

# Procedure file

Basic information	
COD - Ordinary legislative procedure (ex-codecision procedure) Regulation	2011/0413(COD) Procedure completed
Instrument contributing to stability and peace (2014-2020) See also <a href="#">2011/0415(COD)</a> Amended by <a href="#">2016/0207(COD)</a>	
Subject 6.10.05 Peace preservation, humanitarian and rescue tasks, crisis management 6.30.02 Financial and technical cooperation and assistance	

Key players			
European Parliament	Committee responsible	Rapporteur	Appointed
	<b>AFET</b> Foreign Affairs		05/10/2011
		Vers/ALE <a href="#">BÜTIKOFER Reinhard</a>	
		Shadow rapporteur	
		PPE <a href="#">KELAM Tunne</a>	
		S&D <a href="#">GUALTIERI Roberto</a>	
	ALDE <a href="#">LAMBSDORFF Alexander Graf</a>		
	Committee for opinion	Rapporteur for opinion	Appointed
	<b>DEVE</b> Development		14/02/2012
		PPE <a href="#">PREDA Cristian Dan</a>	
	<b>INTA</b> International Trade		27/03/2012
		PPE <a href="#">ABAD Damien</a>	
	<b>BUDG</b> Budgets		06/02/2012
		S&D <a href="#">MUÑIZ DE URQUIZA María</a>	
Council of the European Union	Council configuration	Meeting	Date
	<a href="#">Economic and Financial Affairs ECOFIN</a>	<a href="#">3302</a>	11/03/2014
	<a href="#">Foreign Affairs</a>	<a href="#">3179</a>	25/06/2012
European Commission	Commission DG	Commissioner	
	<a href="#">International Cooperation and Development</a>	PIEBALGS Andris	

Key events			
07/12/2011	Legislative proposal published	<a href="#">COM(2011)0845</a>	Summary
17/01/2012	Committee referral announced in Parliament, 1st reading		
05/12/2013	Vote in committee, 1st reading		
06/12/2013	Committee report tabled for plenary, 1st	<a href="#">A7-0451/2013</a>	Summary

	reading		
10/12/2013	Debate in Parliament		
11/12/2013	Results of vote in Parliament		
11/12/2013	Decision by Parliament, 1st reading	<a href="#">T7-0566/2013</a>	Summary
11/03/2014	Act adopted by Council after Parliament's 1st reading		
11/03/2014	Final act signed		
11/03/2014	End of procedure in Parliament		
15/03/2014	Final act published in Official Journal		

### Technical information

Procedure reference	2011/0413(COD)
Procedure type	COD - Ordinary legislative procedure (ex-codecision procedure)
Procedure subtype	Legislation
Legislative instrument	Regulation
	See also <a href="#">2011/0415(COD)</a> Amended by <a href="#">2016/0207(COD)</a>
Legal basis	Treaty on the Functioning of the EU TFEU 209-p1; Treaty on the Functioning of the EU TFEU 212
Other legal basis	Rules of Procedure EP 159
Stage reached in procedure	Procedure completed
Committee dossier	AFET/7/08345

### Documentation gateway

Legislative proposal		<a href="#">COM(2011)0845</a>	07/12/2011	EC	Summary
Document attached to the procedure		<a href="#">SEC(2011)1481</a>	07/12/2011	EC	
Document attached to the procedure		<a href="#">SEC(2011)1482</a>	07/12/2011	EC	
Committee draft report		<a href="#">PE483.743</a>	24/05/2012	EP	
Amendments tabled in committee		<a href="#">PE491.262</a>	18/06/2012	EP	
Committee opinion	DEVE	<a href="#">PE487.725</a>	20/06/2012	EP	
Committee opinion	BUDG	<a href="#">PE487.792</a>	22/06/2012	EP	
Committee opinion	INTA	<a href="#">PE487.793</a>	25/06/2012	EP	
Committee report tabled for plenary, 1st reading/single reading		<a href="#">A7-0451/2013</a>	06/12/2013	EP	Summary
Text adopted by Parliament, 1st reading/single reading		<a href="#">T7-0566/2013</a>	11/12/2013	EP	Summary
Commission response to text adopted in plenary		<a href="#">SP(2014)148</a>	13/02/2014	EC	
Draft final act		<a href="#">00110/2013/LEX</a>	11/03/2014	CSL	

