

## Information Note

### 1. Proposal

Proposal for a Council Decision on the signing, on behalf of the European Union, and provisional application of the Agreement in the form of an exchange of letters between the European Union and the Government of the Cook Islands on an extension of the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands.

### 2. Date of Commission document

24/09/2020

### 3. Number of Commission document

COM (2020)598 final

### 4. Number of Council document:

11167/20 + ADD1

### 5. Dealt with in Brussels by

Coreper

Council (Agriculture and Fisheries)

### 6. Department with primary responsibility

Department of Agriculture, Food and the Marine.

### 7. Other Departments involved

N/A

### 8. Background to, short summary and aim of the proposal

On 7 July 2020, the Council adopted a mandate authorising the European Commission to open negotiations for a new protocol to the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands and for the possible prolongation of the current protocol to that Agreement, which will expire on 13 October 2020. The current EU-Cook Islands protocol allows the EU fleet to fish in the Cook Islands waters for tuna species, for indicative annual fishing opportunities of 7 000 tonnes.

During the first round of negotiations, negotiators from the EU and the Cook Islands agreed that due to the complex nature of the negotiations, a number of rounds would be needed in order to complete the negotiations. Both parties therefore agreed to extend the current Protocol for a maximum period of one year, in line with the mandate from the Council, in order to avoid the interruption of fishing activities for the European fleet operating in the Cook Islands waters.

The proposal relates to the signing and provisional application of the exchange of letters which will enable the existing Protocol to be extended for a maximum period of one year.

### 9. Legal basis of the proposal

The legal basis chosen is the Treaty on the Functioning of the European Union, Article 43(2) of which establishes the Common Fisheries Policy and Article 218(5) concerning the procedure for the signature of agreements between the EU and third countries.

### 10. Voting Method

QMV

### 11. Role of the EP

Consultation

**12. Category of proposal**

Little significance

**13. Implications for Ireland & Ireland's Initial View**

Ireland does not have fisheries in the Cook Islands.

**14. Impact on the Public**

N

**15. Have any consultations with Stakeholders taken place or are there any plans to do so?**

N

**16. Are there any subsidiarity issues for Ireland?**

N

**17. Anticipated negotiating period**

Discussions at Council Working Party have concluded and the proposal will now be considered by Coreper.

**18. Proposed implementation date**

This Decision shall enter into force on the day following that of its publication in the *Official Journal of the European Union*.

**19. Consequences for national legislation**

N/A

**20. Method of Transposition into Irish law**

N/A

**21. Anticipated Transposition date**

N/A

**22. Consequences for the EU budget in Euros annually**

The annual financial contribution from the European Union is EUR 700 000, based on:

- (a) an annual amount for access to fishery resources for the categories provided for in the Protocol, set at EUR 350 000 for the duration of the extension to the Protocol;
- (b) support for the development of the Cook Islands' sectoral fisheries policy amounting to EUR 350 000 for the duration of the extension to the Protocol. This support meets the objectives of the Cook Islands' national policy on the sustainable management of their maritime fishery resources for the entire duration of the Protocol.

**23. Contact name, telephone number and e-mail address of official in Department with primary responsibility**

Josephine Kelly  
Principal Officer  
Seafood Policy and Management Division  
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Date 21/10/2020



Council of the  
European Union

Brussels, 25 September 2020  
(OR. en)

11167/20

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**Interinstitutional File:  
2020/0276(NLE)**

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**PECHE 257**

**PROPOSAL**

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From: Secretary-General of the European Commission, signed by Ms Martine DEPREZ, Director of the Registry

date of receipt: 25 September 2020

To: Mr Jeppe TRANHOLM-MIKKELSEN, Secretary-General of the Council of the European Union

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No. Cion doc.: COM(2020) 598 final

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Subject: Proposal for a COUNCIL DECISION on the signing, on behalf of the European Union, and provisional application of the Agreement in the form of an exchange of letters between the European Union and the Government of the Cook Islands on an extension of the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands

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Delegations will find attached document COM(2020) 598 final.

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Encl.: COM(2020) 598 final



Brussels, 24.9.2020  
COM(2020) 598 final

2020/0276 (NLE)

Proposal for a

## **COUNCIL DECISION**

**on the signing, on behalf of the European Union, and provisional application of the Agreement in the form of an exchange of letters between the European Union and the Government of the Cook Islands on an extension of the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands**

## EXPLANATORY MEMORANDUM

### 1. CONTEXT OF THE PROPOSAL

- **Reasons for and objectives of the proposal**

On 7 July 2020, the Council adopted a mandate<sup>1</sup> authorising the European Commission to open negotiations for a new protocol to the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands and for the possible prolongation of the current protocol to that Agreement, which will expire on 13 October 2020.

The mandate lays down that in case the negotiations for a new Protocol to the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands would take more time than expected<sup>2</sup>, and in order to avoid a significant period of interruption of fishing activities, the Commission should seek to agree with the Government of the Cook Islands on a prolongation of the current Protocol<sup>3</sup>, for a limited period, if possible of not more than one year, while continuing to try to reach an agreement for a new protocol in accordance with the objectives set out in the mandate.

During the first round of negotiations (16 July 2020), negotiators from the EU and the Cook Islands agreed that due to the complex nature of the negotiations, a number of rounds would be needed in order to complete the negotiations. Both parties therefore agreed to extend the current Protocol for a maximum period of one year, in line with the mandate from the Council. The extension was established by way of an Agreement in the form of an exchange of letters which was initialled on 29 July 2020 in Brussels and Rarotonga (the Cook Islands).

