



Capitalisation management Guide

In the context of European
Territorial Cooperation (ETC) programmes

January 2020

This document is organised around two main parts. The first one presents a general approach of capitalisation, its main aim and rationale in the ETC context. The second part provides more concrete and operational information about the way a capitalisation process can be implemented, using the experience of 2014-2020 ETC programmes.

7 Introduction

9 1.General approach of capitalisation

10 1.1 Clarifying the concept of capitalisation

22 1.2. Why implementing capitalisation of experience and results?

25 2.Developing a capitalisation approach in practice

27 2.1. From clear goals to the definition of a robust capitalisation process

28 2.1.1. A step-by-step capitalisation process

32 2.1.2. Content of a capitalisation plan

36 2.1.3. A co-responsibility shared by ETC programmes and ETC projects

38 2.1.4. Importance of human resources and a dedicated budget

42 2.1.5. Other funding channels for supporting capitalisation beyond ETC programmes

47 2.2. Operational guidelines for an effective capitalisation process

48 2.2.1. Identification of valuable ETC projects/outputs, the basis for capitalisation

49 2.2.2. Identification and management of data/inputs

53 2.2.3. From the identification to the engagement of potential "receivers"

60 2.2.4 The key role of communication strategies

64 2.2.5. Governance of the capitalisation process

71 3.Appendice

Annexes

 [Publication | Capitalisation approaches and practices](#)

 [Repository | Capitalisation approaches and practices](#)

 [Publication | Capitalisation Toolkit 2019](#)

 [Publication | Communication of capitalisation in Interreg](#)

 [On-line Community | Capitalisation practices and communication of results](#)

 [Interact Library](#)

Introduction

Over the last years, Interact has produced a series of concept notes, analysis, and publications about capitalisation and mainstreaming the processes implemented by European Territorial Cooperation (ETC) programmes.

With new innovative approaches and practices launched during the 2014-2020 period, it appeared necessary to provide programmes and projects with a synthetic document stating a shared and common understanding. Also providing guidelines about capitalisation management practices based on programmes experiences.

Focus on terminology

Glossaries on capitalisation topics exist in several ETC programmes (e.g. URBACT, Interreg Europe, Interreg MED, etc.). Nonetheless, each of them adopts its own definition of the key concepts.

Clarification is provided on some keywords throughout this guide, by mentioning that they might be defined in a slightly different way in the context of the different ETC programmes.

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1. General approach of capitalisation



1. General approach of capitalisation

LINKS ONLINE

For more information:

[www.youtube.com/
watch?v=bUf2Unu5Jjs](https://www.youtube.com/watch?v=bUf2Unu5Jjs)

1.1. Clarifying the concept of capitalisation

"Capitalisation" is not defined in any EU regulation under 2014-2020, where the emphasis is rather put on communication strategies and actions, and no obligation is established to pursue it.

In 2016, Interact produced a first global definition of capitalisation as:

A building process aimed at consolidating the capital built by Interreg projects and programmes, with the objectives of:

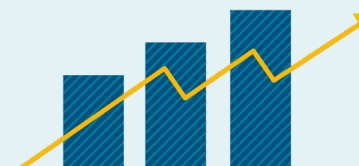
- ▶ Making the knowledge and results generated by projects more accessible, thus improving the transfer of knowledge;
- ▶ Obtaining additional results through benchmarking and detailed content analysis, building on existing knowledge and experience;
- ▶ Promoting the re-use and/or transfer of this knowledge and these results, to boost performance and delivery;
- ▶ Raising awareness and improving the communication of results in specific fields of regional policy".

Source:

Capitalisation plan 2016 – Interact

On their side, several ETC programmes have developed their own definition as well as practices of capitalisation, often updating it for a better consistency with their activities. The predictable outcome of this remarkable mobilisation is that the Interreg community is showing a strongly diversified "pattern" of capitalisation approaches (often mixed) labelled as follows:

- ▶ Capitalising as enhancing the visibility of projects /programmes results (communication oriented).
- ▶ Capitalising as identifying good practices for the dissemination of results (knowledge oriented) but also for enhancing good practices to mainstreaming process, and as transferring projects results, management practices, etc. (transfer oriented).
- ▶ Capitalising as highlighting programmes' impacts and future positioning (impact evaluation oriented).



1. The categorization has been produced by all involved programmes during the last Interact seminar on Capitalisation held in Athens, in June 2019. All the documents are available on the [Interact Community related to Capitalisation practices and communication of results](#).

Recently, several ETC programs gathered in Athens in June 2019 for an Interact event on Capitalisation and communication and provided several different answers while brainstorming about "What's capitalization?", such as:

- ▶ CAP is a mean towards the sustainability of projects and durability of results
- ▶ CAP is something which has to do not only about results but also about knowledge
- ▶ CAP is a way for projects to get resources beyond the initial financing
- ▶ CAP is a marketing process to "sell" projects results through communication
- ▶ CAP is a way to improve coordination and to find synergies among projects
- ▶ CAP is a way to promote dialogue between programs and national authorities to integrate results national and local policies

Wanting to respect the diversity of programmes (and having in mind that the objective would be by no means an artificial "harmonisation" of practices), there is now a great need of finding a "clearer" and somewhat "stricter" definition of *Capitalisation*.

To this purpose, let's first fix what can no longer be assimilated as "pure" capitalisation:

1. Collecting results, good practices, and lessons learnt to diffuse them outside the programme. This is mainly DISSEMINATION OF KNOWLEDGE

2. Giving visibility to projects and telling their stories. This sounds much rather like COMMUNICATION and/or "MARKETING" of the programme's products

Both these activities are undoubtedly part of the capitalisation process as preliminary or on-going phases but cannot be traded for it.

Both activities, as a matter of fact, do not reflect its main purpose. And beware especially for "communication vs capitalisation" there is a strong need for programmes to reflect upon the differences as well as their complementarity.



Based on the discussions that took place during several Interact events and working groups, some fundamental issues conducive to a genuine “capitalisation of results” are described below:

1. Capitalisation is better defined as **capitalisation of experiences/ results and not only of good practices, lessons learnt etc.** This definition is more related to the concept of knowledge management which has a well-established theoretical corpus².

2. It is a **process based on the analysis of needs**, which can differ among cooperation strands.

² Knowledge management (KM) is the process of creating, sharing, using and managing the knowledge and information of an organisation. It refers to a multidisciplinary approach to achieving organisational objectives by making the best use of knowledge. Many large companies (like the big consultancies Ernst & Young, Accenture, Interreg), public institutions and non-profit organisations (NGOs such as Handicap International for instance) have resources dedicated to internal KM efforts. These efforts typically focus on organisational objectives such as improved performance, competitive advantage, innovation, the sharing of lessons learned, integration and continuous improvement of the organisation. These efforts overlap with organisational learning and may be distinguished from that by a greater focus on the management of knowledge as a strategic asset and on encouraging the sharing of knowledge. KM is an enabler of organisational learning.

3. It must be targeted at **ensuring re-use of the knowledge** (and not only the enhancing of it) and a gradual improvement in local/regional policies.

4. It requires a **structured approach** and a clear **capitalisation strategy defined, preferably, at the beginning of the programming period.**

5. It should be meant as an experience going beyond Interreg and creating a larger **community of interested stakeholders** from various backgrounds/sectors but also a **value chain** with different sources of funding.

6. It should be conceived in a strong **connection with the evaluation** (evaluation of impact and/or evaluation of the implementation) and provide consistent inputs for post 2020.

The key issue of a ‘true’ capitalisation of results is to make sure that results are not only transferred but also re-used by other specific actors and that there is, therefore, a gradual improvement in policies.

So, in the end, “**TRANSFER AND REUSE OF KNOWLEDGE**”, are the core business of capitalisation both for ensuring the sustainability of the projects and to contribute to development and improvement of mainstream policies.

As such, they should be set up as its real and main goal from the very beginning.

Once this has been acknowledged, an effective “transfer of Knowledge” means that programmes, as a preliminary step, should proceed to identify both the “OFFER SIDE” and the “DEMAND SIDE” for this operation and establish how to better connect the two. A “**demand-driven approach**” is

unquestionably the basis of a successful capitalisation process and it should be a part of the whole project cycle.

If programmes accept to work in this perspective, several questions immediately arise such as:

► *What is to be transferred? Are all the results transferable?*

► *How to select transferable results? How to transfer them or to encourage the re-use of these results? And more...*

► *Who are the potential targets for the transfer? How to identify them?*

► *What is needed to involve them?*

► *What is the impact (in quantitative or qualitative terms) of this transfer?*

All those questions and some more will be specifically addressed in PART II of this guide and some useful recommendations will be provided.

The practices of capitalisation within Interreg programmes

What can be registered so far is that:³

- **Most** programmes have mainly identified their capitalisation efforts with the task of ***better communicating the achievements of their projects.***
- A **good number** has undergone a process of ***dissemination***, gathering, and diffusing good practices and lessons learnt from projects and programmes.

- **Some** have deliberately taken on board a ***transfer approach of projects*** results to other projects in the same programmes or other programmes, mainly creating and supporting thematic clusters of projects.
- **A few** have deliberately targeted the ***"transfer to mainstreaming programmes and regional/local policies"***, following often a ***demand-driven approach.***
- **One or two** have clearly linked capitalisation and evaluation.

