROTOCOL: CONDITIONS AND SAFEGUARDS</u>

Protection of human rights

Article 13 of the Second Protocol makes a specific reference to Article 15 of the Budapest Convention and requires Parties to ensure that the powers and procedures established under the Second Protocol are subject to an appropriate level of protection for human rights and liberties under their domestic law. These include standards or minimum safeguards arising pursuant to a Party's obligations under applicable international human rights instruments¹⁷.

• Principle of proportionality

Article 15(1) of the Budapest Convention also requires Parties to apply the principle of proportionality. This will be done in accordance with each Party's relevant domestic law principles. In the case of European countries, these principles will be derived from the European Convention on Human Rights (ECHR) and related jurisprudence, meaning that the powers of competent authorities must be proportional to the nature and circumstances of the offence 18. Other Parties may apply related domestic law principles, such as principles of relevance (i.e. the evidence sought must be relevant to the investigation or prosecution), limitations on overly broad orders¹⁹ or exclude their application in cases concerning minor crimes²⁰.

• Other conditions and safeguards

Pursuant to Article 15(2) of the Budapest Convention, applicable conditions and safeguards include, as appropriate, judicial or other independent supervision, grounds justifying the

¹⁵ Second Protocol, Article 10(8).

¹⁶ Second Protocol, Articles 2, 8(1).

¹⁷ These instruments include the 1950 Council of Europe Convention for the Protection of Human Rights and Fundamental Freedoms (ECHR) and its additional protocols (in respect of European states that are parties them), other applicable human rights instruments, such as e.g. the 1969 American Convention on Human Rights and the 1981 African Charter on Human Rights and Peoples' Rights (in respect of the Protection of European States that are parties them).

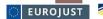
states in other regions of the world which are parties to them) and the <u>1966 International Covenant on Civil and Political Rights</u> (Explanatory Report to the Budapest Convention, para. 145).

¹⁸ Explanatory Report, para. 97; Explanatory Report to the Budapest Convention, para. 146.

¹⁹ Explanatory Report, para. 97; Explanatory Report to the Budapest Convention, para. 145.

²⁰ Explanatory Report to the Budapest Convention, paras 146, 174.







application of the power or procedure and the limitation on the scope or the duration thereof. Other safeguards that must be addressed under domestic law include: the right against self-incrimination, legal privileges, and specificity of individuals or entities subject to the measure²¹.

 Public interest, sound administration of justice and rights of third parties

In accordance with Article 15(3) of the Budapest Convention, each Party must firstly consider the impact of the powers and procedures set out under the Second Protocol on the sound administration of justice and other public interests (for example public safety, public health, the interests of victims, respect for private life). To the extent that it is consistent with these interests, consideration shall also be given to the impact of the measure on the rights, responsibilities and legitimate interests of third parties, which may include, for example, protection from liability for disclosure²².

C – ARTICLE 14 OF THE SECOND PROTOCOL: PROTECTION OF PERSONAL DATA

Article 14 of the Second Protocol provides in its paragraphs 2 to 15 a robust system for data protection. This includes safeguards regarding purpose and use of the data; data quality and integrity; sensitive data; retention of data; automated decision-making; security; records and logging; transparency and notice regarding processing, retention periods, data disclosure, access rectification and redress available; right to access and rectification; judicial and non-judicial remedies; and independent oversight²³. A Party may also suspend the transfer of personal data to another Party based on substantial evidence of systematic or material breach of Article 14²⁴.

Pursuant to Article 14(1)(a), each Party shall process personal data that it receives under the Second Protocol in accordance with the specific safeguards set out in Article 14(2)-(15), with two exceptions:

- If, at the time of transfer of data, both the transferring Party and the receiving Party are bound by an international agreement establishing a comprehensive framework between those Parties for the protection of personal data, which is applicable to the transfer of personal data for the purpose of the prevention, detection, investigation and prosecution of criminal offences (Article 14(1)(b)). This would include, for example, Convention 108+ and the EU-US Umbrella Agreement²⁵.
- If the transferring Party and the receiving Party, not bound by an international agreement as described above, nevertheless agree that the transfer of data under the Second Protocol may take place on the basis of other agreements or arrangements between them in lieu of Article 14(2)-(15). For EU Member States, in relation to transfers of personal data to third countries, such an alternative agreement would have to comply with the requirements of EU data protection legislation.