So that the fishing activity of the European fleet operating in the Cook Islands waters is not interrupted, the Council Decision endorsing the Agreement in the form of an exchange of letters must be adopted in time for it to be signed by both parties before the current Protocol expires on 13 October 2020.

The Commission therefore proposes that the Council authorise the signing and provisional application of the exchange of letters enabling the existing Protocol to be extended for a maximum period of one year.

The aim of the Protocol is to grant fishing opportunities to European Union vessels in the Cook Islands waters in accordance with scientific advice and the recommendations of the Western and Central Pacific Fisheries Commission (WCPFC), within the limits of the available surplus. The aim is also to strengthen cooperation between the European Union and the Government of the Cook Islands, thereby creating a partnership framework within which to develop a sustainable fisheries policy and sound exploitation of fishery resources in the fishing zone of the Cook Islands, in the interests of both parties.

The current EU-Cook Islands protocol allows the EU fleet to fish in the Cook Islands waters for tuna species, for indicative annual fishing opportunities of 7 000 tonnes.

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<sup>1</sup> COUNCIL DECISION authorising the opening of negotiations for a new protocol to the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands and for the possible prolongation of the current protocol to that Agreement (ST 8848/20).

<sup>2</sup> Due in particular to consequences linked to the current global sanitary situation, stemming from the COVID-19 pandemic.

<sup>3</sup> Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands (OJ L 131, 20.05.2016, p. 10.).

- **Consistency with existing policy provisions in the policy area**

In accordance with the priorities of the fisheries policy reform<sup>4</sup>, the Protocol provides fishing opportunities for EU vessels in the Cook Islands waters, on the basis of the best available scientific advice and following WCPFC recommendations. The Protocol also enables the European Union and the Cook Islands to work more closely together on promoting sound exploitation of fishery resources in the Cook Islands waters and to support efforts by the Government of the Cook Islands to develop its fisheries sector, in the interests of both parties.

- **Consistency with other Union policies**

The negotiation of a new Protocol implementing the Sustainable Fishery Partnership Agreement – part of which involves this proposed extension – forms part of the EU’s external action in relation to ACP countries and takes into account, in particular, EU objectives on respecting democratic principles and human rights.

## **2. LEGAL BASIS, SUBSIDIARITY AND PROPORTIONALITY**

- **Legal basis**

The legal basis chosen is the Treaty on the Functioning of the European Union, Article 43(2) of which establishes the Common Fisheries Policy and Article 218(5) concerning the procedure for the signature of agreements between the EU and third countries.

- **Subsidiarity (for non-exclusive competence)**

The proposal falls under the exclusive competence of the European Union.

- **Proportionality**

The proposal is proportionate to the objective of establishing a legal, environmental, economic and social governance framework for fishing activities carried out by EU vessels in third-country waters, as set out in Article 31 of the Regulation establishing the Common Fisheries Policy. It complies with those provisions as well as with those on financial assistance to third countries laid down in Article 32 of that Regulation.

The one-year extension to the framework laid down by the Protocol which will expire on 13 October 2020 plays a role in the negotiation process aimed at ensuring the continuity of fishing activity by the European fleet operating in the Cook Islands waters.

## **3. RESULTS OF EX-POST EVALUATIONS, STAKEHOLDER CONSULTATIONS AND IMPACT ASSESSMENTS**

- **Ex-post evaluations/fitness checks of existing legislation**

Stakeholders were consulted during the evaluation of the Protocol for the period 2016-20. Experts from the Member States were also consulted in technical meetings. These consultations led to the conclusion that it would be beneficial to renew the Protocol with the Cook Islands. This proposed extension to the Protocol is a stage in the negotiation process for renewing the Protocol.

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<sup>4</sup> OJ L 354, 28.12.2013, p. 22.

- **Stakeholder consultation**

Member States, industry representatives, international civil society organisations and the fisheries administration and civil society representatives of the Cook Islands were consulted as part of the evaluation. Consultations also took place in the framework of the Long Distance Advisory Council.

- **Collection and use of expertise**

The Commission used an independent consultant for the ex-post and ex-ante evaluations, in accordance with Article 31(10) of the Regulation establishing the Common Fisheries Policy.

#### **4. BUDGETARY IMPLICATIONS**

The annual financial contribution from the European Union is EUR 700 000, based on:

- (a) an annual amount for access to fishery resources for the categories provided for in the Protocol, set at EUR 350 000 for the duration of the extension to the Protocol;
- (b) support for the development of the Cook Islands' sectoral fisheries policy amounting to EUR 350 000 for the duration of the extension to the Protocol. This support meets the objectives of the Cook Islands' national policy on the sustainable management of their maritime fishery resources for the entire duration of the Protocol.

The annual amount for commitment and payment appropriations is established during the annual budgetary procedure, including for the reserve line for protocols not yet having entered into force at the beginning of the year<sup>5</sup>.

The exchange of letters relating to the extension also lays down a pro-rata reduction clause in the event that the negotiations to renew the Protocol result in these being signed and subsequently entering into force prior to the expiry of the annual extension to which the exchange of letters applies.

#### **5. OTHER ELEMENTS**

- **Implementation plans and monitoring, evaluation and reporting arrangements**

The monitoring arrangements are provided for in the Protocol extended by the exchange of letters.

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<sup>5</sup> In accordance with the Interinstitutional Agreement on cooperation in budgetary matters (2013/C 373/01).