³. For an overview of current capitalisation practices see the updated repository annex to 'Capitalisation approaches and practices'(updated edition in July 2019)

ETC programmes use a quite consistent set of tools and develop comparable capitalisation activities to promote programmes and project results. These activities generally depend on the main objectives of the capitalisation approach, which can vary greatly across programmes.



On-going practices presented by some programmes during the Capitalisation event in Athens – June 2019

CBC POCTEP (Spain/Portugal): decided to issue repeated capitalisation calls that were answered by projects keener to share expertise and develop new actions to improve the results.

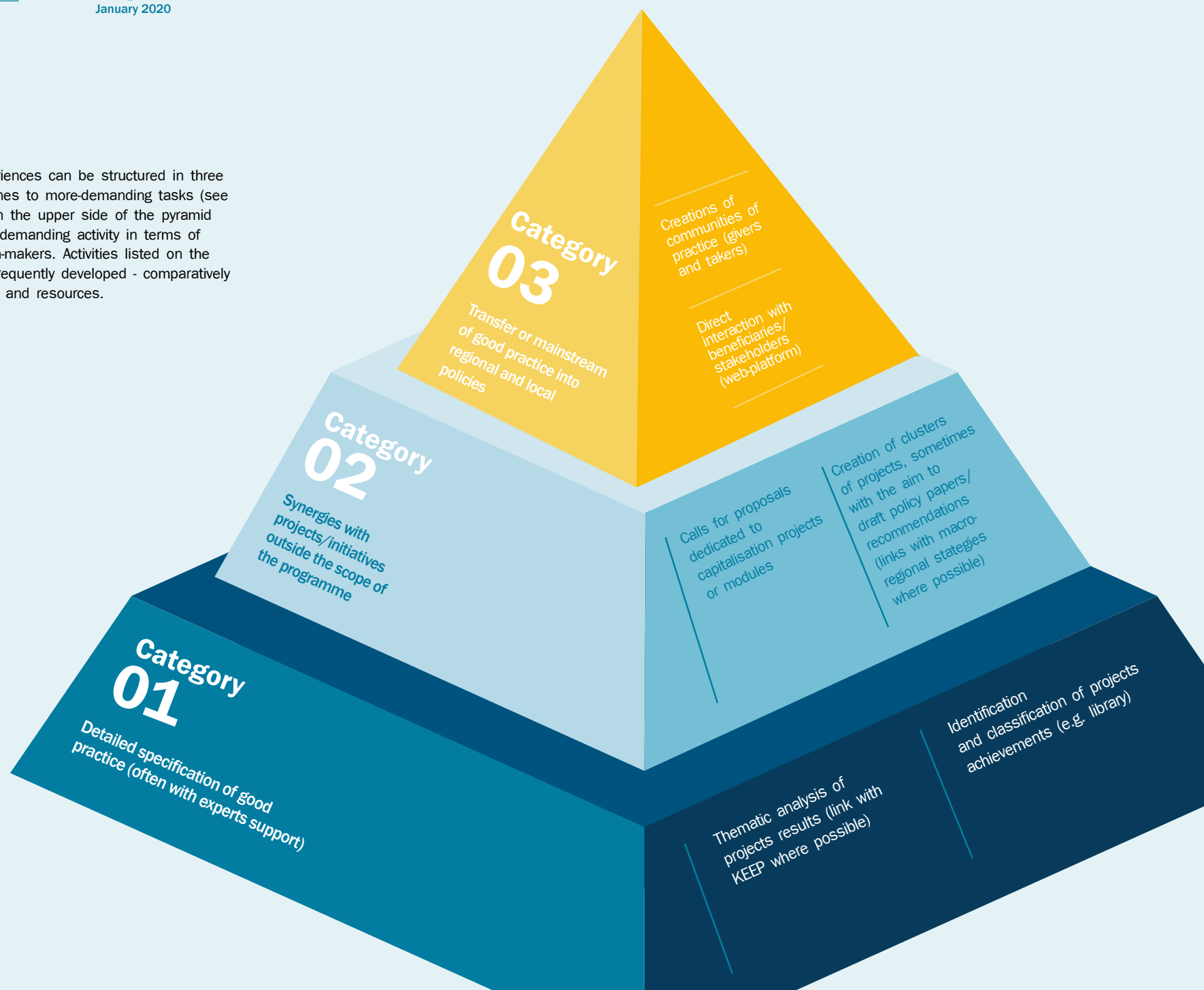
CENTRAL EUROPE: tried to "burst the Interreg bubble" and coordinated forces with other EU player (Thematic EU programmes such as Horizon ,Life) through specific calls.

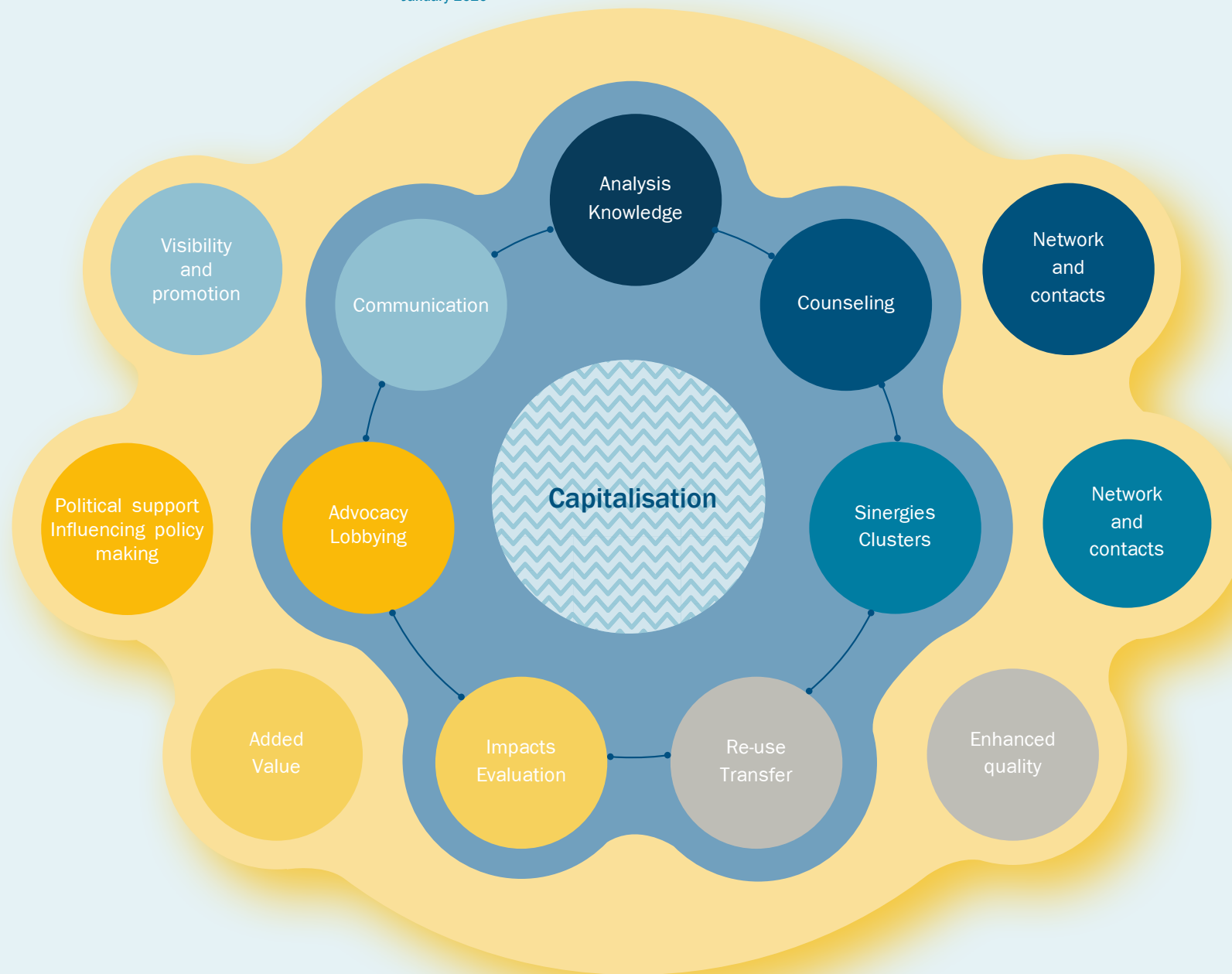
NORTH WEST EUROPE: developed an approach to capitalization in 3 steps: identifying the potential of transferability and "demand" for it; developing tools for maximizing projects" results impact (website less applicant oriented and more addressed to stakeholders and policymakers; a newsletter for targeted audience); issuing a call for capitalization to maximise impact of successful projects open to candidates that are well performing, that have strong potential for further dissemination ,go beyond the initial purpose , reach out to weaker regions to contribute to reducing disparities.

ENI/CBC: is building up thematic clusters on 4 themes accompanied by thematic expertise and is asking projects to provide a capitalisation plan.

Categorisation of capitalisation activities according to complexity

These activities of capitalisation experiences can be structured in three main categories ranging from basic ones to more-demanding tasks (see the pyramid below). Activities listed on the upper side of the pyramid are less frequently developed - more demanding activity in terms of resources and convincing key decision-makers. Activities listed on the lower side of the pyramid are more frequently developed - comparatively less demanding in terms of approach and resources.





