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*Plenary sitting*

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**A8-0174/2019**

11.3.2019

**\*\*\*I**  
**REPORT**

on the proposal for a regulation of the European Parliament and of the Council establishing the Instrument for Pre-accession Assistance (IPA III) (COM(2018)0465 – C8-0274/2018 – 2018/0247(COD))

Committee on Foreign Affairs

Rapporteur: Knut Fleckenstein, José Ignacio Salafranca Sánchez-Neyra

### ***Symbols for procedures***

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

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

### ***Amendments to a draft act***

#### **Amendments by Parliament set out in two columns**

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

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

#### **Amendments by Parliament in the form of a consolidated text**

New text is highlighted in ***bold italics***. Deletions are indicated using either the ▬ symbol or strikeout. Replacements are indicated by highlighting the new text in ***bold italics*** and by deleting or striking out the text that has been replaced.

By way of exception, purely technical changes made by the drafting departments in preparing the final text are not highlighted.

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## DRAFT EUROPEAN PARLIAMENT LEGISLATIVE RESOLUTION

on the proposal for a regulation of the European Parliament and of the Council establishing the Instrument for Pre-accession Assistance (IPA III) (COM(2018)0465 – C8-0274/2018 – 2018/0247(COD))

(Ordinary legislative procedure: first reading)

*The European Parliament,*

- having regard to the Commission proposal to Parliament and the Council (COM(2018)0465),
  - having regard to Article 294(2) and Article 212(2) of the Treaty on the Functioning of the European Union, pursuant to which the Commission submitted the proposal to Parliament (C8-0274/2018),
  - having regard to Article 294(3) of the Treaty on the Functioning of the European Union,
  - having regard to the opinion of the European Economic and Social Committee of 12 December 2018<sup>1</sup>,
  - having regard to the opinion of the Committee of the Regions of 6 December 2018<sup>2</sup>,
  - having regard to Rule 59 of its Rules of Procedure,
  - having regard to the report of the Committee on Foreign Affairs and also the opinions of the Committee on International Trade, the Committee on Budgets, the Committee on the Environment, Public Health and Food Safety, the Committee on Regional Development and the Committee on Civil Liberties, Justice and Home Affairs (A8-0174/2019),
1. Adopts its position at first reading hereinafter set out;
  2. Calls on the Commission to refer the matter to Parliament again if it replaces, substantially amends or intends to substantially amend its proposal;
  3. Instructs its President to forward its position to the Council, the Commission and the national parliaments.

Amendment 1

### Proposal for a regulation Recital 2

*Text proposed by the Commission*

*Amendment*

(2) The **objectives** of an instrument for

(2) The **objective** of an instrument for

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<sup>1</sup> REX/507-EESC-2018.

<sup>2</sup> CDR4008/2018.

pre-accession *are substantially distinct from the general objectives of Union external action as this instrument aims to prepare the beneficiaries listed in Annex I for future membership of the Union and support their accession process. It is therefore essential to have a dedicated instrument in support of enlargement, while ensuring its complementarity with the general objectives of Union external action and in particular with the Neighbourhood, Development and International Cooperation Instrument (NDICI).*

pre-accession *is to prepare the beneficiaries listed in Annex I (“beneficiaries”) for future membership of the Union and support their accession process, in line with the general objectives of the Union’s external action, including respect for fundamental rights and principles as well as the protection and promotion of human rights, democracy and the rule of law as laid down in Article 21 of the Treaty on European Union. While the distinct nature of the accession process warrants a dedicated instrument in support of enlargement, the objectives and functioning of this instrument should be consistent with and complementary to the general objectives of Union external action and in particular with the Neighbourhood, Development and International Cooperation Instrument (NDICI).*

## Amendment 2

### Proposal for a regulation

#### Recital 3

*Text proposed by the Commission*

(3) Article 49 *of the Treaty on European Union (TEU)* provides that any European *state* which respects the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities, and commits to promote these values, may apply to become a member of the Union. *A European State which has applied to join the Union can become a member only when it has been confirmed that it meets the membership criteria established at the Copenhagen European Council in June 1993 (the ‘Copenhagen criteria’) and provided that the Union has the capacity to integrate the new member. The Copenhagen criteria relate to the stability of institutions guaranteeing democracy, the rule of law, human rights and respect for and protection of minorities, the*

*Amendment*

(3) Article 49 TEU provides that any European *State* which respects the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities, and commits to promote these values, may apply to become a member of the Union. *Those values are common to Member States in a society in which pluralism, non-discrimination, tolerance, justice, solidarity and equality between women and men prevail.*

*existence of a functioning market economy as well as the capacity to cope with competitive pressure and market forces within the Union, and the ability to assume not only the rights but also the obligations under the Treaties, including adherence to the aims of political, economic and monetary union.*

### Amendment 3

#### Proposal for a regulation

##### Recital 4

###### *Text proposed by the Commission*

(4) The enlargement process is built on established criteria and fair and rigorous conditionality. Each beneficiary is assessed on the basis of its own merits. The assessment of progress achieved and the identification of shortcomings aim to provide incentives and guidance to the beneficiaries listed in Annex I to pursue the necessary far-reaching reforms. For the prospect of enlargement to become a reality, a firm commitment to the principle of the 'fundamentals first'<sup>15</sup> remains essential. **Progression** towards accession depends on each applicant's respect for the Union's values and its capacity to undertake the necessary reforms to align its political, institutional, legal, administrative and economic systems with the rules, standards, policies and practices in the Union.

###### *Amendment*

(4) The enlargement process is built on established criteria and fair and rigorous conditionality. Each beneficiary is assessed on the basis of its own merits. The assessment of progress achieved and the identification of shortcomings aim to provide incentives and guidance to the beneficiaries listed in Annex I to pursue the necessary far-reaching reforms. For the prospect of enlargement to become a reality, a firm commitment to the principle of the 'fundamentals first'<sup>15</sup> remains essential. **Good neighbourly relations and regional cooperation based on a definitive, inclusive and binding resolution of bilateral disputes are essential elements of the enlargement process and critical for security and stability of the Union as a whole. Progress** towards accession depends on each applicant's respect for the Union's values and its capacity to undertake **and implement** the necessary reforms to align its political, institutional, legal, **social**, administrative and economic systems with the rules, standards, policies and practices in the Union. **The Negotiating Framework sets out requirements against which progress in the accession negotiations with each candidate country is assessed.**

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<sup>15</sup> The 'fundamentals first' approach links

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<sup>15</sup> The 'fundamentals first' approach links

rule of law and fundamental rights with the two other crucial areas of the accession process: economic governance – strengthened focus on economic development and improved competitiveness – and the strengthening of democratic institutions and public administration reform. Each of the three fundamentals is of crucial importance for the reform processes in the candidate countries and potential candidates and addresses key concerns of the citizens.

#### **Amendment 4**

##### **Proposal for a regulation Recital 4 a (new)**

*Text proposed by the Commission*

rule of law and fundamental rights with the two other crucial areas of the accession process: economic governance – strengthened focus on economic development and improved competitiveness – and the strengthening of democratic institutions and public administration reform. Each of the three fundamentals is of crucial importance for the reform processes in the candidate countries and potential candidates and addresses key concerns of the citizens.

*Amendment*

***(4 a) Any European State which has applied to join the Union can become a member of the Union only where it has been confirmed that it fully meets the accession criteria established at the Copenhagen European Council in June 1993 (the ‘Copenhagen criteria’) and provided that the Union has the capacity to integrate the new member. The Copenhagen criteria relate to the stability of institutions which guarantee democracy, the rule of law, human rights and respect for and protection of minorities, the existence of a functioning market economy as well as the capacity to cope with competitive pressure and market forces within the Union, and the ability to assume not only the rights but also the obligations under the Treaties, including the pursuit of the aims of political, economic and monetary union.***

##### **Amendment 5 Recital 5**

*Text proposed by the Commission*

(5) ***The*** enlargement policy ***of the Union*** is an ***investment in*** peace, security

*Amendment*

(5) Enlargement policy is an ***integral part of the Union’s external action,***



and stability *in Europe*. It provides increased economic and trade opportunities to the mutual benefit of the Union and the aspiring Member States. The prospect of Union membership has a powerful transformative effect, embedding positive democratic, political, economic and societal change.

*contributing to* peace, security, *prosperity* and stability *both within and outside the Union's borders*. It provides increased economic and trade opportunities to the mutual benefit of the Union and the aspiring Member States, *while respecting the principle of progressive integration to ensure a smooth transformation* of the *beneficiaries*. The prospect of Union membership has a powerful transformative effect, embedding positive democratic, political, economic and societal change.

## Amendment 6

### Proposal for a regulation

#### Recital 7

##### *Text proposed by the Commission*

(7) Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries *listed in Annex I*. Assistance should mainly focus on assisting the beneficiaries *listed in Annex I* to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. Assistance should also support the key principles and rights as defined in the European Pillar of Social Rights.<sup>17</sup> Assistance should continue to support their efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies. It should also enhance their economic and social development and economic governance, underpinning a smart, sustainable and inclusive growth agenda, including through implementation of regional development, agriculture and rural development, social and employment policies and the development of the digital economy and society, also in line with the

##### *Amendment*

(7) Assistance should also be provided in compliance with the *international* agreements concluded by the Union, *including* with the beneficiaries. Assistance should mainly focus on assisting the beneficiaries to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights, *including those of minorities* and promote gender equality, tolerance, social inclusion, *respect for international labour standards on workers' rights* and non-discrimination *of vulnerable groups, including children and people with disabilities*. Assistance should also support *adherence by the beneficiaries to* the key principles and rights as defined in the European Pillar of Social Rights<sup>17</sup> *as well as to the social market economy and convergence towards the social acquis*. Assistance should continue to support their efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies, *with the aim to develop good neighbourly relations and enhance*

flagship initiative Digital Agenda for the Western Balkans.

*reconciliation*. It should also *promote sectoral regional co-operation structures and* enhance their economic and social development and economic governance, *foster economic integration with the Union single market, including customs cooperation, and promote an open and fair trade*, underpinning a smart, sustainable and inclusive growth agenda, including through implementation of regional development, *cohesion and inclusion*, agriculture and rural development, social and employment policies and the development of the digital economy and society, also in line with the flagship initiative Digital Agenda for the Western Balkans.

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<sup>17</sup> European Pillar of Social Rights solemnly proclaimed by the European Parliament, the Council and the Commission at the Gothenburg Social Summit for Fair Jobs and Growth, Gothenburg 17 November 2017.

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<sup>17</sup> European Pillar of Social Rights solemnly proclaimed by the European Parliament, the Council and the Commission at the Gothenburg Social Summit for Fair Jobs and Growth, Gothenburg 17 November 2017.

## Amendment 7

### Proposal for a regulation Recital 7 a (new)

*Text proposed by the Commission*

*Amendment*

***(7 a) Taking into consideration the transformatory nature of the reform process during the enlargement process in the candidate countries, the Union should enhance its efforts in prioritising key areas for Union funding, such as institution and security building, and enhance its support to candidate countries when implementing projects with a view of protecting those candidate countries from non-EU influences.***

## Amendment 8

### Proposal for a regulation

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## Recital 7 b (new)

*Text proposed by the Commission*

*Amendment*

***(7 b) The Union's efforts to support reform progress in candidate countries through IPA funding should be well communicated in candidate countries, as well as in the Member States. The Union, in that regard, should enhance communication and campaign efforts in order to ensure visibility of the IPA funding, as the main EU instrument of peace and stability in enlargement area.***

## Amendment 9

### Proposal for a regulation Recital 7 c (new)

*Text proposed by the Commission*

*Amendment*

***(7 c) The importance of the facilitation and implementation of the budget is recognised as regards institution building, which will in return help in anticipation of possible security issues, and prevent possible future illegal migratory flows towards the Member States.***

## Amendment 10

### Proposal for a regulation Recital 9

*Text proposed by the Commission*

*Amendment*

(9) Enhanced strategic and operational cooperation between the Union and the beneficiaries listed in Annex I on security is pivotal to addressing effectively and efficiently security and terrorism threats.

(9) Enhanced strategic and operational cooperation between the Union and the beneficiaries listed in Annex I on security ***and defence sector reform*** is pivotal to addressing effectively and efficiently security, ***organised crime*** and terrorism threats.

## Amendment 11

### Proposal for a regulation

#### Recital 9 a (new)

*Text proposed by the Commission*

*Amendment*

***(9 a) Actions under the instrument established by this Regulation should also contribute to assisting the beneficiaries in the progressive alignment with the Common Foreign and Security Policy (CFSP), and the implementation of restrictive measures as well as the Union's broader external policies in international institutions and multilateral fora. The Commission should encourage the beneficiaries to uphold a rules- and values-based global order and cooperate on the promotion of multilateralism and the further strengthening of the international trading system, including WTO reforms.***

## Amendment 12

### Proposal for a regulation

#### Recital 10

*Text proposed by the Commission*

*Amendment*

(10) ***It is essential to further step up*** cooperation on migration including border management, ensuring access to international protection, sharing relevant information, strengthening the development benefits of migration, facilitating legal and labour migration, enhancing border control and ***pursuing our effort in the*** fight against irregular migration, trafficking in human beings and ***migrant*** smuggling.

(10) Cooperation on migration, including border management ***and control***, ensuring access to international protection, sharing relevant information, strengthening the development benefits of migration, facilitating legal and labour migration, enhancing border control and ***efforts to prevent and discourage*** irregular migration ***and forced displacement, and to fight against*** trafficking in human beings and ***people*** smuggling ***are an important aspect of cooperation between the Union and the beneficiaries.***

## Amendment 13

### Proposal for a regulation

#### Recital 11

*Text proposed by the Commission*

(11) Strengthening the rule of law, including the fight against corruption and organised crime, and good governance, including public administration reform, remain key challenges ***in most of the beneficiaries listed in Annex I*** and are essential in order for beneficiaries to come closer to the Union and later to fully assume the obligations of Union membership. In view of the longer-term nature of the reforms pursued in those areas and the need to build up track records, financial assistance under this Regulation should address ***the requirements placed on the beneficiaries listed in Annex I*** as early as possible.

*Amendment*

(11) Strengthening the rule of law, including the ***independence of the judiciary***, fight against corruption, ***money laundering*** and organised crime, and good governance, including public administration reform, ***providing support for human rights defenders, continued alignment on transparency, public procurement, competition, state aid, intellectual property and foreign investment*** remain key challenges and are essential in order for beneficiaries to come closer to the Union and ***to prepare*** to fully assume the obligations of Union membership. In view of the longer-term nature of the reforms pursued in those areas and the need to build up track records, financial assistance under this Regulation should ***be programmed to*** address ***these issues*** as early as possible.

## Amendment 14

### Proposal for a regulation

#### Recital 12

*Text proposed by the Commission*

(12) In accordance with the principle of participatory democracy, parliamentary oversight in each beneficiary ***listed in Annex I*** should be ***encouraged*** by the Commission.

*Amendment*

(12) ***The parliamentary dimension remains fundamental in the accession process. Therefore,*** in accordance with the principle of participatory democracy, ***the strengthening of parliamentary capacities, parliamentary oversight, democratic procedures and fair representation*** in each of the beneficiaries should be ***promoted*** by the ***Commission***.

## Amendment 15

### Proposal for a regulation

#### Recital 13

*Text proposed by the Commission*

(13) The beneficiaries **listed in Annex I** need to be better prepared to address global challenges, such as sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme **are expected** to contribute 16 % of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and **implementation**, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

*Amendment*

(13) The beneficiaries need to be better prepared to address global challenges, such as sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme **should aim** to contribute **at least** 16 % of the overall financial envelope of the Programme to climate objectives, **striving to achieve the goal that climate-related spending reaches 30 % of MFF expenditure by 2027. Priority should be given to environmental projects addressing cross-border pollution.** Relevant actions will be identified during the Programme's preparation and **execution**, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

## Amendment 16

### Proposal for a regulation

#### Recital 16

*Text proposed by the Commission*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of **their** assistance, in particular through regular

*Amendment*

(16) The Commission and the Member States should ensure compliance, coherence, **consistency** and complementarity of **external financing**

consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity, including through regular consultations, with other donors. **The role of civil society should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union assistance.**

assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity, including through regular consultations, with other donors. **Diverse independent civil society organisations and different types and levels of local authorities should play a meaningful role in the process. In line with the principle of inclusive partnership, civil society organisations should be part of both the design, implementation, monitoring and evaluation of the programmes executed through government bodies and be direct beneficiaries of Union assistance.**

## Amendment 17

### Proposal for a regulation

#### Recital 17

*Text proposed by the Commission*

(17) **The priorities for action towards meeting objectives in the relevant policy areas which will be supported under this Regulation should be defined in a programming framework established by the Commission for the duration of the Union multiannual financial framework for the period from 2021 to 2027 in partnership with the beneficiaries listed in Annex I, based on the enlargement agenda and their specific needs, in line with the general and specific objectives defined by this Regulation and taking relevant national strategies into due account. The programming framework should identify the areas to be supported through assistance with an indicative allocation per area of support, including an estimate of climate-related expenditure.**

*Amendment*

(17) **Specific and measurable objectives in the relevant policy areas should be defined for each beneficiary, followed up by priorities for action towards meeting these objectives in a programming framework established by the Commission by means of delegated acts. The programming framework should be established in partnership with the beneficiaries, based on the enlargement agenda and their specific needs, in line with the general and specific objectives defined by this Regulation and the principles of Union external action, taking relevant national strategies and pertaining European Parliament resolutions into due account. That partnership should include, as appropriate, competent authorities, as well as civil society organisations. The Commission should encourage cooperation among the relevant stakeholders and donor co-ordination.**

*The programming framework should be reviewed following the mid-term evaluation. The programming framework should identify the areas to be supported through assistance with an indicative allocation per area of support, including an estimate of climate-related expenditure.*

## Amendment 18

### Proposal for a regulation Recital 18

*Text proposed by the Commission*

(18) It is in the *Union's* interest *to assist* the beneficiaries *listed in Annex I in their* efforts to reform with a view to Union membership. Assistance should be managed *with a strong focus on results* and with incentives for those who demonstrate their commitment to reform through efficient implementation of pre-accession assistance and progress towards meeting the membership criteria.

*Amendment*

(18) It is in the *common* interest *of the Union and* the beneficiaries *to assist* the beneficiaries' efforts to reform *their political, legal and economic systems* with a view to Union membership. Assistance should be managed *in accordance with a performance-based approach* and with *significant* incentives for *more effective and efficient use of funds* for those who demonstrate their commitment to reform through efficient implementation of pre-accession assistance and progress towards meeting the membership criteria. *Assistance should be allocated in line with the "fair share" principle and clear consequences in cases of serious deterioration or lack of progress in the respect for human dignity, freedom, democracy, equality, the rule of law and human rights.*

## Amendment 19

### Proposal for a regulation Recital 18 a (new)

*Text proposed by the Commission*

*Amendment*

*(18 a) The Commission should set up clear monitoring and evaluation mechanisms to ensure that the objectives and actions concerning different*



*beneficiaries remain relevant and feasible and to regularly measure progress. To that effect, every objective should be accompanied by one or more performance indicators, assessing the beneficiaries' adoption of reforms and their concrete implementation.*

## Amendment 20

### Proposal for a regulation Recital 19

#### *Text proposed by the Commission*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries *listed in Annex I* should be progressive and in line with the respective capacities of those beneficiaries. Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process.

#### *Amendment*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries should be progressive and in line with the respective capacities of those beneficiaries. *That transition should be reversed or suspended in specific policy or programme areas in the event that the beneficiaries fail to fulfil relevant obligations or to administer the Union funds in accordance with the established rules, principles and objectives. Such a decision should give due consideration to any possible negative economic and social consequences.* Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process.

## Amendment 21

### Proposal for a regulation Recital 20

#### *Text proposed by the Commission*

(20) The Union should seek the most efficient use of available resources in order to optimise the impact of its external action. That should be achieved through coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes. This

#### *Amendment*

(20) The Union should seek the most efficient use of available resources in order to optimise the impact of its external action. That should be achieved, *in order to avoid the overlapping with other existing external financing instruments*, through coherence, *consistency* and complementarity among

includes, where relevant, coherence and complementarity with macro-financial assistance.

the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes. This includes, where relevant, coherence and complementarity with macro-financial assistance.

## Amendment 22

### Proposal for a regulation Recital 21 a (new)

*Text proposed by the Commission*

*Amendment*

***(21 a) Without prejudice to the budgetary procedure and the provisions on the suspension of aid established in international agreements with beneficiaries, the power to adopt delegated acts in accordance with Article 290 of the Treaty on the Functioning of the European Union should be delegated to the Commission in respect of amending Annex I to this Regulation in order to suspend or partially suspend Union assistance. That power should be used in cases where there is consistent backsliding on one or more of the Copenhagen criteria or where a beneficiary fails to respect the principles of democracy, the rule of law, human rights and fundamental freedoms or violates the commitments taken in the relevant agreements concluded with the Union. Where the Commission finds that the reasons justifying the suspension of assistance no longer apply, it should be empowered to adopt delegated acts to amend Annex I in order to reinstate Union assistance.***

## Amendment 23

### Proposal for a regulation Recital 24

*Text proposed by the Commission*

*Amendment*

(24) The types of financing and the methods of **implementation** under this Regulation should be chosen on the basis of their ability to achieve the specific objectives of the actions and to deliver results, taking into account, in particular, the costs of controls, the administrative burden, and the expected risk of non-compliance. This should include consideration of the use of lump sums, flat rates and unit costs, as well as financing not linked to costs as referred to in Article 125(1) of the Financial Regulation.

(24) The types of financing and the methods of **execution** under this Regulation should be chosen on the basis of their ability to achieve the specific objectives of the actions and to deliver results, taking into account, in particular, the costs of controls, the administrative burden, and the expected risk of non-compliance. This should include consideration of the use of lump sums, flat rates and unit costs, as well as financing not linked to costs as referred to in Article 125(1) of the Financial Regulation.

## **Amendment 24**

### **Proposal for a regulation**

#### **Recital 25**

*Text proposed by the Commission*

(25) The Union should continue to apply common rules for the implementation of the external actions. Rules and procedures for the **implementation** of the Union's instruments for financing external action are laid down in Regulation (EU) No [NDICI] of the European Parliament and of the Council. Additional detailed provisions should be laid down for addressing the specific situations in particular for cross-border cooperation, agriculture and rural development policy area.

*Amendment*

(25) The Union should continue to apply common rules for the implementation of the external actions. Rules and procedures for the **application** of the Union's instruments for financing external action are laid down in Regulation (EU) No [NDICI] of the European Parliament and of the Council. Additional detailed provisions should be laid down for addressing the specific situations in particular for cross-border cooperation, agriculture and rural development policy area.

## **Amendment 25**

### **Proposal for a regulation**

#### **Recital 26**

*Text proposed by the Commission*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global challenges such as human rights, democracy and good

*Amendment*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global challenges such as human rights, democracy and good

governance, security and stability, climate change and environment **and** irregular migration and its root causes. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial **implementation** of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

governance, security, **defence** and stability, climate change and environment, **economic protectionism**, irregular migration **and forced displacement** and its root causes. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial **execution** of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely carry-overs and re-commitments of committed funds **while adhering to the goals and objectives laid down in this Regulation**, to ensure an efficient use of the EU funds both for the EU citizens and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions. **Additional forms of flexibility should be allowed, such as reallocation among priorities, phasing projects and over-contracting.**

## Amendment 26

### Proposal for a regulation Recital 29 a (new)

*Text proposed by the Commission*

*Amendment*

***(29 a) Cross border cooperation programmes are the most visible programmes of the Instrument of Pre-Accession Assistance, as well as being well-known by citizens. Cross border cooperation programmes could therefore significantly improve the visibility of Union-funded projects in the candidate states;***

## Amendment 27

### Proposal for a regulation Recital 31 a (new)

*Text proposed by the Commission*

*Amendment*

***(31 a) All funding allocations under this Regulation should be carried out in a transparent, effective, accountable, depoliticised and non-discriminatory manner, including by means of an equitable distribution reflecting the needs of the regions and local municipalities. The Commission, the Vice-President/High Representative of the Union for Foreign Affairs and Security Policy (“VP/HR”), and in particular Union delegations should monitor closely that those criteria are met and the principles of transparency, accountability and non-discrimination are respected in the allocation of funds.***

## Amendment 28

### Proposal for a regulation Recital 31 b (new)

*Text proposed by the Commission*

*Amendment*

***(31 b) The Commission, the VP/HR, and in particular Union delegations and the beneficiaries should enhance the visibility of the Union’s pre-accession assistance in order to communicate the added value of the Union’s support. The recipients of Union funding should acknowledge the origin of the Union’s funding and ensure its proper visibility. IPA should contribute to financing communication actions for promotion of the results of the Union’s assistance to multiple audiences in the beneficiaries.***

## Amendment 29

### Proposal for a regulation

### Recital 33

*Text proposed by the Commission*

*Amendment*

**(33) In order to ensure uniform conditions for the implementation of this Regulation in particular on specific conditions and structures for indirect management with the beneficiaries listed in Annex I and on the implementation of rural development assistance, implementing powers should be conferred on the Commission. Those powers should be exercised in accordance with [Regulation (EU) No 182/2011<sup>25</sup> of the European Parliament and of the Council]. When establishing the uniform conditions for implementing this Regulation, the lessons learnt from the management and implementation of past pre-accession assistance should be taken into account. Those uniform conditions should be amended if developments so require.**

**deleted**

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<sup>25</sup> Regulation (EU) No 182/2011 of the European Parliament and of the Council of 16 February 2011 laying down the rules and general principles concerning mechanisms for control by Member States of the Commission's exercise of implementing powers (OJ L 55, 28.2.2011, p. 13).

### Amendment 30

**Proposal for a regulation  
Recital 34**

*Text proposed by the Commission*

*Amendment*

**(34) The committee established under this Regulation should be competent also for legal acts and commitments under Regulation (EC) No 1085/2006<sup>26</sup>, under Regulation (EU) No 231/2014 as well as for the implementation of Article 3 of**

**deleted**

*Council regulation (EC) No 389/2006<sup>27</sup>.*

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*<sup>26</sup> Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA) (OJ L 210, 31.7.2006, p. 82).*

*<sup>27</sup> Council Regulation (EC) No 389/2006 of 27 February 2006 establishing an instrument of financial support for encouraging the economic development of the Turkish Cypriot community and amending Regulation (EC) No 2667/2000 on the European Agency for Reconstruction (OJ L 65, 7.3.2006, p. 5).*

### **Amendment 31**

#### **Proposal for a regulation Recital 34 a (new)**

*Text proposed by the Commission*

*Amendment*

*(34 a) The European Parliament should be fully involved in the design, programming, monitoring and evaluation phases of the instruments in order to guarantee political control and democratic scrutiny and accountability of Union funding in the field of external action. An enhanced dialogue between the institutions should be established in order to ensure that the European Parliament is in a position to exercise political control during the application of this Regulation in a systematic and smooth manner, thereby enhancing both efficiency and legitimacy.*

## Amendment 32

### Proposal for a regulation

#### Article 2 – paragraph 1 – point 1 a (new)

*Text proposed by the Commission*

*Amendment*

***(1 a) ‘Fair share principle of assistance’ means complementing the performance-based approach with a corrective allocation mechanism, in cases where assistance provided to the beneficiary would otherwise be disproportionately low or high as compared to the other beneficiaries, taking into account the needs of the population affected and the relative progress on reforms related to the opening of accession negotiations or progress therein;***

## Amendment 33

### Proposal for a regulation

#### Article 3 – paragraph 1

*Text proposed by the Commission*

*Amendment*

1. The general objective of IPA III shall be to support the beneficiaries ***listed in Annex I*** in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries to comply with Union values and to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to ***their*** stability, security and prosperity.

1. The general objective of IPA III shall be to support the beneficiaries in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries to comply with Union values and ***acquis and*** to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to ***peace, stability, security and prosperity as well as to the strategic interests of the Union.***

## Amendment 34

### Proposal for a regulation

#### Article 3 – paragraph 2 – point a

*Text proposed by the Commission*

*Amendment*

(a) ***To*** strengthen the rule of law,

(a) ***to*** strengthen the rule of law,



democracy, the respect of human rights, fundamental rights and international law, civil society and *security as well as improve migration management including border management*;

democracy, the respect of human rights, *including those of minorities and children, gender equality*, fundamental rights and international law, civil society, *academic freedom, peace* and security, *the respect for cultural diversity, non-discrimination and tolerance*;

### Amendment 35

#### Proposal for a regulation Article 3 – paragraph 2 – point a a (new)

*Text proposed by the Commission*

*Amendment*

*(a a) to address forced displacement and irregular migration, ensuring that migration takes place in a safe, orderly and regular manner, and safeguarding access to international protection;*

### Amendment 36

#### Proposal for a regulation Article 3 – paragraph 2 – point b

*Text proposed by the Commission*

*Amendment*

(b) *To* reinforce the effectiveness of public administration and support structural reforms and good governance at all levels;

(b) *to* reinforce the effectiveness of public administration and support *transparency*, structural reforms, *judicial independence fight against corruption* and good governance at all levels, *including in the field of public procurement, state-aid, competition, foreign investments and intellectual property*;

### Amendment 37

#### Proposal for a regulation Article 3 – paragraph 2 – point c

*Text proposed by the Commission*

*Amendment*

(c) *To* shape the rules, standards, policies and practices of the beneficiaries *listed in Annex I* in alignment to those of the Union and to reinforce reconciliation and good neighbourly relations, as well as

(c) *to* shape the rules, standards, policies and practices of the beneficiaries in alignment to those of the Union, *including on CFSP, strengthen the rules-based multilateral international order* and

people to people contacts and communication;

to reinforce *internal and external* reconciliation and good neighbourly relations, as well as *peace-building and conflict prevention, including through confidence-building and mediation, inclusive and integrated education* people to people contacts, *freedom of the media* and communication;

## Amendment 38

### Proposal for a regulation Article 3 – paragraph 2 – point d

*Text proposed by the Commission*

(d) *To* strengthen economic *and* social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, *to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society.*

*Amendment*

(d) *to* strengthen economic, social *and territorial* development *and cohesion* including through increased connectivity and regional development, agriculture and rural development and social and employment policies, *reducing poverty and regional imbalances, promoting social protection and inclusion by strengthening state-level regional cooperation structures, small and medium-sized enterprises (SMEs), the capacities of community-based initiatives, supporting investment in rural areas and improving business and investment climate;*

## Amendment 39

### Proposal for a regulation Article 3 – paragraph 2 – point d a (new)

*Text proposed by the Commission*

*(da) to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society, thereby creating job opportunities, in particular for the youth;*

## Amendment 40

### Proposal for a regulation

#### Article 3 – paragraph 2 – point e

*Text proposed by the Commission*

(e) *to* support territorial and cross-border cooperation.