Proposal for a

## COUNCIL DECISION

**on the signing, on behalf of the European Union, and provisional application of the Agreement in the form of an exchange of letters between the European Union and the Government of the Cook Islands on an extension of the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands**

THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty on the Functioning of the European Union, and in particular Article 43(2) in conjunction with Article 218(5) thereof,

Having regard to the proposal from the European Commission,

Whereas:

- (1) The Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands<sup>1</sup> ('the Agreement'), approved by Council Decision (EU) No 2017/418<sup>2</sup> entered into force on 10 May 2017. The Protocol on the implementation of the Agreement ('the Protocol'), was provisionnaly applied since 14 October 2016<sup>3</sup>, for a period of four years.
- (2) The Protocol is set to expire on 13 October 2020.
- (3) On 7 July 2020, the Council authorised the Commission to open negotiations with the Cook Islands for the conclusion of a new Protocol implementing the Sustainable Fisheries Partnership Agreement.
- (4) Pending completion of the negotiations on the renewal of the Protocol, the Commission negotiated, on behalf of the Union, an Agreement in the form of an exchange of letters on an extension for a maximum period of one year to the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands. The negotiations were concluded successfully and the exchange of letters was initialled on 29 July 2020.
- (5) The aim of the Agreement in the form of an exchange of letters is to enable the Union and the Government of the Cook Islands to continue working together to promote a sustainable fisheries policy, the sound exploitation of fisheries resources in Cook Islands waters and to allow Union vessels to fish in those waters.
- (6) (5) Therefore, the Agreement in the form of an exchange of letters should be signed on behalf of the Union, subject to its conclusion at a later date.

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<sup>1</sup> OJ L 131, 20.05.2016, p. 3.

<sup>2</sup> COUNCIL DECISION (EU) 2017/418 of 28 February 2017 on the conclusion on behalf of the European Union of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands and the Implementation Protocol thereto (OJ L 64, 10.03.2017, p. 1).

<sup>3</sup> OJ L 289 of 25.10.2016, p.1.

- (7) To ensure the continuity of fishing activity by Union vessels in Cook Islands waters, the Agreement in the form of an exchange of letters should be applied provisionally,

HAS ADOPTED THIS DECISION:

*Article 1*

The signing of the Agreement in the form of an exchange of letters between the European Union and the Government of Cook Islands on an extension to the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands, expiring on 13 October 2020 ('Agreement in the form of an exchange of letters'), is approved on behalf of the Union, subject to the conclusion of the aforementioned Agreement.

The text of the Agreement in the form of an exchange of letters is attached to this Decision.

*Article 2*

The General Secretariat of the Council shall establish the instrument of full powers for the person(s) indicated by the negotiator of the Agreement in the form of an exchange of letters to sign the aforementioned Agreement, subject to its conclusion.

*Article 3*

The Agreement in the form of an exchange of letters shall be applied provisionally, in accordance with paragraph 6 thereof, as from 14 October 2020 or any other subsequent date from the day it is signed, pending its entry into force.

*Article 4*

This Decision shall enter into force on the day following that of its publication in the *Official Journal of the European Union*.

Done at Brussels,

*For the Council  
The President*

## LEGISLATIVE FINANCIAL STATEMENT

### 1. FRAMEWORK OF THE PROPOSAL/INITIATIVE

#### 1.1. Title of the proposal/initiative

Proposal for a Council Decision on the signing, on behalf of the EU, and provisional application of the Agreement in the form of an exchange of letters on an extension to the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands, expiring on 13 October 2020.

#### 1.2. Policy area(s) concerned

11 – Maritime affairs and fisheries  
11.03 – Compulsory contributions to regional fisheries management organisations (RFMOs) and other international organisations and sustainable fisheries agreements (SFPAs)  
11.03.01 – Establishing a governance framework for fishing activities carried out by Union fishing vessels in third-country waters

#### 1.3. The proposal/initiative relates to:

- a new action  
 a new action following a pilot project/preparatory action<sup>1</sup>  
 the extension of an existing action  
 a merger or redirection of one or more actions towards another/a new action

#### 1.4. Objective(s)

##### 1.4.1. General objective(s)

The negotiation and conclusion of Sustainable Fisheries Partnership Agreements (SFPAs) with third countries meet the general objective of giving EU fishing vessels access to the fishing zones of third countries and developing a partnership with those countries with a view to strengthening the sustainable exploitation of fishery resources outside EU waters.  
SFPAs also ensure consistency between the principles governing the Common Fisheries Policy and commitments made under other European policies (sustainable use of third-country resources, combating illegal, unreported and unregulated (IUU) fishing, integration of partner countries into the global economy and better political and financial governance of fisheries).

##### 1.4.2. Specific objective(s)

Specific objective  
To contribute to sustainable fishing in non-EU waters, maintain a European presence in distant-water fisheries and protect the interests of the European fisheries sector and consumers by negotiating and concluding SFPAs with coastal states, consistent with other European policies.  
ABM/ABB activity(ies) concerned  
Maritime affairs and fisheries, to establish a governance framework for fishing activities carried out by European Union fishing vessels in third country waters (SFPAs) (budget line 11.03.01).

##### 1.4.3. Expected result(s) and impact

*Specify the effects that the proposal/initiative should have on the targeted beneficiaries/groups.*

Extending the Protocol to the existing SFPAs will prevent fishing activity by European vessels being interrupted when the Protocol expires on 13 October 2020.

<sup>1</sup> As referred to in Article 58(2)(a) or (b) of the Financial Regulation.

The extension will apply for a maximum period of one year, pending completion of the negotiations on the renewal of the Protocol.