Overview of interactions and influences of capitalisation activities

Capitalisation could be set up as a core internal process aimed at providing several direct & indirect positive effects. In the first circle we can observe the main tasks and direct effects linked to the objectives of the capitalisation process that represent, indeed, the main benefits for programmes. The second circle represents the additional effects and main benefits for both projects and programmes.

1.2. Why implementing capitalisation of experience and results?

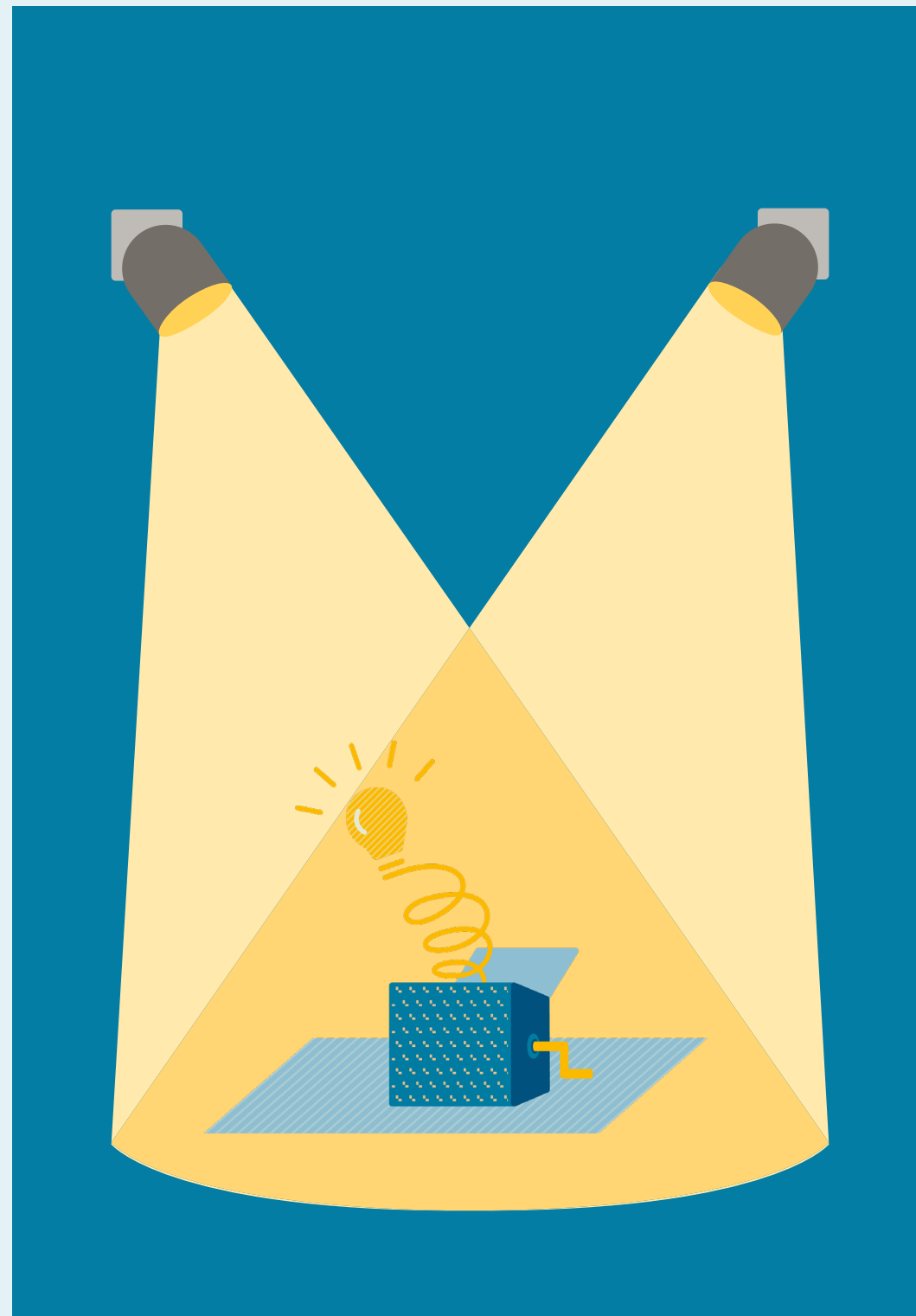
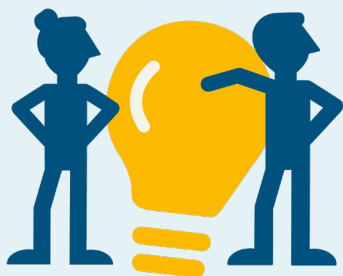
The rationale behind the capitalisation of experience

Interreg / ETC programmes have been existing for 30 years now, and have improved over time, especially thanks to the result-oriented approach, which requires the selection of projects that provide a real contribution to the achievement of one targeted specific objective.

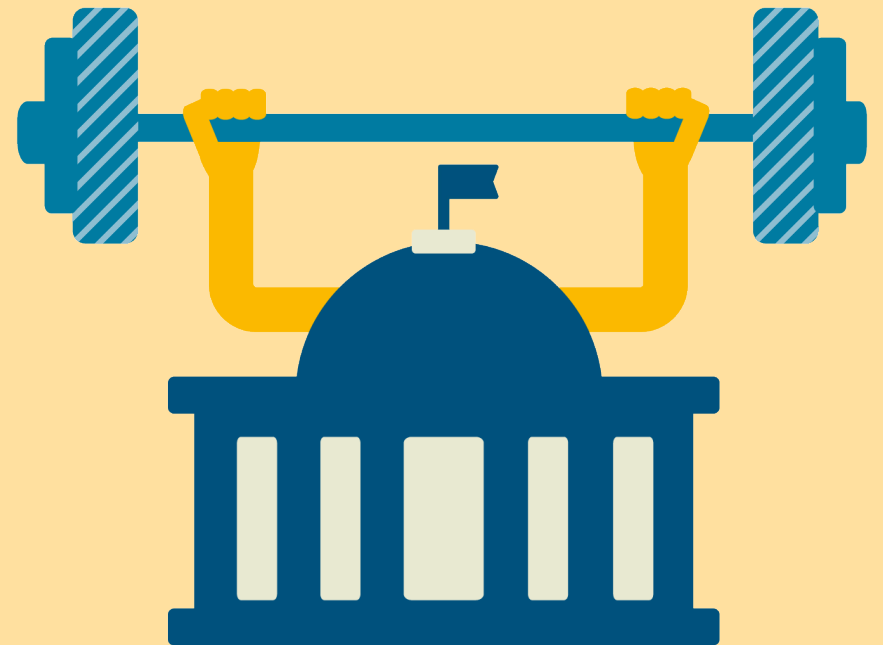
Globally, thousands of projects have been co-financed and many of them have produced valuable results that could be potentially of interest for other territories and actors across Europe.

Therefore, there is a clear necessity to widen the scope of the use of these valuable results and to develop activities at programme and project levels, according to a tailor-made combination depending on several parameters.

Capitalisation of experience shall become crucial during the new programming period 2021-2027, which is likely to be the first one with a reduced ERDF budget, meaning that a new collective intelligence shall be developed to multiply the results of a reduced number of co-financed projects.



2. Developing a capitalisation approach in practice



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As stated in the publication on “Capitalisation approaches and practices” (Interact 2019), capitalisation should not be developed in a uniform way across Interreg strands, due to different needs, the willingness of programme bodies, planned budget and human resources, etc.

However, considering the different experiences launched by ETC programmes, common guidelines can be drawn up to successfully implement capitalisation activities.

Taking into consideration the specificities of each programme, capitalisation approach should be included in a proper capitalisation strategy and/or plan.

It should be defined at the beginning of the programming period for at least two reasons, even if projects results are not yet available:

1. A dedicated category of projects could directly address capitalisation of experience as such.
2. A strong relationship shall be established with the communication strategy and to some extent with the evaluation strategy.

Based on the growing experience among the ETC programme community, all programmes bodies in charge of managing the 2021-2027 programmes shall raise this issue during the drafting process, include it where relevant, and agree on a proper roadmap during the first monitoring committee.

2.1. From clear goals to the definition of a robust capitalisation process

During a programming period, programmes generate hundreds of projects and thousands of outputs and deliverables of different natures, involving a large diversity of stakeholders at local, regional, national, or even EU level.