## Additional information

National parliaments

[IPEX](#)

European Commission

[EUR-Lex](#)

## Final act

[Regulation 2014/230](#)[OJ L 077 15.03.2014, p. 0001](#) Summary

## Instrument contributing to stability and peace (2014-2020)

PURPOSE: to establish a new financing instrument for stability 2014-2020 in the framework of the reform of the EU external action financial instruments and following on from the [Instrument for Stability](#) 2007-2013.

PHILOSOPHY AND ACTION PLAN FOR EXTERNAL AID 2014-2020: what happens outside the borders of the EU can and does directly affect the prosperity and security of EU citizens. It is therefore in the interest of the EU to be actively engaged in influencing the world around us, including through the use of financial instruments. The Lisbon Treaty marks, in this regard, a new departure in the EUs relations with the rest of the world.

The EU's engagement needs to be tailored to individual circumstances. Its partners range from development economies to the least developed countries in need of specific assistance from the EU.

In general, the overall objective for external action for the period 2014-2020 may be summarised as follows:

- long-term commitment to establishing an area of stability, prosperity and democracy in its own neighbourhood;
- facilitating the EU's engagement with third countries on issues that are of global concern, such as climate change, environmental protection, irregular migration and regional instabilities, and
- allowing the EU to respond rapidly and effectively to natural and manmade disasters around the world.

A major rationalisation of the instruments took place in 2003 and has begun to deliver more effective results. The Commission does not consider that another major alteration of the legislative architecture is necessary for the next MFF period, although some improvements are being proposed and the overall investment is being stepped up.

The Commission proposes to allocate EUR 70 billion for the 2014-2020 period for external instruments broken down as follows:

- [Financing instrument for development cooperation](#)
- [Partnership instrument for cooperation with third countries](#)
- [Instrument for Pre-accession Assistance \(IPA II\)](#)
- [European Neighbourhood Instrument](#)
- [Instrument for nuclear safety cooperation](#)
- This Instrument for Stability
- [Financing instrument for the promotion of democracy and human rights worldwide](#)

In parallel and for the first time, the Commission proposes a single horizontal [regulation establishing common rules and procedures for the implementation](#) of the Unions instruments for external action.

PROPOSED ACT: Regulation of the European Parliament and of the Council.

BACKGROUND: crises and conflicts affect countries world-wide and pose a risk to global security and stability. Conflicts are often linked to state fragility and exacerbated by weak governance and poverty. In addition, some of the most critical security challenges have a worldwide scope, impacting on both developing and industrialized countries. Natural and man-made disasters, drug trafficking, organized crime, terrorism, cyber security challenges and threats and related disruptions increase insecurity, hamper development, weaken the rule of law and contribute to instability. The increasing challenge of climate change is a multiplier of existing threats that add a new dimension of man made natural hazards and security risks.

Responding to these structural challenges requires a significant collective effort, based on strong partnerships with other States, civil society actors, multilateral and regional partners to create the conditions for supporting countries to avoid the relapse into conflict.

A comprehensive EU response to international crises beyond humanitarian assistance is therefore required in which EU capacity for crisis preparedness, preventive and response actions is fostered. Furthermore, a capacity to deploy experts for various civilian missions based on inter-operability among EU Member States and other international actors alongside a dialogue with non-state actors needs to be developed.

The new Treaty on the European Union (Article 21) has defined common overarching principles and objectives for the external action of the Union, inter alia to preserve peace, prevent conflicts and strengthen international security. The Commission also prepared in 2011 an [implementation plan for the EU Strategy for supporting Disaster Risk Reduction in developing countries](#), which identify the development of Post Disaster Needs Assessments (PDNAs) as a priority to integrate disaster risk reduction into the recovery frameworks of the affected countries and encourage resilience and crisis preparedness.

Accordingly, the new Instrument for Stability replacing the earlier Regulation which expires on 31 December 2013, should capitalise on the opportunities presented for advancing coordinated EU efforts in all of the above areas.

