



Technical support to the implementation and management of ENI CBC programmes

# Supporting capitalisation in ENI CBC programmes

Overview of written resources

February 2019

## DISCLAIMER

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It does not necessarily reflect the views of the European Commission on the topic, and is presented to programme practitioners **for illustrative purposes only**.

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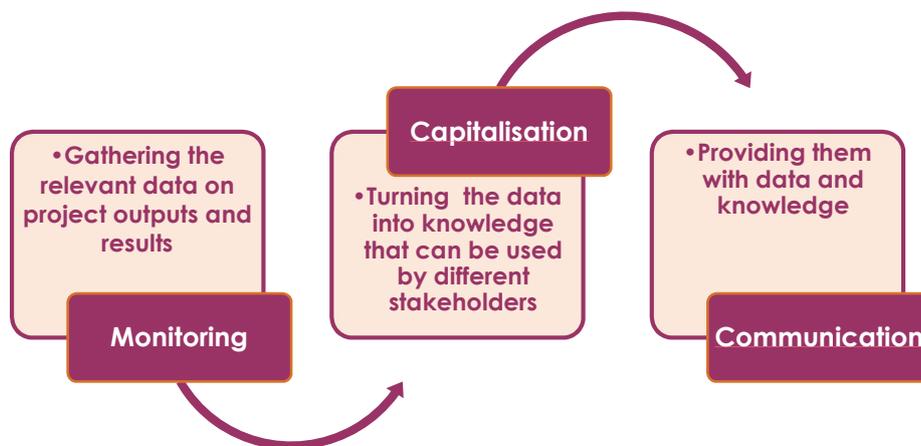
## Background

Capitalisation in ENI CBC programmes has become a key priority in order to promote the long-term use of programme results and to increase the visibility of cross-border cooperation programmes along the external borders of the European Union. But **what has been done so far? Why is capitalisation so important? And where to start?**

There seems to be a common understanding that **capitalisation is about gathering and building upon results of programmes / projects**. The more meaningful and affordable approach applied so far is theme-oriented, since it provides a critical mass of comparable data and more insight-knowledge to be scaled up.

Following this thematic approach, the first step is to **bring together the results obtained by projects in the same field**: the environment, economic development, etc. Then, it is a matter of **finding how these results can be used and transferred to other programmes/projects**. Ultimately, the aim of this second step is to see how certain results could be multiplied, so that their impact is further increased. The last step is the most ambitious of all, and aims at **influencing the policy level**, be it on national or regional/local level, bringing a long-term change that projects alone cannot achieve. But data, knowledge and practices to be used for capitalisation purpose must be known to the relevant actors and stakeholders; communication is therefore a key element of the exercise as well.

All in all **there is no one-size-fits-all solution**, and an effective capitalisation strategy should rely on the close links among the different components of a programme cycle as outlined in the graphic here below :



But a timely and effective capitalisation embedded in the lifecycles of programmes and projects is a challenging mission. Similarly to communication and monitoring, it should be seen as a tool to achieve the objectives of the ones and the others, ensuring their success. In this sense, **both the Managing Authority and the beneficiaries are responsible for ensuring that capitalisation efforts will be effectively deployed.**

Even if there is **no specific reference in the regulatory framework** to the concept of capitalisation, neither during the ENPI CBC nor the ENI CBC programming periods, cross-border cooperation programmes along the external borders of the EU have grasped the importance of this process and already some **ENPI CBC programmes**, even of at a different degree of intensity, worked on delivering capitalisation activities: gathering together projects dealing with the same theme, identifying good practices that could be multiplied, issuing thematic publications, etc.

And several initiatives can be already signalled in the framework of **ENI CBC programmes**. Some of them have been initiated by the Managing Authorities (MAs) in terms of cross-programme cooperation such as for the [Arctic Cluster](#). It concretely will be carried out throughout joint project development events, a joint presence at large Arctic or European conferences, an award for Arctic projects and, eventually, joint publications focused on results and the post-2020 period. Under the same cross-programme approach applied at project level we can also mention the round table “*Applying cluster approach to develop interregional and cross-border cooperation*” held last October 2018 and involving the three Northern cross-border cooperation programmes. More info can be found on the [Kolarctic](#) ENI CBC programme website. Capitalisation at project level in these programmes is fostered using a top down approach. This is the case of the [CBC project portal](#) including information on projects that have been financed in the framework of all the cross-border cooperation programmes between Finland and Russia and, in the case of Kolarctic/Barents region, also with Norway and Sweden. Projects financed from the CBC 2014–2020 programmes are added after contracting. Last but not least, MAs devote efforts and resources to share the programme strategy and project results as is the case for the [Poland-Belarus-Ukraine](#) and [Mediterranean Sea Basin](#) programmes, which are quite active in terms of participation in several international fora.

And certainly capitalisation is not an exclusive responsibility of the MAs: National Authorities have a key role to play, as proved by the one of **Latvia**, a country involved in several Interreg and ENI CBC Programmes. [A short presentation](#) providing an overview of the capitalisation approach adopted at national level has been shared during an Interact event held in June 2018.