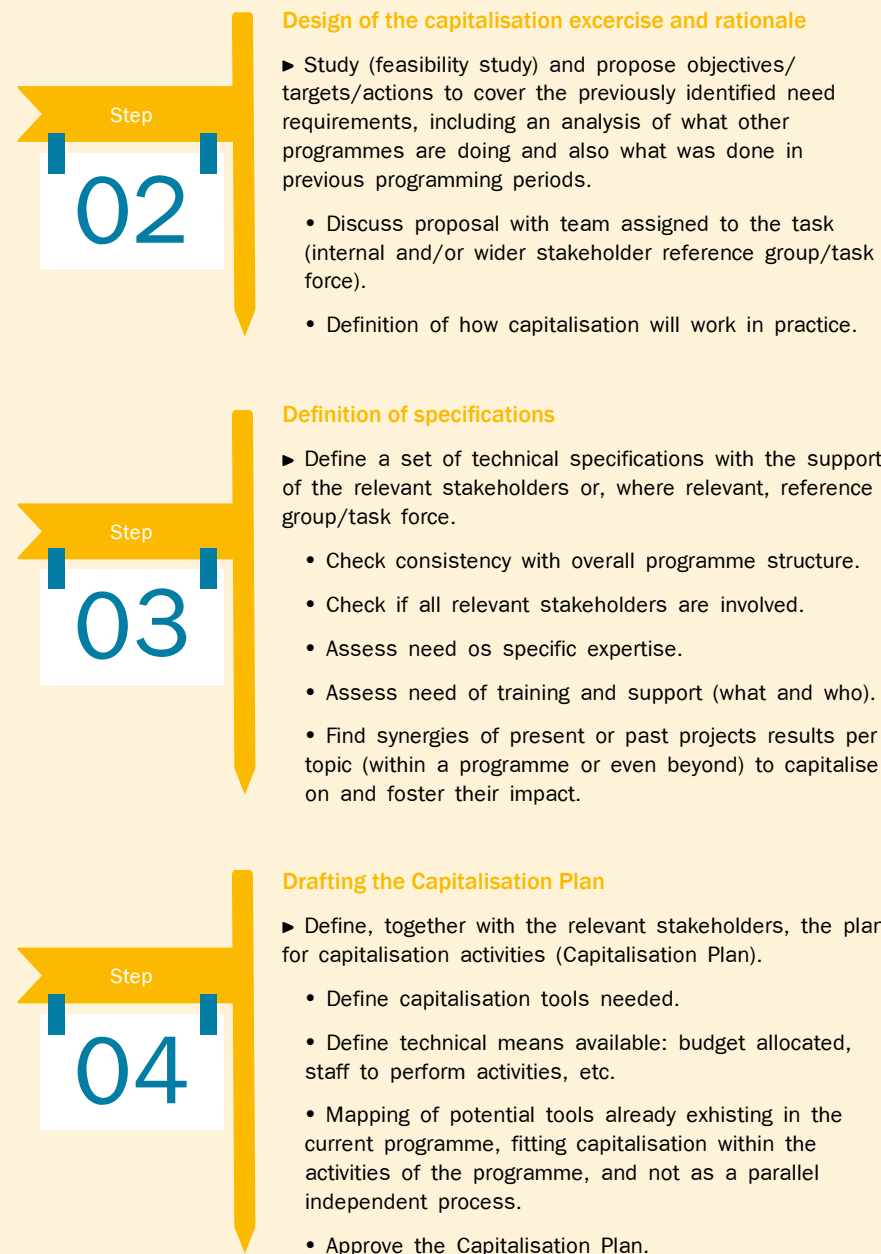
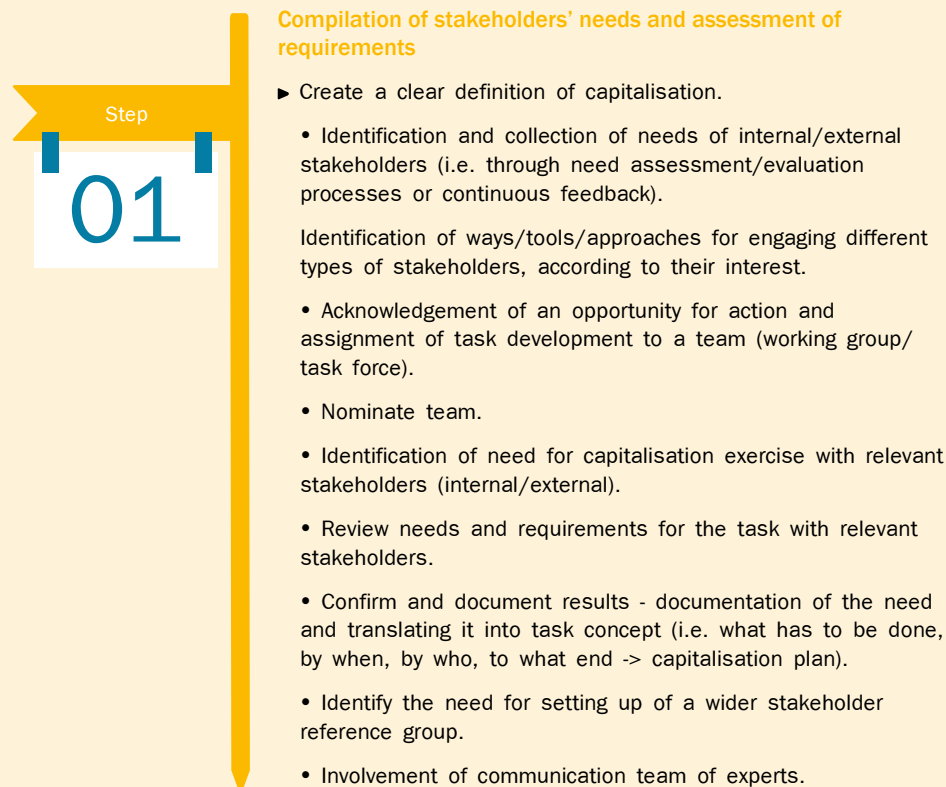
Then, activities implemented in ETC programmes show that capitalisation processes require time, human resources, and budgets that are not indefinitely extensible.

For these reasons, capitalisation strategies require identifying priorities, objectives, and targets in coherence with existing gaps and needs identified in cooperation areas. Then, work plans and implementation steps are needed to reach operational objectives as defined under [1.1: Dissemination of knowledge/Communication/Mainstreaming and improvement of public policies](#).



2.1.1. A step-by-step capitalisation process

The structure below was developed in 2018-2019 by a working group bringing together ETC programme bodies' representatives and coordinated by Interact staff. It covers the key steps for the preparation, implementation, and monitoring of a capitalisation plan.





DO NOT FORGET ABOUT THE PROCESS AND FOLLOW IT !

Step

05

Planning and preparatory stage

- Define the concept for each activity .
 - Define the need for a tendering process.
 - Verify compliance with programme's procedures.
 - Check if all relevant specifications and relevant activities in the plan are part of the ToR.
 - Verify need for technical advice.
 - Check how to include capitalisation actions as part of the work that needs to be done by projects in order to motivate project partners to dedicate time to it.
 - Joint communication activities to be considered: joint events, newsletters, etc.

Step

06

Implementation and review

- Implement, manage activities according to the Capitalisation Plan.
 - Check overall compliance with objectives, targets and available means.
 - Verify before each step compliance with programme's procedures.
 - Support users/target groups.
 - Incentivate projects and support them to achieve results and maximize impact.
 - Review activities according to plan and feedback.
 - Monitor on-going feedback.
 - Plan for improvements and implement improvements.

Step

07

Share lessons learned from the process and communication

- Share lessons learned with reference group and stakeholders.
 - Dissemination and communication.
 - Link with storytelling practices and template.
 - Joint communication activities to be considered: joint events, newsletters, etc.
 - Carry out lobby activities to policy-makers.
 - Plan for improvements and implement improvements.

Step

08

Process outcome

- To provide complete and coherent outputs according to the Capitalisation Plan.
- All users/target groups have a sense of ownership of the process.
- Ensure that project partners are still in touch with the programme after the end of the project.

2.1.2. Content of a capitalisation plan

There isn't a unique template for a capitalisation plan. It should be adapted to the programme objectives in terms of capitalisation and dedicated resources. This capitalisation template plan was prepared by a group of ETC programme bodies representatives:

Section	Elements	Steps in the Capitalisation Process	Comments section
01 Background /Definition of Capitalisation in Interreg	Information about programme needs INVOLVEMENT OF MC MEMBERS Internal/external stakeholder needs and feedback	Step 1	Opportunities for action: Capitalisation is necessary, and we need to do it open-minded, with teamwork, more human, with tangible actions
02 Definition of the exercise/process	Process set-up Requirements for capitalisation exercise LINKED with selection of projects Capitalisation = Managing Authority believes but Monitoring Committee not. Need to "educate" them	Step 2	MC members need to understand capitalisation not only by formally approving programme documents Involve your MC into the process, get a mandate to look for capitalisation options
03 Objectives	Definition of objectives HOW TO CONVINCE PROJECTS TO CARRY OUT CAPITALISATION	Step 3	Not only to convince them but programmes should give them the basic platform/parameters and support them through all the process to get successful results Clear definition of which degree of impact of cap activities at programme level could deliver must be agreed (only networking, exchanges, transfers, mainstreaming?) Involvement of projects in the capitalisation process

Section	Elements	Steps in the Capitalisation Process	Comments section
04 Target groups	Definition of the target groups/users and the level of involvement HOW TO CONVINCE PROJECTS TO CARRY OUT CAPITALISATION	Step 3	Define the needs of the different target groups Different Target Groups are motivated to take part if they understand that they will have a platform to exchange on how to address the same topic using different approaches. They can learn and have access to new knowledge...
05 Methodology of implementation	Definition of the methodology to be put in place for the implementation of Capitalisation Work Definition of guiding principles to be applied all along the process Definition of the analysis' approach Identification of possible implementation phases	Step 3-4	Not only communication activities but something else: synergies between projects and results on capitalisation itself A definition of a relevant timeframe is needed
06 Activities	Definition of the type of activities and their specific contribution to objectives of the Plan Involvement of users/targets CREATION of a set of indicators SIMPLIFICATION OF ACTIVITIES	Step 4-5	One basic activity will be to group the projects per topic and get capitalisation results through, for instance, finding project synergies (not only joint communication activities) Setting up of indicators at set up at outputs and outcomes level more than at activity level