The Protocol enables the establishment of a strategic fisheries partnership between the European Union and the Government of the Cook Islands. The Protocol will also contribute to better management and conservation of fishery resources, through financial support (sectoral support) for the implementation of programmes adopted at national level by the partner country, in particular as regards monitoring and combating illegal fishing, and support for the small-scale fisheries sector.

**1.4.4. Performance indicators**

*Specify the indicators for monitoring progress and achievements.*

Fishing opportunity utilisation rates (annual uptake of fishing authorisations as a percentage of availability under the Protocol).

Catch data (gathering and analysis) and the commercial value of the Agreement.

Contribution to employment and to added value in the EU and to stabilising the EU market (on aggregate with other SFPAs).

Contribution to improving research, surveillance and control of fishing activity by the partner country and the development of its fisheries sector, in particular its small-scale fisheries sector.

**1.5. Grounds for the proposal/initiative**

**1.5.1. Requirement(s) to be met in the short or long term, including a detailed timeline for implementing the initiative**

It is intended that the exchange of letters extending the Protocol will apply provisionally from the date of its signature, as from 14 October 2020 or any subsequent date upon being signed, so as to prevent any interruption to fishing operations ongoing under the current Protocol.

**1.5.2. Added value of Union involvement (it may result from different factors, e.g. coordination gains, legal certainty, greater effectiveness or complementarity). For the purposes of this point, 'added value of Union involvement' is the value resulting from Union intervention which is additional to the value that would have otherwise been created by Member States alone.**

If the EU does not conclude a new Protocol, this will impede the fishing activity of EU vessels as the Agreement contains a clause excluding fishing activity not taking place in the framework defined by a protocol to the Agreement. Consequently, the added value for the EU's long-distance fleet is very clear. The Protocol also provides a framework for strengthened cooperation between the EU and the Cook Islands.

**1.5.3. Lessons learnt from similar experiences in the past**

The analysis of potential catches in the Cook Islands fishing zone, available assessments and scientific advice, have led the Parties to set a reference tonnage for tuna and tuna-like species of 7 000 tonnes per year with fishing opportunities for 4 tuna purse seiners. Sectoral support takes into account needs relating to capacity building within the fisheries authorities of the Cook Islands and the priorities of the national fisheries strategy including, in particular, scientific research and fishing control and monitoring initiatives.

**1.5.4. Compatibility with the multiannual financial framework and possible synergies with other appropriate instruments**

Funds provided as financial compensation for access under the SFPAs constitute fungible revenue in the national budget of the Cook Islands. However, funds intended for sectoral support are allocated (generally by inclusion in the annual budget law) to the Ministry responsible for fisheries, as a condition for the conclusion and monitoring of SFPAs. These financial resources are compatible with

other sources of funding from other providers of international funding for carrying out projects and/or programmes at national level in the fisheries sector.

1.5.5. Assessment of the different available financing options, including scope for redeployment

N/A

#### Duration and financial impact of the proposal/initiative

**limited duration**

In force from 2020 to 2022

Financial impact in 2020 for commitment appropriations and from 2020 to 2022 for payment appropriations.

**unlimited duration**

Implementation with a start-up period from YYYY to YYYY, followed by full-scale operation.

#### Management mode(s) planned<sup>2</sup>

**Direct management** by the Commission

by its departments, including by its staff in the Union delegations;

by the executive agencies

**Shared management** with the Member States

**Indirect management** by entrusting budget implementation tasks to:

third countries or the bodies they have designated;

international organisations and their agencies (to be specified);

the EIB and the European Investment Fund;

bodies referred to in Articles 70 and 71 of the Financial Regulation;

public law bodies;

bodies governed by private law with a public service mission to the extent that they provide adequate financial guarantees;

bodies governed by the private law of a Member State that are entrusted with the implementation of a public-private partnership and that provide adequate financial guarantees;

persons entrusted with the implementation of specific actions in the CFSP pursuant to Title V of the TEU, and identified in the relevant basic act.

*If more than one management mode is indicated, please provide details in the 'Comments' section.*

#### Comments

<sup>2</sup> Details of management modes and references to the Financial Regulation may be found on the BudgWeb site:

<https://myintracomm.ec.europa.eu/budgweb/EN/man/budgmanag/Pages/budgmanag.aspx>

## **2. MANAGEMENT MEASURES**

### **2.1. Monitoring and reporting rules**

*Specify frequency and conditions.*

The Commission (DG MARE, in cooperation with its fisheries attaché based in the region (Fiji)) will ensure regular monitoring of the implementation of the Protocol as regards the use of fishing opportunities by operators, catch data and compliance with conditions for sectoral support.

The SFPA provides for at least one annual meeting of the Joint Committee, at which the Commission and the Government of the Cook Islands review the implementation of the Agreement and Protocol and, if necessary, adjust the programming and, if applicable, the financial contribution.

### **2.2. Management and control system(s)**

*2.2.1. Justification of the management mode(s), the funding implementation mechanism(s), the payment modalities and the control strategy proposed*

The identified risk is the under-use of fishing opportunities by EU vessel owners and the under-use or delayed use by the Cook Islands of funds intended to finance the sectoral fisheries policy.

*2.2.2. Information concerning the risks identified and the internal control system(s) set up to mitigate them*

Extensive dialogue is planned on the programming and implementation of the sectoral policy laid down in the Agreement and the Protocol. Joint analysis of results also forms part of these control methods.

In addition, the Agreement and the Protocol contain specific clauses for their suspension, under certain conditions and in given circumstances.

