

---

# Black Sea Basin ENI CBC 2014-2020

---

DRAFT 5 November 2014

*Prepared by the ENI CBC: Support to Programmes  
A project funded by the EU and implemented by  
Aets and Particip*



# Table of Contents

---

Black Sea Basin ENI CBC 2014-2020.....	1
◦ Description of the Programme area.....	1
Participating countries and Programme area .....	1
Core regions .....	1
Adjoining regions.....	1
Major social, economic or cultural centres .....	2
Map of the programme area .....	2
◦ Programme overall strategic framework .....	3
EU strategy for ENI CBC .....	3
EU strategic framework for the Black Sea Basin .....	4
Other relevant EU policies and initiatives.....	5
◦ Black Sea Basin strategic analyses and consultations .....	7
Socio-economic and SWOT analysis .....	7
Past experience analysis.....	7
Stakeholders consultations .....	9
Consistency with other EU programmes .....	10
Summary of strategy identification .....	13
◦ ENI CBC Black Sea Basin strategy definition.....	15
Wider objective.....	15
Horizontal issues and modalities .....	15
Thematic objectives and priorities.....	15
Objectively verifiable indicators.....	20
Risk analysis and mitigating measures .....	21
Programme logical framework .....	22
◦ Mainstreaming of cross-cutting issues .....	25
Environmental sustainability.....	25
Democracy and human rights .....	25
Gender equality.....	26
◦ Complementarities and synergies.....	26

# Black Sea Basin ENI CBC 2014-2020

## ◦ Description of the Programme area

### Participating countries and Programme area

'Participating countries' to the ENI CBC Black Sea Basin (BSB) programme include the following:

- EU Member States: Bulgaria, Greece and Romania
- Partner countries<sup>i</sup>: Armenia, Azerbaijan, Georgia, Republic of Moldova and Ukraine
- Candidate country: Turkey
- Russian Federation<sup>ii</sup>

The 'Programme area' for the BSB ENI CBC includes core regions, adjoining region and the major social, economic or cultural centres as described below.

### Core regions

The following countries or NUTS II (or equivalent) territorial units form the core eligible area of the Black Sea Basin Programme, as defined in the ENI CBC programming document:

- **Romania:** Sud-Est
- **Bulgaria:** Severoiztochen, Yugoiztochen
- **Greece:** Kentriki Makedonia, Anatoliki Makedonia Thraki
- **Turkey:** TR10 (Istanbul), TR21 (Tekirda, Edirne, Kırklareli), TR42 (Kocaeli, Sakarya, Duzce, Bolu, Yalova), TR81 (Zonguldak, Karabuk, Bartın), TR82 (Kastamonu, Çankırı, Sinop), TR83 (Samsun, Tokat, Çorum, Amasya) and TR90 (Trabzon, Ordu, Giresun, Rize, Artvin, Gumuhane)
- **Russia:** Rostov Oblast, Krasnodar Krai, Adygea republic
- **Ukraine**<sup>iii</sup>: Odessa, Mykolaiv, Kherson, Sevastopol, Zaporosh'ye and Donetsk Oblasts, Crimea Republic, Sevastopol
- **Moldova, Georgia, Armenia, Azerbaijan:** the whole country

### Adjoining regions

*Adjoining regions, where relevant: a list of adjoining regions, the justification for their inclusion in line with the requirements set out in the programming document and the conditions for their participation in the programme, as decided by the participating countries*

*(To be drafted further to JPC decision or written procedure decision)*

---

<sup>i</sup> As listed in Annex I of Regulation (EU) N° 232/2014 of the European Parliament and of the Council of 11 March 2014 establishing a European Neighbourhood Instrument

<sup>ii</sup> Note that the Russian Federation has not been actively involved in the programme preparation

<sup>iii</sup> At the time of drafting this programme, and as provided in the ENI CBC programming document, the general EU restrictions on cooperation in regions that are illegally occupied by Russia are also applicable to CBC. Therefore, the regions of Sevastopol and the Crimea Republic are not currently eligible.

## Major social, economic or cultural centres

*Major social, economic or cultural centres referred to in Article 8(3) of Regulation (EU) No 232/2014, where relevant: a list of centres identified per priority, the justification for their inclusion in line with the requirements set out in the programming document and the conditions for their participation in the programme, as decided by the participating countries*

*(To be drafted further to JPC decision or written procedure decision)*

## Map of the programme area

*A map of the programme area, mentioning the name of each territorial unit and, where relevant, distinguishing between the territorial units referred to above (core, adjoining, major centres)*

---

## ◦ Programme overall strategic framework

### EU strategy for ENI CBC<sup>iv</sup>

Cross-border cooperation (CBC) on the external borders of the EU is a key priority both in the European Neighbourhood Policy and in the EU's strategic partnership with Russia. CBC under the European Neighbourhood Instrument (ENI) will build on CBC under its predecessor, the European Neighbourhood and Partnership Instrument (ENPI).

ENI CBC receives funding from the European Regional Development Fund as well as the European Neighbourhood Instrument. Both sources of funding may be used on either side of the EU external border, for actions of common benefit. The ENI Regulation<sup>v</sup> sets out the basis for CBC, further defined in ENI CBC implementing rules<sup>vi</sup> and ENI CBC programming document.

### Overall objective and strategic objectives

ENI CBC aims to “*promote co-operation across the borders between EU Member States and the countries on the European Neighbourhood and Russian Federation*” and it should contribute to the overall ENI objective of progress towards “*an area of shared prosperity and good neighbourliness*” between EU Member States and their neighbours. Due to its geographical location, Turkey also participates in the Black Sea Basin ENI CBC as a candidate country.

CBC under the ENI has **3 overarching strategic objectives**:

- A. Promote economic and social development in regions on both sides of common borders;
- B. Address common challenges in environment, public health, safety and security;
- C. Promotion of better conditions and modalities for ensuring the mobility of persons, goods and capital.

Each ENI CBC programme must contribute to *at least one* of the strategic objectives.

### Thematic objectives

Taking the strategic objectives above into consideration, and based on the specific circumstances and requirements of the programme cooperation area, each programme shall focus on *a maximum of 4* thematic objectives chosen within a list defined in ENI CBC programming document, that is:

1. Business and SME development (Strategic objective: A)
2. Support to education, research, technological development and innovation (Strategic objective: A)
3. Promotion of local culture and preservation of historical heritage (Strategic objective: A)
4. Promotion of social inclusion and fight against poverty (Strategic objectives: A, B, C)
5. Support to local & regional good governance (Strategic objectives: A, B, C)
6. Environmental protection, climate change adaptation (Strategic objective: B)
7. Improvement of accessibility to the regions, development of transport and communication networks and systems (Strategic objective: C)
8. Common challenges in the field of safety and security (Strategic objective: B)

---

<sup>iv</sup> Based on draft ENI CBC Programming Document (5 March 2014) which lays out the EU ENI CBC strategy

<sup>v</sup> Regulation (EU) No 232/2014 of the European Parliament and of the Council of 11 March 2014 establishing a European Neighbourhood Instrument

<sup>vi</sup> Based on the draft CBC implementing rules (20 March 2014)

9. Promotion of energy cooperation (Strategic objective: B)
10. Promotion of border management, and border security (Strategic objective: C)

A list of indicative activities is provided under each Thematic Objective in the ENI CBC programming document.

Within this framework, it is the task of the local programme partners, working together across the borders, “*to analyse the needs in the programme area, to identify the specific thematic objectives and priorities*” which are most relevant to their own local circumstances.

The promotion of local cross-border “*people-to-people actions is not considered as a thematic objective but as an important modality to be deployed in support of any of these objectives*”. This could include support for enhanced cooperation among local and regional authorities, NGOs and other civil society groups, universities and schools, chambers of commerce etc.

## Key programming orientations

- ✓ Coherence and complementarity between the ENI CBC programmes and other relevant EU instruments are to be ensured through the programming process. CBC programmes must deliver *real cross-border added value and not cover elements which are already funded or could more suitably be funded from other ENI or EU programmes*.
- ✓ Under sea-basin programmes, it will be *possible to support activities involving a single partner on either side* (EU-internal and –external) of the sea-basins, as well as activities involving more than one partner on either side of the sea-basin.
- ✓ The partners implementing projects under the sea-basin programmes will *primarily represent the regional and sub-national administrative levels, as well as civil society organisations* based within the eligible programme area. Eligibility is based on the ENI regulation, but priority should be given to local and regional authorities, civil society, chambers of commerce, and the academic and educational community; as well as other eligible actors based within the geographical eligibility of the programme and important for the realisation of the objectives of the individual programme. Involvement of national authorities will be necessary in all programme development stages and, when this is necessary, in project implementation.
- ✓ Participation of major social, economic or cultural centres in a programme may be considered where it can be demonstrated in the Joint Operational Programme that the involvement of such centres in the programme (i) would bring substantial added value for the core eligible border area, (ii) would strongly contribute to the achievement of the CBC impact in the core eligible border area, and (iii) is essential to achieving the programme objectives in a sustainable way. Consideration should be given to involving such centres *only to address certain programme priorities or measures and to limit their eligibility to certain categories of project partners* (e.g. eligibility of public entities and research centres and not of civil society organisations established in the selected centre).
- ✓ Efforts should be made to *ensure the benefits of regional and local development supported by CBC can be sustained* after CBC funding is complete. This issue should be reflected in the criteria for calls for proposals.

## EU strategic framework for the Black Sea Basin

The EU communication on the Black Sea Synergy (2007) and the Parliament resolution on an EU Strategy for the Black Sea Region (2011) lay down strategic orientations for cooperation in the Black Sea Basin.