5. REQUESTING PARTY

A – ISSUING AUTHORITIES

The domestic legislation of the requesting Party will determine which of its authorities can initiate a request for emergency mutual assistance.

B – ISSUING PROCEDURE

The issuing procedure for emergency mutual assistance requests under Article 10 is similarly outlined in the domestic law of the requesting Party and remains subject to legal safeguards (see also section <u>Conditions and safeguards</u>).

REQUIREMENTS FOR REQUESTS UNDER ARTICLE 10

Pursuant to Article 10(1), requests under the article must include a **description of the facts** that

 $^{^{21}}$ Explanatory Report to the Budapest Convention, para. 147.

²² Explanatory Report to the Budapest Convention, para. 148.

²³ For more information, see Second Protocol, Article 14(2)-(14) and Explanatory Report, paras 227-281.

²⁴ Second Protocol, Article 14(15).

²⁵ Explanatory Report, para. 222.







demonstrate that there is an emergency and how the assistance sought relates to it.

The requested Party should be able to determine whether an "emergency" within the sense of Article 3(2)(c) of the Second Protocol exists in relation to a request on the basis of the information provided by the requesting Party.

This is in addition to all other information which must be contained in the request under the applicable treaty or the domestic law of the requested Party²⁶.

Also, pursuant to Article 4(1) of the Second Protocol, requests under Article 10 and any accompanying information shall be in a language acceptable to the requested Party or be accompanied by a translation into such a language.

TRANSMISSION OF REQUESTS UNDER ARTICLE 10

As a general rule, requests under Article 10 are transmitted by the central authority of the requesting Party to the central authority of the requested Party.

However, each Party may make a declaration that requests under Article 10 may also be sent directly to its judicial authorities, or through channels of the International Criminal Police Organization (INTERPOL) or to its 24/7 Network point of contact established under Article 35 of the Budapest Convention (see Figure 2). In any such cases, a copy shall be sent at the same time to the central authority of the requested Party through the central authority of the requesting Party²⁷.

Figure 2 – Potential communication channels for requests under

Article 10 of the Second Protocol

More information about the 24/7 Network of points of contact established under Article 35 of the Budapest Convention, including the network's responsibilities under the Budapest Convention, is available in the dedicated SIRIUS Quarterly Review here.

Pursuant to Article 10(2), the requested Party shall accept a request for emergency mutual assistance in electronic form. The requested Party may also make acceptance conditional on compliance by the requesting Party with appropriate levels of security and authentication²⁸. Furthermore, with respect to the security requirement, the Parties may decide among themselves whether there is a need for special security protections, including encryption, that may be necessary in a particularly sensitive case²⁹.

6. REQUESTED PARTY

A – 24/7 AVAILABILITY

Each Party must ensure that a person from its central authority or other authorities responsible for responding to mutual assistance requests is available on a 24-hour, 7-day-a-week basis for the

Requesting Party

24/7 Network contact point in the requested Party

INTERPOL

²⁶ Article 25(4) of the Budapest Convention states that execution of requests for mutual assistance generally shall be subject to the conditions provided for by the law of the requested Party or by applicable mutual assistance treaties, including the grounds on which the requested Party may refuse cooperation. The drafters of the Second Protocol understand this to also apply to

emergency mutual assistance requests under the Second Protocol, see Explanatory Report, para. 173.

²⁷ Second Protocol, Article 10(9).

²⁸ Second Protocol, Article 10(2); Explanatory Report, para. 174.

²⁹ Explanatory Report, para. 174.





purpose of responding to requests under Article 10³⁰, in case such requests need to be made outside regular business hours³¹. This obligation does not require the central authority or other authorities responsible for responding to mutual assistance requests to be staffed and operational at all times. Rather, those authorities should implement procedures to ensure that staff may be contacted in order to review emergency requests outside normal business hours. The T-CY will informally endeavour to maintain a directory of such authorities³².

B – EXECUTION OF THE REQUEST

In accordance with Article 10(4), once satisfied that an emergency exists and that the other requirements for mutual assistance have been met, the requested Party shall respond to the request on a rapidly expedited basis. This generally means rapidly expediting the obtaining of judicial orders compelling a service provider to produce data that are evidence of the offence and the equally rapid service of the order on the service provider. Delays occasioned by service provider response times to such orders should however not be attributed to the authorities of the requested Party³³.

Where, in the case of a requested Party which has made the relevant declaration under Article 10(9), a request is sent directly to a judicial authority of that Party and that authority is not competent to deal with the request, it shall refer the request to the competent national authority and inform the requesting Party directly that it has done so³⁴.