2.2.3. *Estimation and justification of the cost-effectiveness of the controls (ratio of ‘control costs ÷ value of the related funds managed’), and assessment of the expected levels of risk of error (at payment and at closure)*

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**2.3. Measures to prevent fraud and irregularities**

*Specify existing or envisaged prevention and protection measures, e.g. from the Anti-Fraud Strategy.*

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| <p>The Commission undertakes to establish political dialogue and regular coordination with the Government of the Cook Islands with a view to improving the management of the Agreement and the Protocol and strengthening the EU’s contribution to the sustainable management of resources. Any payment which the Commission makes under an SFPA is subject to the Commission’s standard rules and budgetary and financial procedures. In particular, the bank accounts of the third countries into which the financial contribution is paid are fully identified. The Protocol provides that the financial contribution is to be paid into a nominated Government bank account in the Cook Islands.</p> |
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### 3. ESTIMATED FINANCIAL IMPACT OF THE PROPOSAL/INITIATIVE

#### 3.1. Heading(s) of the multiannual financial framework and expenditure budget line(s) affected

Existing budget lines

*In the order of multiannual financial framework headings and budget lines.*

| Heading of multiannual financial framework | Budget line   | Nature of the expenditure    | Contribution                     |                                       |                      |  |
|--|---|------------------------------|----------------------------------|---------------------------------------|----------------------|--|
|  | Number  | Diff./Non-diff. <sup>1</sup> | from EFTA countries <sup>2</sup> | from candidate countries <sup>3</sup> | from third countries | within the meaning of Article 21(2)(b) of the Financial Regulation |
|  | 11.03.01<br>Establishing a governance framework for fishing activities carried out by European Union fishing vessels in third country waters (SFAs) | Diff.                        | No                               | No                                    | No                   | No   |

New budget lines requested

*In the order of multiannual financial framework headings and budget lines.*

| Heading of multiannual financial framework | Budget line   | Nature of the expenditure | Contribution        |                          |                      |  |
|--|---------------|---------------------------|---------------------|--------------------------|----------------------|--|
|  | Number        | Diff./Non-diff.           | from EFTA countries | from candidate countries | from third countries | within the meaning of Article 21(2)(b) of the Financial Regulation |
|  | [XX.YY.YY.YY] |                           | YES/NO              | YES/NO                   | YES/NO               | YES/NO   |

<sup>1</sup> Diff. = Differentiated appropriations / Non-diff. = Non-differentiated appropriations.

<sup>2</sup> EFTA: European Free Trade Association.

<sup>3</sup> Candidate countries and, where applicable, potential candidate countries from the Western Balkans.

### 3.2. Estimated financial impact of the proposal on appropriations

#### 3.2.1. Summary of estimated impact on operational appropriations

- The proposal/initiative does not require the use of operational appropriations  
 The proposal/initiative requires the use of operational appropriations, as explained below:

EUR million (to three decimal places)

|   |             |                                       |
|---|-------------|---------------------------------------|
| <b>Heading of multiannual financial framework</b> | Number<br>2 | Sustainable growth: natural resources |
|---|-------------|---------------------------------------|

| DG: MARE  |             |              | 2020  | 2021  | TOTAL        |
|---|-------------|--------------|-------|-------|--------------|
| •Operational appropriations   |             |              |       |       |              |
| Budget line <sup>1</sup> 11.0301  | Commitments | (1a)         | 0.700 |       | <b>0.700</b> |
|   | Payments    | (2a)         | 0.350 | 0.350 | <b>0.700</b> |
| Budget line   | Commitments | (1b)         |       |       |              |
|   | Payments    | (2b)         |       |       |              |
| Appropriations of an administrative nature financed from the envelope of specific programmes <sup>2</sup> |             |              |       |       |              |
| Budget line   |             | (3)          |       |       |              |
| <b>TOTAL appropriations for DG MARE</b>   | Commitments | =1a+1b<br>+3 |       |       |              |
|   | Payments    | =2a+2b<br>+3 |       |       |              |

|  |             |       |       |       |              |
|--|-------------|-------|-------|-------|--------------|
| • TOTAL operational appropriations   | Commitments | (4)   | 0.700 |       | <b>0.700</b> |
|  | Payments    | (5)   | 0.350 | 0.350 | <b>0.700</b> |
| •TOTAL appropriations of an administrative nature financed from the envelope for specific programmes |             | (6)   |       |       |              |
| <b>TOTAL appropriations for HEADING 2 of the multiannual financial framework</b>                     | Commitments | =4+ 6 | 0.700 |       | <b>0.700</b> |
|  | Payments    | =5+ 6 | 0.350 | 0.350 | <b>0.700</b> |

<sup>1</sup> According to the official budget nomenclature.

<sup>2</sup> Technical and/or administrative assistance and expenditure in support of the implementation of EU programmes and/or actions (former 'BA' lines), indirect research, direct research.

**If more than one operational heading is affected by the proposal/initiative, repeat the section above:**

|  |             |       |       |       |              |
|--|-------------|-------|-------|-------|--------------|
| •TOTAL operational appropriations (all operational headings)   | Commitments | (4)   |       |       |              |
|  | Payments    | (5)   |       |       |              |
| TOTAL appropriations of an administrative nature financed from the envelope for specific programmes (all operational headings) |             | (6)   |       |       |              |
| <b>TOTAL appropriations under HEADINGS 1 to 4 of the multiannual financial framework (Reference amount)</b>                    | Commitments | =4+ 6 | 0.700 |       | <b>0.700</b> |
|  | Payments    | =5+ 6 | 0.350 | 0.350 | <b>0.700</b> |

|   |          |                              |
|---|----------|------------------------------|
| <b>Heading of multiannual financial framework</b> | <b>5</b> | 'Administrative expenditure' |
|---|----------|------------------------------|

This section should be filled in using the 'budget data of an administrative nature' to be introduced first in the [Annex to the Legislative Financial Statement](#) (Annex V to the internal rules), which is uploaded to DECIDE for inter-service consultation purposes.