### Black Sea Synergy

The EC communication on the Black Sea Synergy, adopted by the European Council in June 2007, was followed by a conference between EU and Black Sea Foreign Affairs Ministers in Kiev in 2008 that led to a joint statement<sup>vii</sup>

<sup>vii</sup> Full text of the statement available on [http://eeas.europa.eu/blacksea/doc/joint\\_statement\\_blacksea\\_en.pdf](http://eeas.europa.eu/blacksea/doc/joint_statement_blacksea_en.pdf)



initiating the Synergy. The initiative is designed as a flexible framework to ensure greater coherence and policy guidance, while also inviting a more integrated approach and closer regional ties in order to:

- ✓ Stimulate democratic and economic reforms
- ✓ Support stability and promote development
- ✓ Facilitate practical projects in areas of common concern
- ✓ Open up opportunities and challenges through coordinated action in a regional framework
- ✓ Encourage the peaceful resolution of conflicts in the region

## **A strategy for the Black Sea**

The EU Parliament adopted a resolution on 20 January 2011<sup>viii</sup> for an EU Strategy for the Black Sea Region to be launched. Parliament stressed that the main objective for the EU and the EU Member States in this strategy is to establish an area of peace, democracy, prosperity and stability founded on respect for human rights and fundamental freedoms and providing for EU energy security. It considered that good governance, the rule of law, promotion of respect for human rights, migration management, energy, transport, the environment and economic and social development should constitute priority actions.

The resolution encourages priority financing for small-scale development projects and stresses the need for a project-based approach with a view to including local authorities, business communities, NGOs or other civil society organisations.

It encourages the development of synergies between the various EU policies that come into play in the Strategy, particularly the Structural Funds, the Research and Development Framework Programme and the Trans-European Transport Networks in order to ensure the sustainability of the actions financed so that opportunities created by one economic development initiative can be taken up by another, complementary initiative.

## **Other relevant EU policies and initiatives**

Other key EU strategies and policies to take into account in ENI CBC Black Sea Basin strategy development include the following.

### **Eastern Partnership**

Representing the Eastern dimension of the **European Neighbourhood Policy**, this initiative was launched at the Prague summit in 2009 and was reaffirmed in 2011 and 2013. It aims to deepen and strengthen relations between the European Union and its six Eastern neighbours, Armenia, Azerbaijan, Belarus, Georgia, Moldova and Ukraine. The main objective is to support political and socio-economic reforms in partner countries to:

- ✓ Foster political association and further economic integration
- ✓ Support mobility of citizens and visa liberalisation as a long term goal
- ✓ Enhance sector cooperation
- ✓ Support civil society

It includes four multi-lateral platforms focusing on:

1. Democracy, Good governance and Stability
2. Economic Integration and Convergence with EU Policies
3. Energy Security
4. Contacts between people<sup>ix</sup>

---

<sup>viii</sup> Full text of the resolution available on <http://www.europarl.europa.eu>

<sup>ix</sup> More information on the Eastern Partnership is available at [http://eeas.europa.eu/eastern/index\\_en.htm](http://eeas.europa.eu/eastern/index_en.htm)

## Danube Strategy

A macro-regional strategy to boost the development of the Danube Region was proposed by the European Commission in 2010 and endorsed by the European Council on 13 April 2011. The Strategy seeks to create synergies and coordination between existing policies and initiatives taking place across the Danube Region, including 14 countries among which Bulgaria, Romania, Moldova and Ukraine are from the Black Sea Basin.

The Danube Region Strategy addresses a wide range of issues, divided among 11 priority areas within four pillars, connecting the region, protecting the environment, building prosperity and strengthening the region<sup>x</sup>.

## Blue Growth Strategy

The Blue Growth communication adopted in September 2012 is the maritime strand of the **Europe 2020** strategy (see below) and an update of the **Integrated Maritime Policy**.

This strategy consists of three components:

1. Targeted effort towards specific activities (focus areas) identified as being the most promising sectors for growth development: coastal tourism, blue energy, aquaculture, blue biotechnology and marine minerals mining.
2. Cross-cutting tools which are specific, policy integrated measures across sectors including Maritime Spatial Planning, Integrated Coastal Management, Marine Knowledge 2020 initiative and maritime surveillance.
3. Sea-basin strategies<sup>xi</sup>

Other aspects that are crucial for a sustainable growth in the blue economy are the development of the appropriate skills, marine and maritime research and access to finance.

The EC extended the dialogue on sustainable development of the blue economy of the Black Sea to all Black Sea countries during a conference held in Bucharest, Romania on 30 January 2014.

## Europe 2020

Europe 2020 is the EU's ten-year growth and jobs strategy launched in 2010. It aims to create within the EU the conditions for economic growth:

- ✓ Smart, through more effective investments in education, research and innovation;
- ✓ Sustainable, thanks to a decisive move towards a low-carbon economy;
- ✓ Inclusive, with a strong emphasis on job creation and poverty reduction.

The **Cohesion Policy** is the EU's main investment tool for delivering the Europe 2020 goals within EU Member States.

---

<sup>x</sup> More information on the Danube Strategy and Action Plan is available on <http://www.danube-region.eu>

<sup>xi</sup> DG Maritime affairs and fisheries is currently carrying out two studies on the blue growth potential of the Black Sea and on the use of the so-called maritime clusters, networks of firms, training establishments, research centres, local and regional authorities. (from Commissioner Maria Damanaki's speech 30 Jan 2014, Black Sea Stakeholders' conference Sustainable Development of the blue economy in the Black Sea Bucharest, 30 January 2014)



---

## ◦ Black Sea Basin strategic analyses and consultations

The methodology for strategy development of the Black Sea Basin ENI CBC programme included socio-economic and SWOT analysis, past experience analysis and stakeholder consultations. A review of other EU financial instruments was also carried out to ensure the strategy would not include elements that could more suitably be funded under other EU programmes.

### Socio-economic and SWOT analysis

*(See documents already forwarded and presented at JPC, updated on the basis of the consultations)*

### Past experience analysis

**A review of lessons learned from Black Sea Basin 2007-13 programme** monitoring reports (2012, 2013) and EC mid-term evaluation provided the following information for the strategy development:

- ✓ The strong relevance of the programme and its current priorities for all participating countries; programme priorities are in line with the needs of the programme area with the greatest alignment being with Objective 1 (Promote economic and social development in regions on both sides of common borders);
- ✓ Recognition of the programme as an instrument for facilitating cross-border cooperation;
- ✓ Over-ambitious, unrealistic indicators at programme level;
- ✓ Some performance difficulties for projects under the first priority (some projects focused on promoting economic cooperation and establishing complicated systems, such as multi-country information databases on companies and products, without having sufficient experience in the area). Some internal, administrative impediments in the second priority for the ENPI East countries (complexity of official mutual recognition of study programmes/diplomas/materials). Some projects implied improvement of national policies, amendments in legislation (beyond the scope of the project);
- ✓ Often problematic financial sustainability/lack of exit strategies at project level;
- ✓ Result oriented monitoring system must be developed in order to assess the success of implementation at project level;
- ✓ 24-month intervention is too short for some actions;
- ✓ Visibility requirements are fulfilled but attention must be paid to the dissemination of project results;
- ✓ No correlation between projects under the same priority (the projects tend to be implemented on a 'individual basis', without having the bigger programme picture);
- ✓ Excellent cooperation among partner countries leading to stable partnerships (among universities and research centers, local administrations, NGOs...).

**A mapping of projects awarded under the Black Sea Basin 2007-13 two calls for proposals** according to key themes allowed the identification of the main areas of interest for project beneficiaries and partners within the programme priorities and action already taken in particular fields. It also provided information on the fields of competence among regional stakeholders, as only successful applications were analysed.

*(See documents already presented at JPC, a summary to be annexed to the programme)*

**A survey on current priorities and future needs**, carried out via a questionnaire forwarded in June 2013 to the National Info Points, Joint Monitoring Committee members, current beneficiaries and partners and potential

applicants which provided information on the relevance of the current programme strategy and of further fields of interest for cross-border cooperation.

*(See documents already presented at JPC, a summary to be annexed to the programme)*

**The outcomes of past experience analysis were combined with the results of the SWOT analysis and compared with the list of ENI CBC thematic objectives and indicative priorities** - see table below. Indicative priorities justified by at least two analyses, including strongly by one are highlighted in light green. When strongly justified by at least two analyses, priorities are highlighted in dark green.

Thematic Objectives	Indicative priorities
1. Business and SME development	Fostering cooperation between public and private sector
	Strengthening economic clusters
	Enhancement of competitiveness
	Promotion of and support to entrepreneurship
	Support to the development and modernisation of businesses in specific sectors (eg tourism, agriculture)
2. Support to education, research, technological development and innovation	Fostering cooperation between businesses and training institutions for innovation and R&D, joint educational planning
	Promotion of skills development and lifelong learning
	Supporting local cooperation in education
	Promotion of and support to research and innovation
3. Promotion of local culture and preservation of historical heritage	Promoting local culture and history
	Supporting traditional skills for local economic development
4. Promotion of social inclusion and fight against poverty	Support to the development of social services
	Enhancing the access to social services
	Promoting gender equality and equal opportunities
	Support to the integration of immigrants and vulnerable groups
	Promoting employment and supporting labour mobility
Stimulate employment for youth	
5. Support to local and regional good governance	Increasing capacity of local and regional authorities and communities
	Coordination of planning activities
	Support to regional integration
	Promoting legal and administrative cooperation
6. Environmental protection and climate change adaptation	Joint actions for environmental protection
	Preservation and sustainable use of natural resources
	Support to energy efficiency and to the use of renewable energy
	Promotion of a low carbon economy
	Support to sustainable waste and waste water management systems
7. Improvement of accessibility to the regions, development of transport and communication networks and systems	Improving the mobility of persons and goods
	Developing transport services and infrastructures
	Developing ICT infrastructure
8. Common challenges in the field of safety and security	Support to the development of health
	Enhancing the access to health
	Prevention and fight against organised crime
	Police cooperation (exchange of intelligence information, etc.)
	Support to the joint activities for the prevention of natural and man-made disasters as well as joint action during emergency situations
9. Promotion of energy cooperation	Energy cooperation
	Energy transmission
	Energy distribution
10. Promotion of border	Support to border efficiency and security
	Improvement of the border-crossing infrastructure and equipment at the border crossing points

Table 1. Combined outcomes of SWOT and past experience analyses (stakeholder survey and mapping of project)

Presented to the JPC on 15 November 2013 in Kavala, Greece, **the combined analyses shows that Thematic Objectives 4, 6 and 7 were broadly supported overall, while some indicative priorities under Thematic Objectives 1, 2, 3 and 8 were also strongly supported** (see the summary in the table above, the full analyses will be annexed to the programme). On the other hand, Thematic Objectives 5 and especially 9 and 10 were very hard to justify on the basis of the SWOT and past experience analyses.