Section	Elements	Steps in the Capitalisation Process	Comments section
07 Deliverables and Outcomes	<p>What are the expected outcomes?</p> <p>Which deliverables should be delivered to meet objectives?</p> <p>VISIBILITY DIMENSION</p>	Step 5	<p>Outcomes should not be only communication activities and to avoid any confusion could be rather referred to outputs and outcomes</p> <p>Deliverables should be adapted depending on the target? (eg: public policy representatives / projects / potential future beneficiaries / general public)</p>
08 Involvement of programme bodies	<p>Define the role of each programme body according to the process, objectives, and methodology</p> <p>Define the role of programme bodies and staff in the related activities to be implemented</p>	Step 4-5	<p>One basic activity will be to group the projects per topic and get capitalisation results through, for instance, finding project synergies (not only joint communication activities)</p> <p>Setting up of indicators at set up at outputs and outcomes level more than at activity level</p>
09 Involvement of stakeholders and partners	<p>How stakeholders should be involved in the activities according to their relevance</p> <p>What is their expected feedback and contribution?</p> <p>What can European, national and regional policy-makers and practitioners learn from the projects and implement in their territory?</p> <p>HOW TO CONVINCE PROJECTS TO CARRY OUT CAPITALISATION</p>	Step 4-6-7	<p>Thematic events in a broader sense</p>
10 Link with other initiatives	<p>Consider the links and contributions to MRSs, others local/regional/national/EU initiatives</p> <p>What has the programme contributed to?</p> <p>Is there some opportunity for further common activities and/or synergy?</p>	Step 4-6-7	<p>Capitalisation practices across could be considered in a later stage. Programmes working on similar topics could learn from and help each other</p>



Key points to keep in mind

To draft a capitalisation strategy including financial and technical resources needed to implement activities.

Section	Elements	Steps in the Capitalisation Process	Comments section
11 Work Plan	<p>Definition of concrete milestones and calendar</p> <p>Definition of phases, roles, and coherence with the objectives and programme life cycle</p> <p>SIMPLIFICATION OF ACTIVITIES</p>	Step 4-6-7	<p>Outcomes should not be only communication activities and to avoid any confusion could be rather referred to outputs and outcomes</p> <p>Deliverables should be adapted depending on the target? (eg: public policy representatives / projects / potential future beneficiaries / general public)</p>
12 Evaluation of the plan (NEW)	<p>Need for evaluation of the performance, with the involvement of stakeholders and partners</p>		<p>Reference to Monitoring and Evaluation as in both cases the identification of a set of indicators (and target values) becomes crucial</p>
13 Available means and resources/ Budget	<p>Define the budget allocation for activities and resources already available</p> <p>Define possible needs for outsourcing and tenders</p> <p>Overall need for more resources + staff + IT support + training + money. At least 1 full-time person working on this, interlinked with existing teams. Internal coordination</p>	Step 4-5-6-7	<p>This important part should be tackled also at the beginning of the process as many programmes won't be able to even start thinking of a capitalisation plan if they don't improve their means & resources</p> <p>Definition of incentives - budget/time extensions, call for clusters, organisation of common workshops/ conferences, and other common actions. Any other ideas?</p>
14 Communication and promotion of results	<p>Define the communication activities, their targets and technical tools to be used</p> <p>VISIBILITY DIMENSION</p> <p>Each programme's MC needs to be presented with the plan and the template. There is a need to gain their "political" support</p>	Step 7	<p>Together projects are stronger than alone</p> <p>Potential advocacy/lobby activities</p>

Source: INTERACT toolkit

Terminology: The MC is the Monitoring Committee, which is at the heart of each ETC programme's governance. It gathers the main partners from the ETC programme and meets on average twice a year.

2.1.3. A co-responsibility shared by ETC programmes and ETC projects

Whatever the chosen capitalisation objectives, each ETC programme should develop its own capitalisation plan:

by defining the role of each level: ETC programme and projects promoters.

At ETC programme level: all ETC programmes do not develop ambitious capitalisation and mainstreaming activities. Depending on their objectives, this can require a structured strategy from the compilation and dissemination of project results (databases, organised projects library) to the elaboration of sharing and transfer activities (operational transfer of ETC outputs to external stakeholders).

At ETC projects' level: the projects' promoters are involved in capitalisation through at least actions of dissemination of their outputs and results. The ETC programme can integrate additional requirements according to their capitalisation objectives.

by presenting the various actions and the concrete modalities planned to achieve the capitalisation objectives.

At programme level: the capitalisation actions can be anticipated in the framework of

the definition of the Cooperation Programme (in the architecture of the programme, the definition of the different calls for the project, the creation of thematic communities'). They can also develop actions all along the programming period (launching of new strategic calls, organisation of peers-reviews').

At ETC projects level: they have to take into account the programme requirements in terms of capitalisation: development of relevant communication and dissemination actions (formalisation of durable projects results, identification of targets and potential re-users who could be interested in the project results'), the necessity to provide access to projects results or the obligation to take part in projects communities.

How can projects benefit from capitalisation?

Why to capitalise? Why is it important for projects to understand that concept, that exercise? What can they gain through capitalisation? New contacts, new ideas for projects, bring project results at a wider level, etc. Capitalisation does not only benefit the programmes.

Projects play a key role for capitalisation:

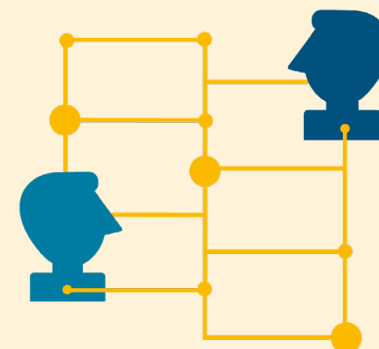
1. They generate the knowledge and "capital" (made of outputs, methods, impacts and networks) that should be promoted and re-used, to demonstrate the added-value of cooperation, thus promoting new answers to territorial challenges.
2. They can benefit from a wide range of programmes' results to improve their methods, outputs, impacts, and quality of implementation as well as transfer their achievements into regional policies, reaching a wider audience and interest.
3. They can get more visibility and further promote their tangible results and effects as well as provide solid experience and input in the framework of regional development policies.



Key points to keep in mind

To anticipate capitalisation from the definition of the Cooperation Programme with clear objectives, possible actions, concrete modalities, and distribution of roles between Programmes and project promoters.

To explain the added-value of capitalisation to projects promoters - to make them aware of the interest of capitalisation.



2.1.4. Importance of human resources and a dedicated budget

Available resources at programme level

Whatever the degree of capitalisation process chosen by the ETC programme, financial and human resources are needed and should be planned in the capitalisation strategy.

At programme level:

- drafting of the capitalisation plan,
- drafting and management of specific types of intervention (e.g. calls for projects) dedicated to capitalisation or including capitalisation-oriented requirements in the calls for projects,
- implementation, moderation, and follow-up of capitalisation activities: development of tools, moderation of thematic communities, methodological support in the organisation of meetings between "receivers" and "givers", etc.

Terminology: In this guide, the word "receivers" refers to bodies potentially interested in an ETC project output (re-use/transfer). The word "givers" is the other way-round, referring to bodies willing to promote and share their ETC project outputs.

Receivers are sometimes named "takers" or "importers", while givers are also named "providers" or "exporters".



Key points to keep in mind

To anticipate capitalisation from the definition of the Cooperation Programme with clear objectives, possible actions, concrete modalities, and distribution of roles between Programmes and project promoters.

To explain the added-value of capitalisation to projects promoters - to make them aware of the interest of capitalisation.

Human resources dedicated to capitalisation activities

Internalized

Several ETC programmes have recruited at the beginning or during this programming period a capitalisation officer in charge of capitalisation activities. Different modalities can be seen:



- Full-time position(s): this is mostly the case for the Cooperation programmes, which have developed an ambitious capitalisation strategy including a lot of activities.



- Part-time position: in this case, people are also involved in other activities, very often in communication activities (50/50).

Externalized

Mobilisation of external expertise to support the capitalisation team: some countries have recruited external expertise in order to help them:



- in the definition of capitalisation strategy and activities,



- in the concrete implementation of capitalisation activities. This is the case for example of the Region South Provence-Alpes Côte d'Azur Region in France, in charge of the "Mainstreaming work package" in the PANORAMED project (Interreg MED Programme). The team of consultants provided support in the methodological approach and the connection between "receivers" (stakeholders interested in a ETC projects output) and "givers" (ETC project promoter).

At the project level:

additional funds, time, and technical assistance should be planned in the project call and integrated into the application form (budget) to develop real capitalisation and to go beyond communication activities.