*Amendment*

(e) *to* support territorial and cross-border cooperation ***including across maritime borders, and enhance trade and economic relations by fully implementing existing agreements with the Union, reducing regional imbalances.***

## Amendment 41

### Proposal for a regulation

#### Article 4 – paragraph 1

*Text proposed by the Commission*

1. The financial envelope for the implementation of IPA III for the period 2021-2027 shall be EUR ***14 500 000 000*** in current prices.

*Amendment*

1. The financial envelope for the implementation of IPA III for the period 2021-2027 shall be EUR ***13 009 976 000 in 2018 prices (EUR 14 663 401 000*** in current prices).

## Amendment 42

### Proposal for a regulation

#### Article 4 – paragraph 2

*Text proposed by the Commission*

2. The amount referred to in paragraph 1 *may* be used for technical and administrative assistance for the ***implementation*** of the Programme, ***such as*** preparatory, monitoring, control, audit and evaluation activities including corporate information technology systems and any activities related to the preparation of the successor programme for pre-accession assistance, ***in accordance with Article 20 of [NDICI Regulation].***

*Amendment*

2. ***A set percentage of*** the amount referred to in paragraph 1 ***shall*** be used for technical and administrative assistance for the ***execution*** of the Programme, ***which shall include*** preparatory, monitoring, control, audit and evaluation activities, ***support for institutional strengthening and administrative capacity-building*** including corporate information technology systems and any activities related to the preparation of the successor programme for pre-accession assistance.

## Amendment 43

### Proposal for a regulation

#### Article 5 – paragraph 1

*Text proposed by the Commission*

1. In **implementing** this Regulation, consistency, synergies and complementarities with other areas of Union external action, with other relevant Union policies and programmes, as well as policy coherence for development shall be ensured.

*Amendment*

1. In **applying** this Regulation, consistency, synergies and complementarities with other areas of Union external action, with other relevant Union policies and programmes, as well as policy coherence for development shall be ensured.

## Amendment 44

### Proposal for a regulation

#### Article 5 – paragraph 2

*Text proposed by the Commission*

2. The [NDICI Regulation] shall apply to activities **implemented** under this Regulation where referred to in this Regulation.

*Amendment*

2. Regulation (EU) .../[NDICI Regulation] shall apply to activities **executed** under this Regulation where referred to in this Regulation.

## Amendment 45

### Proposal for a regulation

#### Article 5 – paragraph 4

*Text proposed by the Commission*

4. Assistance under IPA III may be provided to the type of actions provided for under the European Regional Development Fund and the Cohesion Fund<sup>30</sup>, the European Social Fund Plus<sup>31</sup> **and** the European Agricultural Fund for Rural Development<sup>32</sup>.

*Amendment*

4. Assistance under IPA III may be provided to the type of actions provided for under the European Regional Development Fund and the Cohesion Fund<sup>30</sup>, the European Social Fund Plus<sup>31</sup>, the European Agricultural Fund for Rural Development<sup>32</sup> **and the Justice, Rights and Values Fund, at national level as well as in a cross-border, transnational, interregional or macro-regional context.**

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<sup>30</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and

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<sup>30</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and

of the Council on the European Regional Development Fund and on the Cohesion Fund.

<sup>31</sup> COM(2018) 382 final Proposal of the European Parliament and of the Council on the European Social Fund Plus (ESF+)

<sup>32</sup> COM(2018) 392 final Proposal for a Regulation of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council.

of the Council on the European Regional Development Fund and on the Cohesion Fund.

<sup>31</sup> COM(2018) 382 final Proposal of the European Parliament and of the Council on the European Social Fund Plus (ESF+)

<sup>32</sup> COM(2018) 392 final Proposal for a Regulation of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council.

## **Amendment 46**

### **Proposal for a regulation**

#### **Article 5 – paragraph 4 a (new)**

*Text proposed by the Commission*

*Amendment*

**4a. The Commission shall allocate a percentage of IPA III resources to prepare the beneficiaries listed in Annex I for the participation in the European Structural and Investment Funds (ESIF), in particular in the European Social Fund (ESF).**

## **Amendment 47**

### **Proposal for a regulation**

#### **Article 5 – paragraph 5**

*Text proposed by the Commission*

*Amendment*

5. The [ERDF]<sup>32</sup> shall contribute to programmes or measures established for

5. The [ERDF]<sup>32</sup> shall contribute to programmes or measures established for

cross-border cooperation between the beneficiaries *listed in Annex I* and Member States. These programmes and measures shall be adopted by the Commission in accordance with Article 16. The amount of the contribution from IPA-CBC shall be determined pursuant to Article 10 (3) of [ETC Regulation]. IPA-Cross Border Cooperation programmes shall be managed in accordance with [ETC Regulation].

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<sup>32</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund

## Amendment 48

### Proposal for a regulation Article 5 – paragraph 8

#### *Text proposed by the Commission*

8. In duly justified circumstances and in order to ensure the coherence and effectiveness of Union financing or to foster regional cooperation, the Commission may decide to extend the eligibility of action programmes and measures referred to in Article 8(1) to countries, territories and regions other than those referred in Annex I, where the programme or measure to be **implemented** is of a global, regional or cross-border nature.

cross-border cooperation between the beneficiaries and **one or more** Member States. These programmes and measures shall be adopted by the Commission in accordance with Article 16. The amount of the contribution from IPA-CBC shall be determined pursuant to Article 10 (3) of [ETC Regulation], **with a maximum threshold for an IPA III contribution set at 85 %**. IPA-Cross Border Cooperation programmes shall be managed in accordance with [ETC Regulation].

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<sup>32</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund

#### *Amendment*

8. In duly justified circumstances and in order to ensure the coherence and effectiveness of Union financing or to foster regional cooperation, the Commission may decide to extend the eligibility of action programmes and measures referred to in Article 8(1) to countries, territories and regions other than those referred in Annex I, where the programme or measure to be **applied** is of a global, regional or cross-border nature.

## Amendment 49

### Proposal for a regulation

#### Article 6 – paragraph 1

*Text proposed by the Commission*

1. The enlargement policy framework defined by the European Council and the Council, the agreements that establish a legally binding relationship with the beneficiaries ***listed in Annex I***, as well as relevant resolutions of the European Parliament, communications of the Commission or joint Communications of the Commission and the High Representative of the Union for Foreign Affairs and Security Policy, shall constitute the ***overall*** policy framework for the ***implementation*** of this regulation. The Commission shall ensure coherence between the assistance and the enlargement policy framework.

*Amendment*

1. The enlargement policy framework defined by the European Council and the Council, the agreements that establish a legally binding relationship with the beneficiaries, as well as relevant resolutions of the European Parliament, communications of the Commission or joint Communications of the Commission and the High Representative of the Union for Foreign Affairs and Security Policy, shall constitute the ***comprehensive*** policy framework for the ***application*** of this regulation. The Commission shall ensure coherence between the assistance and the ***overall*** enlargement policy framework.

***The VP/HR and the Commission shall ensure coordination between the Union's external action and the enlargement policy within the framework of the policy objectives set out in Article 3.***

***The Commission shall coordinate programming under this Regulation with appropriate involvement of the EEAS.***

***The enlargement policy framework shall be the basis on which assistance is provided.***

## Amendment 50

### Proposal for a regulation

#### Article 6 – paragraph 2

*Text proposed by the Commission*

2. Programmes and actions under this Regulation shall mainstream climate change, environmental protection and gender equality and shall, where applicable, address interlinkages between

*Amendment*

2. Programmes and actions under this Regulation shall mainstream climate change, environmental protection, ***human rights conflict prevention and resolution, migration and forced displacement,***

Sustainable Development Goals<sup>33</sup>, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way.

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[https://ec.europa.eu/europeaid/policies/sustainable-development-goals\\_en](https://ec.europa.eu/europeaid/policies/sustainable-development-goals_en)

## Amendment 51

### Proposal for a regulation Article 6 – paragraph 3

#### *Text proposed by the Commission*

3. The Commission and the Member States shall cooperate in ensuring coherence and shall **strive to** avoid duplication between assistance provided under IPA III and other assistance provided by the Union, the Member States and the European Investment Bank, in line with the established principles for strengthening operational coordination in the field of external assistance, and for the harmonisation of policies and procedures, in particular the international principles on development effectiveness.<sup>35</sup> Coordination shall involve regular consultations, frequent exchanges of information during the different phases of the assistance cycle and inclusive meetings aimed at coordinating the assistance and shall constitute a key step in the programming processes of the Union and the Member States.

***security, social and regional cohesion, poverty reduction*** and gender equality and shall, where applicable, address interlinkages between Sustainable Development Goals<sup>34</sup>, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way. ***They shall aim to contribute at least 16 % of the overall financial envelope to climate objectives.***

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[https://ec.europa.eu/europeaid/policies/sustainable-development-goals\\_en](https://ec.europa.eu/europeaid/policies/sustainable-development-goals_en)

#### *Amendment*

3. The Commission and the Member States shall cooperate in ensuring coherence and shall avoid duplication between assistance provided under IPA III and other assistance provided by the Union, the Member States and the European Investment Bank, in line with the established principles for strengthening operational coordination in the field of external assistance, and for the harmonisation of policies and procedures, in particular the international principles on development effectiveness.<sup>35</sup> Coordination shall involve regular consultations, frequent exchanges of information during the different phases of the assistance cycle and inclusive meetings aimed at coordinating the assistance and shall constitute a key step in the programming processes of the Union and the Member States. ***The assistance shall aim at ensuring alignment with the Union strategy for smart, sustainable and inclusive growth, effective and efficient implementation of the funds, arrangements for the partnership***



*principle and an integrated approach to territorial development.*

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[https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness\\_en](https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness_en)

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[https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness\\_en](https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness_en)

## **Amendment 52**

### **Proposal for a regulation**

#### **Article 6 – paragraph 3 a (new)**

*Text proposed by the Commission*

*Amendment*

**3 a. The Commission shall act in partnership with the beneficiaries. The partnership shall include, as appropriate, competent national and local authorities, as well as civil society organisations, enabling them to play a meaningful role during the design, implementation and monitoring phases.**

**The Commission shall encourage coordination among the relevant stakeholders. IPA III assistance shall strengthen the capacities of civil society organisations, including, as appropriate, as direct beneficiaries of assistance;**

## **Amendment 53**

### **Proposal for a regulation**

#### **Chapter 3 – title**

*Text proposed by the Commission*

*Amendment*

**IMPLEMENTATION**

**PROGRAMMING FRAMEWORK AND EXECUTION**

## Amendment 54

### Proposal for a regulation Article 7 – paragraph 1

*Text proposed by the Commission*

1. ***Assistance under IPA III shall be based on an IPA programming framework for the delivery of the specific objectives referred to in Article 3. The IPA programming framework shall be established by the Commission for the duration of the Union's multiannual financial framework.***

*Amendment*

1. ***This Regulation shall be supplemented by an IPA programming framework establishing further provisions on how the specific objectives referred to in Article 3 shall be pursued. The IPA programming framework shall be established by the Commission by means of delegated acts, in accordance with paragraph 3 of this Article.***

***The Commission shall submit to the European Parliament the relevant programming documents in due time prior to the start of the programming period. Those documents shall lay down the indicative allocations per thematic window and, where available, per country/region, covering expected results and the choice of assistance arrangements.***

## Amendment 55

### Proposal for a regulation Article 7 – paragraph 1 a (new)

*Text proposed by the Commission*

*Amendment*

***1a. The European Parliament and the Council shall authorise the annual appropriations within the limits of the multiannual financial framework for the period from 2021 to 2027.***

## Amendment 56

### Proposal for a regulation

#### Article 7 – paragraph 2 – subparagraph 1

*Text proposed by the Commission*

The IPA programming framework shall take relevant national strategies and sector policies into due account.

*Amendment*

The IPA programming framework shall take relevant ***resolutions and positions of the European Parliament and*** national strategies and sector policies into due account.

## Amendment 57

### Proposal for a regulation

#### Article 7 – paragraph 3

*Text proposed by the Commission*

3. Without prejudice to paragraph 4, the IPA programming framework ***shall be adopted by the Commission*** by means of ***an implementing act. That implementing act shall be adopted in accordance with the examination procedure of the Committee referred to in Article 16.***

*Amendment*

3. Without prejudice to paragraph 4 of this Article, ***the Commission shall adopt*** the IPA programming framework, ***including the arrangements to enact the “fair share” principle,*** by means of ***delegated acts in, accordance with Article 14. The IPA programming framework shall expire by 30 June 2025 at the latest. The Commission shall adopt a new IPA programming framework by 30 June 2025, based on the mid-term evaluation being consistent with the other external financing instruments and taking into account relevant resolutions of the European Parliament. The Commission may also review, where necessary, the effective implementation of the IPA programming framework, in particular where there are substantive changes in the policy framework referred to in Article 6 and taking into account relevant resolutions of the European Parliament.***

## Amendment 58

### Proposal for a regulation Article 7 – paragraph 5

*Text proposed by the Commission*

5. The IPA programming framework shall **include** indicators for assessing progress with regard to attainment of the targets set therein.

*Amendment*

5. The IPA programming framework shall **be based on clear and verifiable performance indicators set out in Annex IV to this Regulation** for assessing progress with regard to attainment of the targets set therein, **inter alia, progress and results in the areas of:**

**(a) democracy, the rule of law and an independent and efficient justice system;**

**(b) human rights and fundamental freedoms, including the rights of persons belonging to minorities and vulnerable groups;**

**(c) gender equality and women's rights;**

**(d) the fight against corruption and organised crime;**

**(e) reconciliation, peace-building, good neighbourly relations;**

**(f) freedom of the media**

**The Commission shall include progress against those indicators in its annual reports.**

**The performance-based approach under this Regulation shall be subject to a regular exchange of views in the European Parliament and in the Council.**

## Amendment 59

### Proposal for a regulation Article 7 a (new)

*Text proposed by the Commission*

*Amendment*

**Article 7a**

**Evaluation**

***1. The Commission shall adopt a new IPA programming framework based on the mid-term evaluation. No later than 30 June 2024, the Commission shall submit a mid-term evaluation report on the application of this Regulation. The mid-term evaluation report shall cover the period from 1 January 2021 to 31 December 2023 and shall examine the Union contribution to the achievement of the objectives of this Regulation, by means of indicators measuring the results delivered and any findings and conclusions concerning the impact of this Regulation.***

***2. The mid-term evaluation report shall also address efficiency, the added value, the scope for simplification, internal and external coherence, and the continued relevance of the objectives of this Regulation.***

***3. The mid-term evaluation report shall be undertaken for the specific purpose of improving the application of Union funding. It shall inform decisions on the renewal, modification or suspension of the types of actions implemented under the Regulation.***

***4. The mid-term evaluation report shall also contain consolidated information from relevant annual reports on all funding governed by this Regulation, including external assigned revenues and contributions to trust funds offering a breakdown of spending by beneficiary country, use of financial instruments, commitments and payments.***

***5. The Commission shall communicate the conclusions of the evaluations accompanied by its observations, to the European Parliament, to the Council and to Member States. The results shall feed into programme design and resource allocation.***

***6. The Commission shall associate all relevant stakeholders in the evaluation process of the Union's funding provided***

*under this Regulation, and may, where appropriate, seek to undertake joint evaluations with the Member States and development partners with close involvement of the partner countries.*

*7. The Commission shall submit the mid-term evaluation report referred to in this Article to the European Parliament and to the Council, accompanied, if appropriate, by legislative proposals setting out necessary amendments to this Regulation.*

*8. At the end of the period of application of this Regulation, but no later than four years after the end of the period specified in Article 1, the Commission shall carry out a final evaluation of the Regulation on the same terms as the mid-term evaluation referred to in this Article.*

## **Amendment 60**

### **Proposal for a regulation Article 7 b (new)**

*Text proposed by the Commission*

*Amendment*

#### *Article 7b*

##### *Suspension of Union assistance*

*1. Where a beneficiary fails to respect the principle of democracy, the rule of law, human rights and fundamental freedoms or violates the commitments taken in the relevant agreements concluded with the Union or consistently backslides on one or more of the Copenhagen criteria, the Commission shall be empowered, in accordance with Article 14, to adopt delegated acts to amend Annex I to this Regulation in order to suspend or partially suspend Union assistance. In the event of a partial suspension, the programmes for which the suspension applies shall be indicated.*

*2. Where the Commission finds that the reasons justifying the suspension of assistance no longer apply, it shall be empowered to adopt delegated acts, in*

*accordance with Article 14, to amend Annex I in order to reinstate Union assistance.*

*3. In the event of a partial suspension, Union assistance shall primarily be used to support civil society organisations and non-state actors for measures aimed at promoting human rights and fundamental freedoms and supporting democratisation and dialogue processes in partner countries.*

## **Amendment 61**

### **Proposal for a regulation Article 7 c (new)**

*Text proposed by the Commission*

*Amendment*

*Article 7c*

**Governance**

*A horizontal steering group composed of all relevant Commission and EEAS services and chaired by the VP/HR or a representative of that office shall be responsible for the steering, coordination and management of this instrument throughout the management cycle in order to ensure consistency, efficiency, transparency and accountability of all Union external financing. The Vice-President/High Representative shall ensure overall political coordination of the Union's external action. Throughout the whole cycle of programming, planning and application of the instrument, the Vice-President/High Representative and the EEAS shall work with the relevant members and services of the Commission. The Vice-President/High Representative, the EEAS and the Commission shall prepare all proposals for decisions in accordance with the Commission's procedures and shall submit them for adoption.*

*The European Parliament shall be fully*

*involved in the design, programming, monitoring and evaluation phases of the external financing instruments in order to guarantee political control and democratic scrutiny and accountability of Union funding in the field of external action.*

## Amendment 62

### Proposal for a regulation Article 8 – title

*Text proposed by the Commission*

**Implementing** measures and methods

*Amendment*

**Executing** measures and methods

## Amendment 63

### Proposal for a regulation Article 8 – paragraph 1

*Text proposed by the Commission*

1. Assistance under IPA III shall be **implemented** in direct management or in indirect management in accordance with the Financial Regulation through annual or multi-annual action plans and measures as referred to in **Chapter III of Title II of [NDICI Regulation]. Chapter III of Title II of [NDICI Regulation] shall apply to this Regulation with the exception of paragraph 1 of Article 24 [eligible persons and entities].**

*Amendment*

1. Assistance under IPA III shall be **executed** in direct management or in indirect management in accordance with the Financial Regulation through annual or multi-annual action plans and measures.as referred to in **Chapter III a.**

## Amendment 64

### Proposal for a regulation Article 8 – paragraph 1 a (new)

*Text proposed by the Commission*

*Amendment*

**1a. Indirect management may be reversed if the beneficiary is unable or unwilling to administer the awarded funds in accordance with the established rules,**



*principles and objectives under this Regulation. In the event of a beneficiary's failure to observe the principles of democracy, the rule of law and respect for human rights and fundamental freedoms or in the event of violation of the commitments taken in the relevant agreements concluded with the Union, the Commission may, in specific policy areas or programmes, revert from indirect management with that beneficiary to indirect management by one or more entrusted entities other than a beneficiary or to direct management.*

#### **Amendment 65**

##### **Proposal for a regulation Article 8 – paragraph 1 b (new)**

*Text proposed by the Commission*

*Amendment*

**1b.** *The Commission shall hold a dialogue with the European Parliament, and take into account the European Parliament's views on areas in which the latter is running its own assistance programmes, such as capacity-building and election observation.*

#### **Amendment 66**

##### **Proposal for a regulation Article 8 – paragraph 2 a (new)**

*Text proposed by the Commission*

*Amendment*

**2a.** *The Commission shall keep the European Parliament fully involved on issues related to the planning and implementation of measures pursuant to this Article, including any envisaged substantial changes or allocations.*

## Amendment 67

### Proposal for a regulation Article 8 – paragraph 2 b (new)

*Text proposed by the Commission*

*Amendment*

**2b. Disbursement of the general or sector budget support shall be conditional upon satisfactory progress being made towards achieving the objectives agreed with a beneficiary.**

***The Commission shall apply the budget support conditionality criteria set out in the Article 23(4) of Regulation (EU) .../... [NDICI Regulation]. It shall take steps to reduce or suspend Union funding through budget support in cases of systemic irregularities in the management and control systems or unsatisfactory progress being made in achieving the objectives agreed with the beneficiary.***

***The reintroduction of assistance by the Commission following the suspension referred to in this Article shall be accompanied by a targeted assistance to national audit authorities.***

## Amendment 68

### Proposal for a regulation Chapter III a (new) – title

*Text proposed by the Commission*

*Amendment*

***Chapter IIIa  
Execution***

## Amendment 69

### Proposal for a regulation Article 8 a (new)

*Text proposed by the Commission*

*Amendment*

***Article 8a***

### *Action plans and measures*

**1. The Commission shall adopt annual or multiannual action plans or measures. The measures may take the form of individual measures, special measures, support measures or exceptional assistance measures. Action plans and measures shall specify for each action the objectives pursued, the expected results and main activities, the methods of application, the budget and any associated support expenditures.**

**2. Action plans shall be based on programming documents, except for cases referred to in paragraphs 3 and 4.**

*When necessary, an action may be adopted as an individual measure before or after the adoption of action plans. Individual measures shall be based on programming documents, except for cases referred to in paragraph 3 and in other duly justified cases.*

*In the event of unforeseen needs or circumstances, and when funding is not possible from more appropriate sources, the Commission is empowered to adopt delegated acts in accordance with Article 34 of Regulation ...[NDICI Regulation] laying down special measures not based on the programming documents.*

**3. Annual or multiannual action plans and individual measures may be used to execute rapid response actions referred to in Article 4(4)(b) of Regulation ...[NDICI Regulation].**

**4. The Commission may adopt exceptional assistance measures for rapid response actions as referred to in Article 4(4)(a) of Regulation ...[NDICI Regulation].**

**5. Measures taken under Article 19 (3) and (4) may have a duration of up to 18 months, which may be extended twice by a further period of up to six months, up to a total maximum duration of 30**

*months, in the event of objective and unforeseen obstacles to execution, provided that there is no increase in the financial amount of the measure.*

*In cases of protracted crisis and conflict, the Commission may adopt a second exceptional assistance measure of a duration of up to 18 months. In duly justified cases, further measures may be adopted where the continuity of the Union's action under this paragraph is essential and cannot be ensured by other means.*

## **Amendment 70**

### **Proposal for a regulation Article 8 b (new)**

*Text proposed by the Commission*

*Amendment*

#### **Article 8b**

##### **Support measures**

*1. Union financing may cover expenditure to support the execution of the Instrument and the achievement of its objectives, including administrative support associated with the preparation, follow-up, monitoring, control, audit and evaluation activities necessary for such execution, as well as expenditure at headquarters and Union delegations for the administrative support needed for the programme, and to manage operations financed under this Regulation, including information and communication actions, and corporate information technology systems.*

*2. When support expenditure is not included in the action plans or measures referred to in Article 8c, the Commission shall adopt, where applicable, support measures. Union financing under support measures may cover:*

*(a) studies, meetings, information, awareness-raising, training, preparation*

*and exchange of lessons learnt and best practices, publication activities and any other administrative or technical assistance expenditure necessary for the programming and management of actions, including remunerated external experts;*

*(b) research and innovation activities and studies on relevant issues and the dissemination thereof;*

*(c) expenditure related to the provision of information and communication actions, including the development of communication strategies and corporate communication and visibility of the political priorities of the Union.*

## **Amendment 71**

### **Proposal for a regulation Article 8 c (new)**

*Text proposed by the Commission*

*Amendment*

#### **Article 8c**

##### ***Adoption of action plans and measures***

***1. The Commission shall adopt action plans and measures by decision in accordance with the Financial Regulation.***

***2. The Commission shall take account of the relevant policy approach of the Council and the European Parliament for the planning and subsequent application of such action plans and measures, in the interests of consistency of the Union's external action.***

***The Commission shall immediately inform the European Parliament about the planning of action plans and measures pursuant to this Article, including the financial amounts envisaged, and shall also inform the European Parliament when making substantial changes or extensions to that***

*assistance. As soon as possible following the adoption of an action plan or measure, and in any case within two months thereof, the Commission shall report to the European Parliament and to the Council and give an overview of the nature, context and rationale of the action plan or measure adopted, including its complementarity with the ongoing and planned Union response.*

*3. Before adopting any action plans and measures that are not based on programming documents pursuant to Article 7, the Commission shall adopt a delegated act in accordance with Article 14 to supplement this Regulation by setting out the specific objectives to be pursued, the results expected, the instruments to be used, the main activities and the indicative financial allocations of these action plans and measures.*

*4. Appropriate human rights, social and environmental screening, including for climate change and biodiversity impacts, shall be undertaken at the level of actions, in accordance with the applicable legislative acts of the Union, including Directive 2011/92/EU<sup>1a</sup> of the European Parliament and of the Council and Council Directive 85/337/EEC<sup>1b</sup>, comprising, where applicable, an environmental impact assessment for environmentally sensitive actions, in particular for major new infrastructure.*

*Where relevant, human rights, social and strategic environmental assessments shall be used in the execution of sectoral programmes. The Commission shall ensure the involvement of interested stakeholders in these assessments and public access to the results of such assessments.*

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*<sup>1a</sup> Directive 2011/92/EU of the European Parliament and of the Council of 13 December 2011 on the assessment of the effects of certain public and private*

*projects on the environment (codification)  
(OJ L 26 28.1.2012. p.1).*

*<sup>1b</sup> Council Directive 85/337/EEC of 27  
June 1985 on the assessment of the effects  
of certain public and private projects on  
the environment (OJ L 175, 5.07.1985. p.  
40).*

## **Amendment 72**

### **Proposal for a regulation Article 8 d (new)**

*Text proposed by the Commission*

*Amendment*

#### **Article 8d**

##### **Methods of cooperation**

- 1. Financing under this Instrument shall be implemented by the Commission, as provided for by the Financial Regulation, either directly by the Commission itself, by Union delegations and by executive agencies, or indirectly through any of the entities listed in Article 62 (1) c) of the Financial Regulation.**
- 2. Financing under this Instrument may also be provided through contributions to international, regional or national funds, such as those established or managed by the EIB, by Member States, by partner countries and regions or by international organisations, or other donors.**
- 3. The entities listed in Article 62(1)(c) of the Financial Regulation and in Article 29(1) of of Regulation ...[NDICI Regulation] shall annually fulfil their reporting obligations under Article 155 of the Financial Regulation. The reporting requirements for any of these entities are laid down in the framework partnership agreement, the contribution agreement, the agreement on budgetary guarantees or the financing agreement.**
- 4. Actions financed under this Instrument may be implemented by means**

*of parallel or joint co-financing.*

*5. In the case of parallel co-financing, an action is split into a number of clearly identifiable components which are each financed by the different partners providing co-financing in such a way that the end-use of the financing can always be identified.*

*6. In the case of joint co-financing, the total cost of an action is shared between the partners providing the co-financing and the resources are pooled in such a way that it is no longer possible to identify the source of financing for any given activity undertaken as part of the action.*

*7. Cooperation between the Union and its partners may take the form, inter alia, of:*

*(a) triangular arrangements whereby the Union coordinates with third countries its assistance funding to a partner country or region;*

*(b) administrative cooperation measures such as twinning between public institutions, local authorities, national public bodies or private law entities entrusted with public service tasks of a Member State and those of a partner country or region, as well as cooperation measures involving public sector experts dispatched from the Member States and their regional and local authorities;*

*(c) contributions to the necessary costs of setting up and administering a public-private partnership including support of broad participation by setting up independent third party CSO body to assess and monitor public-private partnership set-ups;*

*(d) sector policy support programmes whereby the Union provides support to a partner country's sector programme*

*(e) contributions to the cost of the countries' participation in Union*



*programmes and actions implemented by Union agencies and bodies, as well as bodies or persons entrusted with implementation of specific actions in the Common Foreign and Security Policy pursuant to Title V of the Treaty on European Union;*

*(f) interest rate subsidies.*

## **Amendment 73**

### **Proposal for a regulation Article 8 e (new)**

*Text proposed by the Commission*

*Amendment*

#### *Article 8e*

#### *Forms of Union funding and methods of application*

*1. The Union funding may be provided through the types of financing envisaged by the Financial Regulation and in particular:*

- (a) grants;*
- (b) procurement contracts for services, supplies or works;*
- (c) budget support;*
- (d) contributions to trust funds set up by the Commission, in accordance with Article 234 of the Financial Regulation;*
- (e) financial instruments;*
- (f) budgetary guarantees;*
- (g) blending;*
- (h) debt relief in the context of internationally agreed debt relief programme;*
- (i) financial assistance;*
- (j) remunerated external experts.*

*2. When working with stakeholders of partner countries, the Commission shall take into account their specificities, including their needs and the relevant*

*context, when defining the financing modalities, the type of contribution, the award modalities and the administrative provisions for the management of grants, with a view to reaching and best responding to the widest possible range of such stakeholders. That assessment shall take into account the conditions for a meaningful participation and involvement of all stakeholders, in particular local civil society. Specific modalities shall be encouraged in accordance with the Financial Regulation, such as partnership agreements, authorisations of financial support to third parties, direct award or eligibility-restricted calls for proposals, or lump sums, unit costs and flat-rate financing as well as financing not linked to costs as envisaged in Article 125(1) of the Financial Regulation. Those different modalities shall ensure transparency, traceability and innovation. Cooperation between local and international NGOs shall be encouraged in order to bolster local civil society's capacities with a view to achieving its full participation in development programmes.*

*3. In addition of the cases referred to in Article 195 of the Financial Regulation, the direct award procedure may be used for;*