The SWOT and past experience analyses led to the **elimination of Thematic Objectives 9 and 10 from further consultations and the targeting of relevant indicative priorities under the remaining objectives as presenting the most interesting potential** for cooperation within the Black Sea Basin.

## Stakeholders consultations

The SWOT analysis and the eight remaining Thematic Objectives, focused on a limited number of priorities, were further consulted with a wide range of stakeholders:

- **During the Black Sea Basin programme annual conference** held in Istanbul, Turkey on 5th December 2013. The conference participants included representatives of national, regional and local authorities, NGO, researchers and academics, as well as other stakeholders active in the Black Sea Basin area. All countries participating in the Black Sea Basin 2007-13 were represented, as along with Azerbaijan as a potential participant in the ENI CBC Black Sea Basin programme. A specific session was devoted to the review of the SWOT analysis and the thematic objectives<sup>xii</sup>.
- **Through stakeholder consultations (events and/or written consultations) in Black Sea Basin countries.** Both national and regional levels were consulted in most participating countries<sup>xiii</sup> to allow consistency with national/regional strategies as well as to include the views of the actors on the ground.
- **Via online open public consultation on** the website of the current programme and some national websites. The Assembly of European Regions, the Conference of Peripheral Maritime Regions and the International Center for Migration Policy Development contributed notably to the consultation process.

The consultation process allowed for the checking and validation of the SWOT analysis by regional stakeholders. Contributions (additional elements, specifications) were integrated in an updated version of the socio-economic analysis and the SWOT as relevant.

**Thematic objectives and priorities considered most relevant during the consultation process, or which attracted most interest from the stakeholders consulted, are highlighted below<sup>xiv</sup>.**

Consultation	TO1	TO2	TO3	TO4	TO5	TO6	TO7	TO8
Armenia								
Azerbaijan								
Bulgaria								
Georgia								
Greece*								
Moldova*								

<sup>xii</sup> See outcome of Black Sea Basin consultation in annex

<sup>xiii</sup> Russia did not contribute to the consultations

<sup>xiv</sup> See full outcomes of the consultation process provided in annex

Consultation	TO1	TO2	TO3	TO4	TO5	TO6	TO7	TO8
Romania								
Russian Federation								
Turkey								
Ukraine								
Assembly of European Regions (AER)								
Conference of Peripheral Maritime Regions (CPMR)								
International Center for Migration Policy Development (ICMPD)								
* Compilation of consultation results: Greece (31.12.2013, 20.02.2014); Moldova (autumn 2013, 27.01.2014)								

Table 2. Outcome of stakeholder consultation on thematic objectives and priorities. Support or interest from stakeholders is highlighted in green, strong support or interest is highlighted in dark green.

Detailed outcomes of the consultations were presented to the JPC on 28 April 2014 in Sile, Turkey (a summary to be annexed to the programme).

**Thematic Objective 6 was unanimously supported as the most relevant by participating countries, while there was also a wide consensus on Thematic Objective 1 during the consultations. There was some interest and support for Thematic Objectives 2, 3, 4 and 7.**

**There was limited support for Thematic Objective 5** during the national consultations (already poorly supported by the SWOT and past experience analyses). The importance of increasing the capacity of local and regional authorities and communities for the success of the programme was nonetheless emphasised, in particular by international organisations. Good governance and local/regional capacity building is very much a transversal issue, important for the success of CBC projects, and could be included in the programme **at horizontal level** rather than as a separate Thematic Objective. Comments from the consultations also suggest that to be effective, local and regional capacity building should not be an aim in itself but oriented towards the achievement of thematic results and specific targets (learning by doing).

**There was very little support during the consultations for Thematic Objective 8** therefore this objective was not included or analysed further<sup>xv</sup>.

## Consistency with other EU programmes

The ENI CBC programming document states that CBC programmes must deliver real cross-border added value and “not cover elements which are already funded or could more suitably be funded from other ENI or EU programmes”. A gap analysis is therefore provided below to identify what is (or is not) covered by other EU programmes and compared with the orientations of the remaining six Thematic Objectives.

The following table presents an overview of main EU cooperation programmes and support to regional development in the Black Sea Basin countries<sup>xvi</sup>.

<b>Other Cross-Border</b>	<b>Romania-Moldova</b> (ENI CBC)
	<b>Moldova-Ukraine</b> (Eastern Partnership Territorial Cooperation)

<sup>xv</sup> Note, however, that health issues were sometimes included by stakeholders under Thematic Objective 4

<sup>xvi</sup> Note, a more detailed analysis on complementarities and synergies with EU, as well as non-EU initiatives and instruments, will be carried out for the selected Thematic Objectives and priorities after approval by the JPC.

<b>Cooperation or Transnational/ Interregional programmes</b>	<b>Romania-Ukraine</b> (ENI CBC)
	<b>Romania-Bulgaria</b> (European Territorial Cooperation)
	<b>Bulgaria-Turkey</b> (IPA CBC)
	<b>Greece-Bulgaria</b> (European Territorial Cooperation)
	<b>Armenia-Georgia</b> (Eastern Partnership Territorial Cooperation)
	<b>Azerbaijan-Georgia</b> (Eastern Partnership Territorial Cooperation)
	<b>Danube transnational programme</b> (2014-20) includes notably Bulgaria, Romania, Moldova and some regions in Ukraine. It will contribute to the Danube Strategy thematic goals.
	<b>Interreg Europe interregional programme</b> (2014-20) includes notably Bulgaria, Greece and Romania.
<b>Other programmes including EU/non EU partnerships</b>	<b>Balkan-Mediterranean transnational programme</b> (2014-20) includes notably Bulgaria and Greece.
	<b>Erasmus+</b> (2014-20) programme: to boost skills and employability, as well as modernising education, training, and youth work (supports mobility of students and teaching staff, joint degrees, capacity building projects, strategic partnerships).
	<b>Horizon 2020</b> – EU framework programme for research and innovation. It includes targets for cross-thematic marine and maritime research. Its first work programme (2014-15) includes a specific call for proposals for the Black Sea Region.
<b>Thematic Cooperation programmes</b>	<b>Twinning, TAIEX</b> (Technical Assistance and Information Exchange): cooperation tools between a public administration in a partner country and the equivalent institution in an EU Member State to promote reforms
	<b>INOGATE</b> : international energy co-operation programme between the EU, the littoral states of the Black and Caspian Seas and their neighbouring countries. The co-operation framework covers the areas of oil and gas, electricity, renewable energy and energy efficiency.
	<b>TRACECA (Transport Corridor Europe-Caucasus-Asia)</b> : an international transport cooperation programme between the EU and Partner countries in Eastern Europe, South Caucasus and Central Asia. The cooperation framework covers the areas of maritime transport, aviation, road and rail, transport security and transport infrastructure. Strategy for the development of the international transport Europe-Caucasus-Asia corridor up to 2015 and aims to create a sustainable infrastructure chain ensuring multi-modal transport with step-by-step integration of the corridor into the Trans-European Transport Networks. It encourages regional cooperation and attracts the support of IFIs and private investors.
	<b>Environment and the Sustainable Management of Natural Resources including Energy (ENRTP)</b> : focuses on sustainable energy.
	<b>Nuclear Safety and Cooperation Instrument (NSCI)</b> : finances actions to improve nuclear safety (including safe transport, remediation and emergency preparedness).
	<b>LIFE</b> (2014-20): promotes implementation and integration of environment and climate objectives in other policies and EU Member States practice; emphasis on better governance; priorities: resource efficiency, biodiversity loss and climate adaptation and mitigation. Limited possibilities for partner countries participation.
<b>ENPI (until 2013), ENI (from 2014)</b> <i>Partner countries</i>	<b>Bilateral country programmes</b> for each partner country (the main EU cooperation tool), includes a <b>Comprehensive Institution Building (CIB)</b> component
	<b>East Regional Programmes, including<sup>xvii</sup> :</b> <ul style="list-style-type: none"> <li>- <b>Eastern Partnership Integrated Border Management (IBM)</b>: supports the implementation of the concept of integrated border management, with the dual objective to secure the borders and to facilitate the legal passing of persons and goods.</li> <li>- <b>Eastern Partnership SMEs development support</b>: supports partner country institutions to put in place and implement policy and legislative reforms in support of SMEs ; supports Business Support organisations and promotes trade opportunities between European and partner country companies (East-Invest) ; strengthens auditing and reporting capacity of SMEs to improve their access to financing.</li> <li>- <b>Eastern Partnership SME Finance Facility</b>: combines EBRD, EIB and KfW loans with EU grant resources, to support SME lending</li> <li>- <b>Small Business Support Programmes in the Eastern Partnership</b>: Business Advisory Services and Enterprise Growth Programmes provide individual and customised technical assistance to help micro, small and medium-sized enterprises adapt to the demands of a liberal market economy, and develop the</li> </ul>