Capitalisation calls for a project in several ETC programmes

Several programmes have launched specific calls for projects dedicated to capitalisation or integrating capitalisation activities, for example:

CBC Italia-Croatia programme launched a call for proposals with 2 types of projects: 1) "Standard" projects typically originate from the acknowledgment of a problem or a need and testing of a potential solution. They should be developed based on an innovative project concept, although capitalisation of previous programming periods' projects and results is certainly encouraged. 2) "Standard+" projects are operations stemming from existing cooperation potentials of the area' capitalising the achievements of the previous programming period - by means of piloting, testing or implementing in the CB area solutions developed in a larger scale context and in the framework of a 2007 - 2013 ETC Programmes in which Italian and Croatian partners already worked together (Adriatic IPA CBC, SEE and MED).

CBC IPA Italy-Albania-Montenegro programme launched in 2019 its last call for projects focusing on different main topics. Capitalisation activities are encouraged and integrated into the selection process of application forms. In the call, it's written like this: *"Moreover, the project proposals, which plan concrete and precise capitalisation actions, as well as build up synergies with existing projects and initiatives may receive additional points."*

Central Europe Programme has planned to launch a last and 4th call based on the capitalisation of projects approved during the 3 previous calls. The objective would be to give new scope to ETC projects, which have been approved during the 3 previous calls and to give them a higher policy level.

North-West Europe programme launched a capitalisation call for proposal on October 2019: The call for capitalisation "Maximising project impact" targets projects which have a solid ground for additional activities and where continuation of cooperation brings significant added value. Proposals of capitalisation initiatives should, therefore, stem from well-performing and successful projects, with tangible results to showcase. They should build on existing results (foreseen or unforeseen) that have a strong potential for further uptake and roll-out throughout NWE, and potentially in the rest of the EU. Capitalisation initiatives should also clearly contribute to the programme's objective of reducing territorial (economic, social and environmental) disparities in the NWE area. Proposals, therefore, need a strong territorial justification.

An architecture of projects providing opportunities for transferring and capitalisation activities, more in line with the degree of maturity of the knowledge and/or the intensity of exchange of experience on each specific topic.

Interreg MED Programme has foreseen a specific architecture for projects, made up of modules: project promoters can choose and combine different modules according to their objectives or readiness. Three types of modules are proposed:

- Studying: the first step involving a deep analysis needed before a concrete implementation.
- Testing and transferring phases based on the development of pilot activities and of targeted dissemination of concrete outputs among new stakeholders to convince them to re-use the project's deliverables.
- Capitalisation: to use the results of ETC projects to change higher policy levels.

In all these cases, human and financial resources are planned to develop these capitalisation activities in the framework of projects, whose requirements are defined by Cooperation programmes. It can be complementary to other capitalisation activities led directly by programmes.

Timeline

According to the capitalisation objectives, a detailed time plan needs to be set up'

...at programme level:

- Time needed to identify and to analyse finalised outputs, deliverables'.
- Time needed to cross all the projects results/outputs.
- The process should be adapted with the calendar planned for the preparation of the future European programmes.

... at the project level:

If ETC programmes build a part of capitalisation activities on project promoters, the timeline of projects should be adapted. Very often, time dedicated to capitalisation at the end of the project is too short to develop quality activities. Time is need to:

- identify among the deliverables the one(s) which has/have the potential to be re-used by other stakeholders,
- to formalise tools/supports to facilitate their dissemination,
- to identify potential targets who could be interested to be the receivers.

At least, a period of 6 months after the end of the project development should be integrated into the project duration to carry out communication and capitalisation activities for project promoters.



Key points to keep in mind

To combine capitalisation activities led directly at programme level and activities involving ETC projects promoters. Both levels foster capitalisation and allow optimising resources (human and financial).

To dedicate financial and human resources adapted to the ambition defined in the capitalisation strategy.

To adapt timeline for quality capitalisation.

Do not under-estimate time needed to identify and analyse project outputs (which can be quickly outdated) and to identify potential targets, which could be interested in the re-use of ETC projects deliverables.

2.1.5. Other funding channels for supporting capitalisation beyond ETC programmes

Regional perspective

Some regions covered by several cooperation programmes decided to develop capitalisation activities to create links between ETC projects/outputs and regional policies.



The "Grand Est" Region in France: a capitalisation process to reinforce the regional development

The objective is to analyse the added value of European programmes covering the « Grand Est » Region with the following method;

- to analyse a large spectrum of European projects outputs (co-financed by INTERREG, LIFE+, ERASMUS+...), their added-value for the regional development and to formalise recommendations,
- to draft a projects review pointing out administrative and legal solutions developed to overcome obstacles,
- to analyse governance bodies, potential synergies and to formalize recommendations for the post 2020 and to enhance complementarities between different European programmes.

National perspective

Beyond ETC programmes bodies, some countries have taken initiatives in terms of capitalisation related to the implementation of ETC programmes/projects within their national territory.

In a glimpse:

The objective is to analyse the added value of European programmes covering the « Grand Est » Region with the following method;

- The Netherlands: a capitalisation process focused mainly on a project database.
- Latvia: an intensification of capitalisation at national level: from a ETC project database to thematic clustering events and maybe to the transfer towards other policies.
- Italy: a detailed analysis of the most relevant ETC projects to encourage the transfer among other stakeholders.
- France: a national capitalisation process encouraging the re-use of ETC projects results in the framework of other territorial policies.

► Romania: Main objectives:

- To build trust and connections between Romanian beneficiaries of the 3 Interreg programmes, especially in what concerns the added value and use of their project results.
- To support beneficiaries to consolidate and capitalise on their projects' results by building partnerships with relevant stakeholders and sources of funding.
- To implement a national knowledge platform based on promoting and capitalising Interreg projects.



Cross-cutting analysis of the national capitalisation initiatives

Most of them develop capitalisation activities at least at the scale of the projects that can be considered as the **first degree of capitalisation**.

This can be made through online publication on the programmes' website or through the creation of projects results databases. Latvia and the Netherlands have for example developed such tools. Countries can even go further by classifying the data to facilitate their visibility (classification by thematic, priorities, partners involved) or by selecting a sample of the most relevant projects to analyse in detail their results. In Italy, the 2019 capitalisation plan is notably focused on the selection of projects particularly relevant regarding the main thematic priorities of cooperation programmes and other criteria. It leads to a detailed analysis of projects results through desk analysis and interviews with Lead partners and/or JS.

Category 1

- Projects database
- Identification and classification of projects
- Thematic and detailed analysis of a selection of projects results

The **second degree of capitalisation** aims to create synergies with projects inside or outside the ETC programmes. Synergies can be created through various means: common events, thematic seminars, creation of clusters of projects working on a similar theme and/or thematic priority. In Latvia, the 2014-2020 capitalisation approach is notably focused on the organization of thematic seminars, which highlight different Interreg project results and activities.

These seminars also aim to reach and involve stakeholders outside the Interreg community.

Category 2

- Synergies with projects inside or outside the scope of the programme
- Call for proposals dedicated to capitalisation projects
- Creation of clusters of projects

The **third degree of capitalisation** aims to spread and transfer structured data to other programmes, policies and stakeholders outside the Interreg community.

In France, the NATIONAL AGENCY FOR TERRITORIAL COHESION (General commissariat for territorial cohesion) has already set-up a national capitalisation process aiming at encouraging the transfer and re-use of ETC projects results and deliverables by stakeholders in the framework of other policies (sectorial policies, structural funds...).

In Latvia, the Managing authority envisages in the future to transfer ETC project results to mainstream programmes.

Category 3

- Transfer or mainstream of good practices into regional and local policies
- Creation of communities of practices

Focus on the approach developed in France:

The National Agency for Territories Cohesion (ex-CGET) has long been involved in experimenting with capitalisation activities concerning ETC programmes covering France. Financed by a national technical assistance programme named Europ'Act, the objective for the programming period was to:

- Encourage ETC programs to progress in their capitalization initiatives;
- Stimulate the reuse of results/outputs of ETC projects;
- Promote and demonstrate the interest of cooperation approaches outside the "Interreg world";
- Work on a limited number of programs and projects to experiment approaches.

Possible types of actions for the experimentations:

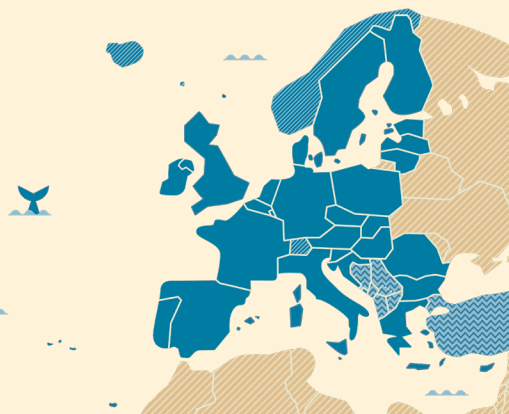
- Targeted dissemination/valorization of ETC project results/outputs toward a national or European network of stakeholders;
- Organized and structured spin-offs between several stakeholders of the same thematic fields;
- Transfer of an ETC project results/outputs to a targeted / specific stakeholder.