*(a) low-value grants to human rights defenders and to mechanisms for the protection of human rights defenders at risk, to finance urgent protection actions, where appropriate without the need for co-financing, as well as to mediators and other civil society actors involved in crisis and armed conflict related dialogue, conflict resolution, reconciliation and peace-building;*

*(b) grants, where appropriate without the need for co-financing, to finance actions in the most difficult conditions where the publication of a call for proposals would be inappropriate including situations where there is a serious lack of fundamental freedoms,*

*threats to democratic institutions, escalation of crisis, armed conflict where human security is most at risk or where human rights organisations and defenders, mediators and other civil society actors involved in crisis and armed conflict related dialogue, reconciliation and peace-building operate under the most difficult conditions. Such grants shall not exceed EUR 1 000 000 and shall have a duration of up to 18 months, which may be extended by a further 12 months in the event of objective and unforeseen obstacles to their application;*

*(c) grants to the Office of the UN High Commissioner for Human Rights as well as to Global Campus, the European Inter-University Centre for Human Rights and Democratisation, providing a European Master's Degree in Human Rights and Democratisation, and its associated network of universities delivering human rights postgraduate diplomas, including scholarships to students, researchers, teachers, and human rights defenders from third countries.*

*(d) Small projects as described in Article 23a of of Regulation ...[NDICI Regulation].*

*Budget support as referred to in point (c) of paragraph 1, including through sector reform performance contracts, shall be based on country ownership, mutual accountability and shared commitments to universal values, democracy, human rights, gender equality, social inclusion and human development and the rule of law, and aims at strengthening partnerships between the Union and partner countries. It shall include reinforced policy dialogue, capacity development, and improved governance, complementing partners' efforts to collect more and spend better in order to support sustainable and inclusive socio-economic development which benefits all, decent job creation, with particular attention to*

*young people, the reduction of inequalities and poverty eradication with due regard to local economies, environmental and social rights.*

*Any decision to provide budget support shall be based on budget support policies agreed by the Union, a clear set of eligibility criteria and a careful assessment of the risks and benefits. One of the key determinants of that decision shall be an assessment of the commitment, record and progress of partner countries with regard to democracy, human rights and the rule of law.*

**4.** *Budget support shall be differentiated in such a way as to respond better to the political, economic and social context of the partner country, taking into account situations of fragility.*

*When providing budget support in accordance with Article 236 of the Financial Regulation, the Commission shall clearly define and monitor criteria for budget support conditionality, including progress in reforms and transparency, and shall support the development of parliamentary control, national audit capacities, CSO participation in monitoring and increased transparency and public access to information and development of strong public procurement systems that support local economic development and local businesses.*

**5.** *Disbursement of the budget support shall be based on indicators demonstrating satisfactory progress being made towards achieving the objectives agreed with the partner country.*

**6.** *Financial instruments under this Regulation may take forms such as loans, guarantees, equity or quasi-equity, investments or participations, and risk-sharing instruments, whenever possible and in accordance with the principles laid down in Article 209(1) of the Financial*

*Regulation under the lead of the EIB, a multilateral European finance institution, such as the European Bank for Reconstruction and Development, or a bilateral European finance institution, such as bilateral development banks, possibly pooled with additional other forms of financial support, both from Member States and third parties.*

*Contributions to Union financial instruments under this Regulation may be made by Member States as well as any entity referred to in Article 62(1)(c) of the Financial Regulation.*

*7. Those financial instruments may be grouped into facilities for application and reporting purposes*

*8. The Commission and the EEAS shall not enter into new or renewed operations with entities incorporated or established in jurisdictions defined under the relevant Union policy as non-cooperative, or that are identified as high risk third countries pursuant to Article 9(2) of Directive(EU) 2015/849 of the European Parliament and of the Council, or that do not effectively comply with Union or internationally agreed tax standards on transparency and exchange of information.*

*9. The Union's funding shall not generate or activate the collection of specific taxes, duties or charges.*

*10. Taxes, duties and charges imposed by partner countries may be eligible for financing under this Regulation.*

#### **Amendment 74**

#### **Proposal for a regulation Article 8 f (new)**

*Text proposed by the Commission*

*Amendment*

*Article 8f*

***Carry-overs, annual instalments,  
commitment appropriations, re-payments  
and revenue generated by financial  
instruments***

***1. In addition to Article 12(2) of the Financial Regulation, unused commitment and payment appropriations under this Regulation shall be automatically carried over and may be committed up to 31 December of the following financial year. The carried-over amount shall be used first in the following financial year.***

***The Commission shall submit to the European Parliament and to the Council information on appropriations which were automatically carried over, including the amounts involved, in line with Article 12(6) of the Financial Regulation.***

***2. In addition to the rules laid down in Article 15 of the Financial Regulation on making appropriations available again, commitment appropriations corresponding to the amount of decommitments made as a result of total or partial non implementation of an action under this Regulation shall be made available again to the benefit of the budget line of origin.***

***References to Article 15 of the Financial Regulation in Article 12(1)(b) of Regulation laying down the multi annual financial framework shall be understood as including a reference to this paragraph for the purpose of this Regulation.***

***3. Budgetary commitments for actions extending over more than one financial year may be broken down over several years into annual instalments, in line with Article 112(2) of the Financial Regulation.***

***The third subparagraph of Article 114(2) of the Financial Regulation shall not apply to these multiannual actions. The Commission shall automatically de-commit any portion of a budgetary***

*commitment for an action that by 31 December of the fifth year following that of the budgetary commitment has not been used for the purpose of pre-financing or making interim payments or for which no certified statement of expenditure or any payment request has been submitted.*

*Paragraph 2 of this Article shall also apply to annual instalments.*

*4. By way of derogation from Article 209(3) of the Financial Regulation repayments and revenues generated by a financial instrument shall be assigned to the budget line of origin as internal assigned revenue after deduction of management costs and fees. Every five years, the Commission shall examine the contribution made to the achievement of Union objectives, and the effectiveness, of existing financial instruments.*

## Amendment 75

### Proposal for a regulation Article 9 – paragraph 4

#### *Text proposed by the Commission*

4. Where cross border cooperation programmes are discontinued in accordance with Article 12 of [ETC Regulation], support from this Regulation to the discontinued programme that remains available may be used to finance any other actions eligible under this Regulation.

#### *Amendment*

4. Where cross border cooperation programmes are discontinued in accordance with Article 12 of [ETC Regulation], support from this Regulation to the discontinued programme that remains available may be used to finance any other actions eligible under this Regulation. ***In such a case, if there are no eligible actions to be financed in the current year, appropriations may be carried over to the following year.***

## Amendment 76

### Proposal for a regulation Chapter VI – Title

*Text proposed by the Commission*

MONITORING **AND** EVALUATION

*Amendment*

MONITORING, **REPORTING**,  
EVALUATION **AND**  
**COMMUNICATION**

## Amendment 77

### Proposal for a regulation Article 12 – paragraph 2

*Text proposed by the Commission*

2. Indicators to monitor **implementation** and progress of the IPA III towards the achievement of the specific objectives set out in Article 3 are set in Annex IV to this Regulation.

*Amendment*

2. Indicators to monitor **execution** and progress of the IPA III towards the achievement of the specific objectives set out in Article 3 are set in Annex IV to this Regulation.

## Amendment 78

### Proposal for a regulation Article 12 – paragraph 4

*Text proposed by the Commission*

4. In addition to the indicators referred to in Annex IV, the enlargement reports shall be taken into account in the results framework of IPA III assistance.

*Amendment*

4. In addition to the indicators referred to in Annex IV, the enlargement reports **and the Commission's assessments of the Economic Reform Programmes** shall be taken into account in the results framework of IPA III assistance.

## Amendment 79

### Proposal for a regulation Article 12 – paragraph 4 a (new)

*Text proposed by the Commission*

*Amendment*

**4 a. The Commission shall submit and**



*present the interim and final evaluation reports referred to in Article 32 of Regulation (EU) .../... [NDICI Regulation] to the European Parliament and the Council. Those reports shall be made public by the Commission.*

## Amendment 80

### Proposal for a regulation Article 12 – paragraph 5

#### *Text proposed by the Commission*

5. In addition to Article 129 of the Financial Regulation on the protection of the financial interests of the Union, under indirect management, beneficiaries ***listed in Annex I*** shall report the irregularities including fraud which have been the subject of a primary administrative or judicial finding, without delay, to the Commission and keep the latter informed of the progress of administrative and legal proceeding. Reporting shall be done by electronic means, using the Irregularity Management System, established by the Commission.

#### *Amendment*

5. In addition to Article 129 of the Financial Regulation on the protection of the financial interests of the Union, under indirect management, beneficiaries shall report the irregularities including fraud which have been the subject of a primary administrative or judicial finding, without delay, to the Commission and keep the latter informed of the progress of administrative and legal proceeding. Reporting shall be done by electronic means, using the Irregularity Management System, established by the Commission. ***The Commission shall support the development in the beneficiaries of parliamentary control and audit capacities and increased transparency and public access to information. The Commission, the VP/HR and in particular Union delegations in the beneficiaries shall ensure that all funding allocations under indirect management are carried out in a transparent, depoliticised and non-partial manner, including by equitable distribution, reflecting the needs of the regions and local municipalities.***

## Amendment 81

### Proposal for a regulation Article 14 – paragraph 2

*Text proposed by the Commission*

2. The power to adopt delegated acts as referred to in **Article 13** shall be conferred on the Commission.

*Amendment*

2. The power to adopt delegated acts as referred to in **Articles 7(3), 7a (new), 13 and 15** shall be conferred on the Commission.

## Amendment 82

### Proposal for a regulation Article 14 a (new)

*Text proposed by the Commission*

*Amendment*

#### **Article 14 a**

##### ***Democratic Accountability***

1. ***In order to enhance dialogue between the institutions and services of the Union, in particular the European Parliament, the Commission and the EEAS, foster the overall coherence of all External Financing Instruments, and to ensure greater transparency and accountability, as well as the expediency in the adoption of acts and measures by the Commission, the European Parliament may invite the Commission and the EEAS to appear before it to discuss the strategic orientations and guidelines for the programming under this Regulation. That dialogue may take place prior to the adoption of delegated acts and of the draft annual budget by the Commission or, at the request of the European Parliament, the Commission or the EEAS, on an ad hoc basis in view of major political developments.***

2. ***Where a dialogue referred to in paragraph 1 is due to take place, the Commission and the EEAS shall present to the European Parliament all relevant documents in relation to that dialogue. Where the dialogue is related to the***

*annual budget, consolidated information on all action plans and measures adopted or planned in accordance with Article 8 c , information on cooperation per country, region and thematic area, and the use of rapid response actions and the External Action Guarantee shall be provided.*

*3. The Commission and the EEAS shall take the utmost account of the position expressed by the European Parliament. In the event that the Commission or the EEAS do not take the European Parliament's positions into account, they shall provide due justification.*

*4. The Commission and the EEAS, in particular through the steering group pursuant to Article 7 c, shall be responsible for keeping the European Parliament informed about the state of this Regulation's application, in particular about ongoing measures, actions and results.*

#### **Amendment 83**

##### **Proposal for a regulation Article 15 – title**

*Text proposed by the Commission*

*Amendment*

Adoption of further **implementing** rules

Adoption of further rules

#### **Amendment 84**

##### **Proposal for a regulation Article 15 – paragraph 1**

*Text proposed by the Commission*

*Amendment*

1. Specific rules **establishing uniform conditions for implementing this Regulation in particular** in relation to the structures to be set up in preparation for accession and to rural development assistance, shall be adopted **in accordance**

1. Specific rules in relation to the structures to be set up in preparation for accession and to rural development assistance, shall be adopted **by means of delegated acts**.

*with the examination procedure referred to in Article 16.*

#### **Amendment 85**

##### **Proposal for a regulation Article 15 – paragraph 2**

*Text proposed by the Commission*

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

*Amendment*

**2. The Commission shall adopt action plans and measures by decision in accordance with the Financial Regulation.**

#### **Amendment 86**

##### **Proposal for a regulation Article 16**

*Text proposed by the Commission*

**Article 16**

**Committee**

**1. The Commission shall be assisted by a committee (the ‘Instrument for Pre-accession Assistance Committee’). That committee shall be a committee within the meaning of [Regulation (EU) No 182/2011].**

**2. Where the opinion of the committee is to be obtained by a written procedure, the procedure shall be terminated without result when, within the time limit for delivery of the opinion, the chair of the committee so decides or a simple majority of committee members so requests.**

**3. An observer from the EIB shall take part in the Committee's proceedings with regard to questions concerning the EIB.**

**4. The IPA III Committee shall assist the Commission and shall be competent also for legal acts and commitments under Regulation (EC) No 1085/2006, Regulation 231/2014 and the implementation of Article 3 of Regulation**

*Amendment*

**deleted**

*(EC) No 389/2006.*

**5. The IPA III Committee shall not be competent for the contribution to Erasmus+ as specified in Article 5(3).**

#### **Amendment 87**

##### **Proposal for a regulation**

##### **Article 17 – title**

*Text proposed by the Commission*

*Amendment*

Information, communication and publicity

Information, communication, **visibility** and publicity

#### **Amendment 88**

##### **Proposal for a regulation**

##### **Article 17 – paragraph 1**

*Text proposed by the Commission*

*Amendment*

1. **Articles 36 and 37 of [Regulation NDICI] shall apply.**

1. **When providing financial assistance under this Regulation, the Commission, the VP/HR and in particular the Union delegations in the beneficiaries shall take all necessary measures to ensure the visibility of the Union's financial support, including monitoring recipients' compliance with those requirements. IPA-financed actions shall be subject to the requirements set out in the Communication and Visibility Manual for EU External Actions. The Commission shall adopt guidance for Union-funded projects on visibility and communication actions for each beneficiary.**

## Amendment 89

### Proposal for a regulation Article 17 – paragraph 1 a (new)

*Text proposed by the Commission*

*Amendment*

**1a.** *The Commission shall take measures to strengthen strategic communication and public diplomacy for communicating the values of the Union and highlighting the added value of the Union's support.*

## Amendment 90

### Proposal for a regulation Article 17 – paragraph 1 b (new)

*Text proposed by the Commission*

*Amendment*

**1b.** *The recipients of Union funding shall acknowledge the origin of the Union funding and ensure its proper visibility by:*

**(a)** *providing a statement highlighting the support received from the Union in a visible manner on documents and communication material relating to the implementation of the funds, including on an official website, where such a website exists; and*

**(b)** *promoting the actions and their results by providing coherent, effective and proportionate targeted information to multiple audiences, including the media and the public.*

*The Commission shall implement information and communication actions relating to this Regulation, as well as the actions set out by it and the results achieved. Financial resources allocated to this Regulation shall also contribute to the corporate communication of the political priorities of the Union, insofar as those priorities are directly related to the objectives referred to in Article 3 and in*

## **Amendment 91**

### **Proposal for a regulation Article 19 – paragraph 2**

*Text proposed by the Commission*

It shall apply from 1 January 2021.

*Amendment*

It shall apply from 1 January 2021 ***until 31 December 2027.***

## **Amendment 92**

### **Proposal for a regulation Annex II – paragraph 1 – point a**

*Text proposed by the Commission*

(a) Establishing and promoting from an early stage the proper functioning of the institutions necessary in order to secure the rule of law. Interventions in this area shall aim at: establishing independent, accountable and efficient judicial systems, including transparent and merit-based recruitment and promoting judicial cooperation, evaluation and promotion systems and effective disciplinary procedures in cases of wrongdoing; ensuring the establishment of ***robust*** systems to protect the borders, manage migration flows and provide asylum to those in need; developing effective tools to prevent and fight organised crime, trafficking in human beings, migrants smuggling, money laundering/financing of terrorism and corruption; promoting and protecting human rights, rights of persons belonging to minorities including Roma as well as lesbian, gay, bisexual, transgender and intersex persons fundamental freedoms, including freedom of the media and data protection.

*Amendment*

(a) Establishing and promoting from an early stage the proper functioning of the institutions necessary in order to secure the rule of law. Interventions in this area shall aim at: ***separation of powers***, establishing independent, accountable and efficient judicial systems, including transparent and merit-based recruitment and promoting judicial cooperation, evaluation and promotion systems and effective disciplinary procedures in cases of wrongdoing; ensuring the establishment of ***adequate*** systems to protect the borders, manage migration flows and provide asylum to those in need; developing effective tools to prevent and fight organised crime, trafficking in human beings, migrants smuggling, ***drug trafficking***, money laundering/financing of terrorism and corruption; promoting and protecting human rights, ***including rights of the child, gender equality***, rights of persons belonging to minorities including Roma as well as lesbian, gay, bisexual, transgender and intersex persons fundamental freedoms, including freedom of the media and data protection.

## Amendment 93

### Proposal for a regulation Annex II – paragraph 1 – point c

*Text proposed by the Commission*

(c) Strengthening economic governance: Interventions shall aim at supporting participation in the economic reform programme (ERP) process and systematic cooperation with international financial institutions on fundamentals of economic policy. Enhancing the capacity to strengthen macroeconomic stability and supporting progress towards becoming a functioning market economy with the capacity to cope with competitive pressures and market forces within the Union;

*Amendment*

(c) Strengthening economic governance: Interventions shall aim at supporting participation in the economic reform programme (ERP) process and systematic cooperation with international financial institutions on fundamentals of economic policy **and strengthening of multilateral economic institutions**. Enhancing the capacity to strengthen macroeconomic stability, **social cohesion** and supporting progress towards **sustainable development and** becoming a functioning market economy with the capacity to cope with competitive pressures and market forces within the Union;

## Amendment 94

### Proposal for a regulation Annex II – paragraph 1 – point d

*Text proposed by the Commission*

(d) Strengthening the Union and its partners' capacity to prevent conflict, build peace and address pre-and post-crisis including through early warning and conflict-sensitive risk analysis; promoting people to people networking, reconciliation, peace-building and confidence-building measures, supporting capacity building in support of security and development (CBSD) actions.

*Amendment*

(d) Strengthening the Union and its partners' capacity to prevent conflict, build peace, **good neighbourly relations** and address pre-and post-crisis including through early warning and conflict-sensitive risk analysis; promoting people to people networking, reconciliation, **accountability, international justice**, peace-building and confidence-building measures, **including setting up the Regional commission for the establishment of facts about war crimes and other serious violations of human rights committed in the former Yugoslavia (RECOM), as well as** supporting capacity building in support of security and



development (CBSD) actions,  
***strengthening the capabilities of cyber  
defence and strategic communication to  
foster systematic uncovering of  
disinformation.***

## Amendment 95

### Proposal for a regulation Annex II – paragraph 1 – point e

*Text proposed by the Commission*

(e) Strengthening the capacities of civil society organisations and social partners' organisations, including professional associations, in beneficiaries ***listed in Annex I*** and encouraging networking at all levels among Union-based organisations and those of beneficiaries ***listed in Annex I***, enabling them to engage in an effective dialogue with public and private actors.

*Amendment*

(e) Strengthening the capacities, ***independence and plurality*** of civil society organisations and social partners' organisations, including professional associations, in beneficiaries and encouraging networking at all levels among Union-based organisations and those of beneficiaries, enabling them to engage in an effective dialogue with public and private actors. ***Assistance shall endeavour to be accessible to a variety of organisations in beneficiaries that is as wide as possible.***

## Amendment 96

### Proposal for a regulation Annex II – paragraph 1 – point f

*Text proposed by the Commission*

(f) Promoting the alignment of partner countries' rules, standards, policies and practices to those of the Union, including state aid rules.

*Amendment*

(f) Promoting the alignment of partner countries' rules, standards, policies and practices to those of the Union, including ***CFSP, public procurement and*** state aid rules.

## Amendment 97

### Proposal for a regulation Annex II – paragraph 1 – point g

(g) Strengthening access to and quality of education, training and lifelong learning at all levels, and offering support to cultural and creative sectors. Interventions in this area shall aim at: promoting equal access to quality **early-childhood** education and care, primary and secondary education, improving the provision of basic skills; increasing educational attainment levels, reducing early school-leaving and reinforcing teachers' training. Developing vocational education and training (VET) systems and promoting work-based learning systems to facilitate the transition to the labour market; improving the quality and relevance of higher education; encouraging alumni related activities; enhancing access to lifelong learning and supporting investment in education and training infrastructure particularly with a view to reducing territorial disparities and fostering non-segregated education and including through the use of digital technologies.

(g) Strengthening access to and quality of education, training and lifelong learning at all levels, and offering support to cultural and creative sectors **and sport**. Interventions in this area shall aim at: promoting equal access to quality **inclusive and community-based early childhood** education and care, primary and secondary education, improving the provision of basic skills; increasing educational attainment levels, reducing early school-leaving and reinforcing teachers' training; **empowering children and youth and enabling them to reach their full potential**. Developing vocational education and training (VET) systems and promoting work-based learning systems to facilitate the transition to the labour market; improving the quality and relevance of higher education; encouraging alumni related activities; enhancing access to lifelong learning **and physical activity** and supporting investment in education and training **and sport** infrastructure particularly with a view to reducing territorial disparities and fostering non-segregated education and including through the use of digital technologies.

## **Amendment 98**

### **Proposal for a regulation Annex II – paragraph 1 – point h**

(h) Fostering quality employment and access to the labour market. Interventions in this area shall aim at: tackling high unemployment and inactivity by supporting sustainable labour market integration in particular of young people (especially those not in employment, education or training (NEET)), women, long-term unemployed and all under-represented groups. Measures shall stimulate quality job creation and support

(h) Fostering quality employment and access to the labour market. Interventions in this area shall aim at: tackling high unemployment and inactivity by supporting sustainable labour market integration in particular of young people (especially those not in employment, education or training (NEET)), women, long-term unemployed and all under-represented groups. Measures shall stimulate quality job creation and support

the effective enforcement of labour rules and standards across the entire territory. Other key areas of intervention shall be to support gender equality, promoting employability and productivity, the adaptation of workers and enterprises to change, the establishment of a sustainable social dialogue and the modernisation and strengthening of labour market institutions such as public employment services and labour inspectorates.

the effective enforcement of labour rules and *internationally agreed* standards across the entire territory *including by fostering adherence to the key principles and rights as referred to in the European Pillar of Social Rights*. Other key areas of intervention shall be to support gender equality, promoting employability and productivity, the adaptation of workers and enterprises to change, the establishment of a sustainable social dialogue and the modernisation and strengthening of labour market institutions such as public employment services and labour inspectorates.

## Amendment 99

### Proposal for a regulation Annex II – paragraph 1 – point i

#### *Text proposed by the Commission*

(i) Promoting social protection and inclusion and combating poverty. Interventions in this area shall aim at modernising social protection systems to provide effective, efficient, and adequate protection throughout all stages of a person's life, fostering social inclusion, promoting equal opportunities and addressing inequalities and poverty. Interventions in this area shall also focus on: integrating marginalised communities such as the Roma; combating discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation; enhancing access to affordable, sustainable and high quality services, such as early childhood education and care, housing, healthcare and essential social services and long term care, including through the modernisation of social protection systems.

#### *Amendment*

(i) Promoting social protection and inclusion and combating poverty. Interventions in this area shall aim at modernising social protection systems to provide effective, efficient, and adequate protection throughout all stages of a person's life fostering social inclusion, promoting equal opportunities, addressing inequalities and poverty, *and promoting the transition from institutional to family and community based care*. Interventions in this area shall also focus on: integrating marginalised communities such as the Roma; combating discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation; enhancing access to affordable, sustainable and high quality *family and community based* services, such as *inclusive and non-segregated* early childhood education and care, housing, healthcare and essential social services and long term care, including through the modernisation of social protection systems. *Actions that contribute to any form of segregation or*

*social exclusion shall not be supported.*

## Amendment 100

### Proposal for a regulation Annex II – paragraph 1 – point j

*Text proposed by the Commission*

(j) Promoting smart, sustainable, inclusive, safe transport and removing bottlenecks in key network infrastructures, by investing in projects with high EU value-added. The investments should be prioritised according to their relevance to TEN-T connections with the EU, contribution to sustainable mobility, reduced emissions, environmental impact, safe mobility, in synergy with the reforms promoted by the Transport Community Treaty.

*Amendment*

(j) Promoting smart, sustainable, inclusive, safe transport and removing bottlenecks in key network infrastructures, by investing in projects with high EU value-added. The investments should be prioritised according to their relevance to TEN-T connections with the EU, **cross-border links, job creation**, contribution to sustainable mobility, reduced emissions, environmental impact, safe mobility, in synergy with the reforms promoted by the Transport Community Treaty.

## Amendment 101

### Proposal for a regulation Annex II – paragraph 1 – point k

*Text proposed by the Commission*

(k) Improving the private-sector environment and competitiveness of enterprises, including smart specialisation, as key drivers of growth, job creation and cohesion. Priority shall be given to projects which improve the business environment.

*Amendment*

(k) Improving the private-sector environment and competitiveness of enterprises, **in particular SMEs**, including smart specialisation, as key drivers of growth, job creation and cohesion. Priority shall be given to **sustainable** projects which improve the business environment.

## Amendment 102

### Proposal for a regulation Annex II – paragraph 1 – point m

*Text proposed by the Commission*

(m) Contributing to the security and safety of food supply and the maintenance

*Amendment*

(m) Contributing to the security and safety of food **and water** supply and the

of diversified and viable farming systems in vibrant rural communities and the countryside.

maintenance of diversified and viable farming systems in vibrant rural communities and the countryside.

### **Amendment 103**

#### **Proposal for a regulation Annex II – paragraph 1 – point p**

*Text proposed by the Commission*

(p) Increasing the ability of the agri-food and fisheries sectors to cope with competitive pressure and market forces as well as to progressively align with the Union rules and standards, while pursuing economic, social and environmental goals in balanced territorial development of rural and coastal areas.

*Amendment*

(p) Increasing the ability of the agri-food and fisheries sectors to cope with competitive pressure and market forces as well as to progressively align with the Union rules and standards ***with a view to raising the capacity to exports to the Union market***, while pursuing economic, social and environmental goals in balanced territorial development of rural and coastal areas.

### **Amendment 104**

#### **Proposal for a regulation Annex II – paragraph 1 – point p a (new)**

*Text proposed by the Commission*

*Amendment*

***(p a) Promoting activities and improving long-term strategies and policies aimed at preventing and countering radicalisation and violent extremism.***

### **Amendment 105**

#### **Proposal for a regulation Annex III – paragraph 1 – point a**

*Text proposed by the Commission*

(a) promoting employment, labour mobility and social and cultural inclusion across borders through, inter alia: integrating cross-border labour markets,

*Amendment*

(a) promoting employment, labour mobility and social and cultural inclusion across borders through, inter alia: integrating cross-border labour markets,

including cross-border mobility; joint local employment initiatives; information and advisory services and joint training; gender equality; equal opportunities; integration of immigrants' communities and vulnerable groups; investment in public employment services; and supporting investment in public health *and* social services;

including cross-border mobility; joint local employment initiatives; information and advisory services and joint training; gender equality; equal opportunities; integration of immigrants' communities and vulnerable groups; investment in public employment services; and supporting investment in public health *as well as the transition to family- and community-based* social services;

## Amendment 106

### Proposal for a regulation Annex III – paragraph 1 – point d a (new)

*Text proposed by the Commission*

*Amendment*

*(d a) promoting the removal of unnecessary barriers to trade, including bureaucratic hurdles, tariffs and non-tariffs barriers*

## Amendment 107

### Proposal for a regulation Annex III – paragraph 1 – point e

*Text proposed by the Commission*

*Amendment*

(e) encouraging tourism and cultural and natural heritage;

(e) encouraging tourism, *sport*, and cultural and natural heritage;

## Amendment 108

### Proposal for a regulation Annex III – paragraph 1 – point f

*Text proposed by the Commission*

*Amendment*

(f) investing in youth, education and skills through, inter alia, developing and implementing joint education, vocational training, training schemes and infrastructure supporting joint youth activities;

(f) investing in youth, *sport*, education and skills through, inter alia, *ensuring skills and qualifications recognition*, developing and implementing joint education, vocational training, training schemes and infrastructure supporting joint

youth activities;

## Amendment 109

### Proposal for a regulation Annex III – paragraph 1– point g

*Text proposed by the Commission*

(g) promoting local and regional governance **and** enhancing the planning and administrative capacity of local and regional authorities;

*Amendment*

(g) promoting local and regional **governance, including cross-border cooperation between administrations with a view to fostering reconciliation and peace-building**, enhancing the planning and administrative capacity of local and regional authorities;

## Amendment 110

### Proposal for a regulation Annex III – paragraph 1 – point g a (new)

*Text proposed by the Commission*

*Amendment*

**(ga) investing in the capacity-building of civil society organisations;**

## Amendment 111

### Proposal for a regulation Annex III – paragraph 1 – point g b (new)

*Text proposed by the Commission*

*Amendment*

**(g b) promoting cross-border cooperation between administrations with a view to fostering reconciliation and peace-building, including setting up the Regional commission for the establishment of facts about war crimes and other serious violations of human rights committed in the former Yugoslavia (RECOM);**

## Amendment 112

**Proposal for a regulation**  
**Annex III – paragraph 1 – point i a (new)**

*Text proposed by the Commission*

*Amendment*

***(i a) improving cross-border police and judicial cooperation and information exchange to facilitate the investigation and prosecution of cross-border organised crime and linked cases of economic and financial crime and corruption, trafficking and smuggling.***

**Amendment 113**

**Proposal for a regulation**  
**Annex IV – paragraph 1 – introductory part**

*Text proposed by the Commission*

*Amendment*

The following list of key performance indicators shall be used to help measure the Union's contribution to the achievement of its specific objectives:

The following list of key performance indicators ***and their annual evolution*** shall be used to help measure the Union's contribution to the achievement of its specific objectives ***and the progress made by the beneficiaries***:

**Amendment 114**

**Proposal for a regulation**  
**Annex IV – paragraph 1 – point 1 a (new)**

*Text proposed by the Commission*

*Amendment*

***1a. Composite indicator on partners' efforts related to reconciliation, peace-building, good neighbourly relations and international obligations, gender equality and women's rights;***

**Amendment 115**

**Proposal for a regulation**  
**Annex IV – paragraph 1 – point 1 b (new)**



*Text proposed by the Commission*

*Amendment*

**1b. Absence of violence indicator in conjunction with reductions in drivers of conflict (e.g political or economic exclusion) against a baseline assessment.**

## **Amendment 116**

**Proposal for a regulation  
Annex IV – paragraph 1 – point 1 c (new)**

*Text proposed by the Commission*

*Amendment*

**1c. The share of the beneficiaries' citizens that think they are well informed about the Union's assistance under this Regulation (source European Commission).**

## **Amendment 117**

**Proposal for a regulation  
Annex IV – paragraph 1 – point 3 a (new)**

*Text proposed by the Commission*

*Amendment*

**3a. The rate and annual evolution of the alignment with the CFSP decisions and measures (source EEAS).**

## **Amendment 118**

**Proposal for a regulation  
Annex IV – paragraph 1 – point 5**

*Text proposed by the Commission*

*Amendment*

5. Public social security expenditure (percentage of GDP) (source ILO) **or** Employment Rate (**source:** national statistics)

5. Public social security expenditure (percentage of GDP), as indicated by ILO, **health expenditure, income inequality, poverty rate, employment rate and unemployment rate, as indicated by official national statistics.**

## Amendment 119

### Proposal for a regulation Annex IV – paragraph 1 – point 5 a (new)

*Text proposed by the Commission*

*Amendment*

**5a. Changes in the GINI coefficient of a beneficiary over time.**

## Amendment 120

### Proposal for a regulation Annex IV – paragraph 1 – point 10

*Text proposed by the Commission*

*Amendment*

10. Number of cross-border cooperation programmes **concluded** among IPA beneficiaries and IPA/EU MS (*source* European Commission)

10. Number of cross-border cooperation programmes **concluded and implemented** among IPA beneficiaries and IPA/EU MS, **as indicated by the** European Commission.