<sup>xvii</sup> Only relevant regional programmes > €10 millions were included



	<p>capacities of local SMEs as well as local business advisory services.</p> <ul style="list-style-type: none"> <li>- <b>Eastern Partnership Youth Window:</b> support in responding to the needs of youth in societies through cooperation among young people and youth worker</li> <li>- <b>ClimaEast: supporting climate change mitigation and adaptation</b> to foster improved climate change policies, strategies and market mechanisms</li> <li>- <b>Greening economies in the Eastern Neighbourhood</b> : supports the move towards a green economy by decoupling economic growth from environmental degradation and resource depletion and by promoting sustainable consumption and production strategies</li> <li>- <b>Eastern Partnership Culture programme:</b> strengthens regional cultural links and dialogue within the Eastern Partnership region, and between the EU and ENP Eastern countries' cultural networks and actors</li> </ul> <p><b>The Eastern Partnership Integration and Cooperation (EaPIC) programme:</b> additional funding based on reforms achieved to support democratic transformation and institution building, sustainable and inclusive growth and economic development</p> <p><b>Neighbourhood Investment Facility (NIF):</b> finances key infrastructure projects in partner countries as well as supports their private sectors (mix of grants and loans)</p> <p><b>Neighbourhood Civil Society Facility:</b> financial support to projects, capacity building, involvement in sector policy dialogues for civil society actors</p> <p><b>SIGMA</b> (Support for Improvement in Governance and Management): joint initiative of the EU and OECD provides technical support at national level</p>
<b>Cohesion Policy under European Structural and Investment Funds</b> <i>EU Member States</i>	<b>European Regional Development Fund (ERDF):</b> investments in 2014-20 will be concentrated on 4 key priorities: innovation and research, ICT, support for SMEs and shift towards a low-carbon economy
	<b>Cohesion Fund:</b> focused on priority Trans-European transport links and key environmental infrastructure projects
	<b>European Social Fund (ESF):</b> employment, education and social inclusion
	<b>European Agricultural Fund for Rural Development:</b> finances rural development programmes
	<b>European Maritime and Fisheries Fund (EMFF):</b> priorities for 2014-20 are to help fishermen in the transition to sustainable fishing, to support coastal communities in diversifying their economies, to finance projects that create new jobs and improve quality of life along European coasts and to make it easier to access financing
<b>Instrument for pre-accession (IPA)</b> <i>Turkey</i>	For the 2014-2020 period, financing under IPA is provided through the following policy areas: 1) Reforms in preparation for Union membership and related institution and capacity-building, 2) Socio-economic and regional development, 3) Employment, social policies, education, promotion of gender equality and human resources development, 4) Agriculture and rural development; 5) Regional and territorial cooperation

Table 3. Overview of other EU financial instruments for cooperation and regional development in Black Sea Basin countries

The consistency analysis with other EU programmes was presented to the JPC on 28 April 2014 in Sile, Turkey.

**Thematic Objective 1.** EU cooperation programmes focus mostly on SME development and technical assistance, leaving a broad scope for the development of non-overlapping cooperation opportunities within the Black Sea Basin priorities, as identified in the analyses and during the consultations (notably tourism, etc.).

**Thematic Objective 2.** Several partnership programmes (*Horizon 2020, Erasmus+*) provide suitable funding for cooperation in the field of research and innovation within the Black Sea Basin, including exchange of students and researchers and establishment of partnerships between education and research centres. The inclusion of Thematic Objective 2 therefore does not appear fully justified.

Nonetheless, some specific research activities could be included in CBC projects as relevant, without being the main aim of the projects. Likewise, universities, education institutions and research/technological centers may remain among the target groups for the valuable input they may provide under other thematic objectives.

**Thematic Objective 3.** The *Eastern Partnership culture programme* targets support to partner countries. In the future it will focus on technical assistance and will not provide further opportunities for direct partnerships between cultural actors so there are now few opportunities for cooperation in the cultural sector. Some cultural aspects may

nonetheless be reflected also under economic (e.g. tourism) and environmental (e.g. archeological sites) issues so that cultural actors and some specific cultural activities could also be included under those priorities as relevant.

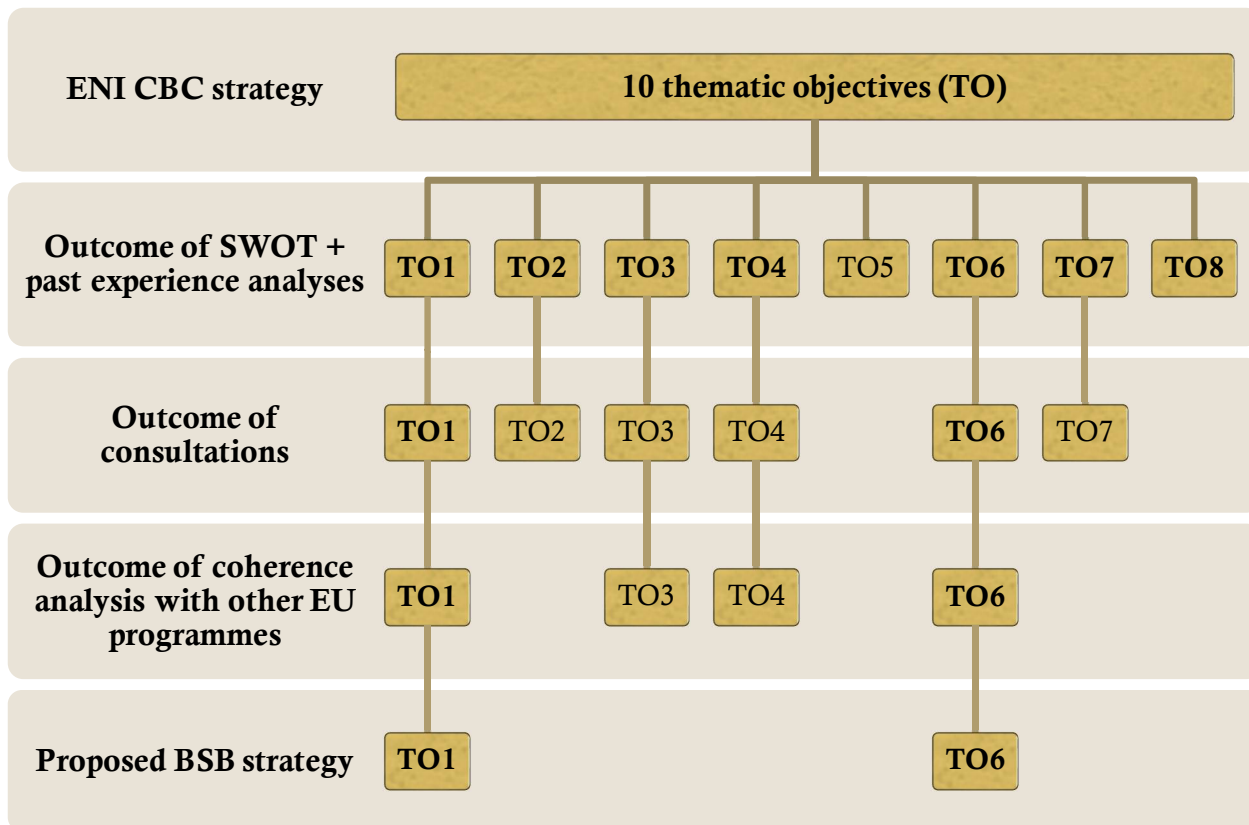
**Thematic Objective 4.** EU support to social issues is mostly funded under country-specific programmes so there are few opportunities for cooperation and exchange of experience between countries within the Black Sea Basin area under current EU programmes.

**Thematic Objective 6.** EU cooperation programmes in the environmental sector target energy efficiency measures, sustainable use of natural resources, promotion of a low carbon economy and adaptation to climate change. This leaves considerable scope for further joint actions for environmental protection, as identified in the analyses and during the consultations (notably monitoring, etc).

**Thematic Objective 7.** The TRACECA programme provides a highly suitable, comprehensive and long-lasting cooperation framework to enhance transport networks and infrastructure within the Black Sea Basin. Transport infrastructure development is otherwise supported notably under country-specific programmes, via cohesion funds and the NIF. Therefore, despite the large remaining need to upgrade transport facilities within the region, the inclusion of transport in the Black Sea Basin strategy does not appear justified. Some specific transport-related issues could still be considered for their economic or environmental dimensions and included in CBC projects when relevant but not constitute the main aim of the project.

In regard to the development of information and communication technologies (ICT), these are most notably supported under *Horizon 2020*. Considering that ICT is also a transversal tool that underpins innovation and competitiveness across a broad range of sectors, the inclusion of ICT components may still be considered in CBC projects under any priority whenever relevant to enhance CBC project effectiveness.

### Summary of strategy identification





*Table 4. Summary of strategy development. At each step, TOs strongly supported are shown in bold, TOs with less support are shown in normal font, TOs with low support are not shown.*

Considering the need for the Black Sea Basin strategy to concentrate on a limited number of themes in which concrete results can be obtained, and the stronger relevance of some priorities under TO1 and TO6 indicated throughout the analytical and consultation process, these two objectives have been selected for the strategy definition as agreed at the Joint Programming Committee 5<sup>th</sup> meeting in Brussels on 17 July 2014.