IMPACT ASSESSMENT: the Commission carried out an Impact Assessment (IA) that considered 4 basic policy alternatives:

- Option 0: discontinuing the IfS;
- Option 1: maintaining the scope without any amendment;
- Option 2: revising the Instrument to increase its flexibility provisions;
- Option 3: a new Instrument or new Instruments (s) incorporating the following considerations (a) to tackle separately crisis response and preparedness issues and security-related issues - terrorism, trans-regional threats and CBRN issues (b) to encompass EU external actions tools currently carried out under other instruments (e.g. EU Electoral Observation Missions or the African Peace Facility).

Option 2, to retain the main features and characteristics of the Instrument while streamlining its provisions to increase its flexibility was the preferred choice as it enables the EU to respond more effectively and rapidly to future international peace and security challenges.

LEGAL BASIS: Articles 209(1) and Article 212(2) of the Treaty on the Functioning of the European Union (TFEU). The Instrument has worldwide scope, a double Treaty legal basis (development cooperation and economic, financial and technical cooperation with third countries) and not being bound to ODA-eligibility criteria, allows the EU to properly tackle the security and development nexus.

CONTENT: with this proposed Regulation, the Commission establishes development cooperation measures, as well as financial, economic and technical cooperation measures with third countries, regional and international organisations and other state and non state actors.

In accordance with the objectives of such cooperation, the specific aims of this Regulation shall be:

- in a situation of crisis or emerging crisis, to swiftly contribute to stability by providing an effective response to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's development and cooperation policies;
- to prevent conflicts, ensure preparedness to address pre- and post-crisis situations and build peace;
- to address specific global and trans-regional threats having a destabilising effect, including climate change.

The proposal details the types of assistance which may be financed:

1. assistance in response to situations of crisis or emerging crisis to prevent conflicts: in response to a situation of urgency, crisis or emerging crisis, a situation posing a threat to democracy, law and order, the protection of human rights and fundamental freedoms, or the security and safety of individuals, or a situation threatening to escalate into armed conflict or severely to destabilise the third country or countries concerned. Such measures may also address situations where the Union has invoked the essential elements clauses of international Agreements in order to suspend, partially or totally, cooperation with third countries;
2. assistance for conflict prevention, crisis preparedness and peace-building;
3. assistance in addressing global and trans-regional threats.

Exceptional Assistance Measures and Interim Response Programmes: the Commission may adopt Exceptional Assistance Measures in a situation of crisis, as well as in exceptional and unforeseen situations, where the effectiveness of the measures is dependent on rapid or flexible implementation. Such measures may have duration of up to 18 months. Measures may be extended twice in duration by a further six months (up to maximum of 30 months) in the case of objective and unforeseen obstacles to their implementation.

General framework for programming and implementation: Union assistance shall be implemented in accordance with the Common Implementing Regulation and through the following programming documents and financial implementation measures:

- Thematic Strategy Papers and Multiannual Indicative Programmes;
- Exceptional Assistance Measures and Interim Response Programmes;
- Annual Action Programmes and Individual Measures;
- Special Measures.

The proposal details the general framework on implementation and the procedure applicable in each of the cases. Simplification of rules and procedures for the delivery of EU assistance is proposed, notably for derogation from comitology for the adoption of a second Exceptional Assistance Measure and an additional new provision enabling the Commission to adopt Exceptional Assistance Measures up to EUR 3 million without prior information to Council.

Coherence and complementarity: measures taken under this Regulation may be complementary to, and shall be consistent with measures adopted under Title V of the Treaty on European Union and Title V of the Treaty on the Functioning of the European Union. It shall be provided only to the extent that an adequate and effective response cannot be provided under those instruments.

Implementation: the implementation has been greatly simplified as an Article stipulates that the decision shall be implemented in accordance with the [future Regulation](#) establishing common implementation rules for external relations financing instruments.

Furthermore, the revision of the Financial Regulation, which is particularly substantial with regard to the special provision on external actions, will contribute to facilitate the participation of civil society organisations in funding programmes, for example by simplifying rules, reducing the costs of participation and accelerating award procedures.