## Amendment 121

### Proposal for a regulation Annex IV – paragraph 1 – point 10 a (new)

*Text proposed by the Commission*

*Amendment*

**10a. The number of new organisations participating in actions and programmes over time.**

## Amendment 122

### Proposal for a regulation Annex IV – paragraph 2

*Text proposed by the Commission*

*Amendment*

Indicators will, where relevant, be sex disaggregated.

Indicators will, where relevant, be disaggregated **at minimum age and gender level.**

## EXPLANATORY STATEMENT

Since 2007, the Instrument for Pre-Accession Assistance has been the main financial instrument supporting reforms in the candidate and potential candidate countries, i.e. the six Western Balkan countries and Turkey, aimed at preparing the beneficiaries for the obligations of the EU membership. IPA funding supports the accession process by building up capacities and bringing positive, irreversible, long-term changes in the countries, aiming to become future members of the EU. The legal framework of the second generation of the Instrument for Pre-Accession Assistance (IPA II) approved back in 2014 is set to expire on 31 December 2020.

### General remarks

Parliament's position on the overall 2021-2027 financial framework, reflected in the Interim report on the new MFF (2018/0166R(APP)), shapes its stance on the envelope for the IPA III Regulation. The MFF and IPA III should be revised before 2027 in an event of accession(s) to the Union, to take account of the resulting expenditure requirements.

The co-rapporteurs note the proposal to increase the 2021-2027 IPA envelope in nominal terms to EUR 14.5 billion (current prices), but are convinced that a failure to match or exceed the 2014-2020 IPA II allocations in real terms would fail to ensure sufficient funding during the period that is critical to the accession process and implementation of the EU-related reforms.

IPA funding is a long-term investment into the European future the Western Balkans, and efficient use of the EU funds must be secured via stringent control and monitoring to ensure delivery of results and good value for the tax-payers' money.

Without prejudice to the final decision concerning the proposed merger of the most other EU External Financing Instruments (EFIs) under the umbrella of Neighbourhood, Development and International Cooperation Instrument (NDICI), it is important that enlargement policy continues to be financed under a separate dedicated instrument, while ensuring sufficient alignment and coherence between the EFIs. Your co-rapporteurs underline the need for the IPA to remain a standalone instrument due to a specific nature of the enlargement process within the external action, underpinned by the Western Balkans Strategy and the relationship with Turkey.

Your co-rapporteurs are convinced that IPA financing for cross-border co-operation with the EU members states under the European Territorial Cooperation (Interreg) should be limited and monitored to safeguard a more balanced co-contribution. This would ensure that it does not replace, but rather complements and encourages existing or potential cooperation between and among IPA beneficiaries under the thematic priorities established in the Annex III.

### Clearer strategic focus

For the candidate countries, the third generation of IPA must be shaped to function as a springboard for implementing the future cohesion framework after they join the EU; for the potential candidates, it must set ground to prepare for the reforms related to the accession negotiations. It is vital to ensure a smooth transition from IPA II to IPA III and, after the accession of new members, from IPA III to the framework of the European Structural and Investment Funds.

The pre-accession assistance must continue supporting cross-cutting, EU-focused political, institutional, legal, administrative and socio-economic reforms in candidate and potential candidate countries. They are based on the Copenhagen criteria, conditionality and progressive alignment to Union's rules, standards and policies.

The funding should be refocused to address specific fundamental needs and overdue essential reforms in each of the countries concerned. Along with a stronger emphasis on the well-established existing IPA priorities, covering the rule of law, fundamental rights, good governance, socio-economic cohesion and a thorough preparation across the 35 chapters of the EU acquis, including the CFSP alignment, the IPA III must strengthen the recipients' resilience across the areas of migration, security, gender equality, climate protection and trade facilitation.

IPA III must also put greater emphasis on the social dimension of the enlargement policy by fostering cohesion and convergence on the rights and principles enshrined in the European Pillar of Social Rights. In addition to a stronger focus on social market economy, social and regional cohesion in the IPA implementation, social dimension needs to be taken into account in the mid-term review of the IPA and assessed via clear and measurable indicators, such as the GINI coefficient.

The EU must refocus efforts on strengthening democratisation by reinforcing capacities of parliaments, civil society and the media, while supporting measures to achieve a genuine political dialogue and reconciliation as a prerequisite for peace. In this respect, the cross-border cooperation, improving dialogue, neighbourly relations, regional connectivity and economic integration, is of a great importance.

### **Stronger role for the EP**

While the role of the Parliament is to provide the general direction and scrutiny of the external financing instruments rather than their "micromanagement", your co-rapporteurs underline the need to safeguard the role of the EP and the duty of the Commission to keep the Parliament regularly, timely and fully involved.

Drawing from the lessons learned from the IPA II mid-term review, your rapporteurs propose to strengthen the involvement of the European Parliament without compromising the speed of decision-making by increasing the use of delegated acts procedure.

Your rapporteurs are also convinced that the programming framework should be subject to "a sunset clause", that would ensure its genuine mid-term review.

It is essential that the EP's positions in areas in which Parliament has its own assistance programmes, such as capacity-building, mediation and election observation, are fully taken into account in the overall programming.

### **Greater involvement of the civil society and local authorities**

It is of a particular importance that funding is allocated in a transparent, effective, accountable, depoliticised and non-discriminatory manner, including equitable distribution reflecting the needs of the regions and local municipalities.

Your co-rapporteurs underline the crucial role played by the EU delegations on the ground in ensuring proper use and visibility of the EU funding and in involving a wide-range of relevant civil society organisations and local authorities during different stages of the assistance cycle.

## **Performance-based approach**

The major change within the proposed programming framework is a shift from per-country allocations to priority-based allocations under a ‘fair share’ principle, i.e. IPA programming through five ‘windows’ mirroring specific objectives and performance.

Your co-rapporteurs support the increased flexibility of moving away from country envelopes towards thematic priority ‘window’ allocations and the performance-based approach. IPA III programming and performance framework, based on the needs and performance criteria and a fair share principle, should be operationalised and fine-tuned via delegated acts during the course of IPA III preparation, implementation and evaluation.

## **Enhanced conditionality**

While supporting a reinforced performance-based approach, your rapporteurs suggest strengthening the conditionality of IPA assistance by envisaging a possibility of suspending pre-accession assistance in cases of breaches of the principles of democracy, the rule of law, respect for human rights and fundamental freedoms and commitments taken in the relevant agreements concluded with the Union. In this regard, the monitoring, suspension and reinstatement mechanism enshrined in the EU’s Generalised Scheme of Preferences (GSP) can serve as an example.

In line with the Articles 2 and 49, and by an analogy with the Article 7 of the Treaty on European Union, the future EU member states should face suspension of the Union assistance for violating fundamental EU values and for backsliding on the rule law. In line with the sound financial management rule under the Financial Regulation (No 966/2012), in accordance with the principles of economy, efficiency and effectiveness, the Commission should also suspend payments in cases of systemic errors, calling into question the legality and regularity of transactions.

The co-rapporteurs recall the need to apply and follow up on conditionality at a political and at a project level and reinforce systematic monitoring and evaluations of sensitive programmes and projects. Annual allocations must be based on a viable monitoring and evaluation framework, to be established through a delegated act, and a thorough performance exercise, reflecting the progress made or a lack of it.

Noting the backlogs and delays in implementation of the IPA I & II, you rapporteurs urge to keep the flexibility to carry-over and re-commit funds already committed, while encouraging the Commission to reconsider reintroducing direct management where appropriate, in particular in order to fight high level corruption and organised crime and to strengthen civil society and reinforce media freedom.

Budget support must be reduced or suspended in cases of systemic irregularities in the management and control systems or unsatisfactory progress being made towards achieving the objectives agreed with the beneficiary countries. Stronger conditionality for the budget support, based on progress in reforms and sound management, must be coupled with a targeted assistance fostering development of parliamentary control, national audit capacities and increased transparency and public access to information.

## **Enhanced visibility**

With IPA support channelled to the countries aiming to become the members of the EU, your

co-rapporteurs call for better-targeted communication efforts in order to ensure the visibility of the EU funding, permitting to better follow-up and to capitalise on the EU investment. The Commission, the EU delegations on the ground and the beneficiaries of IPA should improve communication on the results of the EU assistance in order to contribute to better understanding of its benefits to improving lives of citizens.

### **Alignment of general rules governing external financing**

While the enlargement policy shall continue to be supported under a dedicated instrument, IPA III provisions should be consistent with the overall financing architecture of the Union's external action. In line with the outcome of AFET vote on the IPA III, the relevant horizontal provisions of this Regulation that should be aligned with those of the NDICI during the plenary phase cover rules on action plans, measures, application methods; evaluation; governance and democratic accountability.

4.12.2018

## OPINION OF THE COMMITTEE ON INTERNATIONAL TRADE

for the Committee on Foreign Affairs

on the proposal for a regulation of the European Parliament and of the Council establishing the Instrument for Pre-accession Assistance (IPA III)  
(COM(2018)0465 – C8-0274/2018 – 2018/0247(COD))

Rapporteur for opinion: David Borrelli

### AMENDMENTS

The Committee on International Trade calls on the Committee on Foreign Affairs, as the committee responsible, to take into account the following amendments:

#### Amendment 1

##### Proposal for a regulation Recital 2

###### *Text proposed by the Commission*

(2) The objectives of an instrument for pre-accession are substantially distinct from the general objectives of Union external action as this instrument aims to prepare the beneficiaries listed in Annex I for future membership of the Union and support their accession process. It is therefore essential to have a dedicated instrument in support of enlargement, while ensuring its complementarity with the general objectives of Union external action and in particular with the Neighbourhood, Development and International Cooperation Instrument

###### *Amendment*

(2) The objectives of an instrument for pre-accession are substantially distinct from the general objectives of Union external action as this instrument aims to prepare the beneficiaries listed in Annex I for future membership of the Union and support their accession process. It is therefore essential to have a dedicated instrument in support of enlargement, while ensuring its complementarity **and consistency** with the general objectives of Union external action and in particular with the Neighbourhood, Development and International Cooperation Instrument

(NDICI).

(NDICI).

## Amendment 2

### Proposal for a regulation

#### Recital 5

##### *Text proposed by the Commission*

(5) The enlargement policy of the Union is an investment in peace, security and stability in Europe. It provides increased economic and trade opportunities to the mutual benefit of the Union and the aspiring Member States. The prospect of Union membership has a powerful transformative effect, embedding positive democratic, political, economic and societal change.

##### *Amendment*

(5) The enlargement policy of the Union is an investment in peace, security and stability in Europe. It provides increased economic and trade opportunities to the mutual benefit of the Union and the aspiring Member States ***while respecting the principle of asymmetric and progressive integration to ensure a smooth transformation for the fragile economies of the aspiring Member States.*** The prospect of Union membership has a powerful transformative effect, embedding positive democratic, political, economic and societal change.

## Amendment 3

### Proposal for a regulation

#### Recital 7

##### *Text proposed by the Commission*

(7) Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I. Assistance should mainly focus on assisting the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. Assistance should also support the key principles and rights as defined in the European Pillar of Social Rights<sup>16</sup>. Assistance should continue to support their

##### *Amendment*

(7) Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I. Assistance should mainly focus on assisting the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. Assistance should also support the key principles and rights as defined in the European Pillar of Social Rights<sup>16</sup>. Assistance should continue to support their



efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies. It should also enhance their economic and social development and economic governance, underpinning a smart, sustainable and inclusive growth agenda, including through implementation of regional development, agriculture and rural development, social and employment policies and the development of the digital economy and society, also in line with the flagship initiative Digital Agenda for the Western Balkans.

efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies. It should also ***promote good neighbourly relations, reconciliation and regional cooperation. It should*** enhance their economic and social development and economic governance, ***foster economic integration with the EU single market, including customs cooperation, promote an open and fair trade,*** underpinning a smart, sustainable and inclusive growth agenda, including through implementation of regional development, agriculture and rural development, social and employment policies and the development of the digital economy and society, also in line with the flagship initiative Digital Agenda for the Western Balkans.

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<sup>16</sup> European Pillar of Social Rights solemnly proclaimed by the European Parliament, the Council and the Commission at the Gothenburg Social Summit for Fair Jobs and Growth, Gothenburg 17 November 2017.

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<sup>16</sup> European Pillar of Social Rights solemnly proclaimed by the European Parliament, the Council and the Commission at the Gothenburg Social Summit for Fair Jobs and Growth, Gothenburg 17 November 2017.

#### **Amendment 4**

##### **Proposal for a regulation Recital 8**

###### *Text proposed by the Commission*

(8) The Union should provide support to the transition towards accession for the benefit of the beneficiaries listed in Annex I, based on the experience of its Member States. This cooperation should focus in particular on the sharing of experience acquired by the Member States in the reform process.

###### *Amendment*

(8) The Union should provide support to the transition towards accession for the benefit of the beneficiaries listed in Annex I, based on the experience of its Member States. This cooperation should focus in particular on the sharing of experience acquired by the Member States in the reform process, ***in particular on enhancing economic and customs cooperation and on joint action to fight against corruption, smuggling, money***

*laundrying and counterfeiting;*

## Amendment 5

### Proposal for a regulation Recital 9 a (new)

*Text proposed by the Commission*

*Amendment*

**(9a) The Commission should encourage the beneficiaries listed in Annex I to cooperate with the Union's work related to the promotion of multilateralism and the further strengthening of the international trading system, including WTO reforms.**

## Amendment 6

### Proposal for a regulation Recital 11

*Text proposed by the Commission*

*Amendment*

(11) Strengthening the rule of law, including the fight against corruption and organised crime, and good governance, including public administration reform, remain key challenges in most of the beneficiaries listed in Annex I and are essential in order for beneficiaries to come closer to the Union and later to fully assume the obligations of Union membership. ***In view of the longer-term nature of the reforms pursued in those areas and the need to build up track records, financial assistance under this Regulation should address the requirements placed on the beneficiaries listed in Annex I as early as possible.***

(11) Strengthening the rule of law, including the fight against corruption, ***money laundering*** and organised crime, and good governance, including public administration reform, ***the independence of the judiciary, transparency, public procurement, competition, state aid, intellectual property and foreign investments*** remain key challenges in most of the beneficiaries listed in Annex 1 and are essential in order for the beneficiaries to come closer to the Union and later to fully assume the obligations of Union membership.

## Amendment 7

### Proposal for a regulation Recital 12

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*Text proposed by the Commission*

(12) In accordance with the principle of participatory democracy, parliamentary oversight in each beneficiary listed in Annex I should be encouraged by the Commission.

*Amendment*

(12) In accordance with the principle of participatory democracy, parliamentary oversight ***and the proactive role of national Parliaments in the EU accession process and compliance with the accession criteria*** in each beneficiary listed in Annex I should be encouraged by the Commission, ***in close cooperation with the European Parliament.***

## **Amendment 8**

### **Proposal for a regulation**

#### **Recital 13**

*Text proposed by the Commission*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme are expected to contribute 16 % of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

*Amendment*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development and climate change, ***the pursuit of a rules- and values-based global order*** and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme are expected to contribute 16 % of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

## **Amendment 9**

**Proposal for a regulation**  
**Recital 14 a (new)**

*Text proposed by the Commission*

*Amendment*

***(14 a) Actions under this Regulation should also contribute to the trade related aspects of the Union's external relations, such as the Aid for Trade initiatives, cooperation with third countries on supply chain due diligence for tin, tantalum and tungsten, their ores and gold and the Kimberley Process, the Sustainability Compact, the monitoring of the commitments of third countries under the GSP regulation to ensure political coherence at the EU level and safeguard and further promote trade rules and regulations in a multilateral framework;***

**Amendment 10**

**Proposal for a regulation**  
**Recital 17**

*Text proposed by the Commission*

*Amendment*

(17) The priorities for action towards meeting objectives in the relevant policy areas which will be supported under this Regulation should be defined in a programming framework established by the Commission for the duration of the Union multiannual financial framework for the period from 2021 to 2027 in partnership with the beneficiaries listed in Annex I, based on the enlargement agenda and their specific needs, in line with the general and specific objectives defined by this Regulation and taking relevant national strategies into due account. The programming framework should identify the areas to be supported through assistance with an indicative allocation per area of support, including an estimate of climate-related expenditure.

(17) The priorities for action towards meeting objectives in the relevant policy areas which will be supported under this Regulation should be defined in a programming framework established by the Commission, ***in cooperation with the European Parliament***, for the duration of the Union multiannual financial framework for the period from 2021 to 2027 in partnership with the beneficiaries listed in Annex I, based on the enlargement agenda and their specific needs, in line with the general and specific objectives defined by this Regulation and taking relevant national strategies into due account. The programming framework should identify the areas to be supported through assistance with an indicative allocation per area of support, including an estimate of climate-related expenditure.

## Amendment 11

### Proposal for a regulation

#### Recital 18

*Text proposed by the Commission*

(18) It is in the Union's interest to assist the beneficiaries listed in Annex I in their efforts to reform with a view to Union membership. Assistance should be managed with a strong focus on results and with incentives for those who demonstrate their commitment to reform through efficient implementation of pre-accession assistance and progress towards meeting the membership criteria.

*Amendment*

(18) It is in the Union's interest to assist the beneficiaries listed in Annex I in their efforts to reform with a view to Union membership. Assistance should be managed with a strong focus on results and with incentives for those who demonstrate their commitment to reform through efficient implementation of pre-accession assistance and progress towards meeting the membership criteria. ***Substantial progress made by beneficiaries in opening up their economic environment in line with EU Treaties and WTO Agreements and in fully implementing existing agreements with the Union would be a positive step with a view to Union membership.***

## Amendment 12

### Proposal for a regulation

#### Recital 19

*Text proposed by the Commission*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries listed in Annex I should be progressive and in line with the respective capacities of those beneficiaries. Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process.

*Amendment*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries listed in Annex I should be progressive and in line with the respective capacities of those beneficiaries. ***The transition should be suspended if EU funds are being used inefficiently, resulting in significant shortcomings of relevant obligations.*** Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process.

## Amendment 13

### Proposal for a regulation

#### Recital 20

##### *Text proposed by the Commission*

(20) The Union should seek the most efficient use of available resources in order to optimise the impact of its external action. That should be achieved through coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes. This includes, where relevant, coherence and complementarity with macro-financial assistance.

##### *Amendment*

(20) The Union should seek the most efficient use of available resources in order to optimise the impact of its external action. That should be achieved through coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes, ***trade relations between the Union and the beneficiaries in Annex I in particular***. This includes, where relevant, coherence and complementarity with macro-financial assistance.

## Amendment 14

### Proposal for a regulation

#### Recital 26

##### *Text proposed by the Commission*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global challenges such as human rights, democracy and good governance, security and stability, climate change and environment and irregular migration and its root causes. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial implementation of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely

##### *Amendment*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global challenges such as human rights, democracy and good governance, security and stability, climate change and environment, ***protectionism*** and irregular migration and its root causes. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial implementation of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies,

carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

namely carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

## Amendment 15

### Proposal for a regulation Article 3 – paragraph 1

#### *Text proposed by the Commission*

1. The general objective of IPA III shall be to support the beneficiaries listed in Annex I in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries to comply with Union values and to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to their stability, security and prosperity.

#### *Amendment*

1. The general objective of IPA III shall be to support the beneficiaries listed in Annex I in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries to comply with Union ***acquis and*** values and to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to their stability, security and prosperity.

## Amendment 16

### Proposal for a regulation Article 3 – paragraph 2 – point b

#### *Text proposed by the Commission*

(b) To reinforce the effectiveness of public administration and support structural reforms and good governance at all levels;

#### *Amendment*

(b) To reinforce the effectiveness of public administration, ***ensure the independence of judges, the rule of law, the respect of human rights and fundamental freedoms*** and support structural reforms and good governance at all levels, ***including in the field of public procurement, state-aid, competition, foreign investments and intellectual property***;

## Amendment 17

### Proposal for a regulation

#### Article 3 – paragraph 2 – point c

*Text proposed by the Commission*

(c) To shape the rules, standards, policies and practices of the beneficiaries listed in Annex I in alignment to those of the Union and to reinforce reconciliation and good neighbourly relations, as well as people to people contacts and communication;

*Amendment*

(c) To shape the rules, standards, policies and practices of the beneficiaries listed in Annex I in alignment to those of the Union, **also with a view to fully benefitting from the bilateral economic integration instruments provided by Stabilisation and Association Agreements**, and to reinforce reconciliation and good neighbourly relations, as well as people to people contacts and communication;

## Amendment 18

### Proposal for a regulation

#### Article 3 – paragraph 2 – point d

*Text proposed by the Commission*

(d) To strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society.

*Amendment*

(d) To strengthen economic and social development **and cooperation** including through increased connectivity and regional development, agriculture and rural development, **harmonisation of sanitary and phytosanitary standards** and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy and develop the digital economy and society.

## Amendment 19

### Proposal for a regulation

#### Article 3 – paragraph 2 – point e

*Text proposed by the Commission*

(e) To support territorial and cross-border cooperation.

*Amendment*

(e) To support territorial and cross-border cooperation, **including across maritime borders and enhance trade and**



*economic relations by fully implementing existing agreements with the Union and combating smuggling and counterfeiting.*

## **Amendment 20**

### **Proposal for a regulation Article 6 – paragraph 1**

*Text proposed by the Commission*

1. The enlargement policy framework defined by the European Council and the Council, the agreements that establish a legally binding relationship with the beneficiaries listed in Annex I, as well as relevant resolutions of the European Parliament, communications of the Commission or joint Communications of the Commission and the High Representative of the Union for Foreign Affairs and Security Policy, shall constitute the overall policy framework for the implementation of this regulation. The Commission shall ensure coherence between the assistance and the enlargement policy framework.

*Amendment*

1. The enlargement policy framework defined by the European Council and the Council, the agreements that establish a legally binding relationship with the beneficiaries listed in Annex I, as well as relevant resolutions *of the European Parliament, findings and conclusions of monitoring groups, missions and delegations* of the European Parliament, communications of the Commission or joint Communications of the Commission and the High Representative of the Union for Foreign Affairs and Security Policy, shall constitute the overall policy framework for the implementation of this regulation. The Commission shall ensure coherence between the assistance and the enlargement policy framework.

## **Amendment 21**

### **Proposal for a regulation Article 6 – paragraph 2 a (new)**

*Text proposed by the Commission*

*Amendment*

*2a. Balanced, depoliticised and non-discriminatory distribution of the funds shall be ensured throughout the country as well as towards all the levels of the society;*

## **Amendment 22**

### **Proposal for a regulation**

## Article 7 – paragraph 1

*Text proposed by the Commission*

1. Assistance under IPA III shall be based on an IPA programming framework for the delivery of the specific objectives referred to in Article 3. The IPA programming framework shall be established by the Commission for the duration of the Union's multiannual financial framework.

*Amendment*

1. Assistance under IPA III shall be based on an IPA programming framework for the delivery of the specific objectives referred to in Article 3. The IPA programming framework shall be established by the Commission ***after consultation with the European Parliament*** for the duration of the Union's multiannual financial framework.

## Amendment 23

### Proposal for a regulation

#### Article 7 – paragraph 2 – subparagraph 2

*Text proposed by the Commission*

Assistance shall be targeted and adjusted to the specific situation of the beneficiaries listed in Annex I, taking into account further efforts needed to meet the membership criteria as well as the capacities of those beneficiaries. Assistance shall be differentiated in scope and intensity according to needs, commitment to reforms and progress in implementing those reforms.

*Amendment*

Assistance shall be targeted and adjusted to the specific situation of the beneficiaries listed in Annex I, taking into account further ***progress*** needed to meet the membership criteria as well as the capacities of those beneficiaries. Assistance shall be differentiated in scope and intensity according to needs, commitment to reforms and progress in implementing those reforms, ***keeping in mind the need for sustainable economic development and growth, a good business and investment climate and fiscal consolidation. Progress shall be regularly monitored and evaluated by the Commission.***

***Union assistance shall be suspended or partially suspended in case of unsatisfactory progress being made towards meeting specific objectives as outlined in Article 3 or if a beneficiary fails to respects the principle of democracy, the rule of law, human rights and fundamental freedoms or violates the commitments taken in the relevant***

*agreements concluded with the Union.  
Under the same conditions and upon  
request of the European Parliament, the  
Commission shall examine the suspension  
or partial suspension of Union assistance  
and report back, justifying the decision.*

## Amendment 24

### Proposal for a regulation Article 12 – paragraph 5 a (new)

*Text proposed by the Commission*

*Amendment*

*5 a. The Commission shall monitor closely during the overall procedure of the projects implementation through a solid and consistent mechanism and to provide qualitative and quantitative evaluation analysis and to track progress on the set objectives, in order to ensure better accountability, transparency and improved targeting of expenditure under the funds. The European Parliament is empowered to submit a request to the Commission to examine specific cases where the procedure laid down in this Regulation has not been followed by the beneficiaries, and to take the necessary actions, if there are justified elements;*

## Amendment 25

### Proposal for a regulation Annex II – paragraph 1 – point a

*Text proposed by the Commission*

*Amendment*

(a) Establishing and promoting from an early stage the proper functioning of the institutions necessary in order to secure the rule of law. Interventions in this area shall aim at: establishing independent, accountable and efficient judicial systems, including transparent and merit-based recruitment and promoting judicial cooperation, evaluation and promotion

(a) Establishing and promoting from an early stage the proper functioning of the institutions necessary in order to secure the rule of law. Interventions in this area shall aim at: **separation of powers**, establishing independent, accountable and efficient judicial systems, including transparent and merit-based recruitment and promoting judicial cooperation, evaluation and

systems and effective disciplinary procedures in cases of wrongdoing; ensuring the establishment of robust systems to protect the borders, manage migration flows and provide asylum to those in need; developing effective tools to prevent and fight organised crime, trafficking in human beings, migrants smuggling, money laundering/financing of terrorism and corruption; promoting and protecting human rights, rights of persons belonging to minorities including Roma as well as lesbian, gay, bisexual, transgender and intersex persons fundamental freedoms, including freedom of the media and data protection.

promotion systems and effective disciplinary procedures in cases of wrongdoing; ensuring the establishment of robust systems to protect the borders, manage migration flows and provide asylum to those in need; developing effective tools to prevent and fight organised crime, trafficking in human beings, migrants smuggling, money laundering/financing of terrorism and corruption; promoting and protecting human rights, rights of persons belonging to minorities including Roma as well as lesbian, gay, bisexual, transgender and intersex persons fundamental freedoms, including freedom of the media and ***expression and*** data protection.

## Amendment 26

### Proposal for a regulation Annex II – paragraph 1 – point c

#### *Text proposed by the Commission*

(c) Strengthening economic governance: Interventions shall aim at supporting participation in the economic reform programme (ERP) process and systematic cooperation with international financial institutions on fundamentals of economic policy. Enhancing the capacity to strengthen macroeconomic stability and supporting progress towards becoming a functioning market economy with the capacity to cope with competitive pressures and market forces within the Union;

#### *Amendment*

(c) Strengthening economic governance: Interventions shall aim at supporting participation in the economic reform programme (ERP) process and systematic cooperation with international financial institutions on fundamentals of economic policy. Enhancing the capacity to strengthen macroeconomic stability and supporting progress towards ***sustainable development and*** becoming a functioning market economy with the capacity to cope with competitive pressures and market forces within the Union;

## Amendment 27

### Proposal for a regulation Annex II – paragraph 1 – point h

#### *Text proposed by the Commission*

(h) Fostering quality employment and

#### *Amendment*

(h) Fostering quality employment and

access to the labour market. Interventions in this area shall aim at: tackling high unemployment and inactivity by supporting sustainable labour market integration in particular of young people (especially those not in employment, education or training (NEET)), women, long-term unemployed and all under-represented groups. Measures shall stimulate quality job creation and support the effective enforcement of labour rules and standards across the entire territory. Other key areas of intervention shall be to support gender equality, promoting employability and productivity, the adaptation of workers and enterprises to change, the establishment of a sustainable social dialogue and the modernisation and strengthening of labour market institutions such as public employment services and labour inspectorates.

access to the labour market. Interventions in this area shall aim at: tackling high unemployment and inactivity by supporting sustainable labour market integration in particular of young people (especially those not in employment, education or training (NEET)), women, long-term unemployed and all under-represented groups. Measures shall stimulate quality job creation and support the effective enforcement of labour rules and standards **and collective bargaining based on ILO labour standards** across the entire territory. Other key areas of intervention shall be to support gender equality, promoting employability and productivity, the adaptation of workers and enterprises to change, the establishment of a sustainable social dialogue and the modernisation and strengthening of labour market institutions such as public employment services and labour inspectorates.