---

## ◦ ENI CBC Black Sea Basin strategy definition

### Wider objective

The ENI CBC Black Sea Basin programme will contribute to the ENI CBC overall aim to “*promote co-operation across the borders between EU Member States and the countries on the European Neighbourhood and Russian Federation*”.

More specifically, the programme will contribute to two of the ENI CBC overarching strategic objectives:

- Promote economic and social development in regions on both sides of common borders
- Address common challenges in environment, public health, safety and security

The wider Black Sea Basin ENI CBC programme objective can be defined as:

**Improve the welfare of the people in the Black Sea Basin regions through sustainable growth and joint environmental protection**

### Horizontal issues and modalities

A number of important elements for successful, sustained and inclusive cross-border cooperation will be supported as horizontal issues or modalities to be deployed across any of the priorities selected, rather than as separate thematic priorities. They include:

- So-called ‘people-to-people’ actions i.e. enhanced cooperation among local and regional authorities, NGOs and other civil society groups, universities and schools, chambers of commerce etc.
- Promotion of local and regional good governance, capacity-building components for local/regional authorities and agencies and NGOs.
- Promotion of regional integration/coordination through regional platforms and long-lasting partnerships at organisation levels (among institutes, universities, scientific community, public institutions, local/regional administrations and agencies, NGOs, etc.).
- The use and development of relevant information and communication technologies to enhance project effectiveness, regional integration/coordination and synergies on results.
- Promotion of gender equality, and opportunities for youth.

### Thematic objectives and priorities

The completed analytical and consultation process for the Black Sea Basin strongly supports the selection of specific priorities under two thematic objectives among those proposed in the ENI CBC strategy document:

- Thematic Objective 1. Business and SME development
- Thematic Objective 6. Environmental protection, climate change adaptation

- The Black Sea Basin programme will contribute to the achievement of ENI CBC Thematic Objective 1. ‘Business and SME development’ via the programme objective:

**Objective 1. Promote business and entrepreneurship within the Black Sea Basin**



The programme objective will be addressed through two priorities, 1.1 and 1.2 defined for the Black Sea Basin and described below.

### **Priority 1.1 – Jointly promote business and entrepreneurship in the tourism and cultural sectors**

*Justification for the definition of Priority 1.1:*

- ✓ Tourism sector development is strongly supported by the socio-economic and the SWOT analyses. It has a very positive impact on employment and income, it is one of the fastest-growing sectors and still has strong growth prospects. The Black Sea Basin also has a rich cultural heritage and valuable cultural assets.
- ✓ Both the questionnaire and the results of the calls analyses show there is a clear interest in tourism projects. Previous calls also show an interest in cultural projects, often linked to tourism development.
- ✓ Tourism relevance to CBC was clearly confirmed during the consultation process while several countries underlined the importance of the cultural sector.

*Expected result under Priority 1.1:*

Stronger cross-border business opportunities in the tourism and cultural sectors in the Black Sea Basin

*Indicative activities/orientations under Priority 1.1:*

- Promote the development and joint marketing of cross-border tourism products and transnational thematic itineraries (e.g. cultural, religious, ancient trade routes, agricultural); promote diversification and integration of coastal and inland tourism.
- Promote historical heritage and support its preservation through sustainable tourism development (e.g. small-scale investments, marketing).
- Encourage synergies, networking and connectivity among tourism and culture stakeholders and tour operators within the Black Sea Basin (e.g. specific network for maritime tourism, etc.); promote electronic marketing tools and cross-border logistics information on e.g. cultural events.
- Share experience and/or develop jointly targeted tourism packages for specific markets (e.g. the elderly); share experience to promote higher quality, and more innovative, tourism products (e.g. underwater archaeological parks, eco-tourism, cultural tourism).
- Jointly promote cultural products (handicrafts, artworks, etc) and events (festivals, fairs).
- Jointly enhance the openness of the Black Sea Region to international and non-European tourism (e.g. joint marketing, communication and promotion campaigns, development of Black Sea Basin brands).
- Encourage networking, share good experience in strengthening cultural and creative industries (music, multimedia, etc.).

- Exchange best practices on the development of environmentally friendly tourism strategies (e.g. improve resource efficiency, waste and pollution prevention/management in tourist areas, guidelines on minimising impacts on biodiversity and enhancing benefits of tourism in protected areas).
- Improve tourism services and promote the upgrade of skills e.g. through exchange programmes between educational institutions (e.g. for young professionals), or through the joint creation of open online courses based on best experience.

*Target groups for Priority 1.1:*

Tourism and regional development agencies, tourism industry associations, cultural and archeological associations/institutions, local/regional authorities, universities and educational institutions, nature parks and protected areas management bodies, local business associations, farmer associations and NGOs.

## **Priority 1.2 – Increase cross-border trade opportunities and modernisation in the agricultural and connected sectors<sup>xviii</sup>**

*Justification for the definition of priority 1.2:*

- ✓ Support to the development and modernisation of businesses in specific sectors was strongly supported during the consultation process.
- ✓ Modernisation of the agricultural sector and food industry is strongly supported by the socio-economic and SWOT analyses. Agriculture is still a substantial or major component of the Black Sea Basin national economies, in particular in terms of employment or in terms of exports. Agricultural products are among the main goods traded between countries within the Black Sea Basin area suggesting potential complementarities. Organic farming presents potential opportunities as well as the development of sustainable aquaculture.
- ✓ It is beyond the scope of this programme in itself to modernise specific sectors, but the Black Sea Basin programme can provide good cross-border added value to the support provided by country-specific programmes and national authorities (through the exchange of experience, promotion of trade links, networking, etc.).

*Expected result under Priority 1.2:*

Increased cross-border links for trade and modernisation in the agricultural and connected sectors in the Black Sea Basin

*Indicative activities/orientations under Priority 1.2:*

- Promotion of international trade links, sectoral and cross-sectoral networks and partnerships (e.g. business forums) within the Black Sea Basin and support to internationalisation of exchanges (e.g. capacity building).
- Strengthen internet connectivity, cross-border business information exchange systems, market and logistics information with greater use of information and communication technologies (ICT).
- Exchange good practice in modern and innovative marketing and trade strategies, electronic marketing tools and develop joint marketing strategies (e.g. regional branding).
- Support innovation, research and cooperation, including for the development of logistics, in the agricultural industry, jointly developing and implementing best practices in producing quality agricultural products.
- Introduction of innovative technologies for sectoral development (organic/bio products, sustainable aquaculture), including exchange of experience and small-scale investments in pilot projects.

<sup>xviii</sup> Including aquaculture, food industry and agro-industry

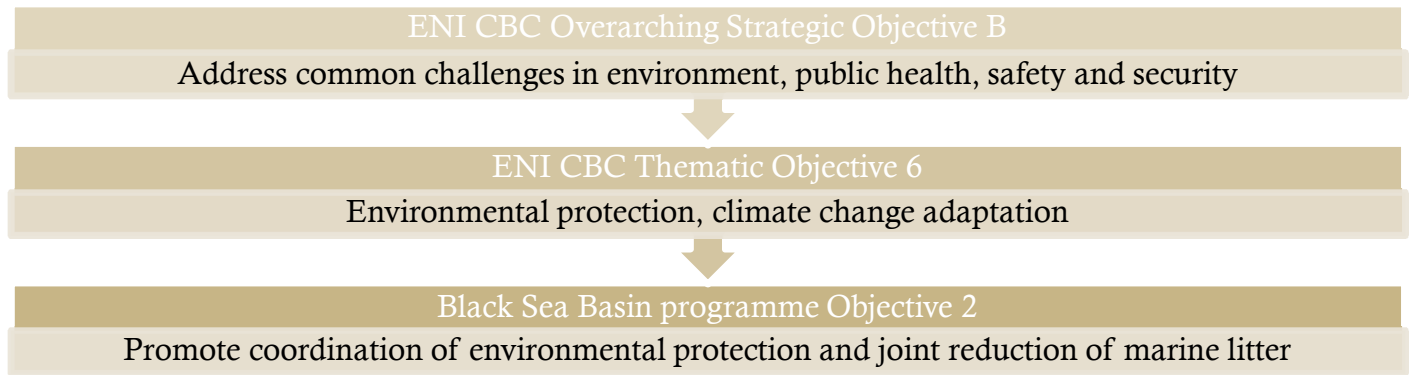
- Support entrepreneurial culture through teaching and training for young people working in agricultural and connected sectors; share good practices in this field.
- Exchange of best practice experience on the practical introduction of standards (e.g. food safety).
- Joint actions to support productive use of migrant remittances in the modernisation of the agriculture/aquaculture/food industry.

*Target groups for Priority 1.2:*

Chambers of commerce, business support and regional development agencies, farmer associations and agro-industry associations, SME associations, business associations, aquaculture and fisheries associations, migrant associations, regional/local authorities and agencies and research institutes.

- The Black Sea Basin programme will contribute to the achievement of ENI CBC Thematic Objective 6. ‘Environmental protection, climate change adaptation’ via the programme objective:

**Objective 2. Promote coordination of environmental protection and joint reduction of marine litter<sup>xix</sup> in the Black Sea Basin**



This programme objective will be addressed through two priorities, 2.1 and 2.2 defined for the Black Sea Basin and described below.