EUR million (to three decimal places)

|                                    |                | 2020 | 2021 | TOTAL |
|------------------------------------|----------------|------|------|-------|
| DG: MARE                           |                |      |      |       |
| • Human resources                  |                |      |      |       |
| • Other administrative expenditure |                |      |      |       |
| <b>TOTAL DG MARE</b>               | Appropriations |      |      |       |

|  |                                      |  |  |  |
|--|--------------------------------------|--|--|--|
| <b>TOTAL appropriations under HEADING 5 of the multiannual financial framework</b> | (Total commitments = Total payments) |  |  |  |
|--|--------------------------------------|--|--|--|

EUR million (to three decimal places)

|  |             | 2020  | 2021  | TOTAL        |
|--|-------------|-------|-------|--------------|
| <b>TOTAL appropriations under HEADINGS 1 to 5 of the multiannual financial framework</b> | Commitments | 0.700 |       | <b>0.700</b> |
|  | Payments    | 0.350 | 0.350 | <b>0.700</b> |

### 3.2.2. Estimated output funded with operational appropriations

Commitment appropriations in EUR million (to three decimal places)

| Indicate objectives and outputs<br>↓     | Type <sup>3</sup> | Average cost | 2019   |      | 2020   |      | 2021   |      | TOTAL  |              |            |
|--|-------------------|--------------|--------|------|--------|------|--------|------|--------|--------------|------------|
|  |                   |              | Number | Cost | Number | Cost | Number | Cost | Number | Total number | Total cost |
| SPECIFIC OBJECTIVE No 1 <sup>4</sup> ... |                   |              |        |      |        |      |        |      |        |              |            |

<sup>3</sup> Outputs are products and services to be supplied (e.g. number of student exchanges financed, number of km of roads built, etc.).

|                                      |        |  |  |       |  |  |  |  |  |  |       |
|--------------------------------------|--------|--|--|-------|--|--|--|--|--|--|-------|
| - Access                             | Annual |  |  | 0.350 |  |  |  |  |  |  | 0.350 |
| - Sectoral                           | Annual |  |  | 0.350 |  |  |  |  |  |  | 0.350 |
| - Output                             |        |  |  |       |  |  |  |  |  |  |       |
| Subtotal for specific objective No 1 |        |  |  | 0.700 |  |  |  |  |  |  | 0.700 |
| SPECIFIC OBJECTIVE No 2 ...          |        |  |  |       |  |  |  |  |  |  |       |
| - Output                             |        |  |  |       |  |  |  |  |  |  |       |
| Subtotal for specific objective No 2 |        |  |  |       |  |  |  |  |  |  |       |
| <b>TOTALS</b>                        |        |  |  | 0.700 |  |  |  |  |  |  | 0.700 |

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<sup>4</sup> As described in point 1.4.2. 'Specific objective(s)...'

3.2.3. *Summary of estimated impact on administrative appropriations*

The proposal/initiative does not require the use of appropriations of an administrative nature.

The proposal/initiative requires the use of appropriations of an administrative nature, as explained below:

EUR million (to three decimal places)

|   | Year N <sup>1</sup> | Year N+1 | Year N+2 | Year N+3 | Enter as many years as necessary to show the duration of the impact (see point 1.6) |  |  | TOTAL |
|---|---------------------|----------|----------|----------|---|--|--|-------|
| <b>HEADING 5 of the multiannual financial framework</b>                     |                     |          |          |          |   |  |  |       |
| Human resources   |                     |          |          |          |   |  |  |       |
| Other administrative expenditure  |                     |          |          |          |   |  |  |       |
| <b>Subtotal HEADING 5 of the multiannual financial framework</b>            |                     |          |          |          |   |  |  |       |
| <b>Outside HEADING 5<sup>2</sup> of the multiannual financial framework</b> |                     |          |          |          |   |  |  |       |
| Human resources   |                     |          |          |          |   |  |  |       |
| Other expenditure of an administrative nature                               |                     |          |          |          |   |  |  |       |
| <b>Subtotal outside HEADING 5 of the multiannual financial framework</b>    |                     |          |          |          |   |  |  |       |
| <b>TOTAL</b>  |                     |          |          |          |   |  |  |       |

The appropriations required for human resources and other expenditure of an administrative nature will be met by appropriations from the DG that are already assigned to management of the action and/or have been redeployed within the DG, together if necessary with any additional allocation which may be granted to the managing DG under the annual allocation procedure and in the light of budgetary constraints.

<sup>1</sup> Year N is the year in which implementation of the proposal/initiative starts. Please replace 'N' by the expected first year of implementation (for instance: 2021). The same for the following years.

<sup>2</sup> Technical and/or administrative assistance and expenditure in support of the implementation of EU programmes and/or actions (former 'BA' lines), indirect research, direct research.

3.2.3.1. Estimated requirements of human resources

The proposal/initiative does not require the use of human resources.