BUDGETARY IMPLICATIONS: in accordance with the [Multiannual Financial Framework](#) establishing the budget for the implementation of the Europe 2020 Strategy, the Commission proposes to allocate 2.828,9 million for the IfS for the 7 year period.

DELEGATED ACTS: in order to adapt the scope of this Regulation to the rapidly evolving reality, 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 the detailed areas of technical and financial assistance provided in the Annexes to this Regulation, and to adopt additional procedures for exchanging information and cooperation.

Taking into account the nature of those implementing acts, in particular their policy orientation nature or budgetary implications, the examination procedure should in principle be used for their adoption, except for measures of a small financial scale. The Commission should adopt immediately applicable implementing acts where in duly justified cases relating to the need for a swift response from the Union, imperative grounds of urgency so require.

## Instrument contributing to stability and peace (2014-2020)

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The Committee on Foreign Affairs adopted the report by Reinhard BUTIKOFER (Greens/EFA, DE) on the proposal for a regulation of the European Parliament and of the Council establishing an Instrument for Stability (IfS).

The committee recommended that the European Parliaments position at first reading, following the ordinary legislative procedure, should amend the Commission proposal.

The main amendments were as follows :

General objective: the objective of the IfS II is to contribute to Stability and Peace which provides, for the period 2014-2020, direct support for the Union's external policies by increasing the efficiency and coherence of the Union's actions in the areas of conflict prevention, crisis preparedness and crisis response and peacebuilding, and in addressing global and transregional threats.

Civil society and NGOs as defined in the draft Regulation should seek to contribute to the preparing, programming, implementation and monitoring of Union assistance.

Types of assistance: the draft Regulation proposes the types of Union assistance to be financed. These should also take into account the following variables:

- the gender dimension and womens rights,
- compliance with international regulations (including the UN resolutions);
- dialogue with the respective parties;
- the fight against certain threats and emerging including terrorism and cyber-crime.

Exceptional Assistance Measures and Interim Response Programmes: Union assistance should be carried out through Exceptional Assistance Measures and Interim Response Programmes. Exceptional Assistance Measures may be extended twice. Where an Exceptional Assistance Measure costs more than EUR 20 000 000, it shall be adopted in accordance with the examination procedure referred to the Common Implementing Regulation. The European Parliament should be informed of the measures taken in this context.

General framework: Union assistance should be implemented in accordance with the Common Implementing Regulation and through programming documents and financial implementation measures.

Respect of human rights: the Commission should ensure that measures adopted under this Regulation in relation to the fight against terrorism and organised crime are implemented in accordance with international law, including international humanitarian law whilst paying particular attention to the prevention of torture or other cruel, inhuman or degrading treatment.

Implementation: provisions have been included to clarify the technical implementation of the IfS II in terms of its strategic planning and programming.

European External Action Service: the Commission and the EEAS, as appropriate, should hold regular and frequent exchanges of views and information with the European Parliament.

Financial envelope: in accordance with the agreement on the Financial Framework, the financial envelope for the implementation of this Regulation over the period 2014 to 2020 is set at EUR 2 338 719 000. Specific percentage points of the financial envelope should be allocated to specific measures of the Programme.

It is also stated that the EU should seek the most efficient use of available resources through, in particular, the use of financial instruments with leverage effect, but without compromising the just and fair use of the Union's resources.

Union assistance under this Regulation should be consistent and coherent with the implementation of the other external instruments, and coordinated with bilateral aid provided by Member States, regional and local actors and international organisations. The Commission should ensure that overlaps are avoided and that the financing is transparent as between actions and instruments.

It should be noted that the amend draft Regulation is accompanied by a statement by the Commission on the conditions of the strategic dialogue with the European Parliament prior to its programming.

## Instrument contributing to stability and peace (2014-2020)

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The European Parliament adopted by 621 votes to 46 with 8 abstentions, a legislative resolution on the proposal for a regulation of the European Parliament and of the Council establishing an Instrument for Stability (IfS).

Parliament adopted its position in first reading following the ordinary legislative procedure. The amendments adopted in plenary are the result of a compromise between Parliament and Council.