**Priority 2.1 – Improve joint environmental monitoring**

*Justification for the definition of Priority 2.1:*

- ✓ Cooperation for solving common environmental issues is strongly supported by the socio-economic and the SWOT analyses. A sound and common knowledge base, regularly updated, is necessary for consistent and coordinated actions by stakeholders around the Black Sea and to assess trends and quickly and effectively react to threats.
- ✓ Measure 2.1 (strengthen joint knowledge and information base to address common environmental challenges) was by far the most popular area of cooperation in the 2007-2014 programme, both in terms of number of projects and partners (1/4 of all projects awarded and >1/4 of all project partners) and in terms of funds allocated (1/3 of funds). The new ENI CBC programme should build upon and extend, but not repeat,

<sup>xix</sup> Marine litter is any persistent, manufactured or processed solid material discarded, disposed of or abandoned in the marine and coastal environment. Marine litter consists of items that have been made or used by people and deliberately discarded into the sea or rivers or on beaches; brought indirectly to the sea with rivers, sewage, storm water or winds; accidentally lost, including material lost at sea in bad weather (fishing gear, cargo); or deliberately left by people on beaches and shores. Also known as marine debris.

the joint work already carried out. Actions supported should be consistent with, but not duplicate, existing information systems and monitoring activities carried out most notably by the Black Sea Commission<sup>xx</sup>.

- ✓ Both the questionnaire results and the consultations confirm there is a clear interest in environmental issues, in particular in monitoring and risk assessment.

*Expected result under Priority 2.1:*

Improved availability of cross-border compatible environmental monitoring data and information within the Black Sea Basin

*Indicative activities/orientations under Priority 2.1:*

- Reinforce joint and compatible cross-border monitoring, evaluation and information systems, tools and capacity to prevent and control transboundary pollution (including through small-scale investments).
- Improve long-term cross-border collaboration, information and research capacity (including innovative technologies) for addressing ecosystem transformation, biodiversity monitoring and migration of species.
- Jointly strengthen collaboration between science, industry, relevant stakeholders and decision-makers to address integrated coastal management issues and to harmonise monitoring, marine environment assessment and data provision.
- Improve the availability and cross-border interoperability of updated online public access data and data products (e.g. maps) for the Black Sea so industry, public authorities, NGOs and researchers may make more effective use of them.
- Promote cross-border cooperation among maritime authorities responsible for activities such as safe navigation or fisheries control so to share information on risks and threats (integrated maritime surveillance).
- Improve cooperation between stakeholders involved in disaster prevention and management.
- Enhance contact among countries and exchange good practice on early warning systems that allow the population exposed to hazards to take appropriate actions to avoid/reduce risk and to prepare effective responses; raise awareness of the population regarding notably the risk of earthquakes, floods and forest fires.

*Target groups for Priority 2.1:*

Scientific (oceanographic, hydrographic, meteorologic, seismic) agencies and institutes/research centers/universities, coastal, maritime and port authorities, local/regional authorities and agencies, fisheries associations, environmental NGOs, nature parks and protected areas (including marine) management bodies and schools and educational institutions. Under priority 2.1, a relevant state administration/agency or a relevant scientific agency/institute/research center/university based in any capital city (or another major centre outside the eligible area) of the Black Sea Basin countries may be also involved in project implementation<sup>xxi</sup>, as long as it is necessary for project implementation<sup>xxii</sup> and for the benefit of the programme eligible regions.

**Priority 2.2 - Promote common awareness-raising and joint actions to reduce river and marine litter**

*Justification for the definition of Priority 2.2:*

- ✓ Cooperation in solving common environmental issues is strongly supported by the socio-economic and the SWOT analyses. Litter originating from shipping, land or rivers within the Black Sea drainage basin results in a 'visible' pollution problem along the rivers and coasts, in the sea itself and on the seabed. It is a joint transboundary problem, as the sea basin dynamic current system results in the transportation of any matter from a given location in the Black sea to almost any coastal area. It has an impact on people's welfare and

<sup>xx</sup>See 'Complementarities and synergies' for more details on the Commission for the Protection of the Black Sea Against Pollution (Black Sea Commission),

<sup>xxi</sup> In compliance with art. 8.3 of the ENI regulation on eligibility of major social, economic or cultural centres

<sup>xxii</sup> Involvement of national level institutes/administrations is foreseen in particular not to duplicate monitoring standards and to ensure synergies with the regional level actions

economic activities such as tourism development; it often harms or kills marine life, and might threaten the biodiversity of the Black Sea. Direct mobilisation of local/regional stakeholders and enhancement of responsible citizenship could have a strong effect on reducing this kind of pollution<sup>xxiii</sup>.

- ✓ Both raising environmental awareness and tackling solid waste issues were raised in responses to the questionnaire and in consultations.

*Expected result under Priority 2.2:*

Increased awareness of environmental challenges and good waste management practices related to river and marine litter within the Black Sea Basin

*Indicative activities/orientations under Priority 2.2:*

- Jointly raise public awareness and education regarding river and marine litter problems, the value of biodiversity and environmental protection (mass-media campaigns, production of education tools and 'responsible-citizenship' guidelines for different sectors for target audiences such as children and students, tourists, municipal authorities, shipping companies and shipping crews).
- Share and promote good environmental management practices and technologies (including through small-scale investments) related to the treatment and disposal of waste, the reduction of illegal dumping and landfill sites on riverbanks and seashores and the prevention of their adverse effects.
- Jointly promote the practice of the '3 Rs' (reduce, reuse, recycle) for waste as well as the use of waste for energy production.
- Strengthen community action, promote and organise cross-border Black Sea Basin coastal and river clean-up campaigns (involving schools, students and volunteers) and share good experiences in this field.
- Encourage the involvement of, and partnerships between, NGOs and civil society, the private sector (e.g. in the tourism, shipping and fisheries sectors) and local/regional authorities and waste services to combat river and marine litter.
- Share experience to improve port reception facilities and services for garbage collection from vessels (e.g. prepare guidelines/manuals for development of the port waste management plan in line with International Maritime Organisation/EU requirements and promote its implementation in Black Sea ports).

*Target groups for Priority 2.2:*

Local/regional authorities and waste management and control services, environmental NGOs and civil society organisations, schools and educational institutions, tourism industry associations, fisheries associations and port authorities.

## Objectively verifiable indicators

Achievement of the BSB programme will be measured by way of objectively verifiable indicators.

ENI CBC implementing rules<sup>xxiv</sup> stipulates that the ENI CBC programmes shall include a description of objectively verifiable indicators, in particular:

- ✓ The expected results for each priority, and the corresponding **result indicators**, with a baseline value and a target value;
- ✓ The **output indicators** for each priority, including the quantified target values, which are expected to contribute to the results.

ENI CBC programming document further specifies that:

---

<sup>xxiii</sup> See report from the Black Sea Commission on *Marine Litter in the Black Sea Region*, 2009

<sup>xxiv</sup> Art. 4c Regulations (EU) N° 897/2014



- ✓ All programmes should adopt at least some of ENI CBC ‘**Common Output Indicators**’ developed in order to increase accountability and facilitate reporting progress at instrument level.
- ✓ Programmes shall monitor their progress by means of **outcome indicators** that shall quantitatively or qualitatively measure the wider societal impact of a particular goal that spans beyond the direct beneficiaries of the programme and cover a wider group of society.

Therefore, as reflected in BSB programme logical framework presented further below, the programme includes two levels of indicators:

- At result level: 4 programme-specific outcome indicators (one per priority)
- At activity level: the use of 6 Common Output Indicators (COI) and of 3 programme-specific indicators.

Definition of the indicators and ways to measure them is further described in the Monitoring and Evaluation system.

## Risk analysis and mitigating measures

The achievement of the programme objectives is subject to external influences that are beyond the direct control of the programme management bodies and may impact negatively on the programme.

Two main types of risks on programme achievement may be identified:

- Contextual risks that cover the range of potential adverse outcomes that may arise in the BSB context (e.g. regional conflicts...)
- Programmatic and institutional risks that include the potential for the programme to fail to achieve its objectives, the potential for the programme to cause harm in the external environment and ‘internal risks’ from the perspective of the EU/MA (e.g financial loss...)

In case of contextual risks, the programme management bodies have limited control over the risk but still need to assess the adverse effect on the programme, monitor the relevant situation and have a management plan put in place as possible. In case of programmatic and institutional risks relevant mitigation measures and a management plan may be put in place.

The risk management matrix presented below highlights main identified risks and the programme plans to manage or mitigate these. Risks have been identified notably based on the SWOT analysis and lessons learned from the previous (ENPI CBC) programming period and are also linked to the programme intervention logic summed up in the logical framework.

As risk levels may evolve and new risks may emerge during programme implementation, the external environment will be monitored so to take action to manage or mitigate these risks when necessary and to the extent possible. The programme risk management matrix will therefore be subject to regular review and updating by the MA during programme implementation.