The proposal/initiative requires the use of human resources, as explained below:

*Estimate to be expressed in full time equivalent units*

|  | Year<br>N         | Year<br>N+1 | Year<br>N+2 | Year<br>N+3 | Enter as many years as<br>necessary to show the duration<br>of the impact (see point 1.6) |  |  |
|--|-------------------|-------------|-------------|-------------|---|--|--|
| <b>• Establishment plan posts (officials and temporary staff)</b>        |                   |             |             |             |   |  |  |
| XX 01 01 01 (Headquarters and Commission's Representation Offices)       |                   |             |             |             |   |  |  |
| XX 01 01 02 (Delegations)  |                   |             |             |             |   |  |  |
| XX 01 05 01/11/21 (Indirect research)                                    |                   |             |             |             |   |  |  |
| 10 01 05 01/11 (Direct research)   |                   |             |             |             |   |  |  |
| <b>• External staff (in Full Time Equivalent unit: FTE) <sup>1</sup></b> |                   |             |             |             |   |  |  |
| XX 01 02 01 (AC, END, INT from the 'global envelope')                    |                   |             |             |             |   |  |  |
| XX 01 02 02 (AC, AL, END, INT and JPD in the delegations)                |                   |             |             |             |   |  |  |
| <b>XX 01 04 yy <sup>2</sup></b>  | - at Headquarters |             |             |             |   |  |  |
|  | - in Delegations  |             |             |             |   |  |  |
| <b>XX 01 05 02/12/22</b> (AC, END, INT - Indirect research)              |                   |             |             |             |   |  |  |
| 10 01 05 02/12 (AC, END, INT - Direct research)                          |                   |             |             |             |   |  |  |
| Other budget lines (specify)   |                   |             |             |             |   |  |  |
| <b>TOTAL</b>   |                   |             |             |             |   |  |  |

**XX** is the policy area or budget title concerned.

Human resources requirements will be met by staff from the DG who are already assigned to management of the action and/or have been redeployed within the DG, together if necessary with any additional allocation which may be granted to the managing DG under the annual allocation procedure and in the light of budgetary constraints.

Description of tasks to be carried out:

|                               |  |
|-------------------------------|--|
| Officials and temporary staff | Implementation of the Protocol (payments, access to the Cook Islands waters by EU vessels, processing of fishing authorisations), preparation and follow-up of Joint Committees, preparation for the renewal of the Protocol, external evaluation, legislative procedures, negotiations. |
| External staff                | Implementation of the Protocol: contact with the authorities of the Cook Islands for access by EU vessels to the Cook Islands waters, processing of fishing authorisations, preparation and follow-up of Joint Committees, in particular sectoral support implementation.                |

<sup>1</sup> AC = Contract Staff; AL = Local Staff; END = Seconded National Expert; INT = agency staff; JPD = Junior Professionals in Delegations.

<sup>2</sup> Sub-ceiling for external staff covered by operational appropriations (former 'BA' lines).

3.2.4. *Compatibility with the current multiannual financial framework*

The proposal/initiative:

can be fully financed through redeployment within the relevant heading of the multiannual financial framework (MFF).

This concerns the use of the reserve line (Chapter 40).

requires use of the unallocated margin under the relevant heading of the MFF and/or use of the special instruments as defined in the MFF Regulation.

Explain what is required, specifying the headings and budget lines concerned, the corresponding amounts, and the instruments proposed to be used.

requires a revision of the MFF.

Explain what is required, specifying the headings and budget lines concerned and the corresponding amounts.

3.2.5. *Third-party contributions*

The proposal/initiative:

does not provide for co-financing by third parties

provides for the co-financing by third parties estimated below:

Commitment in EUR million (to three decimal places)

|                                     | Year<br>N <sup>22</sup> | Year<br>N+1 | Year<br>N+2 | Year<br>N+3 | Enter as many years as necessary<br>to show the duration of the<br>impact (see point 1.6) |  |  | Total |
|-------------------------------------|-------------------------|-------------|-------------|-------------|---|--|--|-------|
| Specify the co-financing<br>body    |                         |             |             |             |   |  |  |       |
| TOTAL appropriations<br>co-financed |                         |             |             |             |   |  |  |       |

<sup>22</sup> Year N is the year in which implementation of the proposal/initiative starts. Please replace 'N' by the expected first year of implementation (for instance: 2021). The same for the following years.

**3.3. Estimated impact on revenue**

The proposal/initiative has no financial impact on revenue.

The proposal/initiative has the following financial impact:

on own resources

on other revenue

please indicate if the revenue is assigned to expenditure lines

EUR million (to three decimal places)

| Budget revenue line: | Appropriations available for the current financial year | Impact of the proposal/initiative <sup>23</sup> |          |          |          |   |  |  |  |
|----------------------|---|---|----------|----------|----------|---|--|--|--|
|                      |   | Year N  | Year N+1 | Year N+2 | Year N+3 | Enter as many years as necessary to show the duration of the impact (see point 1.6) |  |  |  |
| Article .....        |   |   |          |          |          |   |  |  |  |

For assigned revenue, specify the budget expenditure line(s) affected.

Other remarks (e.g. method/formula used for calculating the impact on revenue or any other information).

<sup>23</sup> As regards traditional own resources (customs duties, sugar levies), the amounts indicated must be net amounts, i.e. gross amounts after deduction of 20% for collection costs.



Council of the  
European Union

Brussels, 25 September 2020  
(OR. en)

11167/20  
ADD 1

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**Interinstitutional File:  
2020/0276(NLE)**

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**PECHE 257**

**PROPOSAL**

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From: Secretary-General of the European Commission, signed by Ms Martine DEPREZ, Director of the Registry

date of receipt: 25 September 2020

To: Mr Jeppe TRANHOLM-MIKKELSEN, Secretary-General of the Council of the European Union

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No. Cion doc.: COM(2020) 598 final - ANNEX

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Subject: ANNEX accompanying the Proposal of a COUNCIL DECISION on the signing, on behalf of the European Union, and provisional application of the Agreement in the form of an exchange of letters between the European Union and the Government of the Cook Islands on an extension of the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands

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Delegations will find attached document COM(2020) 598 final - ANNEX.