Title of the instrument: the Instrument established will contribute to Stability and Peace in third countries.

General objective: the objective of the IfS II is to contribute to Stability and Peace which provides, for the period 2014-2020, direct support for the Union's external policies by increasing the efficiency and coherence of the Union's actions in the areas of conflict prevention, crisis preparedness and crisis response and peacebuilding, and in addressing global and transregional threats.

Civil society and NGOs as defined in the draft Regulation should seek to contribute to the preparing, programming, implementation and monitoring of Union assistance.

Types of assistance: the draft regulation sets out a clear description of actions that will be financed. Apart from the actions already set out in the text, new elements should be taken into account, particularly:

- support for the implementation of the United Nations Security Council Resolutions on women, peace and security, in particular in fragile, conflict and post-conflict countries;

- curbing the use of natural resources to finance conflicts;
- further development of a structural dialogue on peace-building issues.
- the fight against certain threats, including cyber-crime.

Cross-cutting issues: the following cross-cutting issues shall be included, where possible, including in programming:

- the promotion of democracy and good governance;
- human rights and humanitarian law, including children's rights and the rights of indigenous peoples;
- non-discrimination;
- gender equality and the empowerment of women;
- conflict prevention, and
- climate change .

Human rights: the Commission should ensure that measures adopted under this Regulation in relation to the fight against terrorism and organised crime are implemented in accordance with international law, including international humanitarian law whilst paying particular attention to the prevention of torture or other cruel, inhuman or degrading treatment. The Commission shall carefully monitor the implementation of the measures in order to ensure compliance with human rights obligations and shall include information in this respect in its regular reporting.

Exceptional Assistance Measures and Interim Response Programmes: certain provisions have been inserted into the text to clarify the actions that must be taken in exceptional crisis situations or post-conflict situations. Such measures may have a duration of between 18 months up to a maximum of 36 months. The decision-making procedure depends on whether the financing exceeds EUR 20 million. The European Parliament must be duly informed about Union assistance in this matter.

Provisions are also made for special supporting measures.

General framework: measures adopted pursuant to the Regulation may be complementary to, and shall be consistent with, measures adopted under European external policies and the European Parliament.

Implementation: provisions have been included to clarify the technical implementation of the IFS II in terms of its strategic planning and programming.

European External Action Service: the Commission and the EEAS, as appropriate, should hold regular and frequent exchanges of views and information with the European Parliament.

Financial envelope: in accordance with the agreement on the Financial Framework, the financial envelope for the implementation of this Regulation over the period 2014 to 2020 is set at EUR 2 338 719 000.

At least 70 % of the financial envelope shall be allocated to measures falling under provisions relating to assistance in response to situations of crisis or emerging crisis to prevent conflicts.

Specific percentage points of the financial envelope should be allocated to specific measures of the Programme.

Optimum use of resources: the Union should seek the most efficient use of available resources in order to optimise the impact of its external action. This should be achieved through coherence and complementarity between Instruments for external action, as well as the creation of synergies between the present Instrument, other Instruments for external action and other policies of the Union. The Commission shall promote close coordination among Union activities and with those of the Member States both at decision-making level and on the ground. To that end, the Member States and the Commission shall operate a system for exchanging information. The Commission may take initiatives to promote coordination with other donors.

It should be noted that the amend draft Regulation is accompanied by a statement by the Commission on the conditions of the strategic dialogue with the European Parliament prior to its programming.

## Instrument contributing to stability and peace (2014-2020)

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PURPOSE: to establish an instrument contributing to stability and peace for the period 2014-2020 following on from [the Stability Instrument](#) for the period 2007-2013.

LEGISLATIVE ACT: Regulation (EU) No 230/2014 of the European Parliament and of the Council establishing an instrument contributing to stability and peace.

BACKGROUND: this Regulation is placed within the framework of the new multiannual financial framework ([MFF](#)) 2014-2020 applicable to the Union's external policy and cooperation with third countries. The measures provided are the following:

- [Financing instrument for development cooperation \(IDC\)](#);
- [Partnership instrument for cooperation with third countries \(PI\)](#);
- [Instrument for Pre-accession Assistance \(IPA II\)](#);
- [European Neighbourhood Instrument \(ENI\)](#);
- [Instrument for Nuclear Safety Co-operation](#);
- this instrument contributing to stability and peace;
- [Financing instrument for democracy and human rights worldwide \(IDHRW\)](#).