The grounds for refusal of expedited mutual assistance requests under Article 10 (aside from failing to meet the emergency criterion as set out in Article 3(2)(c) of the Second Protocol), and the procedure for execution, including the possibility for the requested Party to execute the request subject to conditions, the principle of speciality and matters pertaining to the confidentiality of the

request will be set out in the applicable mutual legal assistance treaty or arrangement on the basis of uniform or reciprocal legislation inforce between the requesting and the requested Party or, in the absence thereof or in case the Parties mutually determine to apply any or all of those provisions of the Budapest Convention, in Articles 27(2)(b) and (3)-(8) and 28(2)-(4) of the Budapest Convention.

If the requested Party **requires supplemental information** in order to evaluate the request, it may seek such information from the requesting Party on a **rapidly expedited basis**³⁵. This may include additional information to conclude that there is an emergency within the meaning of Article 3(2)(c) and / or that the other requirements for mutual assistance have been met³⁶.

The requested Party shall provide such supplemental information on a rapidly expedited basis³⁷. Both Parties are therefore required to do their utmost to avoid loss of time that could inadvertently contribute to a tragic result³⁸.

TRANSMISSION OF THE RESULTS OF THE EXECUTION OF A REQUEST UNDER ARTICLE 10

The central authority and other authorities responsible for mutual assistance of the requesting and the requested Party may mutually determine that the results of the execution of a request under Article 10, or an advance copy thereof, may be provided to the requesting Party through a channel other than that used for the request itself³⁹. Thus, rather than the responsive information or evidence being sent back through the central authority channel habitually used to transmit information or evidence provided in the execution of the requesting Party's request, the Parties may mutually determine to use a different channel to speed up transmission, maintain the integrity of the evidence or another reason. For example, the authorities may decide on the transmission of evidence directly to

³⁰ Second Protocol, Article 10(5).

³¹ Explanatory Report, para. 177.

³² Ibid.

³³ Explanatory Report, para. 176.

³⁴ Second Protocol, Article 10(9).

³⁵ Second Protocol, Article 10(3).

³⁶ Explanatory Report, para. 175.

³⁷ Second Protocol, Article 10(3).

³⁸ Explanatory Report, para. 175.

³⁹ Second Protocol, Article 10(6).







investigating or prosecuting authority in the requesting Party that will be using the evidence, rather than through the chain of authorities through which such evidence would normally travel. The authorities may also, for example, decide on special handling for physical evidence in order to be able to rule out challenges in subsequent judicial proceedings that the evidence may have been altered or contaminated, or may mutually decide on special handling of the transmission of sensitive evidence⁴⁰, for example through a protected cloud.

7. COMPARISON BETWEEN ARTICLE 10 AND ARTICLE 9 OF THE SECOND PROTOCOL

While Article 10 of the Second Protocol is intended to provide a rapidly expedited procedure for mutual assistance requests made in emergency situations, Article 9 of the Second Protocol is intended to facilitate access to data in an emergency without resorting to mutual assistance. It is up to the Parties, based on their accumulated experience and the specific legal and factual circumstances at hand, to decide which is the best channel to use in a particular case⁴¹. Article 9, for example, could constitute a faster way for seeking content data while Article 10 could be a natural choice when a more formal way of cooperation would be required or when there would be a need to request additional forms of cooperation and not just electronic evidence.

Please see the <u>annex</u> for a comparison matrix between Article 9 and Article 10 of the Second Protocol.

More information about Article 9 of the Second Protocol is available in the dedicated SIRIUS Quarterly Review available on the SIRIUS subpage on Eurojust's website.

⁴⁰ Explanatory Report, para. 178.

⁴¹ Explanatory Report, para. 152.





ANNEX: COMPARISON MATRIX BETWEEN ARTICLE 9 AND ARTICLE 10 OF THE SECOND PROTOCOL

Legal provision	Article 9	Article 10
Purpose	Facilitating access to data in an emergency	Providing a rapidly expedited procedure for mutual assistance
Request process	No formal mutual assistance request needed	Requires a formal mutual assistance request
Time efficiency	Generally faster	May be faster with close working relationships
Information exchange	Real-time exchange	More formal and written communication
Scope of cooperation	Obtaining stored computer data (subscriber information, traffic data, content data)	Can request additional forms of cooperation
Evidence authentication	May be more challenging	May be easier