The first lessons learnt so far based on five experimentations:

- Supporting and spin-offs processes on the project's results turn out to be demanding and need a customized approach difficult to design and provide, also considering the diversity of addressed topics;
 - Still, huge difficulties to trigger the interest of regional Managing Authorities;
 - ETC programmes consider the approach as an asset to better convince their MC's members to support capitalisation process within the future program;
 - Without prejudging the final results of the process, there are good prospects for providing the national level with a better understanding of project results, giving a basis for the awareness of new audiences outside the Interreg bubble.
- The implementation of the transfer process will take place in 2020.

Paneuropean perspective

Several ETC programmes have developed capitalisation processes in line with their rationale (e.g. URBACT, Interreg Europe) or beyond their "traditional" scope (e.g. Interreg Med and its project PANORAMED).



Key points to keep in mind

To follow potential national or regional capitalisation process to optimise resources and methods and to link its own capitalisation process with these types of experimentations.

PANORAMED Project in the framework of the Interreg Med Programme

The MED programme has integrated an axis 4 to reinforce the euro-Mediterranean governance through an increase of skills for all Mediterranean stakeholders. This axis has been formalised through the PANORAMED project aiming to:

- ▶ enhance the ETC projects from Mediterranean area;
- ▶ support mainstreaming activities by connecting identified ETC project promoters with potential interesting stakeholders to feed the current programming period (last calls for projects') and the preparation of post 2020 programmes. The two first working topics have been the following: maritime surveillance and sustainable tourism.

URBACT and Interreg Europe: inspiring methods

The programme URBACT aims at encouraging exchanges between cities on common sustainable challenges to define or change urban policies. It is organised through calls for projects, supporting cities in taking into account learning from other cities to improve their own urban policies. Through all their activities, the programme has developed methods to help cities in the re-use of outputs to evolve public policies.

INTERREG Europe: capitalisation and transfer of experience at the heart of the programme

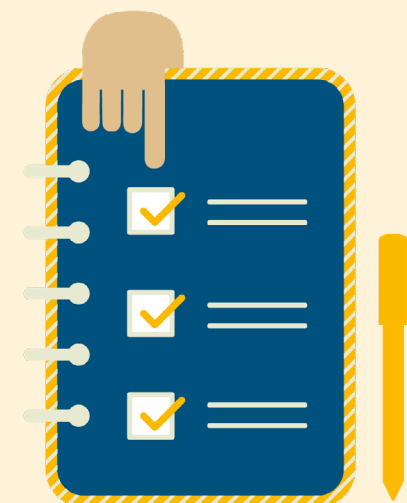
The Interreg Europe programme contributes to reducing disparities in the levels of development, growth, and quality of life in European regions by supporting policy learning among relevant policy organisations to improve the performance of regional development policy instruments. For doing so, the programme has supported two types of intervention: a) interregional cooperation projects; b) policy learning platform (PLP).

2.2. Operational guidelines for an effective capitalisation process

Beyond conceptual considerations and guidelines to be considered in the preparation of capitalisation processes, 2014-2020 experiences show that the implementation of such processes requires overcoming numerous concrete technical and organisational difficulties.

These difficulties mainly rely on the way to proceed to share and transfer concrete experiences or outputs between stakeholders ("receivers" and "givers") that do not always know each other, have different needs and priorities.

After a few years of experimentation, programmes gathered detailed feedback on capitalisation activities and developed specific experiences and know-how about the way to proceed and progress towards more efficient capitalisation activities.



2.2.1. Identification of valuable ETC projects/outputs, the basis for capitalisation

As mentioned in the first part of the report, ETC programmes produce many projects and outputs. As capitalisation requires concentrating on specific human resources and budget on strategic priorities, the first question that must be asked is "What do we need to capitalize on?". This is the main question before developing capitalisation activities. According to the capitalisation objectives, programmes must have a detailed overview of the projects and outputs that are subsidised and select the ones that are the most relevant to be integrated into the process.



Key points to keep in mind

To choose ETC projects, which would be the basis for the capitalisation process; This choice will be defined according to the capitalisation objectives.

Key criteria to take into consideration when identifying and selecting valuable ETC projects:

- What is the level of coherence of the project with territorial needs and ongoing public policies? Is the project answering these needs?
- Is the project able to share concrete, well-defined and operational deliverables? (tools, methods, practices')
- Is the project innovative or does the project clearly contributes to the progress, improvement, development of existing tools, and processes?
- Are the outputs of the project available, accessible, and transferable? (technical documents, methodological documents, the willingness of the partners to share their results (patent, competition between projects, safety, security issues')
- Is the "cost" of the transfer process reasonable? (are relevant stakeholders available and receptive? is it feasible in a reasonable time frame?)

2.2.2. Identification and management of data/inputs

Data management is useful but not enough...

The management of data is a key issue in a capitalisation perspective, to identify the most relevant outputs for a transfer process and ensure that all deliverables and information are available and transferable.

During the 2007-2013 period, capitalisation often consisted of gathering information about projects and make them available on programmes' websites (organised databases, projects libraries). However, the return on experience has shown that the types of data available were far to be sufficient to launch concrete and efficient sharing and transfer process (lack of concrete and technical data, data outdated, projects deliverables not available online, etc.)

For the 2014-2020 period, stronger attention is paid to this issue even it proves to be quite difficult for a programme to propose exhaustive databases with qualitative and detailed project results.

Even if databases represent an important source of information, one must keep in mind that access to strategic information about projects **often requires a reworking of the information as well as direct contact and discussion with project beneficiaries.**

Identification of relevant data and deliverables (with which criteria?)

General principle:

- Harmonised data concerning concrete outputs and deliverables of ETC projects.
- Data based on the reality and not only on what is foreseen in the applications forms.
- Detailed data, allowing:
 - a right understanding of the concrete content of ETC projects,
 - a focused dissemination among potentially interested stakeholders,
 - potential "receivers" being interested in the re-use of deliverables/tools/ methodologies.

A minimum list of criteria to identify relevant outputs/data:

- ▶ Finalised projects with concrete deliverables
- ▶ Thematic link with strategic priorities
- ▶ Replicability conditions
- ▶ Degree of innovation



URBACT: launching of a call for expressions of interest to identify and collect information on “good practices”

In the framework one of the types of intervention named “transfer network”, URBACT Programme has firstly launched a call for expressions of interest to identify “good practices” among cities. Urban authorities were invited to fill in a short application form describing their “good practice”:

- ▶ Short presentation of the project (good practice pitch).
- ▶ Relevance of the project: relevance taking into consideration the common challenges cities are facing today in Europe and solution offered by the good practice.
- ▶ Fit with URBACT principles: an integrated approach (horizontal and vertical cooperation), participatory approach.
- ▶ Evidence base: how is the practice documented? What difference has it made? Have these results been assessed and documented by an independent party?
- ▶ Transferability: do you think your good practice would be interesting for other European cities? Is the practice linked to any specific governance/legislative context (national, regional...)? Is there scope to amend the practice to suit other city contexts? What was the cost of the practice and how was it financed in your city? How sustainable is the practice in the long run? Is it still operating in your city?

Organisation of the data/information for dissemination and transfer

Implementing a capitalisation process implies having relevant information concerning projects output, that may need to be reworked since:

- ▶ there is a lot of raw information
- ▶ outputs and deliverables are not always transferable/shareable in their original support/form

It's then often necessary to rework the information.

Different levels of organised information are possible:

- ▶ databases of projects: organised library with concrete deliverables
- ▶ information classified among thematic communities
- ▶ formalisation of tools to promote several deliverables (factsheets...)
- ▶ transfer action plan
- ▶ and more!



Key points to keep in mind

To choose the right ETC projects as a basis for capitalisation: projects proving to have a strong potential for replicability.

To deepen the data of the project to analyse the capitalisation opportunities and to collect “useful information” to convince potential “receivers”. Project promoters often provide a general description of their project, with a lack of relevant information (technical points, degree of innovation in the field...) and a clear target. Based on this information, it could be difficult –even if the topic seems to be interesting to catch the interest of potential receivers. The information should then be re-worked to be more targeted for these potential receivers.

Overview of some examples:

Type of capitalisation	Available data and information	Potential re-work of data and information
Thematic capitalisation: promotion of projects achievements	At the Lead partner or the partner level: <ul style="list-style-type: none"> ► Projects deliverables (including the project application form) ► Projects evaluation (if applicable) 	At the Lead partner or the partner level: <ul style="list-style-type: none"> ► Contribution to the writing of projects factsheets or databases foreseen by programmes (e.g. North West of Europe: http://www.nweurope.eu or South Baltic: https://southbaltic.eu/database) ► Writing of studies synthesis (if it can be useful for others areas)
	At the programme level: <ul style="list-style-type: none"> ► Programmes evaluation or programmes capitalisation (if applicable) ► Thematic analysis ► Peer-reviews ► Thematic studies 	At the programme level: <ul style="list-style-type: none"> ► Creation of a structured library on the website to gather and organise all the projects deliverables ► Well-evidenced and expert validated good practices, going beyond creating a simple repository (in-depth analysis of projects results, also through the development of external check grids) ► Translation of key documents ► Writing of study synthesis and thematic cross-analysis <p>(e.g. Med programme and horizontal projects: https://Interreg-med.eu/en/news-events/focus/horizontal-projects-introduce-new-cooperation-models/ or Transnational Danube: http://www.Interreg-danube.eu/relevant-documents/dtp-capitalisation-strategy/for-starters)</p>
Methodological capitalisation: enhancement of Interreg programmes good practices	At the Lead partner or the partner level: <ul style="list-style-type: none"> ► Projects evaluation (if applicable) ► Projects deliverable if they are linked to the methodological process 	At the Lead partner or the partner level: <ul style="list-style-type: none"> ► Contribution to the writing of methodological factsheets or study cases. (e.g., Interreg Europe: https://www.interreg-europe.eu/bio4eco)
	At the programme level: <ul style="list-style-type: none"> ► Programmes evaluation or programmes capitalisation (if applicable) ► Programmes guideline (e.g., Urbact tool kit in the previous programming period, also at country level) 	At the Programme level: <ul style="list-style-type: none"> ► Creation of a methodological toolbox available on the website, ► Translation of key documents (e.g. Transnational Danube: http://www.southeast-europe.net/en/newsandevents/news/seecapitalisationevaluated)

2.2.3. From the identification to the engagement of potential “receivers”

Transfer process and mainstreaming: general considerations

An ambitious objective of capitalisation is based on the re-use of ETC project output to change things at the operational, strategic, or European level. It implies several tasks:

► Definition of the mainstreaming scale:

- From a project output to an operational transfer by another stakeholder (local scale).
- From a project output to the improvement of a public policy.
- From a project output to new suggestions for the current programming period (call for projects...) or the preparation of new European programmes.