## Amendment 28

### Proposal for a regulation Annex II – paragraph 1 – point k

*Text proposed by the Commission*

(k) Improving the private-sector environment and competitiveness of enterprises, including smart specialisation, as key drivers of growth, job creation and cohesion. Priority shall be given to projects which improve the business environment.

*Amendment*

(k) Improving the private-sector environment and competitiveness of enterprises, **in particular SMEs**, including smart specialisation, as key drivers of growth, job creation and cohesion. Priority shall be given to **sustainable** projects which improve the business environment.

## Amendment 29

### Proposal for a regulation Annex III – paragraph 1 – point d a (new)

*Text proposed by the Commission*

*Amendment*

*(d a) promoting the removal of unnecessary barriers to trade, including bureaucratic hurdles, tariffs and non-tariffs barriers*

### **Amendment 30**

#### **Proposal for a regulation Annex IV – paragraph 1 – introductory part**

*Text proposed by the Commission*

The following list of key performance indicators shall be used to help measure the Union's contribution to the achievement of its specific objectives:

*Amendment*

The following list of key performance indicators shall be used to help measure the Union's contribution to the achievement of its specific objectives *and the progress made by the beneficiaries*:

### **Amendment 31**

#### **Proposal for a regulation Annex IV – paragraph 1 – point 10 a (new)**

*Text proposed by the Commission*

*Amendment*

***10 a. Reconciliation, good neighbourly relations and international obligations***

## PROCEDURE – COMMITTEE ASKED FOR OPINION

<b>Title</b>	Establishing the Instrument for Pre-accession Assistance (IPA III)
<b>References</b>	COM(2018)0465 – C8-0274/2018 – 2018/0247(COD)
<b>Committee responsible</b> Date announced in plenary	AFET 2.7.2018
<b>Opinion by</b> Date announced in plenary	INTA 2.7.2018
<b>Rapporteur</b> Date appointed	David Borrelli 9.7.2018
<b>Discussed in committee</b>	5.11.2018
<b>Date adopted</b>	3.12.2018
<b>Result of final vote</b>	+: 27 –: 2 0: 2
<b>Members present for the final vote</b>	David Borrelli, David Campbell Bannerman, Santiago Fisas Aixelà, Eleonora Forenza, Karoline Graswander-Hainz, Christophe Hansen, Heidi Hautala, Nadja Hirsch, France Jamet, Jude Kirton-Darling, Bernd Lange, David Martin, Emmanuel Maurel, Anne-Marie Mineur, Godelieve Quisthoudt-Rowohl, Inmaculada Rodríguez-Piñero Fernández, Tokia Saïfi, Joachim Schuster, Adam Szejnfeld, Iuliu Winkler
<b>Substitutes present for the final vote</b>	Reimer Böge, Klaus Buchner, Sajjad Karim, Ralph Packet, Pedro Silva Pereira, Jarosław Wałęsa
<b>Substitutes under Rule 200(2) present for the final vote</b>	Birgit Collin-Langen, Jonás Fernández, Gabriel Mato, Alojz Peterle, Kosma Złotowski

## FINAL VOTE BY ROLL CALL IN COMMITTEE ASKED FOR OPINION

27	+
ALDE	Nadja Hirsch
ECR	David Campbell Bannerman, Sajjad Karim, Ralph Packet, Kosma Złotowski
GUE/NGL	Eleonora Forenza, Emmanuel Maurel
NI	David Borrelli
PPE	Reimer Böge, Birgit Collin-Langen, Santiago Fisas Aixelà, Christophe Hansen, Gabriel Mato, Alojz Peterle, Godelieve Quisthoudt-Rowohl, Tokia Saïfi, Adam Szejnfeld, Jarosław Wałęsa, Iuliu Winkler
S&D	Jonás Fernández, Karoline Graswander-Hainz, Jude Kirton-Darling, Bernd Lange, David Martin, Inmaculada Rodríguez-Piñero Fernández, Joachim Schuster, Pedro Silva Pereira

2	-
ENF	France Jamet
GUE/NGL	Anne-Marie Mineur

2	0
VERTS/ALE	Klaus Buchner, Heidi Hautala

Key to symbols:

+ : in favour

- : against

0 : abstention



22.11.2018

## **OPINION OF THE COMMITTEE ON BUDGETS**

for the Committee on Foreign Affairs

on the proposal for a regulation of the European Parliament and of the Council establishing the Instrument for Pre-accession Assistance (IPA III)  
(COM(2018)0465 – C8-0274/2018 – 2018/0247(COD))

Rapporteur for opinion: Ivana Maletić

### **SHORT JUSTIFICATION**

IPA has important role in enlargement as a main instrument for preparation of the candidates and potential candidates for negotiation process and full membership. The enlargement process strengthens peace, democracy and stability in Europe and allows the Union to be better positioned to address global challenges.

IPA is positioned in the EU budget as a key component of the external action policy and should be closely linked to other external action programmes. In addition, consistency with other relevant Union policies and programmes must be ensured.

New challenges such as migration, security, protection of the environment and climate change are taken on board in IPA III and therefore the rapporteur supports the European Commission proposal to allocate 1,2 times more funds to the new IPA in comparison with IPA II in current MFF 2014-2020. Rapporteur emphasizes the importance of strategic programming and performance measurement in IPA III as well as need for more flexibility in responding to unforeseeable challenges and crises.

IPA II contributed to the implementation of reforms in key areas, such as the judiciary, anti-corruption, public administration and social inclusion, and supported the progressive alignment with EU legislation and standards, and with IPA III more support is needed to strengthened focus on economic development and improved competitiveness and the strengthening of democratic institutions and public administration reform.

The Commission should take appropriate actions to accelerate absorption of the IPA funds, in particular in the early years, to prevent structural backlogs in contracting and payments. The overall architecture of the instruments and administrative and financial procedures should be simplified and, more technical assistance provided to support capacity building, project preparation, contracting and implementation.

The rapporteur stresses the importance of coherence and complementarity between the internal and external policies of the Union, as well as between the external instruments themselves, for providing synergies and high EU added value.

## AMENDMENTS

The Committee on Budgets calls on the Committee on Foreign Affairs, as the committee responsible, to take into account the following amendments:

### Amendment 1

#### Proposal for a regulation

##### Recital 7

*Text proposed by the Commission*

(7) Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I. Assistance should mainly focus on assisting the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. Assistance should also support the key principles and rights as defined in the European Pillar of Social Rights.<sup>17</sup> Assistance should continue to support their efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies. It should also enhance their economic and social development and economic governance, underpinning a smart, sustainable and inclusive growth agenda, including through implementation of regional development, agriculture and rural development, social and employment policies and the development of the digital economy and society, also in line with the flagship initiative Digital Agenda for the Western Balkans.

*Amendment*

(7) Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I. Assistance should mainly focus on assisting the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. Assistance should also support the key principles and rights as defined in the European Pillar of Social Rights.<sup>17</sup> Assistance should continue to support their efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies ***with the aim to overcome geographical and cultural barriers, develop good neighbourly relations and reach reconciliation***. It should also enhance their economic and social development and economic governance, underpinning a smart, sustainable and inclusive growth agenda, including through implementation of regional development, agriculture and rural development, social and employment policies and the development of the digital economy and

society, also in line with the flagship initiative Digital Agenda for the Western Balkans

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<sup>17</sup> European Pillar of Social Rights solemnly proclaimed by the European Parliament, the Council and the Commission at the Gothenburg Social Summit for Fair Jobs and Growth, Gothenburg 17 November 2017.

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<sup>17</sup> European Pillar of Social Rights solemnly proclaimed by the European Parliament, the Council and the Commission at the Gothenburg Social Summit for Fair Jobs and Growth, Gothenburg 17 November 2017.

## Amendment 2

### Proposal for a regulation Recital 9

#### *Text proposed by the Commission*

(9) Enhanced strategic and operational cooperation between the Union and the beneficiaries listed in Annex I on security is pivotal to addressing effectively and efficiently security and terrorism threats.

#### *Amendment*

(9) Enhanced strategic and operational cooperation between the Union and the beneficiaries listed in Annex I on security **and defence issues** is pivotal to addressing effectively and efficiently security and terrorism threats.

## Amendment 3

### Proposal for a regulation Recital 13

#### *Text proposed by the Commission*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget

#### *Amendment*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of **at least 25 %** of the EU

expenditures supporting climate objectives. Actions under this Programme are expected to contribute **16 %** of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

budget expenditures supporting climate objectives ***over the MFF 2021-2027 period, and an annual target of 30 % as soon as possible, at the latest by 2027.*** Actions under this Programme are expected to contribute **20 %** of the overall financial envelope of the Programme to climate objectives. ***In the case of cross-border pollution, priority of IPA spending should be given to preparation and implementation of the projects which will eliminate cross-border pollution.*** Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

#### Amendment 4

#### Proposal for a regulation

#### Recital 14

##### *Text proposed by the Commission*

(14) Actions under this Instrument should support implementation of the United Nations 2030 Agenda for Sustainable Development, as a universal agenda, to which the EU and its Member States are fully committed and which all beneficiaries listed in Annex I have endorsed.

##### *Amendment*

(14) Actions under this Instrument should support implementation of the United Nations 2030 Agenda for Sustainable Development, as a universal agenda, to which the EU and its Member States are fully committed and which all beneficiaries listed in Annex I have endorsed. ***In this context, specific attention should be given to Sustainable Development Goals 1 "No poverty", 5 "Gender equality", 7 "Affordable and clean energy", 8 "Decent work and economic growth", 9 "Industry, innovation and infrastructure", 10 "Reduced inequalities", 11 "Sustainable cities and communities", 13 "Climate action" and 16 "Peace, justice and strong institutions".***

## Amendment 5

### Proposal for a regulation

#### Recital 16

*Text proposed by the Commission*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of their assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity, including through regular consultations, with other donors. The role of civil society should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union assistance.

*Amendment*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of their assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity, including through regular consultations, with other donors. ***The assistance should set out to ensure alignment with the Union strategy for smart, sustainable and inclusive growth, arrangements for the partnership principle and an integrated approach to territorial development.*** The role of civil society should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union assistance.

## Amendment 6

### Proposal for a regulation

#### Recital 18

*Text proposed by the Commission*

(18) It is in the Union's interest to assist the beneficiaries listed in Annex I in their efforts to reform with a view to Union membership. Assistance should be managed with a strong focus on results and with incentives for those who demonstrate their commitment to reform through efficient implementation of pre-accession assistance and progress towards meeting the membership criteria.

*Amendment*

(18) It is in the Union's interest to assist the beneficiaries listed in Annex I in their efforts to reform with a view to Union membership. Assistance should be managed with a strong focus on results and with incentives for ***more effective and efficient use of funds*** for those who demonstrate their commitment to reform through efficient implementation of pre-accession assistance and progress towards meeting the membership criteria, ***achieving positive changes in their socio-economic environment and response to current***

*challenges.*

## Amendment 7

### Proposal for a regulation Recital 19

*Text proposed by the Commission*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries listed in Annex I should be progressive and in line with the respective capacities of those beneficiaries. Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process.

*Amendment*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries listed in Annex I should be progressive and in line with the respective capacities of those beneficiaries. ***The transition to indirect management by the beneficiaries should be suspended or reversed in case those capacities evolve negatively.*** Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process.

## Amendment 8

### Proposal for a regulation Recital 19 a (new)

*Text proposed by the Commission*

*Amendment*

***(19 a) Implementation should be accelerated and the Commission should provide technical assistance to the beneficiaries for establishing sound financial management and control system and capacity building for preparation of project pipelines, for contracting and monitoring procedures and for implementation of the structural reforms which will support achievement of the goals and performance of IPA.***

## Amendment 9

### Proposal for a regulation Recital 20

*Text proposed by the Commission*

(20) The Union should seek the most efficient use of available resources in order to optimise the impact of its external action. That should be achieved through coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes. This includes, where relevant, coherence and complementarity with macro-financial assistance.

*Amendment*

(20) The Union should seek the most efficient use of available resources in order to optimise the impact of its external action, ***while avoiding double targeting and overlapping***. That should be achieved through ***consistency, strong*** coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and ***external actions, funding resources and*** programmes. This includes, where relevant, coherence and complementarity with macro-financial assistance.

**Amendment 10**

**Proposal for a regulation**  
**Recital 26**

*Text proposed by the Commission*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global challenges such as human rights, democracy and good governance, security and stability, climate change and environment and irregular migration and its root causes. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial implementation of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens

*Amendment*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global challenges such as human rights, democracy and good governance, security, ***defence*** and stability, climate change and environment and irregular migration and its root causes. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial implementation of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens

and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

***Additional forms of flexibility should be allowed such as reallocation among priorities, phasing projects and over-contracting.***

## Amendment 11

### Proposal for a regulation

#### Article 3 – paragraph 2 – point d

*Text proposed by the Commission*

(d) To strengthen economic and social development ***including*** through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy ***and*** develop the digital economy and society.

*Amendment*

(d) To strengthen economic and social development ***and competitiveness*** through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy, develop the digital economy and society, ***improve business and investment climate, encourage smart specialisation, skills development, research and innovation and create job opportunities in particular for the youth.***

## Amendment 12

### Proposal for a regulation

#### Article 4 – paragraph 1

*Text proposed by the Commission*

1. The financial envelope for the implementation of IPA III for the period 2021-2027 shall be EUR ***14 500 000 000*** in current prices.

*Amendment*

1. The financial envelope for the implementation of IPA III for the period 2021-2027 shall be EUR ***13 009 976 000 in 2018 prices (EUR 14 663 401 000*** in current prices).



## Amendment 13

### Proposal for a regulation

#### Article 4 – paragraph 2

*Text proposed by the Commission*

2. The amount referred to in paragraph 1 may be used for technical and administrative assistance for the implementation of the Programme, such as preparatory, monitoring, control, audit and evaluation activities including corporate information technology systems and any activities related to the preparation of the successor programme for pre-accession assistance, in accordance with Article 20 of [NDICI Regulation].

*Amendment*

2. The amount referred to in paragraph 1 may be used for technical and administrative assistance for the implementation of the Programme, such as preparatory ***(assistance for project preparation and appraisal), support for institutional strengthening and administrative capacity-building for the effective management***, monitoring, control, audit and evaluation activities including corporate information technology systems and any activities related to the preparation of the successor programme for pre-accession assistance, in accordance with Article 20 of [NDICI Regulation].

## Amendment 14

### Proposal for a regulation

#### Article 6 – paragraph 2

*Text proposed by the Commission*

2. Programmes and actions under this Regulation shall mainstream climate change, environmental protection and gender equality and shall, where applicable, address interlinkages between Sustainable Development Goals<sup>34</sup>, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way.

*Amendment*

2. Programmes and actions under this Regulation shall mainstream climate change, environmental protection and gender equality and shall, where applicable, address interlinkages between Sustainable Development Goals<sup>34</sup>, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way. ***In the case of cross-border pollution priority for IPA spending must be given for preparation and implementation of the projects which will eliminate cross-border pollution.***

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<sup>34</sup>

[https://ec.europa.eu/europeaid/policies/sustainable-development-goals\\_en](https://ec.europa.eu/europeaid/policies/sustainable-development-goals_en)

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<sup>34</sup>

[https://ec.europa.eu/europeaid/policies/sustainable-development-goals\\_en](https://ec.europa.eu/europeaid/policies/sustainable-development-goals_en)

## Amendment 15

### Proposal for a regulation Article 6 – paragraph 3

*Text proposed by the Commission*

3. The Commission and the Member States shall cooperate in ensuring coherence and shall strive to avoid duplication between assistance provided under IPA III and other assistance provided by the Union, the Member States and the European Investment Bank, in line with the established principles for strengthening operational coordination in the field of external assistance, and for the harmonisation of policies and procedures, in particular the international principles on development effectiveness.<sup>35</sup> Coordination shall involve regular consultations, frequent exchanges of information during the different phases of the assistance cycle and inclusive meetings aimed at coordinating the assistance and shall constitute a key step in the programming processes of the Union and the Member States.

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[https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness\\_en](https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness_en)

## Amendment 16

### Proposal for a regulation Article 6 – paragraph 4

*Amendment*

3. The Commission and the Member States shall cooperate in ensuring coherence and shall strive to avoid duplication between assistance provided under IPA III and other assistance provided by the Union, the Member States and the European Investment Bank, in line with the established principles for strengthening operational coordination in the field of external assistance, and for the harmonisation of policies and procedures, in particular the international principles on development effectiveness.<sup>35</sup> Coordination shall involve regular consultations, frequent exchanges of information during the different phases of the assistance cycle and inclusive meetings aimed at coordinating the assistance and shall constitute a key step in the programming processes of the Union and the Member States. ***The assistance should set out to ensure alignment with the Union strategy for smart, sustainable and inclusive growth, effective and efficient implementation of the funds, arrangements for the partnership principle and an integrated approach to territorial development.***

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[https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness\\_en](https://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness_en)

*Text proposed by the Commission*

4. The Commission, in liaison with the Member States, shall also take the necessary steps to ensure coordination and complementarity with multilateral and regional organisations and entities, such as international organisations and financial institutions, agencies **and** non-Union donors.

*Amendment*

4. The Commission, in liaison with the Member States, shall also take the necessary steps to ensure coordination and complementarity with multilateral and regional organisations and entities, such as international organisations and financial institutions, agencies, non-Union donors **and civil society actors**.

**Amendment 17**

**Proposal for a regulation**

**Article 7 – paragraph 2 – subparagraph 2**

*Text proposed by the Commission*

Assistance shall be targeted and adjusted to the specific situation of the beneficiaries listed in Annex I, taking into account further efforts needed to meet the membership criteria as well as the capacities of those beneficiaries. Assistance shall be differentiated in scope and intensity according to needs, commitment to reforms **and** progress in implementing those reforms.

*Amendment*

Assistance shall be targeted and adjusted to the specific situation of the beneficiaries listed in Annex I, taking into account further efforts needed to meet the membership criteria as well as the capacities of those beneficiaries. Assistance shall be differentiated in scope and intensity according to needs, commitment to reforms, progress in implementing those reforms **and results achieved in fulfilling the accession criteria, positive changes in the socio-economic environment and the response to current challenges**.

**Amendment 18**

**Proposal for a regulation**

**Article 9 – paragraph 4**

*Text proposed by the Commission*

4. Where cross border cooperation programmes are discontinued in accordance with Article 12 of [ETC Regulation], support from this Regulation to the discontinued programme that remains available may be used to finance any other actions eligible under this

*Amendment*

4. Where cross border cooperation programmes are discontinued in accordance with Article 12 of [ETC Regulation], support from this Regulation to the discontinued programme that remains available may be used to finance any other actions eligible under this

Regulation.

Regulation. *In this case, if there are no eligible actions to be financed in the current year, it shall be possible to carry-over appropriations to the consecutive year.*

## Amendment 19

### Proposal for a regulation Annex II – paragraph 1 – point d

*Text proposed by the Commission*

(d) Strengthening the Union and its partners' capacity to prevent conflict, build peace and address pre-and post-crisis including through early warning and conflict-sensitive risk analysis; promoting people to people networking, reconciliation, peace-building and confidence-building measures, supporting capacity building in support of security and development (CBSD) actions.

*Amendment*

(d) Strengthening the Union and its partners' capacity to prevent conflict, build peace and address pre-and post-crisis including through early warning and conflict-sensitive risk analysis; promoting people to people networking, reconciliation, peace-building and confidence-building measures, supporting capacity building in support of security and development (CBSD) actions; ***contributing to the defence and cyber defence of the beneficiaries listed in Annex I; strengthening the capabilities of strategic communication to foster systematic uncovering of disinformation.***

## PROCEDURE – COMMITTEE ASKED FOR OPINION

<b>Title</b>	Establishing the Instrument for Pre-accession Assistance (IPA III)
<b>References</b>	COM(2018)0465 – C8-0274/2018 – 2018/0247(COD)
<b>Committee responsible</b> Date announced in plenary	AFET 2.7.2018
<b>Opinion by</b> Date announced in plenary	BUDG 2.7.2018
<b>Rapporteur</b> Date appointed	Ivana Maletić 11.7.2018
<b>Discussed in committee</b>	25.9.2018
<b>Date adopted</b>	21.11.2018
<b>Result of final vote</b>	+: 27 –: 4 0: 0
<b>Members present for the final vote</b>	Jean Arthuis, Lefteris Christoforou, Gérard Deprez, Manuel dos Santos, André Elissen, José Manuel Fernandes, Eider Gardiazabal Rubial, Ingeborg Gräßle, Monika Hohlmeier, John Howarth, Bernd Kölmel, Zbigniew Kuźmiuk, Vladimír Maňka, Jan Olbrycht, Răzvan Popa, Petri Sarvamaa, Jordi Solé, Patricija Šulin, Eleftherios Synadinos, Indrek Tarand, Isabelle Thomas, Inese Vaidere, Monika Vana, Daniele Viotti, Tiemo Wölken, Stanisław Żółtek
<b>Substitutes present for the final vote</b>	Karine Gloanec Maurin, Giovanni La Via, Ivana Maletić, Andrey Novakov, Tomáš Zdechovský

## FINAL VOTE BY ROLL CALL IN COMMITTEE ASKED FOR OPINION

27	+
ALDE	Jean Arthuis, Gérard Deprez
ECR	Zbigniew Kuźmiuk
PPE	Lefteris Christoforou, José Manuel Fernandes, Ingeborg Gräßle, Monika Hohlmeier, Giovanni La Via, Ivana Maletić, Andrey Novakov, Jan Olbrycht, Petri Sarvamaa, Patricija Šulin, Inese Vaidere, Tomáš Zdechovský
S&D	Eider Gardiazabal Rubial, Karine Gloanec Maurin, John Howarth, Vladimír Maňka, Răzvan Popa, Manuel dos Santos, Isabelle Thomas, Daniele Viotti, Tiemo Wölken
VERTS/ALE	Jordi Solé, Indrek Tarand, Monika Vana

4	-
ECR	Bernd Kölmel
ENF	André Elissen, Stanisław Żółtek
NI	Eleftherios Synadinos

0	0

Key to symbols:

+ : in favour

- : against

0 : abstention

22.11.2018

## **OPINION OF THE COMMITTEE ON THE ENVIRONMENT, PUBLIC HEALTH AND FOOD SAFETY**

for the Committee on Foreign Affairs

on the proposal for a regulation of the European Parliament and of the Council establishing the Instrument for Pre-accession Assistance (IPA III)  
(COM(2018)0465 – C8-0274/2018 – 2018/0247(COD))

Rapporteur for opinion: Adina-Ioana Vălean

### **AMENDMENTS**

The Committee on the Environment, Public Health and Food Safety calls on the Committee on Foreign Affairs, as the committee responsible, to take into account the following amendments:

#### **Amendment 1**

##### **Proposal for a regulation**

##### **Recital 13**

*Text proposed by the Commission*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's

*Amendment*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's

policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme are expected to contribute 16 % of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

policies and to the achievement of an overall target of **30 %** of the EU budget expenditures supporting climate objectives. Actions under this Programme are expected to contribute 16 % of the overall financial envelope of the Programme to climate objectives. ***In the case of cross-border pollution, priority in IPA spending should be given to preparing and implementing projects which will do away with that form of pollution.*** Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

## Amendment 2

### Proposal for a regulation Recital 16

#### *Text proposed by the Commission*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of their assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity, including through regular consultations, with other donors. The role of civil society should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union assistance.

#### *Amendment*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of their assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity, including through regular consultations, with other donors. ***The aim of that assistance should be to ensure consistency with the Union strategy for smart, sustainable and inclusive growth and lay down arrangements for putting in place the partnership principle and an integrated approach to territorial development.*** The role of civil society should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union assistance.



### Amendment 3

#### Proposal for a regulation Recital 17 a (new)

*Text proposed by the Commission*

*Amendment*

***(17a) National strategies and sectoral policies are to guarantee the highest level of environmental and nature protection; that should become an integral part of those strategies and policies following the completion of appropriate environmental impact assessment procedures and public consultations, which should not last for less than 30 days. Furthermore, assessments should take into account possible cross-border impacts on the environment and nature.***

### Amendment 4

#### Proposal for a regulation Article 3 – paragraph 2 – point a

*Text proposed by the Commission*

*Amendment*

(a) To strengthen the rule of law, democracy, the respect of human rights, fundamental rights and international law, civil society and security as well as improve migration management including border management;

(a) To strengthen the rule of law, democracy, the respect of human rights, ***including the rights of persons belonging to minorities***, fundamental rights and international law, civil society and security as well as improve migration management including border management;

### Amendment 5

#### Proposal for a regulation Article 7 – paragraph 2 – subparagraph 1 a (new)

*Text proposed by the Commission*

*Amendment*

***Appropriate environmental and nature impact assessments shall be carried out for the national strategies and sectoral***

*policies referred to in the first subparagraph.*

*Those national strategies and sectoral policies, based on completed assessment procedures involving public consultations, shall include appropriate recommendations for minimising the potential negative impact on the environment and nature that could be expected as a result of their implementation, including cross-border procedures, if such an impact across national borders is assessed as feasible, and shall determine the appropriate degree of monitoring, in accordance with the needs established for each of them.*

*Those cross-border procedures shall include impact assessment and public consultation procedures in the neighbouring country in which an impact on the environment or nature is assessed as likely as a result of the implementation of such a strategy or sectoral policy.*

*Those public consultations shall have a duration of at least 30 days.*

## **Amendment 6**

### **Proposal for a regulation Annex II – paragraph 1 – point a a (new)**

*Text proposed by the Commission*

*Amendment*

**(aa) Strengthening the capacity to face security and migration challenges, including the establishment of a robust system for border protection; preventing and fighting against irregular migration; establishing an effective return and readmission policy; granting asylum to those who have the right to it; formulating effective instruments for combating organised crime, human trafficking, smuggling migrants, money laundering and terrorist financing; combating corruption and strengthening the**

## **Amendment 7**

### **Proposal for a regulation Annex II – paragraph 1 – point i**

#### *Text proposed by the Commission*

(i) Promoting social protection and inclusion and combating poverty. Interventions in this area shall aim at modernising social protection systems to provide effective, efficient, and adequate protection throughout all stages of a person's life, fostering social inclusion, promoting equal opportunities and addressing inequalities and poverty. Interventions in this area shall also focus on: integrating marginalised communities such as the Roma; combating discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation; enhancing access to affordable, sustainable and high quality services, such as early childhood education and care, housing, healthcare and essential social services and long term care, including through the modernisation of social protection systems.

#### *Amendment*

(i) Promoting social protection and inclusion, ***in particular of minorities***, and combating poverty. Interventions in this area shall aim at modernising social protection systems to provide effective, efficient, and adequate protection throughout all stages of a person's life, fostering social inclusion, promoting equal opportunities and addressing inequalities and poverty. Interventions in this area shall also focus on: integrating marginalised communities such as the Roma; combating discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation; enhancing access to affordable, sustainable and high quality services, such as early childhood education and care, housing, healthcare and essential social services and long term care, including through the modernisation of social protection systems.

## PROCEDURE – COMMITTEE ASKED FOR OPINION

<b>Title</b>	Establishing the Instrument for Pre-accession Assistance (IPA III)
<b>References</b>	COM(2018)0465 – C8-0274/2018 – 2018/0247(COD)
<b>Committee responsible</b> Date announced in plenary	AFET 2.7.2018
<b>Opinion by</b> Date announced in plenary	ENVI 2.7.2018
<b>Rapporteur</b> Date appointed	Adina-Ioana Vălean 21.6.2018
<b>Date adopted</b>	20.11.2018
<b>Result of final vote</b>	+: 43 -: 1 0: 1
<b>Members present for the final vote</b>	Marco Affronte, Pilar Ayuso, Zoltán Balczó, Catherine Bearder, Ivo Belet, Biljana Borzan, Paul Brannen, Soledad Cabezón Ruiz, Nessa Childers, Birgit Collin-Langen, Angélique Delahaye, Bas Eickhout, Elisabetta Gardini, Gerben-Jan Gerbrandy, Jens Gieseke, Françoise Grossetête, Jytte Guteland, Benedek Jávor, Karin Kadenbach, Urszula Krupa, Peter Liese, Valentinas Mazuronis, Susanne Melior, Miroslav Mikolášik, Rory Palmer, Massimo Paolucci, Piernicola Pedicini, Bolesław G. Piecha, John Procter, Julia Reid, Frédérique Ries, Annie Schreijer-Pierik, Nils Torvalds, Adina-Ioana Vălean, Damiano Zoffoli
<b>Substitutes present for the final vote</b>	Christofer Fjellner, Merja Kyllönen, Norbert Lins, Marijana Petir, Gabriele Preuß, Carlos Zorrinho
<b>Substitutes under Rule 200(2) present for the final vote</b>	Richard Ashworth, Innocenzo Leontini, Paul Rübiger, Kosma Złotowski

## FINAL VOTE BY ROLL CALL IN COMMITTEE ASKED FOR OPINION

43	+
ALDE	Catherine Bearder, Gerben Jan Gerbrandy, Valentinas Mazuronis, Frédérique Ries, Nils Torvalds
ECR	Urszula Krupa, Bolesław G. Piecha, John Procter, Kosma Złotowski
EFDD	Piernicola Pedicini
GUE/NGL	Merja Kyllönen
PPE	Richard Ashworth, Pilar Ayuso, Ivo Belet, Birgit Collin Langen, Angélique Delahaye, Christofer Fjellner, Elisabetta Gardini, Jens Gieseke, Françoise Grossetête, Innocenzo Leontini, Peter Liese, Norbert Lins, Miroslav Mikolášik, Marijana Petir, Paul Rübig, Annie Schreijer Pierik, Adina Ioana Vălean
S&D	Biljana Borzan, Paul Brannen, Soledad Cabezón Ruiz, Nessa Childers, Jytte Guteland, Karin Kadenbach, Susanne Melior, Rory Palmer, Massimo Paolucci, Gabriele Preuß, Damiano Zoffoli, Carlos Zorrinho
VERTS/ALE	Marco Affronte, Bas Eickhout, Benedek Jávor

1	-
EFDD	Julia Reid

1	0
NI	Zoltán Balczó

Key to symbols:

+ : in favour

- : against

0 : abstention

21.1.2019

## OPINION OF THE COMMITTEE ON REGIONAL DEVELOPMENT

for the Committee on Foreign Affairs

on the proposal for a regulation of the European Parliament and of the Council establishing the Instrument for Pre-accession Assistance (IPA III)  
(COM(2018)0465 – C8-0274/2018 – 2018/0247(COD))

Rapporteur for opinion: Joachim Zeller

### AMENDMENTS

The Committee on Regional Development calls on the Committee on Foreign Affairs, as the committee responsible, to take into account the following amendments:

#### Amendment 1

##### Proposal for a regulation Recital 5

###### *Text proposed by the Commission*

(5) The enlargement policy of the Union is an investment in peace, security **and** stability in Europe. It provides increased economic and trade opportunities to the mutual benefit of the Union and the aspiring Member States. The prospect of Union membership has a powerful transformative effect, embedding positive democratic, political, economic **and** societal change.