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Encl.: COM(2020) 598 final - ANNEX



Brussels, 24.9.2020  
COM(2020) 598 final

ANNEX

**ANNEX**

**accompanying the**

**Proposal of a COUNCIL DECISION**

**on the signing, on behalf of the European Union, and provisional application of the Agreement in the form of an exchange of letters between the European Union and the Government of the Cook Islands on an extension of the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands**

**Agreement in the form of an exchange of letters between the European Union and the Government of the Cook Islands concerning an extension of the Protocol on the implementation of the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands**

**Letter from the European Union**

Dear Sirs,

I am pleased to confirm that we agree to the following interim arrangements for the extension of the Protocol currently in force (14 October 2016-13 October 2020), hereinafter ‘the Protocol’, setting out the fishing opportunities and financial contribution provided for in the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands, pending completion of the negotiations on the renewal of the Protocol.

In this regard, the European Union and the Government of the Cook Islands have therefore agreed the following:

- (1) As from 14 October 2020, or any other subsequent date from the signing of this exchange of letters, the arrangements in force during the final year of the Protocol will be renewed under the same conditions for a maximum period of one year.
- (2) The Union’s financial contribution for vessels to have access to the Cook Islands’ waters under the extension will correspond to the annual amount provided for under Article 2 of the Protocol. That payment will be made in a single instalment no later than three months from the date this exchange of letters is provisionally applied.
- (3) Under this extension agreement, sectoral support amounts to EUR 350 000. The Joint Committee provided for under Article 6 of the Sustainable Fisheries Partnership Agreement will approve the programming for this amount according to the provisions set out in Article 3 of the Protocol no later than four months from the date of application of this exchange of letters. The conditions referred to in Article 3 of the Protocol relating to the implementation and payment of sectoral support will apply *mutatis mutandis*.
- (4) In the event that the negotiations to renew the Protocol result in this being signed and subsequently entering into force prior to the expiry of the one-year period provided for under point 1 above, payment of the financial contribution referred to in points 2 and 3 above will be reduced *pro rata temporis*. The corresponding amount already paid will be deducted from the first financial contribution due under the new Protocol.
- (5) During the application period of this extension agreement, fishing licences will be allocated within the limits set under the Protocol by means of fees or advances corresponding to those set in Section 5 of Annex 1 to the Protocol, for the last year of its application.
- (6) This exchange of letters will apply provisionally as from 14 October 2020, or any other subsequent date from its being signed, pending its entry into force. It will enter into force on the date on which the Parties notify each other that they have completed the necessary procedures for that purpose.

I should be obliged if you would acknowledge receipt of this letter and confirm that you are in agreement with its terms.

Yours faithfully,

.....

For the European Union

### **Letter from the Government of the Cook Islands**

Dear Sirs,

I have the honour to acknowledge receipt of your letter of today's date, which reads as follows:

'Dear Sirs,

I am pleased to confirm that we agree to the following interim arrangements for the extension of the Protocol currently in force (14 October 2016-13 October 2020), hereinafter 'the Protocol', setting out the fishing opportunities and financial contribution provided for in the Sustainable Fisheries Partnership Agreement between the European Union and the Government of the Cook Islands, pending completion of the negotiations on the renewal of the Protocol.

In this regard, the European Union and the Government of the Cook Islands have therefore agreed the following:

- (7) As from 14 October 2020, or any other subsequent date from the signing of this exchange of letters, the arrangements in force during the final year of the Protocol will be renewed under the same conditions for a maximum period of one year.
- (8) The Union's financial contribution for vessels to have access to the Cook Islands' waters under the extension will correspond to the annual amount provided for under Article 2 of the Protocol. That payment will be made in a single instalment no later than three months from the date this exchange of letters is provisionally applied.
- (9) Under this extension agreement, sectoral support amounts to EUR 350 000. The Joint Committee provided for under Article 6 of the Sustainable Fisheries Partnership Agreement will approve the programming for this amount according to the provisions set out in Article 3 of the Protocol no later than four months from the date of application of this exchange of letters. The conditions referred to in Article 3 of the Protocol relating to the implementation and payment of sectoral support will apply *mutatis mutandis*.
- (10) In the event that the negotiations to renew the Protocol result in this being signed and subsequently entering into force prior to the expiry of the one-year period provided for under point 1 above, payment of the financial contribution referred to in points 2 and 3 above will be reduced *pro rata temporis*. The corresponding amount already paid will be deducted from the first financial contribution due under the new Protocol.
- (11) During the application period of this extension agreement, fishing licences will be allocated within the limits set under the Protocol by means of fees or advances corresponding to those set in Section 5 of Annex 1 to the Protocol, for the last year of its application.

(12) This exchange of letters will apply provisionally as from 14 October 2020, or any other subsequent date from its being signed, pending its entry into force. It will enter into force on the date on which the Parties notify each other that they have completed the necessary procedures for that purpose.

I should be obliged if you would acknowledge receipt of this letter and confirm that you are in agreement with its terms.”

I can confirm that the content of your letter is acceptable to my Government.

Your letter and this letter constitute an agreement in accordance with your proposal.

Yours faithfully,

For the Government of the Cook Islands.