The strong focus on project results in the 2014-2020 programming period goes hand-in-hand with the necessity to demonstrate the overall contribution of these

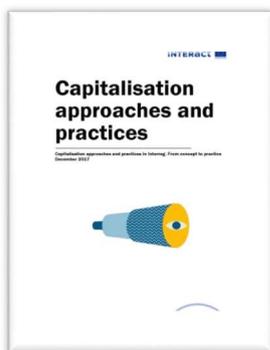


programmes to actions at European, national and regional/local level. And this is where **capitalisation can play a key role and become a success factor**: rendering results visible and ensuring that decision makers will see the interest in keeping the funding instrument in place. This then a success factor not only for a single programme, but for **the entire community**.

## *Useful resources – No need to reinvent the wheel!*

As first step in the supporting process to ENI CBC programmes, TESIM has drafted this **list of available resources**, to assist them in carrying out their capitalisation activities by applying good transferable practices.

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Interact's publication on [Capitalisation approaches and practices](#), and its repository of capitalisation practices that can be found in [Annex 1](#), were designed to make the whole Interreg community more aware of what is going on in terms of capitalisation experiences and approaches in the Interreg context and to encourage programmes bodies to establish or upgrade their capitalisation activities, where relevant into more strategic ones.

The **ENI CBC programmes** can find therein the existing methodologies/approaches which could be of interest and could be transferred to their realities, taking into account the applicable differences between CBC and transnational/sea basin programmes (number of involved countries, size of the projects and programmes, type of main project outputs etc.):

- For **transnational programmes** the Interreg capitalisation strategy aims at increasing the uptake of project outputs (mainly in terms of action plans, strategy, methodology) and widen their impact;
- The **land/sea cross-border programmes** are more focused on increasing the visibility of concrete changes brought to the daily life of citizens living along the borders (new child-care services, new e-transport booking, etc.)

But not only: the publication provides also inputs to define **what kind of information** is needed to work on capitalisation and **what are the steps** to be followed and how to exchange among programmes on the way this capitalisation process is managed.

**Target users:** programme bodies (MA, JTS/BO,NA) and project beneficiaries

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During the last [Interact workshop on capitalisation](#), three Interreg programmes ([2 Seas/Mers](#), [SUDOE](#) and [Danube](#)) shared their approaches in terms of programme specific tools, clearly showing how the capitalisation challenge can tackled from different angles : how to embed the concepts of durability, sustainability and capitalisation in the project proposals, how to promote the human face of capitalisation and on [how to implement the capitalisation strategy](#).

**Target users:** programme bodies responsible (MA,JTS/BO,NA)

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Interact has additionally launched a series of workshops focused on setting the basis, objectives and needs for a draft “[Capitalisation Toolkit](#)” composed of several harmonised templates such as:

- Capitalisation process (who does what and when)
- Capitalisation plan (why, when and how)
- Results promotion and storytelling guidelines (how)



The working group set up by Interact for this toolkit is working on making it more user friendly and fed by practical examples, on reinforcing the link to the monitoring and evaluation dimension, and the link between capitalisation and sustainability of the project results.

As for the [storytelling template](#), the programmes practitioners are interested in providing clear guidance for project beneficiaries on storytelling techniques and in boosting the efforts to involve and motivate all the programme stakeholders to be addressed by different messages and languages.

**Target users:** programme bodies (MA,JTS/BO,NA)

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The Mediterranean Sea Basin ENPI CBC programme was quite proactive in terms of capitalisation activities and, as main output of their effort, an overall report [“Acting together for the Mediterranean”](#) was published last year.

It delivers an assessment of the outcomes and impact of the 95 funded projects which budget amounts to €204 million. The analysis of the projects has been capitalisation- oriented: which degree of sustainability and multiplier effects have the projects ensured through their outputs and results?

**Target users:** programme bodies (MA,JTS/BO,NA), high-level stakeholders and project beneficiaries

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Capitalisation, and in particular the potential cooperation in the framework of the EC Day, were discussed also during the [Northern Cluster meeting](#) organised by TESIM in 2018.

Participants exchanged on the various issues related to capitalisation, and initiated a consideration on *“What should be done, by whom, when and how”* to strengthen the already existing initiatives in this field. A number of key activities were spotted during the event in order to support capitalisation such as:



- collect information from projects (not only raw data but also storytelling) and spread it in an attractive way, stressing the change to others/the environment;
- support thematic networks: create project thematic networks, organise final thematic events for each programme and thematic project networks jointly for several programmes;
- create a platform, a joint portal (e.g., of Finnish programmes);
- promote results to EU and participating countries level.

**Target users:** programme bodies (MA,JTS/BO,NA)

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## *What next for a capitalisation strategy at instrument level?*

Now that almost all the 15 ENI CBC programmes have launched the project implementation stage, on a **cross-programme level** TESIM intends to issue a series of thematic publications, one per each ENI CBC overarching objective, linking them also with the achievements of the previous programming period and the existing strategic dimension for programmes post-2020.

On a **cross-strand level**, TESIM will collaborate with the Interact programme in order to facilitate the involvement of ENI CBC practitioners in the different CBC thematic networks already established and working at European level. TESIM experts, besides their active involvement in some Interact thematic networks, recently joined the capitalisation thematic community and the working group referred to above. This is a great opportunity for the ENI CBC community, which will hopefully allow for direct gathering of experience from other programmes, notably Interreg ones, where capitalisation is now much more integrated in the whole programme cycle.

The capitalisation process is certainly another exciting challenge that may prove crucial for communicating the results and demonstrating the impact of the whole ENI CBC community. TESIM will support the community to pave the way for embedding capitalisation already at early stages of the next programming period.