All of the procedures for the implementation of these instruments would be governed by [specific Regulation](#) adopted at the same time.

CONTENT: this Regulation aims to introduce an instrument contributing to stability and peace for the period 2014-2020, in order to increase

the efficiency and coherence of the Union's actions in the areas of:

- crisis response,
- conflict prevention,
- peace-building and crisis preparedness,
- addressing global and trans-regional security threats.

The Union shall undertake development cooperation measures, as well as financial, economic and technical cooperation measures, with third countries, regional and international organisations and other State and civil society actors (as laid down in this Regulation).

The specific objectives: the specific objectives of this Regulation shall be the following:

- in a situation of crisis or emerging crisis, to contribute swiftly to stability by providing an effective response designed to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's external policies and actions;
- to contribute to the prevention of conflicts and to ensuring capacity and preparedness to address pre- and post-crisis situations and build peace;
- to address specific global and trans-regional threats to peace, international security and stability.

For each of the above objectives, details are specified to define the type of actions that can be financed, in particular:

1. for situations of crisis or emerging crisis with a view to preventing conflict, the provision of technical and logistical assistance, for the efforts undertaken by international and regional organisations and by State and civil society actors in promoting confidence-building, mediation, dialogue and reconciliation and support for the implementation of the United Nations Security Council resolutions;
2. for conflict prevention and peace building actions, actions of deployment in civilian stabilisation missions and improving post-conflict recovery as well as post-disaster recovery with relevance to the political and security situation in the countries concerned;
3. for actions addressing global and trans-regional threats and emerging threats, strengthening the capacity of law enforcement and judicial and civil authorities involved in the fight against terrorism, organised crime, including cyber-crime, by offering targeted support, particularly in the context of the protection of critical infrastructure.

Financial envelope: in line with the multiannual financial framework for the period 2014-2020, the financial envelope for the implementation of the Peace and Stability Instrument shall be EUR 2 338 719 000.

It is also planned that:

- 70% of this envelope shall be allocated to actions for situations of crisis or emerging crisis with a view to preventing conflict, and
- at least nine percentage points of the financial envelope shall be allocated to measures falling under actions of conflict prevention, peace building and crisis preparation.

Programming and implementation: the EU aid would be implemented through:

- exceptional assistance measures and interim response programmes;
- thematic strategy papers and multiannual indicative programmes;
- annual action programmes, individual measures and special measures;
- support measures.

All of these measures are described in detail in the Regulation. Most of the implementing rules for this Regulation are those laid down in the [Instruments for financing external action](#) to implement EU external policy.

Coherence and complementarity: 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 between the Union's instruments for external action, as well as the creation of synergies between this instrument, other Union instruments for financing external action and other policies of the Union.

Union assistance under this Regulation shall be provided only to the extent that an adequate and effective response cannot be provided under those other instruments.

The Commission would also be called on to strengthen the coordination of initiatives financed by other donors while avoiding double funding.

Cross-cutting issues: where possible, the following cross-cutting issues shall be included, including in programming:

- promotion of democracy and good governance;
- human rights and humanitarian law, including children's rights and the rights of indigenous peoples;
- non-discrimination;
- gender equality;
- conflict prevention;
- climate change.

Civil society: where possible and where appropriate, the preparation, programming, implementation and monitoring measures under this Regulation shall be carried out, in consultation with civil society.

Human rights: the Commission should ensure that measures adopted under this Regulation in relation to the fight against terrorism and organised crime are implemented in accordance with international law, including international humanitarian law. It should develop operational guidance to ensure that human rights are taken into consideration in the design and implementation of the measures referred to.

Dialogue with the European Parliament: provisions were made in a Commission statement in which the latter undertakes to report to the European Parliament as part of a strategic dialogue on actions taken.

ENTRY INTO FORCE: 16.03.2014. The Regulation shall apply from 1 January 2014 until 31 December 2020.