###### *Amendment*

(5) The enlargement policy of the Union is an investment in peace, security and stability **and prosperity** in Europe. It provides increased economic and trade opportunities to the mutual benefit of the Union and the aspiring Member States. The prospect of Union membership has a powerful transformative effect, embedding positive democratic, political, economic, societal **and environmental** change.

## Amendment 2

### Proposal for a regulation

#### Recital 6

*Text proposed by the Commission*

(6) The European Commission reaffirmed the firm, merit-based prospect of EU membership for the Western Balkans in its Communication 'A credible enlargement perspective for and enhanced EU engagement with the Western Balkans'<sup>16</sup>. This is a strong message of encouragement for the whole Western Balkans and a sign of the EU's commitment to their European future.

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<sup>16</sup> COM(2018) 65 final available at [https://ec.europa.eu/commission/sites/beta-political/files/communication-credible-enlargement-perspective-western-balkans\\_en.pdf](https://ec.europa.eu/commission/sites/beta-political/files/communication-credible-enlargement-perspective-western-balkans_en.pdf)

*Amendment*

(6) The European Commission reaffirmed the firm, ***reform-based and*** merit-based prospect of EU membership for the Western Balkans in its Communication 'A credible enlargement perspective for and enhanced EU engagement with the Western Balkans'<sup>16</sup>. This is a strong message of encouragement for the whole Western Balkans and a sign of the EU's commitment to their European future.

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<sup>16</sup> COM(2018) 65 final available at [https://ec.europa.eu/commission/sites/beta-political/files/communication-credible-enlargement-perspective-western-balkans\\_en.pdf](https://ec.europa.eu/commission/sites/beta-political/files/communication-credible-enlargement-perspective-western-balkans_en.pdf)

## Amendment 3

### Proposal for a regulation

#### Recital 7

*Text proposed by the Commission*

(7) Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I. Assistance should mainly focus on assisting the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. Assistance should also support the key principles and rights as defined in the European Pillar of Social Rights<sup>17</sup>. Assistance should continue to support their

*Amendment*

(7) Assistance should be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I. Assistance should focus, ***on the one hand***, on assisting the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect ***freedom of media and*** fundamental ***human rights, in particular the rights of minorities, respect and advance workers' rights*** and promote gender equality, tolerance, social inclusion and non-discrimination, ***as well as*** support the key principles and rights as defined in the

efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies. It should also enhance their economic and social development and economic governance, underpinning a smart, sustainable and inclusive growth agenda, including through implementation of regional development, agriculture and rural development, social and employment policies and the development of the digital economy and society, **also** in line with the flagship initiative Digital Agenda for the Western Balkans.

European Pillar of Social Rights<sup>17</sup>. **On the other hand**, assistance should continue to support their efforts to advance **economic, social and territorial development as well as** regional, macro-regional and cross-border cooperation, **gradually adopting relevant EU policies and practices, especially those of Cohesion Policy contributing also to the** implementation of Union macro-regional strategies. **Furthermore, IPA III** should also enhance their economic governance, underpinning a smart, sustainable and inclusive growth agenda, including through **the** implementation of **multi-annual programmes aimed at** regional development, agriculture and rural development, social and employment policies and the development of the digital economy and society, also in line with the flagship initiative Digital Agenda for the Western Balkans.

#### Amendment 4

##### Proposal for a regulation Recital 8

*Text proposed by the Commission*

(8) The Union should provide support to the transition towards accession for the benefit of the beneficiaries listed in Annex I, based on the experience of its Member States. This cooperation should focus in particular on the sharing of experience acquired by the Member States in the reform process.

*Amendment*

(8) The Union should provide support to the transition towards accession, **as well as to participation in EU cohesion Policy upon accession**, for the benefit of the beneficiaries listed in Annex I, based on the experience of its Member States **and duly taking into consideration their specific situations**. This cooperation should focus in particular on the sharing of experience **and best practices** acquired by the Member States, **as well as by the beneficiaries listed in Annex I**, in the reform process.

#### Amendment 5

##### Proposal for a regulation

PE627.819v02-00

120/179

RR1179243EN.docx



## Recital 10

*Text proposed by the Commission*

(10) It is essential to further step up cooperation on migration including border management, ensuring access to international protection, sharing relevant information, strengthening the development benefits of migration, facilitating legal and labour migration, enhancing border control and pursuing our effort in the fight against irregular migration, trafficking in human beings *and* migrant smuggling.

*Amendment*

(10) It is essential to further step up cooperation on migration including border management, ensuring access to international protection, sharing relevant information, strengthening the development benefits of migration, facilitating legal and labour migration, enhancing border control, ***making humanitarian assistance available*** and pursuing our effort in the fight against irregular migration, trafficking in human beings, migrant smuggling ***and other forms of crime***.

## Amendment 6

### Proposal for a regulation

#### Recital 11

*Text proposed by the Commission*

(11) Strengthening the rule of law, including the fight against corruption and organised crime, and good governance, including public administration reform, remain key challenges in most of the beneficiaries listed in Annex I and are essential in order for beneficiaries to come closer to the Union and later to fully assume the obligations of Union membership. In view of the longer-term nature of the reforms pursued in those areas and the need to build up track records, financial assistance under this Regulation should address the requirements placed on the beneficiaries listed in Annex I as early as possible.

*Amendment*

(11) Strengthening the rule of law, including the fight against corruption and organised crime, and good governance, including public administration reform and ***bolstering administrative capacities***, remain key challenges in most of the beneficiaries listed in Annex I and are essential in order for beneficiaries to come closer to the Union and later to fully assume the obligations of Union membership. In view of the longer-term nature of the reforms pursued in those areas and the need to build up track records, financial assistance under this Regulation should address the requirements placed on the beneficiaries listed in Annex I as early as possible.

## Amendment 7

### Proposal for a regulation

#### Recital 13

*Text proposed by the Commission*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development **and** climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme are expected to contribute 16 % of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

*Amendment*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development, ***environmental protection, climate change and adapting the EU's circular economy model,*** and ***to*** align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme are expected to contribute 16 % of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

## **Amendment 8**

### **Proposal for a regulation Recital 16**

*Text proposed by the Commission*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of their assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity,

*Amendment*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of their assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity,

including through regular consultations, with other donors. The role of civil society should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union assistance.

including through regular consultations, with other donors. The role of civil society ***and of local and regional authorities, in particular in regions bordering the EU, as well as free media and the private sector*** should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union assistance.

## Amendment 9

### Proposal for a regulation Recital 19

#### *Text proposed by the Commission*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries listed in Annex I should be progressive and in line with the respective capacities of those beneficiaries. Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process.

#### *Amendment*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries listed in Annex I should be progressive and in line with the respective capacities of those beneficiaries. Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process. ***In addition, IPA III should finance capacity building actions to establish the structures necessary for shared management upon accession, including through the implementation of pilot operational programmes via these structures, aiming at economic and social development modelled on the relevant EU practices. The Union should facilitate exchange of experience and best practice among beneficiaries, as well as among beneficiaries and one or more Member States.***

## Amendment 10

### Proposal for a regulation Recital 20

*Text proposed by the Commission*

(20) The Union should seek ***the most efficient*** use of available resources in order to optimise the impact of its external action. That should be achieved through coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes. This includes, where relevant, coherence and complementarity with macro-financial assistance.

*Amendment*

(20) The Union should seek ***to*** use available resources ***efficiently*** in order to optimise the impact of its external action. That should be achieved through coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes. This includes, where relevant, coherence and complementarity with macro-financial assistance ***and EU macro-regional strategies***.

**Amendment 11**

**Proposal for a regulation**  
**Recital 21**

*Text proposed by the Commission*

(21) In order to maximise the impact of combined interventions to achieve a common objective, this Regulation should be able to contribute to actions under other programmes, as long as the contributions do not cover the same costs.

*Amendment*

(21) In order to maximise the impact of combined interventions to achieve a common objective, this Regulation should be able to contribute to actions under other ***EU*** programmes, as long as the contributions do not cover the same costs.

**Amendment 12**

**Proposal for a regulation**  
**Recital 24**

*Text proposed by the Commission*

(24) The types of financing and the methods of implementation under this Regulation should be chosen on the basis of their ability to achieve the specific objectives of the actions and to deliver results, taking into account, in particular, the costs of controls, the administrative burden, and the expected risk of non-compliance. This should include consideration of the use of lump sums, flat

*Amendment*

(24) The types of financing and the methods of implementation under this Regulation should be chosen on the basis of their ability to achieve the specific objectives of the actions and to deliver ***effective*** results, taking into account, in particular, the costs of controls, the administrative burden, and the expected risk of non-compliance. This should include consideration of the use of lump

rates and unit costs, as well as financing not linked to costs as referred to in Article 125(1) of the Financial Regulation.

sums, flat rates and unit costs, as well as financing not linked to costs as referred to in Article 125(1) of the Financial Regulation.

### **Amendment 13**

#### **Proposal for a regulation**

##### **Recital 26**

###### *Text proposed by the Commission*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global challenges such as human rights, democracy and good governance, security and stability, climate change and environment and irregular migration and its root causes. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial implementation of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

###### *Amendment*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global challenges such as human rights, democracy and good governance, security and stability, climate change and environment, *natural disasters*, and irregular migration and its root causes. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial implementation of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

### **Amendment 14**

#### **Proposal for a regulation**

##### **Recital 29 a (new)**

*Text proposed by the Commission*

*Amendment*

***(29a) Cross border cooperation programmes are the most visible programmes of the Instrument of Pre-Accession Assistance as well as the well-known by citizens thus cross border cooperation programmes could significantly improve the visibility of the EU funded projects in the candidate states;***

## **Amendment 15**

### **Proposal for a regulation Recital 31 a (new)**

*Text proposed by the Commission*

*Amendment*

***(31a) Given the increased risk of corruption in large projects, it is desirable, with regard to projects receiving support, to have a balanced mix of projects of varying sizes, with an emphasis on small projects (especially those using the proven LEADER method), which should also be prioritised for a host of other reasons (such as their contribution to visibility).***

## **Amendment 16**

### **Proposal for a regulation Recital 33 a (new)**

*Text proposed by the Commission*

*Amendment*

***(33a) Member States and the beneficiaries and stakeholders listed in Annex I should raise awareness of the achievements of Union funding and inform the general public accordingly. Communication and visibility activities are essential in making Union action visible on the ground and should be based on true, accurate and updated***

*information. In order for these requirements to be enforceable, the competent authorities and the Commission should be able to apply remedial measures in case of non-compliance.*

## Amendment 17

### Proposal for a regulation Article 3 – paragraph 1

*Text proposed by the Commission*

1. The general objective of IPA III shall be to support the beneficiaries listed in Annex I in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required by those beneficiaries to comply with Union values and to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to their stability, security and prosperity.

*Amendment*

1. The general objective of IPA III shall be to support the beneficiaries listed in Annex I in adopting and implementing the political, institutional, legal, administrative, social, **environmental** and economic reforms required by those beneficiaries to comply with Union values and to progressively align to Union rules, standards, policies and practices with a view to Union membership, thereby contributing to their stability, security and prosperity.

## Amendment 18

### Proposal for a regulation Article 3 – paragraph 2 – point a

*Text proposed by the Commission*

(a) To strengthen the rule of law, democracy, the respect of human rights, fundamental rights and international law, civil society and security as well as improve migration management including border management;

*Amendment*

(a) To strengthen the rule of law, democracy, the respect of human rights, fundamental rights and international law, civil society, **free and independent media**, and security as well as improve migration management including border management;

## Amendment 19

### Proposal for a regulation

### Article 3 – paragraph 2 – point b

*Text proposed by the Commission*

(b) To reinforce the effectiveness of public administration and support structural reforms and good governance at all levels;

*Amendment*

(b) To reinforce the effectiveness **and transparency** of public administration, **bolster administrative capacities** and support structural reforms and good governance at all level, **from national to regional and local**;

### Amendment 20

#### Proposal for a regulation

#### Article 3 – paragraph 2 – point c

*Text proposed by the Commission*

(c) To shape the rules, standards, policies and practices of the beneficiaries listed in Annex I in alignment to those of the Union and to reinforce reconciliation and good neighbourly relations, as well as people to people contacts and communication;

*Amendment*

(c) To shape the rules, standards, policies and practices of the beneficiaries listed in Annex I in alignment to those of the Union and to reinforce reconciliation, **peace building** and good neighbourly relations, as well as people to people contacts and communication;

### Amendment 21

#### Proposal for a regulation

#### Article 3 – paragraph 2 – point d

*Text proposed by the Commission*

(d) To strengthen economic and social development including through increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-carbon economy **and** develop the digital economy and society.

*Amendment*

(d) To strengthen economic and social development **and cohesion based on the relevant policies and practices of the European Union, supporting beneficiaries' preparations for participation in EU cohesion policy upon accession**, including through **multi-annual operational programmes aimed at** increased connectivity and regional development, agriculture and rural development and social and employment policies, to reinforce environmental protection, increase resilience to climate change, accelerate the shift towards a low-



carbon economy and develop the digital economy and society, ***and create conditions for the development of entrepreneurship.***

## Amendment 22

### Proposal for a regulation

#### Article 3 – paragraph 2 – point e

*Text proposed by the Commission*

(e) To support territorial and cross-border cooperation.

*Amendment*

(e) To support territorial, ***interregional*** and cross-border cooperation.

## Amendment 23

### Proposal for a regulation

#### Article 4 – paragraph 2

*Text proposed by the Commission*

2. The amount referred to in paragraph 1 may be used for technical and administrative assistance for the implementation of the Programme, such as preparatory, monitoring, control, audit and evaluation activities including corporate information technology systems and any activities related to the preparation of the successor programme for pre-accession assistance, in accordance with Article 20 of [NDICI Regulation].

*Amendment*

2. The amount referred to in paragraph 1 may be used for technical and administrative assistance for the implementation of the Programme, such as preparatory, monitoring, control, audit and evaluation activities including corporate information technology systems and any activities related to the preparation of the successor programme for pre-accession assistance, in accordance with Article 20 of [NDICI Regulation]. ***Furthermore, an amount equivalent to 4% of the total budget of IPA III actions under implementation should be used for the same type of activities at the initiative of the national IPA III authorities, with the aim of covering needs related to programming, programme delivery as well as ensuring administrative capacity and human resources.***

#### *Justification*

*The institutional structures in charge of IPA have been suffering from a constant lack of resources when it came to the development of human capacity, organisations and policies.*

*National budgets are lacking funds, public administration reforms are slow to materialise, and targeted technical assistance measures included in IPA programmes so far did not solve the problem. As a response, similarly to technical assistance in cohesion policy, IPA authorities should benefit from an automatic allocation to be dedicated to management and capacity building, allowing a strategic approach to the task.*

## **Amendment 24**

### **Proposal for a regulation Article 5 – paragraph 4**

#### *Text proposed by the Commission*

4. Assistance under IPA III may be provided to the type of actions provided for under the European Regional Development Fund and the Cohesion Fund<sup>30</sup>, the European Social Fund Plus<sup>31</sup> and the European Agricultural Fund for Rural Development<sup>32</sup>.

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<sup>30</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund.

<sup>31</sup> COM(2018) 382 final Proposal of the European Parliament and of the Council on the European Social Fund Plus (ESF+)

<sup>32</sup> COM(2018) 392 final Proposal for a Regulation of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council.

#### *Amendment*

4. Assistance under IPA III may be provided to the type of actions provided for under the European Regional Development Fund and the Cohesion Fund<sup>30</sup>, the European Social Fund Plus<sup>31</sup> and the European Agricultural Fund for Rural Development<sup>32</sup>, ***at national level as well as in a cross-border, transnational, interregional or macro-regional context.***

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<sup>30</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund.

<sup>31</sup> COM(2018) 382 final Proposal of the European Parliament and of the Council on the European Social Fund Plus (ESF+)

<sup>32</sup> COM(2018) 392 final Proposal for a Regulation of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council.

## Justification

*The amendment makes it clear that cohesion policy type interventions should be possible not only in a cross-border, but also a national context - as part of each beneficiary's preparations for EU cohesion policy, and with the aim of applying relevant European practices to socio-economic development.*

### Amendment 25

#### Proposal for a regulation Article 5 – paragraph 5

##### *Text proposed by the Commission*

5. The [ERDF]<sup>33</sup> shall contribute to programmes or measures established for cross-border cooperation between the beneficiaries listed in Annex I and Member States. These programmes and measures shall be adopted by the Commission in accordance with Article 16. The amount of the contribution from IPA-CBC shall be determined pursuant to Article 10 (3) of [ETC Regulation]. IPA-Cross Border Cooperation programmes shall be managed in accordance with [ETC Regulation].

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<sup>33</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund.

##### *Amendment*

5. The [ERDF]<sup>33</sup> shall contribute to programmes or measures established for cross-border cooperation between the beneficiaries listed in Annex I and Member States. These programmes and measures shall be adopted by the Commission in accordance with Article 16. The amount of the contribution from IPA-CBC shall be determined pursuant to Article 10 (3) of [ETC Regulation]. IPA-Cross Border Cooperation programmes shall be managed in accordance with [ETC Regulation]. ***The beneficiaries referred to in Annex I to this Regulation and their local and regional authorities are invited to take part in the types of cooperation provided for under the EGTC Regulation.***

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<sup>33</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund.

### Amendment 26

#### Proposal for a regulation Article 6 – paragraph 2

##### *Text proposed by the Commission*

2. Programmes and actions under this

##### *Amendment*

2. Programmes and actions under this

Regulation shall mainstream climate change, environmental protection **and** gender equality and shall, where applicable, address interlinkages between Sustainable Development Goals<sup>34</sup>, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way.

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34

[https://ec.europa.eu/europeaid/policies/sustainable-development-goals\\_en](https://ec.europa.eu/europeaid/policies/sustainable-development-goals_en)

Regulation shall mainstream climate change, environmental protection, gender equality, **cultural and linguistic diversity** and shall, where applicable, address interlinkages between Sustainable Development Goals<sup>34</sup>, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way.

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34

[https://ec.europa.eu/europeaid/policies/sustainable-development-goals\\_en](https://ec.europa.eu/europeaid/policies/sustainable-development-goals_en)

### **Amendment 27**

#### **Proposal for a regulation Article 6 – paragraph 4 a (new)**

*Text proposed by the Commission*

*Amendment*

**4a. In cooperation with Member States, the Commission shall take the necessary measures to involve local and regional authorities in identifying and selecting the specific objectives of this Regulation.**

### **Amendment 28**

#### **Proposal for a regulation Article 7 – paragraph 2 – subparagraph 1**

*Text proposed by the Commission*

*Amendment*

The IPA programming framework shall take relevant national strategies and sector policies into due account.

The IPA programming framework shall take relevant **EU macro-regional and national and local** strategies and sector policies into due account.

### **Amendment 29**

#### **Proposal for a regulation Article 8 – paragraph 1**

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*Text proposed by the Commission*

*Amendment*

1. Assistance under IPA III shall be implemented in direct management or in indirect management in accordance with the Financial Regulation through annual or multi-annual action plans and measures as referred to in Chapter III of Title II of [NDICI Regulation]. Chapter III of Title II of [NDICI Regulation] shall apply to this Regulation with the exception of paragraph 1 of Article 24 [eligible persons and entities].

1. Assistance under IPA III shall be implemented in direct management or in indirect management in accordance with the Financial Regulation through annual or multi-annual action plans and measures as referred to in Chapter III of Title II of [NDICI Regulation]. Chapter III of Title II of [NDICI Regulation] shall apply to this Regulation with the exception of paragraph 1 of Article 24 [eligible persons and entities]. ***Where support is provided via budget support - as per Article 23 paragraph 1(c) of the [NDICI Regulation] – through sector reform performance contracts, IPA III funds made available shall be used entirely within the sector concerned.***

*Justification*

*Support agreed via sector budget support should not be diverted to other policy areas, even if the agreed reform objectives are achieved with a smaller investment. Instead, all IPA III funds made available via this method of financing should serve reform objectives in the originally targeted policy area*

**Amendment 30**

**Proposal for a regulation  
Article 8 – paragraph 2**

*Text proposed by the Commission*

*Amendment*

2. Under this Regulation, action plans may be adopted for a period of up to seven years.

2. Under this Regulation, action plans may be adopted for a period of up to seven years. ***This includes the possibility to devise multi-annual pilot operational programmes for economic and social development modelled on the practices of EU cohesion policy.***

*Justification*

*The option to implement “operational programmes” modelled on EU cohesion policy practice was made available to IPA beneficiaries towards the end of IPA I (around 2012). Under IPA II, the option existed in principle, but was rarely used. It would be beneficial, both*

*from the perspective of effectively investing into socio-economic development, and of cohesion policy preparations, to keep that option alive, and to make it explicit at the level of the IPA III regulation.*

### **Amendment 31**

#### **Proposal for a regulation Article 9 – paragraph 1**

*Text proposed by the Commission*

1. Up to 3 % of the financial envelope shall be indicatively allocated to cross-border cooperation programmes between the beneficiaries listed in Annex I and the Member States, in line with their needs and priorities.

*Amendment*

1. Up to 5 % of the financial envelope shall be indicatively allocated to cross-border cooperation programmes between the beneficiaries listed in Annex I and the Member States, in line with their needs and priorities. ***This shall include support for capacity building at local and regional level.***

### **Amendment 32**

#### **Proposal for a regulation Article 10 – paragraph 1 a (new)**

*Text proposed by the Commission*

*Amendment*

***1a. Where a Beneficiary has fully transposed relevant EU legislation, and has demonstrated the existence of administrative capacities to apply that legislation in practice, the European Commission may decide to permit the use of national rules for the selection of applications for funding and the award of contracts under IPA III, subject to ex-post controls, and the possibility to withdraw that permission in case of systemic irregularities.***

#### *Justification*

*The need to use the EU's Practical Guide (PRAG) for the award of grants and tenders under IPA considerably makes implementation considerably more complex and costly. This is especially true as regards socio-economic development actions (e.g. grant schemes, financial instruments, etc.) Overall, PRAG has limited relevance for Beneficiaries' preparations for implementing cohesion policy upon accession. Therefore, where a Beneficiary has*

*successfully implemented relevant EU legislation, it should be possible to apply the harmonised national rules instead of PRAG.*

### **Amendment 33**

#### **Proposal for a regulation Chapter 6 – title**

*Text proposed by the Commission*

MONITORING AND *EVALUATION*

*Amendment*

MONITORING, *EVALUATION* AND  
*VISIBILITY*

### **Amendment 34**

#### **Proposal for a regulation Article 12 – title**

*Text proposed by the Commission*

Monitoring, audit, evaluation and  
protection of the Union's financial interests

*Amendment*

Monitoring, audit, evaluation, *visibility* and  
protection of the Union's financial interests

### **Amendment 35**

#### **Proposal for a regulation Article 12 – paragraph 1 a (new)**

*Text proposed by the Commission*

*Amendment*

***1a. In addition, in each Beneficiary country, the Commission and the national authorities shall jointly set up an IPA III Monitoring Committee based on partnership, and a balanced representation of relevant national authorities, social partners, academia, and the representatives of civil society organisations. The Monitoring Committee shall meet at least once a year, and discuss***

***(a) the proposed priorities of IPA III in the beneficiary country in the context of the programming process;***

***(b) the progress of implementation,***

*any issues that affect the performance of IPA III and measures taken to address them;*

*(c) the contribution of IPA III to the process of EU accession and related socio-economic reforms;*

*(d) monitoring reports and evaluations on IPA III actions and programmes;*

*(e) communication and visibility actions;*

*(f) progress made in preparations for the implementation of EU cohesion policy upon accession.*

#### *Justification*

*The Chapter of the NDICI Regulation referred to has no specific provisions regarding the institutional framework of monitoring. To continue but also further develop existing IPA practice, that institutional framework should be built around a Monitoring Committee based on cohesion policy practice, with special regard to partnership with the relevant national stakeholders, including civil society.*

#### **Amendment 36**

##### **Proposal for a regulation**

##### **Article 12 – paragraph 5 a (new)**

*Text proposed by the Commission*

*Amendment*

**5a. Each Member State and beneficiary referred to in Annex I shall ensure that support under this instrument is made visible, in particular in connection with operations of strategic importance.**

#### **Amendment 37**

##### **Proposal for a regulation**

##### **Article 12 – paragraph 5 b (new)**

*Text proposed by the Commission*

*Amendment*

**5b. Member States, authorities and**



*beneficiaries referred to in Annex I shall use the emblem of the European Union when carrying out visibility and communication activities.*

#### **Amendment 38**

##### **Proposal for a regulation Article 12 – paragraph 5 c (new)**

*Text proposed by the Commission*

*Amendment*

*5c. In connection with support under this Regulation, each beneficiary referred to in Annex I shall designate a communication coordinator for visibility and communication activities. The communication coordinator shall coordinate communication and visibility activities and, in cooperation with the Commission, shall give practical effect to the visibility measures to be taken.*

#### **Amendment 39**

##### **Proposal for a regulation Article 12 – paragraph 5 d (new)**

*Text proposed by the Commission*

*Amendment*

*5d. The Commission shall run a network comprising communication coordinators and Commission representatives to exchange information on visibility and communication activities.*

#### **Amendment 40**

##### **Proposal for a regulation Article 12 – paragraph 5 e (new)**

*Text proposed by the Commission*

*Amendment*

*5e. Where the beneficiary does not comply with its obligations under paragraphs 5a, 5b and 5c, up to 5 % of*

*the support for the operation concerned may be cancelled.*

## Amendment 41

### Proposal for a regulation

#### Annex II – paragraph 1 – point a

*Text proposed by the Commission*

(a) Establishing and promoting from an early stage the proper functioning of the institutions necessary in order to secure the rule of law. Interventions in this area shall aim at: establishing independent, accountable and efficient judicial systems, including transparent and merit-based recruitment and promoting judicial cooperation, evaluation and promotion systems and effective disciplinary procedures in cases of wrongdoing; ensuring the establishment of robust systems to protect the borders, *manage* migration flows and provide asylum to those in need; developing effective tools to prevent and fight organised crime, trafficking in human beings, migrants smuggling, money laundering/financing of terrorism and corruption; promoting and protecting human rights, rights of persons belonging to minorities including Roma *as well as lesbian, gay, bisexual, transgender and intersex persons fundamental freedoms, including* freedom of the media and data protection.

*Amendment*

(a) Establishing and promoting from an early stage the proper functioning of the institutions necessary in order to secure the rule of law. Interventions in this area shall aim at: establishing independent, accountable and efficient judicial systems, including transparent and merit-based recruitment and promoting judicial cooperation, evaluation and promotion systems and effective disciplinary procedures in cases of wrongdoing; ensuring the establishment of robust systems to protect the borders, *stem* migration flows and provide asylum to those in need; developing effective tools to prevent and fight organised crime, trafficking in human beings, migrants smuggling, money laundering/financing of terrorism and corruption; promoting and protecting human rights, rights of persons belonging to *national, ethnic, linguistic and other* minorities including Roma, *protecting and promoting cultural and linguistic diversity*, freedom of the media and data protection.

## Amendment 42

### Proposal for a regulation

#### Annex II – paragraph 1 – point b

*Text proposed by the Commission*

(b) Reforming public administrations in line with the Principles of Public Administration. Interventions shall aim at: strengthening public administration reform

*Amendment*

(b) Reforming public administrations *at all levels*, in line with the Principles of Public Administration. Interventions shall aim at: strengthening public administration

frameworks; improving strategic planning and inclusive and evidence-based policy and legislative development; enhancing professionalisation and de-politicisation of public service by embedding meritocratic principles; promoting transparency and accountability; improving quality and delivery of services, including adequate administrative procedures and the use of citizen centred eGovernment; strengthening public financial management and the production of reliable statistics.

reform frameworks; improving strategic planning and inclusive and evidence-based policy and legislative development; enhancing professionalisation and de-politicisation of public service by embedding meritocratic principles; promoting transparency and accountability; improving quality and delivery of services, including adequate administrative procedures and the use of citizen centred eGovernment; strengthening public financial management and the production of reliable statistics; ***strengthening decentralisation.***

### Amendment 43

#### Proposal for a regulation Annex II – paragraph 1 – point c

*Text proposed by the Commission*

(c) Strengthening economic governance: Interventions shall aim at supporting participation in the economic reform programme (ERP) process and systematic cooperation with international financial institutions on fundamentals of economic policy. Enhancing the capacity to strengthen macroeconomic stability and supporting progress towards becoming a functioning market economy with the capacity to cope with competitive pressures and market forces within the Union;

*Amendment*

(c) Strengthening economic governance: Interventions shall aim at supporting participation in the economic reform programme (ERP) process and systematic cooperation with international financial institutions on fundamentals of economic policy. Enhancing the capacity to strengthen macroeconomic stability and supporting progress towards becoming a functioning market economy, ***including strengthening entrepreneurship***, with the capacity to cope with competitive pressures and market forces within the Union;

### Amendment 44

#### Proposal for a regulation Annex II – paragraph 1 – point d

*Text proposed by the Commission*

(d) Strengthening the Union and its partners' capacity to prevent conflict, build peace and address pre-and post-crisis including through early warning and

*Amendment*

(d) Strengthening the Union and its partners' capacity to prevent conflict, build peace ***and stability***, and address pre-and post-crisis including through early warning

conflict-sensitive risk analysis; promoting people to people networking, reconciliation, peace-building and confidence-building measures, supporting capacity building in support of security and development (CBSD) actions.

and conflict-sensitive risk analysis; promoting people to people networking, reconciliation ***and good neighbourly relations***, peace-building and confidence-building measures, supporting capacity building in support of security and development (CBSD) actions; ***contributing to the defence and cyber defence of the beneficiaries listed in Annex I; strengthening the capabilities of strategic communication to foster systematic uncovering of disinformation.***

#### **Amendment 45**

##### **Proposal for a regulation Annex II – paragraph 1 – point e**

*Text proposed by the Commission*

(e) Strengthening the capacities of civil society organisations and social partners' organisations, including professional associations, in beneficiaries listed in Annex I and encouraging networking at all levels among Union-based organisations and those of beneficiaries listed in Annex I, enabling them to engage in an effective dialogue with public and private actors.