<b>Risk</b>	H: high M: medium L: low	<b>Likelihood</b>	<b>Impact on BSB progr.</b>	<b>Management/mitigation measure if applicable</b>	<b>Responsibility if applicable<sup>xxv</sup></b>
<b>Contextual Risks</b>					
Lack of political commitment by some eligible countries to participate in the BSB programme		H	M	The programme is still presented for adoption by the EC and will only be implemented in those countries which have made the necessary formal commitment <sup>xxvi</sup>	MA, JPC, EC

<sup>xxv</sup> MA: Managing Authority; JTS : Joint Technical Secretariat ; EC: European Commission; NA: National Authorities of participating countries

<sup>xxvi</sup> Including for partner countries and Russia, countries having signed a Financing Agreement with the EU

Cross-border cooperation is hampered by an unstable political situation in some regions and/or by regional conflicts	H	M	Eligibility of some regions may be suspended, transfer of funds to some regions may be suspended	EC, MA, NA
EU sluggish growth and continuing problems emanating from the debt crisis limit further economic recovery in BSB and development of business and entrepreneurship	M	L		
<b>Programmatic and Institutional Risks</b>				
ENI CBC new management and implementation modalities result in delays in programme start-up and implementation	H	M	Identify potential bottlenecks, then enhance capacity, ensure sufficient resources and/or support adaptation of procedures as needed to speed up programme implementation	AA, JMC, MA, JTS, NA, EC
Decreasing interest from applicants in ENI CBC because of lengthy procedures for selection/contracting and grant payment	L	L	More efficient and timely procedures are put in place	MA, JTS, JMC
Difficulties in finding partners limits countries balanced participation in the programme	M	L	Provide improved partner search tools and opportunities	MA, JTS, NA
Limited capacity (including financial) of project partners hampers project implementation	M	L	Communication is strengthened and additional trainings are provided to enhance project management capacity of partners, project co-financing issue is addressed if necessary	MA, JTS, NA, JMC
Projects partners face implementation difficulties because of slow grant payment procedures	M	M	Procedures are revised and improved	MA, JTS, NA, CCP
Financial losses at programme level resulting from fraud or financial mismanagement	M	L	Monitor and ensure that anti-fraud mechanisms put in place and programme audit and control measures function effectively, improve them as necessary	MA, AA, JTS, NA, EC

## Programme logical framework

The BSB programme logical framework presented in the following pages provides an overview of the strategy definition, including programme intervention logic, indicators of achievement and risks.

## Logical Framework for the Black Sea Basin ENI CBC Programme 2014-2020

	Intervention logic	Objectively verifiable indicators of achievement <sup>xxvii</sup>	Sources of verification	Risks
<b>Overall Objective</b>	Improve the welfare of the people in the Black Sea basin regions through sustainable growth and joint environmental protection			
<b>Specific Objectives</b>	<ol style="list-style-type: none"> <li>1. Promote business and entrepreneurship within the Black Sea basin</li> <li>2. Promote coordination of environmental protection and joint reduction of marine litter in the Black Sea basin</li> </ol>			
<b>Expected results</b>	1.1 Stronger cross-border business opportunities in the tourism and cultural sectors in BSB	R1.1 Strength of cross-border business opportunities in the tourism and cultural sectors	Survey	<ul style="list-style-type: none"> <li>- EU sluggish growth and continuing problems emanating from the debt crisis limit further economic recovery in BSB and development of business and entrepreneurship</li> </ul>
	1.2 Increased cross-border links for trade and modernisation in the agricultural and connected sectors in BSB	R1.2 Strength of cross-border links for trade and modernisation in the agricultural and connected sectors	Survey	
	2.1 Improved availability of cross-border compatible environmental monitoring data and information within BSB	R2.1 Level of availability of cross-border compatible environmental monitoring data and information	Survey	
	2.2 Increased awareness on environmental challenges and good waste management practices related to river and marine litter within BSB	R2.2 Level of awareness on environmental challenges and good waste management practices related to river and marine litter	Survey	
<b>Indicative activities</b>	<ol style="list-style-type: none"> <li>1.1.a Develop cross-border tourism products and transnational thematic itineraries.</li> <li>1.1.b Promote networking and connectivity among tourism and cultural actors within BSB.</li> <li>1.1.c Develop jointly targeted tourism packages for specific markets and more innovative tourism products.</li> <li>1.1.d Jointly enhance the openness of the Black Sea Region to international and non-European tourism.</li> <li>1.1.e Encourage networking and share good experience in strengthening cultural and creative industries.</li> <li>1.1.f Exchange best practices on the development of environmentally friendly tourism strategies.</li> <li>1.1.g Promote historical heritage and support its preservation for tourism development.</li> <li>1.1.h. Jointly promote cultural products and events.</li> <li>1.1.i. Improve tourism services and promote the upgrade of skills (e.g. through exchange programmes between educational institutions or the joint creation of open online courses).</li> </ol>	<p>O1.1.1 – Number of strategies and products developed jointly to promote tourism</p> <p>O1.1.2 - Number of crossborder tourism and cultural events organised using ENI CBC support</p> <p>O1.1.3 - <i>Number of improved cultural and historical sites as a direct consequence of programme support (COI 7)</i></p>	<p>Project reports</p> <p>Project reports</p> <p>Project reports</p>	<ul style="list-style-type: none"> <li>- Lack of political commitment by some eligible countries to participate in the BSB programme</li> <li>- Cross-border cooperation is hampered by an unstable political situation in some regions and/or by regional conflicts</li> <li>- ENI CBC new management and implementation modalities result in delays in</li> </ul>

<sup>xxvii</sup> Indicators provisionally developed, may still be revised

<p>1.2.a Promote international trade links, sectoral and cross-sectoral networks and partnerships within BSB, support internationalisation of exchanges.</p> <p>1.2.b. Strengthen internet connectivity, cross-border business information exchange systems, market and logistics information with greater use of ICT.</p> <p>1.2.c. Exchange good practice in modern and innovative marketing and trade strategies, electronic marketing tools, develop joint strategies.</p> <p>1.2.d. Support innovation, logistic and joint development of good practices in producing quality agricultural products.</p> <p>1.2.e. Introduction of innovative technologies for sectoral development, including exchange of experience and small-scale investments in pilot projects.</p> <p>1.2.f. Exchange of good practice on the practical introduction of standards (e.g. food safety).</p> <p>1.2.g. Joint actions to support productive use of migrant remittances in the modernisation of agriculture, aquaculture and food industry.</p> <p>1.2.h. Support entrepreneurial culture through teaching and training for young people working in agricultural and connected sectors; share good practices in this field.</p>	<p>O1.2.1 - Number of enterprises participating in crossborder agricultural or agro-industrial business events (COI3)</p>	Project reports	<p>programme start-up and implementation</p> <p>- Decreasing interest from applicants in ENI CBC because of lengthy procedures for selection/contracting and grant payment</p> <p>- Difficulties in finding partners limits countries balanced participation in the programme</p> <p>- Limited capacity (including financial) of project partners hampers project implementation</p> <p>- Projects partners face implementation difficulties because of slow grant payment procedures</p> <p>- Financial losses at programme level resulting from fraud or financial mismanagement</p>
	<p>O1.2.2 - Number of additional ICT based tools developed supporting cross-border cooperation (COI29) increasing cross-border trade opportunities for agricultural and agro-industrial products</p>	Project reports	
	<p>O1.2.3 - Number of business development organisations receiving support (COI1) to promote modernisation in the agricultural or connected sectors</p>	Programme database	
<p>2.1.a. Reinforce compatible cross-border monitoring and information systems to prevent and control transboundary pollution.</p> <p>2.1.b. Improve long-term cross-border collaboration, information and research capacity for addressing ecosystem transformation, biodiversity monitoring and migration of species.</p> <p>2.1.c. Jointly strengthen collaboration between science, industry, relevant stakeholders and decision-makers to address integrated coastal management issues and to harmonise marine environment assessment.</p> <p>2.1.d. Promote cross-border cooperation among maritime authorities (safe navigation, fisheries control...).</p> <p>2.1.e. Improve cooperation between stakeholders involved in disaster prevention and management.</p>	<p>O2.1.1 - Number of additional ICT based tools developed supporting cross-border cooperation (COI29) improving joint environmental monitoring and public availability of environmental information</p>	Project reports	<p>- Projects partners face implementation difficulties because of slow grant payment procedures</p> <p>- Financial losses at programme level resulting from fraud or financial mismanagement</p>
	<p>O2.1.2 - Number of institutions using programme support for cooperation in education, R&amp;D and innovation (COI4) to improve data sharing and cross-border information exchange systems on the environment within BSB</p>	Programme database	
<p>2.2.a. Jointly raise public awareness and education regarding river and marine litter problems, the value of biodiversity and environmental protection.</p> <p>2.2.b. Jointly promote the practice of the '3 Rs' (reduce, reuse, recycle) for waste and the use of waste for energy production.</p> <p>2.2.c. Strengthen community action, promote and organise cross-border Black Sea Basin coastal and river clean-up campaigns.</p> <p>2.2.d. Jointly promote good environmental management practices and technologies related to waste management on riverbanks and seashores.</p> <p>2.2.e. Share experience to improve port reception facilities and services for garbage collection from vessels.</p> <p>2.2.f. Encourage partnerships between NGOs and civil society, the private sector, local/regional authorities and waste services to combat river and marine litter.</p>	<p>O2.2.1 - Number of persons actively participating in environmental actions and awareness raising activities (COI17)</p>	Project reports	
	<p>O2.2.2 - Number of organisations using programme support to develop or improve waste management tools or facilities along river banks and sea shores (including ports)</p>	Programme database	

## ◦ Mainstreaming of cross-cutting issues

ENI CBC regulations<sup>xxviii</sup> require a description of the ways the following cross-cutting issues will be mainstreamed during programme implementation, where relevant: democracy and human rights, environmental sustainability, gender equality and HIV/AIDS.

Within the BSB programme, environmental sustainability is strongly mainstreamed at the level of thematic Objective 2., while democracy and human rights and gender equality are integrated as horizontal issues<sup>xxix</sup>. Considering the programme strategic orientations and BSB socio-economic analysis, the mainstreaming of HIV/AIDS appears less relevant.

Integration at project level of the relevant cross-cutting issues described below will be:

- ✓ Assessed during the selection process and included into the criteria for project evaluation
- ✓ Checked in project reports and during project monitoring visits.

Further guidance on requirements for project selection and reporting will be provided in the programme's Guidelines for Applicants and Implementation Manual or similar documents issued at programme level.

### Environmental sustainability

Considering the great environmental challenges faced by the Black Sea basin as described in the socio-economic analysis, the issue of environmental sustainability has been clearly mainstreamed within BSB programme strategy design. Objective 2 focuses on enhancing environmental protection, while 42.59% of the programme budget is allocated to this Objective.