*Amendment*

(e) Strengthening the capacities of civil society organisations, ***independent media*** and social partners' organisations, including professional associations, in beneficiaries listed in Annex I and encouraging networking at all levels among Union-based organisations and those of beneficiaries listed in Annex I, enabling them to engage in an effective dialogue with public and private actors.

#### **Amendment 46**

##### **Proposal for a regulation Annex II – paragraph 1 – point f a (new)**

*Text proposed by the Commission*

***(fa) Promoting local and regional governance and supporting local and regional authorities in connection with planning and administration.***

## Amendment 47

### Proposal for a regulation Annex II – paragraph 1 – point g

*Text proposed by the Commission*

(g) Strengthening access to and quality of education, training and lifelong learning at all levels, and offering support to cultural and creative sectors. Interventions in this area shall aim at: promoting equal access to quality early-childhood education and care, primary and secondary education, improving the provision of basic skills; increasing educational attainment levels, reducing early school-leaving and reinforcing teachers' training. Developing vocational education and training (VET) systems and promoting work-based learning systems to facilitate the transition to the labour market; improving the quality and relevance of higher education; encouraging alumni related activities; enhancing access to lifelong learning and supporting investment in education and training infrastructure particularly with a view to reducing territorial disparities and fostering non-segregated education and including through the use of digital technologies.

## Amendment 48

### Proposal for a regulation Annex II – paragraph 1 – point h

*Text proposed by the Commission*

(h) Fostering quality employment and access to the labour market. Interventions in this area shall aim at: tackling high unemployment and inactivity by supporting sustainable labour market integration in particular of young people (especially those not in employment, education or training (NEET)), women, long-term unemployed and all under-

*Amendment*

(g) Strengthening access to and quality of education, training and lifelong learning at all levels, and offering support to *digital*, cultural and creative sectors. Interventions in this area shall aim at: promoting equal access to quality early-childhood education and care, primary and secondary education, improving the provision of basic skills; increasing educational attainment levels, reducing early school-leaving and reinforcing teachers' training. Developing vocational education and training (VET) systems and promoting work-based learning systems to facilitate the transition to the labour market; improving the quality and relevance of higher education; encouraging alumni related activities; enhancing access to lifelong learning and supporting investment in education and training infrastructure particularly with a view to reducing territorial disparities and fostering non-segregated education and including through the use of digital technologies.

*Amendment*

(h) Fostering quality employment and access to the labour market. Interventions in this area shall aim at: tackling high unemployment and inactivity by supporting sustainable labour market integration in particular of young people (especially those not in employment, education or training (NEET)), women, long-term unemployed and all under-

represented groups. Measures shall stimulate quality job creation and support the effective enforcement of labour rules and standards across the entire territory. Other key areas of intervention shall be to support gender equality, promoting employability and productivity, the adaptation of workers and enterprises to change, the establishment of a sustainable social dialogue and the modernisation and strengthening of labour market institutions such as public employment services and labour inspectorates.

represented groups. Measures shall stimulate quality job creation and support the effective enforcement of labour rules and standards across the entire territory. Other key areas of intervention shall be to support ***the promotion of entrepreneurship and self-employment***, gender equality, promoting employability and productivity, the adaptation of workers and enterprises to change, the establishment of a sustainable social dialogue and the modernisation and strengthening of labour market institutions such as public employment services and labour inspectorates.

## Amendment 49

### Proposal for a regulation Annex II – paragraph 1 – point i

#### *Text proposed by the Commission*

(i) Promoting social protection and inclusion and combating poverty. Interventions in this area shall aim at modernising social protection systems to provide effective, efficient, and adequate protection throughout all stages of a person's life, fostering social inclusion, promoting equal opportunities and addressing inequalities and poverty. Interventions in this area shall also focus on: integrating marginalised communities such as the Roma; combating discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation; enhancing access to affordable, sustainable and high quality services, such as early childhood education and care, housing, healthcare and essential social services and long term care, including through the modernisation of social protection systems.

#### *Amendment*

(i) Promoting social protection and inclusion and combating poverty. Interventions in this area shall aim at modernising social protection systems to provide effective, efficient, and adequate protection throughout all stages of a person's life, fostering social inclusion, promoting equal opportunities and addressing inequalities and poverty. Interventions in this area shall also focus on: integrating marginalised communities such as the Roma; combating discrimination based on sex, racial or ethnic origin, ***nationality, language***, religion or belief, disability, age or sexual orientation; enhancing access to affordable, sustainable and high quality services, such as early childhood education and care, housing, healthcare and essential social services and long term care, including through the modernisation of social protection systems.

## Amendment 50

### Proposal for a regulation Annex II – paragraph 1 – point j

*Text proposed by the Commission*

(j) Promoting smart, sustainable, inclusive, safe transport and removing bottlenecks in key network infrastructures, by investing in projects with high EU value-added. The investments should be prioritised according to their relevance to TEN-T connections with the EU, contribution to sustainable mobility, reduced emissions, environmental impact, safe mobility, in synergy with the reforms promoted by the Transport Community Treaty.

*Amendment*

(j) Promoting smart, sustainable, inclusive, safe transport and removing bottlenecks in key network infrastructures, by investing in projects with high EU value-added. The investments should be prioritised according to their relevance to TEN-T connections with the EU, **cross-border links**, contribution to sustainable mobility, reduced emissions, environmental impact, safe mobility, in synergy with the reforms promoted by the Transport Community Treaty.

## Amendment 51

### Proposal for a regulation Annex II – paragraph 1 – point k

*Text proposed by the Commission*

(k) Improving the private-sector environment and competitiveness of enterprises, including smart specialisation, as key drivers of growth, job creation and cohesion. Priority shall be given to projects which improve the business environment.

*Amendment*

(k) Improving the private-sector environment and competitiveness of enterprises **and entrepreneurship**, including smart specialisation, as key drivers of growth, job creation and cohesion. Priority shall be given to projects which improve the business environment.

## Amendment 52

### Proposal for a regulation Annex II – paragraph 1 – point m

*Text proposed by the Commission*

(m) Contributing to the security and safety of food supply and the maintenance of diversified and viable farming systems in vibrant rural communities and the countryside.

*Amendment*

(m) Contributing to the security and safety of food **and water** supply and the maintenance of diversified and viable farming systems in vibrant rural communities and the countryside.

## Amendment 53

### Proposal for a regulation Annex III – paragraph 1 – point a

*Text proposed by the Commission*

(a) promoting employment, labour mobility and social and cultural inclusion across borders through, inter alia: integrating cross-border labour markets, including cross-border mobility; joint local employment initiatives; information and advisory services and joint training; gender equality; equal opportunities; integration of immigrants' communities and vulnerable groups; investment in public employment services; and supporting investment in public health and social services;

*Amendment*

(a) promoting employment, labour mobility and social and cultural inclusion across borders through, inter alia: integrating cross-border labour markets, including cross-border mobility; joint local employment initiatives; information and advisory services and joint training; gender equality; equal opportunities; ***promotion of linguistic and cultural diversity***; integration of immigrants' communities and vulnerable groups; investment in public employment services; and supporting investment in public health and social services;

## Amendment 54

### Proposal for a regulation Annex III – paragraph 1 – point e

*Text proposed by the Commission*

(e) encouraging tourism and cultural and natural heritage;

*Amendment*

(e) encouraging tourism, ***sport*** and cultural and natural heritage;



## PROCEDURE – COMMITTEE ASKED FOR OPINION

<b>Title</b>	Establishing the Instrument for Pre-accession Assistance (IPA III)
<b>References</b>	COM(2018)0465 – C8-0274/2018 – 2018/0247(COD)
<b>Committee responsible</b> Date announced in plenary	AFET 2.7.2018
<b>Opinion by</b> Date announced in plenary	REGI 2.7.2018
<b>Rapporteur</b> Date appointed	Joachim Zeller 20.6.2018
<b>Discussed in committee</b>	15.11.2018
<b>Date adopted</b>	17.1.2019
<b>Result of final vote</b>	+: 31 –: 1 0: 3
<b>Members present for the final vote</b>	Pascal Arimont, Franc Bogovič, Rosa D’Amato, Tamás Deutsch, Aleksander Gabelic, Iratxe García Pérez, Michela Giuffrida, Marc Joulaud, Sławomir Kłosowski, Constanze Krehl, Louis-Joseph Manscour, Martina Michels, Iskra Mihaylova, Andrey Novakov, Younous Omarjee, Konstantinos Papadakis, Mirosław Piotrowski, Stanislav Polčák, Liliana Rodrigues, Fernando Ruas, Monika Smolková, Ruža Tomašić, Ramón Luis Valcárcel Siso, Monika Vana, Matthijs van Miltenburg, Lambert van Nistelrooij, Derek Vaughan, Kerstin Westphal, Joachim Zeller
<b>Substitutes present for the final vote</b>	Andor Deli, John Howarth, Ivana Maletić, Bronis Ropé, Maria Gabriela Zoană, Damiano Zoffoli

## FINAL VOTE BY ROLL CALL IN COMMITTEE ASKED FOR OPINION

<b>31</b>	<b>+</b>
ALDE	Iskra Mihaylova, Matthijs van Miltenburg
ECR	Sławomir Kłosowski, Mirosław Piotrowski, Ruža Tomašić
EFDD	Rosa D'Amato
PPE	Pascal Arimont, Franc Bogovič, Andor Deli, Marc Joulaud, Ivana Maletić, Lambert van Nistelrooij, Andrey Novakov, Stanislav Polčák, Fernando Ruas, Ramón Luis Valcárcel Siso, Joachim Zeller
S&D	Aleksander Gabelic, Iratxe García Pérez, Michela Giuffrida, John Howarth, Constanze Krehl, Louis-Joseph Manscour, Liliana Rodrigues, Monika Smolková, Derek Vaughan, Kerstin Westphal, Maria Gabriela Zoană, Damiano Zoffoli
VERTS/ALE	Bronis Ropė, Monika Vana

<b>1</b>	<b>-</b>
NI	Konstantinos Papadakis

<b>3</b>	<b>0</b>
GUE/NGL	Martina Michels, Younous Omarjee
PPE	Tamás Deutsch

Key to symbols:

+ : in favour

- : against

0 : abstention

23.1.2019

## OPINION OF THE COMMITTEE ON CIVIL LIBERTIES, JUSTICE AND HOME AFFAIRS

for the Committee on Foreign Affairs

on the proposal for a regulation of the European Parliament and of the Council establishing the Instrument for Pre-accession Assistance (IPA III) (COM(2018)0465 – C8-0274/2018 – 2018/0247(COD))

Rapporteur for opinion: Bodil Valero

### AMENDMENTS

The Committee on Civil Liberties, Justice and Home Affairs calls on the Committee on Foreign Affairs, as the committee responsible, to take into account the following amendments:

#### Amendment 1

##### Proposal for a regulation

##### Recital 1

*Text proposed by the Commission*

(1) Regulation (EU) No 231/2014<sup>14</sup> expires on 31 December 2020. In order to maintain the *Union's* effectiveness *in external actions, a framework for planning and delivering* external assistance should be maintained.

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<sup>14</sup> Regulation (EU) No 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument for Pre-accession Assistance (IPA II) (OJ L 77, 15.3.2014, p. 11).

*Amendment*

(1) Regulation (EU) No 231/2014<sup>14</sup> expires on 31 December 2020. In order to maintain the effectiveness *of the Union's enlargement policy, it should continue to be supported by a specific funding instrument for financing* external action.

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<sup>14</sup> Regulation (EU) No 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument for Pre-accession Assistance (IPA II) (OJ L 77, 15.3.2014, p. 11).

## Amendment 2

### Proposal for a regulation

#### Recital 3

*Text proposed by the Commission*

(3) Article 49 of the Treaty on European Union (TEU) provides that any European state which respects the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities, and commits to promote these values, may apply to become a member of the Union. A European State which has applied to join the Union can become a member only when it has been confirmed that it meets the membership criteria established at the Copenhagen European Council in June 1993 (the ‘Copenhagen criteria’) and provided that the Union has the capacity to integrate the new member. The Copenhagen criteria relate to the stability of institutions guaranteeing democracy, the rule of law, human rights and respect for and protection of minorities, the existence of a functioning market economy as well as the capacity to cope with competitive pressure and market forces within the Union, and the ability to assume not only the rights but also the obligations under the Treaties, including adherence to the aims of political, economic and monetary union.

*Amendment*

(3) Article 49 of the Treaty on European Union (TEU) provides that any European state which respects the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities, and commits to promote these values, may apply to become a member of the Union. A European State which has applied to join the Union can become a member only when it has been confirmed that it **fully** meets the membership criteria established at the Copenhagen European Council in June 1993 (the ‘Copenhagen criteria’) and provided that the Union has the capacity to integrate the new member. The Copenhagen criteria relate to the stability of institutions guaranteeing democracy, the rule of law, human rights and respect for and protection of minorities, the existence of a functioning market economy as well as the capacity to cope with competitive pressure and market forces within the Union, and the ability to assume not only the rights but also the obligations under the Treaties, including adherence to the aims of political, economic and monetary union.

## Amendment 3

### Proposal for a regulation

#### Recital 4

*Text proposed by the Commission*

(4) The enlargement process is built on established criteria and fair and rigorous conditionality. Each beneficiary is assessed on the basis of its own merits. The assessment of progress achieved and the

*Amendment*

(4) The enlargement process is built on established criteria and fair and rigorous conditionality. Each beneficiary is assessed on the basis of its own merits. The assessment of progress achieved and the

identification of shortcomings aim to provide incentives and guidance to the beneficiaries listed in Annex I to pursue the necessary far-reaching reforms. For the prospect of enlargement to become a reality, a firm commitment to the principle of the 'fundamentals first'<sup>15</sup> remains essential. **Progression** towards accession depends on each applicant's respect for the Union's values and its capacity to undertake the necessary reforms to align its political, institutional, legal, administrative and economic systems with the rules, standards, policies and practices in the Union.

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<sup>15</sup> The 'fundamentals first' approach links rule of law and fundamental rights with the two other crucial areas of the accession process: economic governance – strengthened focus on economic development and improved competitiveness – and the strengthening of democratic institutions and public administration reform. Each of the three fundamentals is of crucial importance for the reform processes in the candidate countries and potential candidates and addresses key concerns of the citizens.

#### Amendment 4

##### Proposal for a regulation

##### Recital 5

*Text proposed by the Commission*

(5) The enlargement policy of the Union is an investment in peace, security **and** stability in Europe. It provides increased economic and trade opportunities to the mutual benefit of the Union and the aspiring Member States. The prospect of Union membership **has** a powerful

identification of shortcomings aim to provide incentives and guidance to the beneficiaries listed in Annex I to pursue the necessary far-reaching reforms. For the prospect of enlargement to become a reality, a firm commitment to the principle of the 'fundamentals first'<sup>15</sup> remains essential. **Furthermore, good neighbourly relations and regional cooperation are also essential elements of the enlargement process.** **Progress** towards accession depends on each applicant's respect for the Union's values and its capacity to undertake the necessary reforms to align its political, institutional, legal, administrative and economic systems with the rules, standards, policies and practices in the Union.

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<sup>15</sup> The 'fundamentals first' approach links rule of law and fundamental rights with the two other crucial areas of the accession process: economic governance – strengthened focus on economic development and improved competitiveness – and the strengthening of democratic institutions and public administration reform. Each of the three fundamentals is of crucial importance for the reform processes in the candidate countries and potential candidates and addresses key concerns of the citizens.

*Amendment*

(5) The enlargement policy of the Union is an investment in peace, security, stability **and prosperity** in Europe. It provides increased economic and trade opportunities to the mutual benefit of the Union and the aspiring Member States. The prospect of Union membership **can have** a

transformative effect, embedding positive democratic, political, economic and societal change.

powerful transformative effect, embedding positive democratic, political, economic and societal change. ***This potential should be tapped into to the highest possible degree.***

## Amendment 5

### Proposal for a regulation

#### Recital 7

##### *Text proposed by the Commission*

(7) Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I. Assistance should mainly focus on assisting the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. Assistance should also support the key principles and rights as defined in the European Pillar of Social Rights.<sup>17</sup> Assistance should continue to support their efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies. It should also enhance their economic and social development and economic governance, underpinning a smart, sustainable and inclusive growth agenda, including through implementation of regional development, agriculture and rural development, social and employment policies and the development of the digital economy and society, also in line with the flagship initiative Digital Agenda for the Western Balkans.

##### *Amendment*

(7) Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I. Assistance should mainly focus on assisting the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental ***human rights, including the rights of persons belonging to minorities, protect minorities***, promote gender equality, tolerance, social inclusion and non-discrimination, ***protect human rights' defenders, whistle-blowers and civil society***, and support ***initiatives that promote transparency, accountability, integrity and the fight against corruption***. Assistance should also support ***adherence to*** the key principles and rights as defined in the European Pillar of Social Rights.<sup>17</sup> Assistance should continue to support their efforts to advance regional, macro-regional and cross-border cooperation, ***including across maritime borders***, as well as territorial development, including through implementation of Union macro-regional strategies, ***such as the Danube Strategy. It should also support good neighbourly relations, reconciliation and regional cooperation***. It should also enhance their economic and social development and economic governance, underpinning a smart, sustainable and inclusive growth agenda, including through implementation

of regional development, agriculture and rural development, social and employment policies *by the development of SMEs* and the development of the digital economy and society, also in line with the flagship initiative Digital Agenda for the Western Balkans.

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<sup>17</sup> European Pillar of Social Rights solemnly proclaimed by the European Parliament, the Council and the Commission at the Gothenburg Social Summit for Fair Jobs and Growth, Gothenburg 17 November 2017.

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<sup>17</sup> European Pillar of Social Rights solemnly proclaimed by the European Parliament, the Council and the Commission at the Gothenburg Social Summit for Fair Jobs and Growth, Gothenburg 17 November 2017.

## Amendment 6

### Proposal for a regulation Recital 8

#### *Text proposed by the Commission*

(8) The Union should provide support to the transition towards accession for the benefit of the beneficiaries listed in Annex I, based on the experience of its Member States. This cooperation should focus in particular on the sharing of experience acquired by the Member States in the reform process.

#### *Amendment*

(8) The Union should provide support to the transition towards accession for the benefit of the beneficiaries listed in Annex I, based on the experience of its Member States. This cooperation should focus in particular on the sharing of experience acquired by the Member States in the ***political, social and economic*** reform process.

## Amendment 7

### Proposal for a regulation Recital 9

#### *Text proposed by the Commission*

(9) Enhanced strategic and operational cooperation between the Union and the beneficiaries listed in Annex I on security is pivotal to addressing effectively and efficiently security ***and*** terrorism threats.

#### *Amendment*

(9) Enhanced strategic and operational cooperation between the Union and the beneficiaries listed in Annex I on security is pivotal to addressing effectively and efficiently security ***threats, including serious crime, organised crime, terrorism and other threats to stability and peace***

*within Member States.*

## **Amendment 8**

### **Proposal for a regulation Recital 10**

*Text proposed by the Commission*

(10) It is essential to further step up cooperation on migration including border management, ensuring access to international protection, sharing relevant information, strengthening the development benefits of migration, facilitating legal and labour migration, enhancing border control and pursuing our effort in the fight against irregular migration, trafficking in human beings *and* migrant smuggling.

*Amendment*

(10) It is essential to further step up cooperation on migration including border management, ensuring access to international protection, sharing relevant information, strengthening the development benefits of migration, facilitating legal and labour migration, enhancing border control and pursuing our effort in the fight against irregular migration, trafficking in human beings, migrant smuggling *and terrorism*.

## **Amendment 9**

### **Proposal for a regulation Recital 10 a (new)**

*Text proposed by the Commission*

*Amendment*

*(10a) It is essential to promote social protection and social inclusion as part of cooperation between the Union and the beneficiaries listed in Annex I. Interventions in this area should seek to promote inclusive, effective, efficient, and adequate social protection systems, fostering social inclusion, promoting equal opportunities and addressing inequalities and poverty.*

## **Amendment 10**

### **Proposal for a regulation Recital 11**

*Text proposed by the Commission*

*Amendment*



(11) Strengthening the rule of law, including the fight against corruption and organised crime, and good governance, including public administration reform, remain key challenges in most of the beneficiaries listed in Annex I and are essential in order for beneficiaries to come closer to the Union and later to fully assume the obligations of Union membership. In view of the longer-term nature of the reforms pursued in those areas and the need to build up track records, financial assistance under this Regulation should address the requirements placed on the beneficiaries listed in Annex I as early as possible.

(11) Strengthening the rule of law, including ***by ensuring the independence of the judiciary, democracy and fundamental rights, safeguarding and promoting the independence of the media, transparency and non-arbitrariness in decision making by public authorities and law enforcement, by providing support for independent human rights' defenders and civil society organisations undertaking monitoring compliance with the rule of law, whistle-blower defence and by supporting initiatives that promote transparency, accountability, integrity, and the fight against corruption and organised crime, prevent radicalisation and terrorism and enhance*** good governance, including public administration reform, remain key challenges in most of the beneficiaries listed in Annex I and are essential in order for beneficiaries to come closer to the Union and later to fully assume the obligations of Union membership. In view of the longer-term nature of the reforms pursued in those areas and the need to build up track records, financial assistance under this Regulation should address the requirements placed on the beneficiaries listed in Annex I as early as possible.

## **Amendment 11**

### **Proposal for a regulation**

#### **Recital 11 a (new)**

*Text proposed by the Commission*

*Amendment*

***(11a) In view of the ethnic complexity of the Western Balkans region and its recent turbulent history of ethnic relations, the protection of national, ethnic and linguistic minorities is of particular importance. In order for minority protection to become a force for stability in candidate and potential candidate countries, the Union should support governments in the adoption, monitoring***

*and effective application of legal minority protection frameworks based on relevant international norms. In this, the Union should capitalise the lessons learnt during and after previous accession negotiations.*

## **Amendment 12**

### **Proposal for a regulation Recital 11 b (new)**

*Text proposed by the Commission*

*Amendment*

*(11b) The situation of the Roma remains particularly problematic in most of the candidate and potential candidate countries, where they continue to suffer from pervasive discrimination, miserable living conditions, inadequate access to basic social services and extremely high rates of illiteracy and early school leaving, which in turn exacerbates their social exclusion. IPA III should assist in the provision of well-targeted and strategy-based support for improving the situation of the Roma in the beneficiary countries.*

## **Amendment 13**

### **Proposal for a regulation Recital 12 a (new)**

*Text proposed by the Commission*

*Amendment*

*(12a) Assistance should be provided as well to further strengthen the minority rights aspect, improving multi-cultural understanding and peaceful co-existence.*

## **Amendment 14**

### **Proposal for a regulation Recital 13**

*Text proposed by the Commission*

*Amendment*

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme are expected to contribute 16 % of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

(13) The beneficiaries listed in Annex I need to be better prepared to address global challenges, such as **poverty**, sustainable development and climate change, and align with the Union's efforts to address those issues. Reflecting the importance of tackling climate change in line with the Union's commitments to implement the Paris Agreement and the Sustainable Development Goals (SDGs), this Programme should contribute to mainstream climate action in the Union's policies and to the achievement of an overall target of 25 % of the EU budget expenditures supporting climate objectives. Actions under this Programme are expected to contribute 16 % of the overall financial envelope of the Programme to climate objectives. Relevant actions will be identified during the Programme's preparation and implementation, and the overall contribution from this Programme should be part of relevant evaluations and review processes.

## Amendment 15

### Proposal for a regulation

#### Recital 16

##### *Text proposed by the Commission*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of their assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity, including through regular consultations, with other donors. The role of civil society should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union assistance.

##### *Amendment*

(16) The Commission and the Member States should ensure compliance, coherence, and complementarity of their assistance, in particular through regular consultations and frequent exchanges of information during the different phases of the assistance cycle. The necessary steps should also be taken to ensure better coordination and complementarity, including through regular consultations, with other donors. The role of civil society, **including women, LGBTI and minority human rights organisations**, should be enhanced both in programmes implemented through government bodies and as a direct beneficiary of Union

assistance.

## Amendment 16

### Proposal for a regulation

#### Recital 17

*Text proposed by the Commission*

(17) The priorities for action towards meeting objectives in the relevant policy areas which will be supported under this Regulation should be defined in a programming framework established by the Commission for the duration of the Union multiannual financial framework for the period from 2021 to 2027 in partnership with the beneficiaries listed in Annex I, based on the enlargement agenda and their specific needs, in line with the general and specific objectives defined by this Regulation and taking relevant national strategies into due account. The programming framework should identify the areas to be supported through assistance with an indicative allocation per area of support, including an estimate of climate-related expenditure.

*Amendment*

(17) The priorities for action towards meeting objectives in the relevant policy areas which will be supported under this Regulation should be defined in a programming framework established by the Commission for the duration of the Union multiannual financial framework for the period from 2021 to 2027 in partnership with the beneficiaries listed in Annex I, based on the enlargement agenda and their specific needs, in line with the general and specific objectives defined by this Regulation and taking relevant national strategies **and resolutions of the European Parliament** into due account. The programming framework should identify the areas to be supported through assistance with an indicative allocation per area of support, including an estimate of climate-related expenditure.

## Amendment 17

### Proposal for a regulation

#### Recital 18

*Text proposed by the Commission*

(18) It is in the **Union's** interest **to assist** the beneficiaries listed in Annex I in their efforts to reform with a view to Union membership. Assistance should be managed with a strong focus on results and with incentives for those who demonstrate their commitment to reform through efficient implementation of pre-accession assistance and progress towards meeting the membership criteria.

*Amendment*

(18) It is in the **common** interest **of the Union and** the beneficiaries listed in Annex I **to assist the beneficiaries** in their efforts to reform with a view to Union membership. Assistance should be managed with a strong focus on results and with incentives for those who demonstrate their commitment to reform through efficient implementation of pre-accession assistance and progress towards meeting

the membership criteria *and values of the Union*.

## **Amendment 18**

### **Proposal for a regulation Recital 18 a (new)**

*Text proposed by the Commission*

*Amendment*

*(18a) There should be clear consequences in cases of serious deterioration with respect to the rule of law, democracy, human rights and fundamental freedoms in a candidate or potential candidate country or where the beneficiary violates the commitments taken in the relevant agreements concluded with the Union. In such cases, without prejudice to the budgetary procedure and the provisions on suspension of aid in international agreements with beneficiaries, the power to adopt delegated acts in accordance with Article 290 of the Treaty on the Functioning of the European Union should be delegated to the Commission to amend Annex I to this Regulation with a view to suspend or partially suspend Union assistance. When taking such decisions, the Commission should ensure that financial support for actions directly benefitting the citizens, in particular those run by non-governmental actors directly related to the strengthening of the rule of law, democracy, human rights and fundamental freedoms, remains possible. Where the Commission finds that the reasons justifying the suspension of assistance no longer apply, it should be empowered to adopt delegated acts to amend Annex I with a view to reinstate Union assistance.*

## **Amendment 19**

### **Proposal for a regulation**

## Recital 19

*Text proposed by the Commission*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries listed in Annex I should be progressive and in line with the respective capacities of those beneficiaries. Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process.

*Amendment*

(19) The transition from direct management of pre-accession funds by the Commission to indirect management by the beneficiaries listed in Annex I should be progressive and in line with the respective capacities of those beneficiaries ***and with full fiduciary safeguards applied, including but not limited to: transparent accounting and tendering procedures; and external periodical review by OLAF.*** Assistance should continue to make use of the structures and instruments that have proved their worth in the pre-accession process. ***Special attention needs to be paid to providing assistance for improving the absorption capacity of the beneficiary countries.***

## Amendment 20

### Proposal for a regulation

#### Recital 20

*Text proposed by the Commission*

(20) The Union should seek the most efficient use of available resources in order to optimise the impact of its external action. That should be achieved through coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes. This includes, where relevant, coherence and complementarity with macro-financial assistance.

*Amendment*

(20) The Union should seek the most efficient use of available resources in order to optimise the impact of its external action. That should be achieved, ***in order to avoid the overlapping with other existing external financing instruments,*** through coherence and complementarity among the Union's external financing instruments, as well as the creation of synergies with other Union policies and programmes. This includes, where relevant, coherence and complementarity with macro-financial assistance.

## Amendment 21

### Proposal for a regulation

#### Recital 26

*Text proposed by the Commission*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to global **challenges** such as human rights, democracy and good governance, security and stability, climate change and environment **and irregular** migration and its **root causes**. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial implementation of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

**Amendment 22**

**Proposal for a regulation**  
**Recital 31 a (new)**

*Text proposed by the Commission*

*Amendment*

(26) External actions are often implemented in a highly volatile environment requiring a continuous and rapid adaptation to the evolving needs of Union partners and to **issues that require action in solidarity on the global level**, such as human rights, democracy and good governance, security and stability, climate change and environment, migration and its **multiple drivers, and terrorism**. Reconciling the principle of predictability with the need to react rapidly to new needs consequently means adapting the financial implementation of the programmes. To increase the ability of the Union to respond to unforeseen needs, while respecting the principle that the Union budget is set annually, this Regulation should preserve the possibility to apply the flexibilities already allowed by the Financial Regulation for other policies, namely carry-overs and re-commitments of committed funds, to ensure an efficient use of the EU funds both for the EU citizens and the beneficiaries listed in Annex I, thus maximising the EU funds available for the EU external action interventions.