Moreover, environmental constraints and opportunities are also considered under Objective 1 priorities, notably within indicative activities such as the development of environmentally friendly tourism strategies (under 1.1) or the introduction of innovative technologies for organic/bio products and sustainable aquaculture (under 1.2).

Beyond these thematic priorities, all projects funded in the frame of the BSB programme will have to integrate environmental considerations. This notably includes following good environmental practices during implementation, in particular in relation to energy efficiency as well as in relation to the use of water and the production of waste, etc. Projects with a direct negative impact on the environment will not be selected for financing.

*(to be completed with recommendations/suggestions from SEA as relevant).*

### Democracy and human rights

In regard to democracy and human rights, several aspects are embedded in BSB strategy as horizontal issues or modalities to be deployed in projects across any of the priorities selected, in particular:

- ✓ So-called 'people-to-people' actions, including enhanced cooperation among NGOs and other civil society groups as well as capacity-building components for NGOs will *enhance the role of non-state actors and build their capacity as partners in public policy making*;
- ✓ Enhanced cooperation among local and regional authorities, promotion of local and regional good governance and capacity-building components for local/regional authorities and agencies will *support public administration reform and decentralization and local government*;

---

<sup>xxviii</sup> Art. 4.3 Regulations (EU) N° 897/2014

<sup>xxix</sup> See section 'Horizontal issues and modalities' of this chapter for more details



- ✓ Support for the use and development of information and communication technologies will *enhance access to information for citizens*.

In addition, the programme thematic objectives and priorities are expected to positively contribute to the following aspects of human rights:

- ✓ *The right of citizens to employment and to economic initiatives* through promotion of business and entrepreneurship under Objective 1 priorities;
- ✓ *Better access to education and improved opportunities for cultural exchange* through upgrading skills, training young people and the promotion of cultural cooperation (supported under Objective 1 priorities and indicative activities);
- ✓ *Higher ecological standard of living* through promotion of coordination of environmental protection and joint reduction of marine litter under Objective 2 priorities.

The projects shall seek to integrate considerations related to democracy, good governance and human rights. This may also include exchange of good practices, as well as regular and transparent project financial reporting, widely circulated and understandable project results, ensuring there is no discrimination against particular target groups (e.g. ethnic minorities), whether the project helps to ensure respect for any relevant human rights, etc.

## Gender equality

Promotion of gender equality is mainstreamed within BSB programme design as a horizontal issue to be deployed in projects across any of the priorities selected. Both men and women shall have equal access to the opportunities and benefits of the programme.

All projects will have to adequately consider gender related issues – such as equality of opportunity, rights, distribution of benefits, responsibilities for men and women. This may include the integration of a gender perspective when planning e.g. training activities, considering the likeliness of increased gender equality beyond the project ends, etc.

## ◦ Complementarities and synergies

The BSB programme strategy has been designed further to a review of EU relevant strategies and policies (including Blue Growth strategy, etc.) to ensure coherence of the programme support with existing EU strategic frameworks<sup>xxx</sup>. A consistency analysis with relevant EU programmes has been carried out so that the defined BSB objectives and priorities deliver real cross-border added value and do not cover elements that are already funded or could more suitably be funded from other ENI or EU programmes<sup>xxxii</sup>.

Coherence of the programme strategy with national and regional strategies has been ensured through extensive stakeholders consultations at national and regional levels<sup>xxxii</sup>. The socio-economic analysis has pointed out for key sectors the existing regional cooperation frameworks, where relevant<sup>xxxiii</sup>.

**Complementarity of support** is essential to ensure the best use of resources and the greatest results for the eligible regions and stakeholders. Beyond ensuring further consistency with other initiatives supported by the EU or at regional/national level during programme implementation, the BSB programme will also look for complementarities with other key cooperation frameworks within the BSB region and by other donors, most notably:

---

<sup>xxx</sup> For more details please refer to chapter 'Overall strategic framework'

<sup>xxxii</sup> For more details please refer to 'Consistency with other EU programmes' under chapter 'Black Sea Basin strategic analyses and consultations'

<sup>xxxiii</sup> For more details please refer to 'Stakeholders consultations' under chapter 'Black Sea Basin strategic analyses and consultations'

<sup>xxxiii</sup> For more details please refer to 'Socio-economic and SWOT analysis' under chapter 'Black Sea Basin strategic analyses and consultations'

- The **Organization of the Black Sea Economic Cooperation (BSEC)**, created in 1992, which has a larger regional scope than the BSB programme as it brings together the BSB programme participating countries, as well as Albania and Serbia. BSEC has a permanent Secretariat in Istanbul, a Parliamentary Assembly adopting recommendations, and a Business Council. The main financial pillar of BSEC is the Black Sea Trade and Development Bank based in Thessaloniki, which supports economic development and regional cooperation. The International Centre for Black Sea Studies (ICBSS), based in Athens, is a regional think-tank associated with BSEC, which has notably developed a Black Sea Research Network that aims to exchange views and practices among research institutes. Countries cooperate within BSEC in various fields including, most relevant for complementarities and synergies with BSB programme, the areas of tourism, agriculture and environmental protection.
- The **Commission for the Protection of the Black Sea against Pollution (BSC)**, with a permanent Secretariat in Istanbul, acts as the coordinating mechanism for the implementation of the Convention on the Protection of the Black Sea against pollution and was adopted in 1992 by six countries: Bulgaria, Georgia, Romania, Russian Federation, Turkey and Ukraine. BSC implements the Black Sea Strategic Action Plan for the environmental protection and rehabilitation of the Black Sea (updated in 2009). The BSB programme will build upon the experience accumulated within BSC and look for synergies with its ongoing activities, in particular under Priority 2.1 *Improve joint environmental monitoring*, but also under Priority 2.2 *Promote common awareness-raising and joint actions to reduce river and marine litter*.
- **Other international donors**, active mostly in partner countries and supporting issues included under Objectives 1 and 2 of the BSB programme, notably United Nations Development Programme (UNDP), German Federal Enterprise for International Cooperation (GIZ), United States Agency for International Development (USAID) and the Global Environment Facility (GEF).

The BSB programme has a specific scope and focus which **adds value to existing cooperation frameworks and initiatives**, due to the following:

- Eligibility of project partners is based on the ENI regulation, but priority will be given to local and regional authorities, civil society, chambers of commerce, and the academic and educational community<sup>xxxiv</sup>;
- Project definition is in the hands of these local and regional actors on the basis of the programme priorities;
- Projects are prepared and implemented in a partnership spirit, with similar organisations sharing experience with their partners across the borders, working together to address common challenges or to develop a joint potential;
- Projects will have a cross-border impact;
- The programme priorities concentrate on the common needs of the eligible regions, and were jointly identified by 9 participating countries<sup>xxxv</sup>;
- The area of cooperation defined by the programme for the Black Sea Basin is broad, regionally coherent and unique.

The ENI CBC programme will seek to **build upon, complement and achieve synergies** with the various initiatives (at regional, national, cross-border and international levels) that support projects with similar objectives in part or the whole of the eligible area. It shall in any case seek to avoid double funding and overlapping of activities, for which the main risk lies within the other CBC and transnational/interregional programmes supported by the EU. During the implementation of the BSB programme, coherence of support with other initiatives and projects may be ensured in the following way:

---

<sup>xxxiv</sup> In line with the Programming document 2014-20 ENI CBC (6.7). Further guidance on eligibility of project partners will be provided in the Guidelines for Applicants.

<sup>xxxv</sup> Russian Federation has not been actively involved in the programme preparation



- The programme MA/JTS may exchange information with<sup>xxxvi</sup>:
  - The MAs of the other CBC and transnational/interregional programmes supported by the EU within parts of the BSB<sup>xxxvii</sup> to ensure a good complementarity of support,
  - The EU Delegations in partner countries and in Turkey to ensure a good overview and synergies within EU support at country level,
  - The relevant international organizations and key cooperation frameworks active in the eligible area.
- In their project proposals, the applicants will be requested to:
  - Describe how their cooperation project builds upon or complements other projects and initiatives, implemented by themselves or by other partners, and how they are consistent with relevant regional/national strategies, if relevant.
  - Stipulate whether they are applying to other funds for support for all or some of the activities proposed. This should not have the effect of discriminating against their proposal during evaluation stage, but it will still be taken into account during the contracting stage. It will draw the attention of JMC and MA, ensuring appropriate consultation with other donors and programmes before the grant contract is signed, in order to avoid double funding of activities should the project be supported.

Given the limited budget of the BSB programme, in order to achieve an impact in the eligible regions, it is important that the programme also promotes **springboard or multiplier effects**. In their application, project partners will be invited to describe, if relevant, how their proposal may have such springboard or multiplier effects, for instance by the dissemination or replication of results in other regions, or because the project can be considered as a pilot that may be replicated on a larger scale under other funding initiatives.

Throughout the programme implementation period, the MA/JTS and the programme partners will promote initiatives for the coordination and exchange of information on the BSB programme strategy with the organisations active in the area. This should allow the programme to use, and build on, the experience and the results of other programmes working toward similar priorities in the eligible regions.

Through an active policy of information and dissemination<sup>xxxviii</sup>, the MA/JTS will ensure that the projects results and lessons learned are made widely available to other programmes and initiatives.

---

<sup>xxxvi</sup> See further details in the chapter 'Communication strategy' of this document

<sup>xxxvii</sup> See Table 3 within 'Consistency with other EU programmes' under chapter 'Black Sea Basin strategic analyses and consultations' of this document

<sup>xxxviii</sup> See further details in the chapter 'Communication strategy' of this document