**(31a) Transparency, communication and visibility activities are essential to raise awareness about Union actions on the ground. In order to raise awareness in the general public, the Commission, the Union delegations and beneficiaries should communicate clearly and effectively about the use of pre-accession assistance in beneficiary countries by outlining their objectives, use and results.**

*The beneficiaries of Union funding should acknowledge the origin of the Union funding and ensure its proper visibility. IPA III should contribute to financing communication actions to promote the results of the Union's assistance to multiple audiences in the beneficiary countries.*

## **Amendment 23**

### **Proposal for a regulation**

#### **Recital 32**

*Text proposed by the Commission*

(32) In order to take account of changes in the enlargement policy framework or of significant developments in the beneficiaries listed in Annex I, the power to adopt acts in accordance with Article 290 of the Treaty on the Functioning of the European Union should be delegated to the Commission in respect of adapting and updating the thematic priorities for assistance listed in Annexes II and III. It is of particular importance that the Commission carry out appropriate consultations during its preparatory work, including at expert level, and that those consultations be conducted in accordance with the principles laid down in the Interinstitutional Agreement on Better Law-Making of 13 April 2016. In particular, to ensure equal participation in the preparation of delegated acts, the European Parliament and the Council receive all documents at the same time as Member States' experts, and their experts systematically have access to meetings of Commission expert groups dealing with the preparation of delegated acts.

*Amendment*

(32) In order to take account of changes in the enlargement policy framework or of significant developments in the beneficiaries listed in Annex I, the power to adopt acts in accordance with Article 290 of the Treaty on the Functioning of the European Union should be delegated to the Commission in respect of adapting and updating the thematic priorities for assistance listed in Annexes II and III. It is of particular importance that the Commission carry out appropriate consultations during its preparatory work, including at expert *and civil society* level, and that those consultations be conducted in accordance with the principles laid down in the Interinstitutional Agreement on Better Law-Making of 13 April 2016. In particular, to ensure equal participation in the preparation of delegated acts, the European Parliament and the Council receive all documents at the same time as Member States' experts, and their experts systematically have access to meetings of Commission expert groups dealing with the preparation of delegated acts.

## **Amendment 24**

### **Proposal for a regulation**

#### **Article 3 – paragraph 2 – introductory part**



*Text proposed by the Commission*

2. IPA III shall have following specific objectives:

*Amendment*

2. IPA III shall have **the** following specific objectives:

**Amendment 25**

**Proposal for a regulation**

**Article 3 – paragraph 2 – point a**

*Text proposed by the Commission*

(a) To strengthen the rule of law, democracy, the respect of human rights, fundamental rights and international law, civil society **and security as well as improve migration management including border management;**

*Amendment*

(a) To strengthen the rule of law, democracy **and** the respect of human rights, fundamental rights and international law, **support the independence of the judiciary and effective judicial protection, protect minorities, and provide support for independent human rights defenders, whistle-blowers and civil society organisations undertaking monitoring compliance with the rule of law and support initiatives that promote independence of the media, transparency, accountability, integrity and the fight against corruption;**

**Amendment 26**

**Proposal for a regulation**

**Article 3 – paragraph 2 – point b**

*Text proposed by the Commission*

(b) To reinforce the effectiveness of public administration and support structural reforms and good governance at all levels;

*Amendment*

(b) To reinforce the **quality, effectiveness, transparency and accountability** of public administration, **promote transparency and non-arbitrariness by public authorities and law enforcement** and support structural reforms and good governance at all levels;

## Amendment 27

### Proposal for a regulation

#### Article 3 – paragraph 2 – point d a (new)

*Text proposed by the Commission*

*Amendment*

***(da) To strengthen social protection and social inclusion, including through promoting equal opportunities and addressing inequalities and poverty, ensuring access to international protection, facilitating legal and labour migration and integrating marginalised communities such as migrants and the Roma;***

## Amendment 28

### Proposal for a regulation

#### Article 3 – paragraph 2 – point d b (new)

*Text proposed by the Commission*

*Amendment*

***(db) To reinforce conflict prevention and to promote reconciliation, peace-building, good neighbourly relations, as well as people-to-people contacts and communication;***

## Amendment 29

### Proposal for a regulation

#### Article 3 – paragraph 2 – point e

*Text proposed by the Commission*

*Amendment*

(e) To support territorial and cross-border cooperation.

(e) To support territorial and cross-border cooperation, ***as well as to improve and strengthen strategic and operational cooperation with the Union on border management and on security issues in view of countering threats posed by organised crime, terrorism and cyber-crime.***

## Amendment 30

### Proposal for a regulation

#### Article 5 – paragraph 4

*Text proposed by the Commission*

4. Assistance under IPA III may be provided to the type of actions provided for under the European Regional Development Fund and the Cohesion Fund<sup>30</sup>, the European Social Fund Plus<sup>31</sup> **and** the European Agricultural Fund for Rural Development<sup>32</sup>.

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<sup>30</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund.

<sup>31</sup> COM(2018) 382 final Proposal of the European Parliament and of the Council on the European Social Fund Plus (ESF+)

<sup>32</sup> COM(2018) 392 final Proposal for a Regulation of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council.

*Amendment*

4. Assistance under IPA III may be provided to the type of actions provided for under the European Regional Development Fund and the Cohesion Fund<sup>30</sup>, the European Social Fund Plus<sup>31</sup>, the European Agricultural Fund for Rural Development<sup>32</sup> **and the Justice, Rights and Values Fund.**

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<sup>30</sup> COM(2018) 372 final Proposal for a Regulation of the European Parliament and of the Council on the European Regional Development Fund and on the Cohesion Fund.

<sup>31</sup> COM(2018) 382 final Proposal of the European Parliament and of the Council on the European Social Fund Plus (ESF+)

<sup>32</sup> COM(2018) 392 final Proposal for a Regulation of the European Parliament and of the Council establishing rules on support for strategic plans to be drawn up by Member States under the Common agricultural policy (CAP Strategic Plans) and financed by the European Agricultural Guarantee Fund (EAGF) and by the European Agricultural Fund for Rural Development (EAFRD) and repealing Regulation (EU) No 1305/2013 of the European Parliament and of the Council and Regulation (EU) No 1307/2013 of the European Parliament and of the Council.

## Amendment 31

### Proposal for a regulation

#### Article 6 – paragraph 2

*Text proposed by the Commission*

2. Programmes and actions under this

*Amendment*

2. Programmes and actions under this

Regulation shall mainstream climate change, environmental protection and gender equality and shall, where applicable, address interlinkages between Sustainable Development Goals<sup>34</sup>, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way.

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34

[https://ec.europa.eu/europeaid/policies/sustainable-development-goals\\_en](https://ec.europa.eu/europeaid/policies/sustainable-development-goals_en)

Regulation shall mainstream climate change, environmental protection, ***fundamental rights*** and gender equality and shall, where applicable, address interlinkages between Sustainable Development Goals<sup>34</sup>, to promote integrated actions that can create co-benefits and meet multiple objectives in a coherent way.

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34

[https://ec.europa.eu/europeaid/policies/sustainable-development-goals\\_en](https://ec.europa.eu/europeaid/policies/sustainable-development-goals_en)

## Amendment 32

### Proposal for a regulation Article 7 – paragraph 2 – subparagraph 2

#### *Text proposed by the Commission*

Assistance shall be targeted and adjusted to the specific situation of the beneficiaries listed in Annex I, taking into account further efforts needed to meet the membership criteria as well as the capacities of those beneficiaries. Assistance shall be differentiated in scope and intensity according to needs, commitment to reforms and progress in implementing those reforms.

#### *Amendment*

Assistance shall be targeted and adjusted to the specific situation of the beneficiaries listed in Annex I, taking into account further efforts needed to meet the membership criteria as well as the capacities of those beneficiaries, ***with a special attention to the improvement of their absorption capacities***. Assistance shall be differentiated in scope and intensity according to needs, commitment to reforms and progress in implementing those reforms.

## Amendment 33

### Proposal for a regulation Article 7 a (new)

#### *Text proposed by the Commission*

#### *Amendment*

#### *Article 7a*

#### ***Suspension of Union assistance***

***1. In cases of serious deterioration in the respect for the rule of law, democracy,***

*human rights and fundamental freedoms in a beneficiary or where a beneficiary violates the commitments taken in the relevant agreements concluded with the Union, the Commission is empowered to adopt a delegated act in accordance with Article 14 to amend Annex I to this Regulation in order to suspend or partially suspend Union assistance. In the event of a partial suspension, the programmes for which the suspension applies shall be indicated. When taking such decisions, the Commission shall ensure that financial support for actions directly benefitting the citizens, in particular those run by non-governmental actors directly related to the strengthening of the rule of law, democracy, human rights and fundamental freedoms, remains possible.*

*2. Where the Commission finds that the reasons justifying the suspension of assistance no longer apply, it is empowered to adopt a delegated act in accordance with Article 14 to amend Annex I in order to reinstate Union assistance.*

## Amendment 34

### Proposal for a regulation Article 17

*Text proposed by the Commission*

Article 17

Information, communication and publicity

1. *Articles 36 and 37 of [Regulation NDICI]* shall *apply*.

*Amendment*

Article 17

Information, communication and publicity

1. *When providing financial assistance under this Regulation, the Commission and the Union delegations in the beneficiary countries shall take all necessary measures in order to ensure the visibility of the Union's financial support, including monitoring recipients' compliance with those requirements. IPA-financed actions shall be subject to the requirements set out in the*

***Communication and Visibility Manual for Union External Actions. The Commission shall adopt guidance for Union-funded projects on visibility and communication actions for each beneficiary.***

***1a. The Commission shall take measures to strengthen strategic communication and public diplomacy for communicating the values of the Union and highlighting the added value of the Union's support.***

***1b. The recipients of Union funding shall acknowledge the origin of the Union funding and shall ensure its proper visibility by:***

***(a) providing a statement highlighting the support received from the Union in a visible manner on documents and communication material relating to the implementation of the funds, including on an official website, where such a website exists;***

***(b) promoting the actions and their results by providing coherent, effective and proportionate targeted information to multiple audiences, including the media and the public.***

***1c. The Commission shall implement information and communication actions relating to this Regulation, as well as the actions set out by it and the results achieved. Financial resources allocated to this Regulation shall also contribute to the corporate communication of the political priorities of the Union, insofar as those priorities are directly related to the objectives referred to in Article 3 and in Annexes II and III.***

## **Amendment 35**

### **Proposal for a regulation Annex II – paragraph 1 – point a**

*Text proposed by the Commission*

*Amendment*

(a) Establishing and promoting from an early stage the proper functioning of the institutions necessary in order to secure the rule of law. Interventions in this area shall aim at: establishing independent, accountable and efficient judicial systems, including transparent and merit-based recruitment and promoting judicial cooperation, evaluation and promotion systems and effective disciplinary procedures in cases of wrongdoing; **ensuring the establishment of robust systems to protect the borders, manage migration flows and provide asylum to those in need**; developing effective tools to prevent and fight organised crime, **trafficking in human beings, migrants smuggling**, money laundering/financing of terrorism and corruption; promoting and protecting human rights, rights of persons belonging to minorities including Roma as well as lesbian, gay, bisexual, transgender and intersex persons fundamental freedoms, including freedom of the media and data protection.

(a) Establishing and promoting from an early stage the proper functioning of the institutions necessary in order to secure the rule of law, **democracy, fundamental rights and human rights, including the rights of minorities**. Interventions in this area shall aim at: establishing independent, accountable and efficient judicial systems, including transparent and merit-based recruitment and promoting judicial cooperation, evaluation and promotion systems and effective disciplinary procedures in cases of wrongdoing, **safeguarding and promoting the independence of media**; developing effective tools to prevent and fight organised crime, trafficking in human beings, smuggling, money laundering/financing of terrorism and corruption; promoting and protecting human rights, rights of persons belonging to minorities including Roma as well as lesbian, gay, bisexual, transgender and intersex persons fundamental freedoms, including freedom of the media and data protection; **encouraging and supporting the effective participation of women and minority groups in politics; addressing gender mainstreaming as a priority and taking concrete steps to gender mainstream all policies**.

## Amendment 36

### Proposal for a regulation Annex II – paragraph 1 – point a a (new)

*Text proposed by the Commission*

*Amendment*

**(aa) Promoting respect for the rights of persons belonging to national, ethnic or linguistic minorities. Interventions shall aim at: actions supporting the de-politicisation of minority issues, development of legislative frameworks and long-term strategies for the protection of minority rights; establishment of robust capacities for the monitoring of the**

*application of existing minority protection legislation in practice in order to secure effective application and to remedy shortcomings; enabling the development of governmental/parliamentary/state administration and judiciary structures guaranteeing the participation of minorities and the establishment of specific bodies or fora for minorities, such as minority councils; facilitating and promoting the use of minority languages in education, public administration, and public and cultural life and media; sharing of best practices in the area of positive discrimination and affirmative actions;*

### **Amendment 37**

#### **Proposal for a regulation Annex II – paragraph 1 – point a b (new)**

*Text proposed by the Commission*

*Amendment*

*(ab) Improving the situation of the Roma. Interventions shall aim at: developing credible, comprehensive and adequately funded long-term strategies for Roma inclusion and integration; measures for improving the situation of Roma in the areas of education, health, housing and employment, targeted actions for reducing illiteracy and early school leaving; measures ensuring meaningful participation of Roma in public and political life;*

### **Amendment 38**

#### **Proposal for a regulation Annex II – paragraph 1 – point b**

*Text proposed by the Commission*

*Amendment*

(b) Reforming public administrations in line with the Principles of Public Administration. Interventions shall aim at:

(b) Reforming public administrations in line with the Principles of Public Administration. Interventions shall aim at:



strengthening public administration reform frameworks; improving strategic planning and inclusive and evidence-based policy and legislative development; enhancing professionalisation and de-politicisation of public service by embedding meritocratic principles; promoting transparency and accountability; improving quality and delivery of services, including adequate administrative procedures and the use of citizen centred eGovernment; strengthening public financial management and the production of reliable statistics.

strengthening public administration reform frameworks; improving strategic planning and inclusive and evidence-based policy and legislative development; enhancing ***cooperation with civil society organisations, including women's organisations, whose role is key for a well-functioning democracy***; enhancing professionalisation and de-politicisation of public service by embedding meritocratic principles; promoting transparency and accountability; improving quality and delivery of services ***safeguarding non-discrimination and providing tailor-made support***, including adequate administrative procedures and the use of citizen centred eGovernment; strengthening ***and modernising*** public financial management; ***reforming tax administrations, developing the digital economy*** and the production of reliable statistics.

## Amendment 39

### Proposal for a regulation Annex II – paragraph 1 – point d

#### *Text proposed by the Commission*

(d) Strengthening the Union and its partners' capacity to prevent conflict, build peace and address pre-and post-crisis including through early warning and conflict-sensitive risk analysis; promoting people to people networking, reconciliation, peace-building and confidence-building measures, supporting capacity building in support of security and development (CBSD) actions.

#### *Amendment*

(d) Strengthening the Union and its partners' capacity to prevent ***cross-border crime***, conflict, build peace and address pre-and post-crisis including through early warning and conflict-sensitive risk analysis; promoting people to people networking, reconciliation, peace-building and confidence-building measures, supporting capacity building in support of security and development (CBSD) actions; ***strategic and operational cooperation with the Union on border management, facilitation of police and judicial cooperation between beneficiaries and Union Member States to counter cross-border crime and supporting capacity building in the area of cyber-security and fight against cyber-crime.***

## Amendment 40

### Proposal for a regulation Annex II – paragraph 1 – point f

*Text proposed by the Commission*

(f) Promoting the alignment of partner countries' rules, standards, policies and practices to those of the Union, including state aid rules.

*Amendment*

(f) Promoting the alignment of partner countries' rules, standards, policies and practices to those of the Union, including **public procurement, competition**, state aid rules **and fundamental rights and improving their capacity to implement the Union acquis**.

## Amendment 41

### Proposal for a regulation Annex II – paragraph 1 – point g

*Text proposed by the Commission*

(g) Strengthening access to and quality of education, training and lifelong learning at all levels, and offering support to cultural and creative sectors. Interventions in this area shall aim at: promoting equal access to quality early-childhood education and care, primary and secondary education, improving the provision of basic skills; increasing educational attainment levels, reducing early school-leaving and reinforcing teachers' training. Developing vocational education and training (VET) systems and promoting work-based learning systems to facilitate the transition to the labour market; improving the quality and relevance of higher education; encouraging alumni related activities; enhancing access to lifelong learning and supporting investment in education and training infrastructure particularly with a view to reducing territorial disparities and fostering non-segregated education and including through the use of digital technologies.

*Amendment*

(g) Strengthening access to and quality of education, training and lifelong learning at all levels, and offering support to cultural and creative sectors. Interventions in this area shall aim at: promoting equal access to quality early-childhood education and care, primary and secondary education, improving the provision of basic skills; increasing educational attainment levels, reducing early school-leaving, **ensuring mutual recognition of diplomas and skills** and reinforcing teachers' training. Developing vocational education and training (VET) systems and promoting work-based learning systems to facilitate the transition to the labour market; improving the quality and relevance of higher education; encouraging alumni related activities; enhancing access to lifelong learning and supporting investment in education and training infrastructure particularly with a view to reducing territorial disparities and fostering non-segregated education and including

through the use of digital technologies.

## Amendment 42

### Proposal for a regulation Annex II – paragraph 1 – point h

#### *Text proposed by the Commission*

(h) Fostering quality employment and access to the labour market. Interventions in this area shall aim at: tackling high unemployment and inactivity by supporting sustainable labour market integration in particular of young people (especially those not in employment, education or training (NEET)), women, long-term unemployed and all under-represented groups. Measures shall stimulate quality job creation and support the effective enforcement of labour rules and standards across the entire territory. Other key areas of intervention shall be to support gender equality, promoting employability and productivity, the adaptation of workers and enterprises to change, the establishment of a sustainable social dialogue and the modernisation and strengthening of labour market institutions such as public employment services and labour inspectorates.

#### *Amendment*

(h) Fostering quality employment and access to the labour market. Interventions in this area shall aim at: tackling high unemployment and inactivity by supporting sustainable **and non-discriminatory** labour market integration in particular of young people (especially those not in employment, education or training (NEET)), women, long-term unemployed and all under-represented groups. Measures shall stimulate quality job creation and support the effective enforcement of labour rules and standards across the entire territory. Other key areas of intervention shall be to support gender equality, promoting employability and productivity, the adaptation of workers and enterprises to change, the establishment of a sustainable social dialogue and the modernisation and strengthening of labour market institutions such as public employment services and labour inspectorates.

## Amendment 43

### Proposal for a regulation Annex II – paragraph 1 – point i

#### *Text proposed by the Commission*

(i) Promoting social protection and inclusion and **combating** poverty. Interventions in this area shall aim at modernising social protection systems to provide effective, efficient, and adequate protection throughout all stages of a person's life, fostering social inclusion, promoting equal opportunities and

#### *Amendment*

(i) Promoting social protection and inclusion and **eradicating** poverty. Interventions in this area shall aim at modernising **inclusive** social protection systems to provide effective, efficient, **non-discriminatory** and adequate protection throughout all stages of a person's life, fostering social inclusion,

addressing inequalities and poverty. Interventions in this area shall also focus on: integrating marginalised communities such as the Roma; combating discrimination based on sex, *racial or* ethnic origin, religion or belief, disability, age or sexual orientation; enhancing access to affordable, sustainable and high quality services, such as early childhood education and care, housing, healthcare and essential social services and long term care, including through the modernisation of social protection systems.

promoting equal opportunities and addressing inequalities and poverty. Interventions in this area shall also focus on: *ensuring access to international protection, facilitating legal and labour migration and* integrating marginalised communities such as *migrants and* the Roma; combating discrimination based on *any ground such as* sex, *race, colour, ethnic or social* origin, *genetic features, language*, religion or belief, disability, age or sexual orientation; enhancing access to affordable, sustainable and high quality services, such as early childhood education and care, housing, healthcare and essential social services and long term care, including through the modernisation of social protection systems.

#### Amendment 44

##### Proposal for a regulation Annex II – paragraph 1 – point 1

*Text proposed by the Commission*

(1) Improving access to digital technologies and services and strengthening research, technological development and innovation by investing in digital connectivity, digital trust and security, digital skills and entrepreneurship as well as research infrastructure and enabling environment and promoting networking and collaboration.

*Amendment*

(1) Improving access to digital technologies and services and strengthening research, technological development and innovation by investing in digital connectivity *paying special attention to the most disadvantaged micro-regions and rural areas and their inhabitants*, digital trust and security, digital skills and entrepreneurship as well as research infrastructure and enabling environment and promoting networking and collaboration.

#### Amendment 45

##### Proposal for a regulation Annex II – paragraph 1 – point n a (new)

*Text proposed by the Commission*

*Amendment*

*(na) Fostering tourism and promotion*

*of cultural and natural heritage.  
Interventions shall aim at: preserving and restoring the cultural heritage, including that of minorities, protecting and promoting natural heritage and encouraging sustainable tourism;*

#### **Amendment 46**

##### **Proposal for a regulation Annex III – paragraph 1 – point a**

*Text proposed by the Commission*

(a) promoting employment, labour mobility and social and cultural inclusion across borders through, inter alia: integrating cross-border labour markets, including cross-border mobility; joint local employment initiatives; information and advisory services and joint training; gender equality; equal opportunities; integration of *immigrants'* communities and vulnerable groups; investment in public employment services; and supporting investment in public health and social services;

*Amendment*

(a) promoting employment, labour mobility and social and cultural inclusion across borders through, inter alia: integrating cross-border labour markets, including cross-border mobility; joint local employment initiatives; information and advisory services and joint training; gender equality; equal opportunities; integration of *migrants'* communities, *Roma* and *groups in vulnerable situations*; investment in public employment services; and supporting investment in public health and social services;

#### **Amendment 47**

##### **Proposal for a regulation Annex III – paragraph 1 – point f**

*Text proposed by the Commission*

(f) investing in youth, education and skills through, inter alia, developing and implementing joint education, vocational training, training schemes and infrastructure supporting joint youth activities;

*Amendment*

(f) investing in youth, education and skills through, inter alia, *ensuring skills and qualifications recognition*, developing and implementing joint education, vocational training, training schemes and infrastructure supporting joint youth activities;

#### **Amendment 48**

##### **Proposal for a regulation Annex III – paragraph 1 – point g a (new)**

*Text proposed by the Commission*

*Amendment*

***(ga) investing in the capacity-building of civil society organisations;***

#### **Amendment 49**

##### **Proposal for a regulation Annex IV – paragraph 1 – introductory part**

*Text proposed by the Commission*

*Amendment*

The following list of key performance indicators shall be used to help measure the Union's contribution to the achievement of its specific objectives:

The following list of key performance indicators shall be used to help measure the Union's contribution to the achievement of its specific objectives ***and the progress made by the beneficiaries:***



## PROCEDURE – COMMITTEE ASKED FOR OPINION

<b>Title</b>	Establishing the Instrument for Pre-accession Assistance (IPA III)	
<b>References</b>	COM(2018)0465 – C8-0274/2018 – 2018/0247(COD)	
<b>Committee responsible</b> Date announced in plenary	AFET 2.7.2018	
<b>Opinion by</b> Date announced in plenary	LIBE 2.7.2018	
<b>Rapporteur</b> Date appointed	Bodil Valero 9.7.2018	
<b>Discussed in committee</b>	27.11.2018	23.1.2019
<b>Date adopted</b>	23.1.2019	
<b>Result of final vote</b>	+: 38	–: 4
	0: 10	
<b>Members present for the final vote</b>	Asim Ademov, Martina Anderson, Monika Beňová, Malin Björk, Caterina Chinnici, Daniel Dalton, Agustín Díaz de Mera García Consuegra, Frank Engel, Tanja Fajon, Nathalie Griesbeck, Sylvie Guillaume, Monika Hohlmeier, Filiz Hyusmenova, Sophia in 't Veld, Eva Joly, Dietmar Köster, Barbara Kudrycka, Cécile Kashetu Kyenge, Juan Fernando López Aguilar, Monica Macovei, Roberta Metsola, Claude Moraes, Alessandra Mussolini, Judith Sargentini, Giancarlo Scottà, Csaba Sógor, Sergei Stanishev, Helga Stevens, Traian Ungureanu, Bodil Valero, Marie-Christine Vergiat, Cecilia Wikström, Kristina Winberg, Tomáš Zdechovský	
<b>Substitutes present for the final vote</b>	Carlos Coelho, Ignazio Corrao, Pál Csáky, Miriam Dalli, Gérard Deprez, Maria Grapini, Anna Hedh, Teresa Jiménez-Becerril Barrio, Jean Lambert, Gilles Lebreton, Jeroen Lenaers, Innocenzo Leontini, Emilian Pavel, Barbara Spinelli, Geoffrey Van Orden	
<b>Substitutes under Rule 200(2) present for the final vote</b>	Wajid Khan, Anthea McIntyre, Mylène Troszczynski	



## FINAL VOTE BY ROLL CALL IN COMMITTEE ASKED FOR OPINION

<b>38</b>	<b>+</b>
ALDE	Gérard Deprez, Filiz Hyusmenova, Sophia in 't Veld, Cecilia Wikström
ECR	Monica Macovei
EFDD	Ignazio Corrao
PPE	Asim Ademov, Carlos Coelho, Pál Csáky, Agustín Díaz de Mera García Consuegra, Frank Engel, Monika Hohlmeier, Teresa Jiménez-Becerril Barrio, Barbara Kudrycka, Jeroen Lenaers, Roberta Metsola, Alessandra Mussolini, Csaba Sógor, Traian Ungureanu, Tomáš Zdechovský
S&D	Monika Beňová, Caterina Chinnici, Miriam Dalli, Tanja Fajon, Maria Grapini, Sylvie Guillaume, Anna Hedh, Wajid Khan, Dietmar Köster, Cécile Kshetu Kyenge, Juan Fernando López Aguilar, Claude Moraes, Emilian Pavel, Sergei Stanishev
VERTS/ALE	Eva Joly, Jean Lambert, Judith Sargentini, Bodil Valero

<b>4</b>	<b>-</b>
ECR	Kristina Winberg
ENF	Gilles Lebreton, Giancarlo Scottà, Mylène Troszczynski

<b>10</b>	<b>0</b>
ALDE	Nathalie Griesbeck
ECR	Daniel Dalton, Innocenzo Leontini, Anthea McIntyre, Helga Stevens, Geoffrey Van Orden
GUE/NGL	Martina Anderson, Malin Björk, Barbara Spinelli, Marie-Christine Vergiat

Key to symbols:

+ : in favour

- : against

0 : abstention

## PROCEDURE – COMMITTEE RESPONSIBLE

<b>Title</b>	Establishing the Instrument for Pre-accession Assistance (IPA III)			
<b>References</b>	COM(2018)0465 – C8-0274/2018 – 2018/0247(COD)			
<b>Date submitted to Parliament</b>	14.6.2018			
<b>Committee responsible</b> Date announced in plenary	AFET 2.7.2018			
<b>Committees asked for opinions</b> Date announced in plenary	INTA 2.7.2018	BUDG 2.7.2018	ENVI 2.7.2018	REGI 2.7.2018
	LIBE 2.7.2018			
<b>Rapporteurs</b> Date appointed	José Ignacio Salafranca Sánchez-Neyra 10.7.2018	Knut Fleckenstein 10.7.2018		
<b>Discussed in committee</b>	21.11.2018	4.2.2019		
<b>Date adopted</b>	4.2.2019			
<b>Result of final vote</b>	+: –: 0:	44 2 2		
<b>Members present for the final vote</b>	Michèle Alliot-Marie, Bas Belder, Goffredo Maria Bettini, Elmar Brok, Klaus Buchner, Arnaud Danjean, Georgios Epitideios, Michael Gahler, Iveta Grigule-Pēterse, Sandra Kalniete, Andrey Kovatchev, Eduard Kukan, Arne Lietz, Barbara Lochbihler, Andrejs Mamikins, Ramona Nicole Mănescu, David McAllister, Francisco José Millán Mon, Clare Moody, Javier Nart, Pier Antonio Panzeri, Demetris Papadakis, Tonino Picula, Julia Pitera, Cristian Dan Preda, Dobromir Sośnierz, Jaromír Štětina, Charles Tannock, Hilde Vautmans			
<b>Substitutes present for the final vote</b>	Brando Benifei, Neena Gill, Takis Hadjigeorgiou, Liisa Jaakonsaari, Marek Jurek, Patricia Lalonde, Soraya Post, José Ignacio Salafranca Sánchez-Neyra, Helmut Scholz			
<b>Substitutes under Rule 200(2) present for the final vote</b>	Pilar Ayuso, José Blanco López, Santiago Fisas Ayxelà, Ingeborg Gräßle, Karin Kadenbach, Gabriel Mato, Claudia Schmidt, Joachim Schuster, Ramón Luis Valcárcel Siso, Flavio Zanonato			
<b>Date tabled</b>	11.3.2019			

## FINAL VOTE BY ROLL CALL IN COMMITTEE RESPONSIBLE

<b>44</b>	<b>+</b>
ALDE	Iveta Grigule-Pēterse, Patricia Lalonde, Javier Nart, Hilde Vautmans
ECR	Bas Belder, Marek Jurek, Charles Tannock
PPE	Michèle Alliot-Marie, Pilar Ayuso, Elmar Brok, Arnaud Danjean, Santiago Fisas Ayxelà, Michael Gahler, Ingeborg Gräßle, Sandra Kalniete, Andrey Kovatchev, Eduard Kukan, David McAllister, Ramona Nicole Mănescu, Gabriel Mato, Francisco José Millán Mon, Julia Pitera, Cristian Dan Preda, José Ignacio Salafranca Sánchez-Neyra, Claudia Schmidt, Jaromír Štětina, Ramón Luis Valcárcel Siso
S&D	Brando Benifei, Goffredo Maria Bettini, José Blanco López, Neena Gill, Liisa Jaakonsaari, Karin Kadenbach, Arne Lietz, Andrejs Mamikins, Clare Moody, Pier Antonio Panzeri, Demetris Papadakis, Tonino Picula, Soraya Post, Joachim Schuster, Flavio Zanonato
VERTS/ALE	Klaus Buchner, Barbara Lochbihler
<b>2</b>	<b>-</b>
NI	Georgios Epitideios, Dobromir Sośnierz
<b>2</b>	<b>0</b>
GUE/NGL	Takis Hadjigeorgiou, Helmut Scholz

Key to symbols:

+ : in favour

- : against

0 : abstention