► Identification and mobilisation of a potential demand (“potential receivers”, who could be interested in the re-use of an ETC output/deliverable): mobilization of thematic networks and experts, National Authorities, regional and local authorities, national agencies according to the topic of the potential re-se (not sure what this means???)/transfer...



Key points to keep in mind

Particular care to choose the adequate potential “receivers”

The identification of potential demand is crucial for the success of the transfer. It takes time and several criteria should be anticipated to choose the right organisation and people:

► *entities who contribute to the decision-making process and have legal competencies to change policies*

► *entities involved in sectoral policies or in the preparation of the future European programmes (according to the scale and objectives of the transfer process/mainstreaming).*

► The operational connection between the supply side (“givers”) and the demand side (“receivers”)

- A first contact (meeting) is needed to confirm the interest from the potential receivers". This is the opportunity to have a detailed presentation of the output.
- If the interest is confirmed, several meetings should be planned:
 - one-to-one meetings to collect some details concerning ETC outputs/deliverables
 - peers reviews: a progressive process to engage a transfer with all relevant stakeholders
- Monitoring and evaluation.

From the sharing of operational tools to the adaptation to public policies: operational guidance

A capitalisation process requires a high level of coherence between the outputs produced by the projects and the needs and strategies of potential receivers.

The connection between the supply side and the demand side is particularly challenging as "receivers" are not necessarily familiar with ETC programmes nor expecting a specific contribution from this type of programme.

Projects should consider the diversity of potential targets and take them into account in the definition of their priorities.

These targets can be:

- ▶ EU institutions with the objective to influence priorities or regulation (EU Commission, EU Parliament...)
- ▶ Others ETC programmes
 - Involvement of monitoring committees
 - Exchanges between MA during the preparation of the respective programmes (identification of common strategic issues...)
- ▶ National authorities and national agencies (methodologies, strategies, regulations...)

- ▶ Regional authorities and communities, districts, etc.
- ▶ State services (centralized, decentralized...)
- ▶ Metropolitan authorities, cities, a union of cities and municipalities
- ▶ Others local authorities
- ▶ Private bodies
- ▶ Etc.

For these different types of targets, specific types of capitalisation can be considered:

- ▶ **operational transfer** of an ETC projects output/result: this type of transfer can be of interest for local authorities, private bodies (example: a calculator of footprint for tourist destinations has been developed in the framework of ETC project. It could be re-used and adapted to local authorities and tourism stakeholders involved in sustainable tourism).
- ▶ **strategic transfer** of a group of project results/outputs to improve a public policy. This type of transfer involves often regional, national, or European organisations and more particularly stakeholders in charge of sectoral policies. These strategic transfers can also target a change in the European programmes (the current programmes (ETC or regional ERDF/ESF programmes with new specific calls or the future programmes for the 2021-2027 period).

URBACT programme - About Transfer networks

The main objective of Transfer Networks is to improve the capacity of cities to manage sustainable urban policies and more specifically to improve the implementation of sustainable integrated urban strategies and action plans in European cities.

To deliver on this objective, Transfer Networks aim to support an organised process of exchange and learning among peers across Europe by fostering the transfer of good practice in the field of sustainable urban development.

Transfer Networks allows cities to work together on the adaptation and re-use of a good practice already implemented in a city (and the subsequent enhancement of the good practice building on lessons learnt through the re-use). These "good practices" have been selected during the first step through a call for expression dedicated to urban authorities.

A methodology has been developed to facilitate this transfer process.

- ▶ a call for good practices to identify potential good practices throughout Europe,
- ▶ a selection of good practices by the Joint Secretariat and Programme experts (and independent experts where necessary),
- ▶ the launching of a call "Transfer network" involving the good practice promoter and other potential interested cities (relationship between good practice "receiver" and "giver").

Lessons learnt so far:

- ▶ The good practice call in 2017 was extremely successful in mobilising new cities to get involved in URBACT, and in stimulating political support.
- ▶ 29 Transfer networks have been approved so far.
- ▶ The CityLab format used in capitalisation activities bringing together cities, national representatives and EU level is useful for ensuring a multi-level governance approach.
- ▶ These new formats are interesting to exploit; for URBACT, capitalisation is linking city practices with policy making, so it is important to find an external "hook" or exit strategy for the content.
- ▶ Even if the Transfer networks are the most externally visible form of capitalisation, the main capitalisation work carried out by URBACT focuses more on influencing policies, which is less immediately visible.

About the CityLab: the CityLab is designed as an opportunity for different URBACT projects and other European projects working on metropolitan challenges to exchange their findings and first conclusions at an intermediary phase. It is not the place for delivering final conclusions and / or political statements. It is conceived as a working event, a step in the ongoing process of elaborating common conclusions.

LINKS ONLINE

For more information:
[www.youtube.com/
watch?v=TkYGqoBOjk](https://www.youtube.com/watch?v=TkYGqoBOjk)

Importance of thematic and projects communities in capitalisation strategies

Some programmes support the creation of thematic communities of projects to develop networking and involve stakeholders that are not ERDF beneficiaries in the framework of ETC programmes...

- Identification by the programmes of the key institutions involved in the priority intervention themes at national and international level.
- Identification of thematic networks, throughout targeted dissemination to develop and encourage the re-use of knowledge.

- Establishment of working groups, thematic groups at the project level to mobilise stakeholders at territorial, regional and national level.
- Identification of capitalisation managers at programme and project level whose responsibility would be to develop connections between stakeholders.
- Organisation of peer-reviews bringing together the "receiver" and potential "givers" or peers faced with a common issue. In either case, the support is not a "one-shot" support but can give rise to several sessions.



Policy Learning Platform of Interreg Europe

The capitalisation process aims at transferring good practices and experiences into regional and Interregional ESF/ERDF programmes. To achieve these objectives, the programme Interreg Europe has implemented a Policy learning platform on the following topics: research and innovation, SME competitiveness, low-carbon economy, environment, and resource efficiency.

Each platform is a service for project partners and for all other organisations involved in regional policy around Europe to promote continuous policy learning and capitalisation of good regional policy practices. The platform provides a knowledge and education centre, networking and partnering opportunities, and expert helpdesk for policy advice and expert support.

Peer-reviews as one of the most iconic services

The PLP launches a yearly call for expression of interest to identify potential "receiver" according to a potential need/challenge. The selection criteria are the following:

- the potential "receiver" is responsible for the implementation of the targeted public policy,
- the relevance of the topic, i.e. correspondence with the topics covered by the four priority axis of the programme,
- motivation from the hosting organisation and other stakeholders covered by the topic,
- potential political impact.

A background paper is drafted by the hosting organisation with key issues and questions to be tackled. On this basis, the thematic expert from the PLP identifies up to 6 relevant peers among its thematic community and organise the 2 days peer-review in the territory of the hosting organisation.

The exchange of ideas and brainstorming sessions lead to the drafting of a recommendation paper for the hosting organisation with operational actions to be implemented jointly with the key stakeholders. To date, this service has delivered real added value for both hosting organisations as well as peers that very often go back with inspiring ideas for an improved public policy.

Other examples of thematic communities

► *Italy-France Maritime 2007-2013: thematic clusters and activities*

Thematic clusters have been defined based on an analysis of the two first calls' project results. Each cluster has identified good practices and could organise exchanges between project promoters via seminars, virtual communities, joint events, on-the-spot visits, etc. Moreover, intra-cluster exchanges were also planned, and good practices were synthesized in "model projects" for each cluster.

Lessons learnt so far:

- After the approval of projects common and specific indicators have been attributed to them from the MA. That was an asset for capitalisation since projects are producing homogeneous outputs which is a first step to create best synergies among them.
- Clusters' definition needs to be revised to create sub-clusters more aligned with Programme investment priorities. For the post 2020 the alignment should probably be proposed at a specific objective level according to CPR 2021-2027.

► *Danube Transnational Programme: creation of thematic communities:*

Programme transnational Danube 2014-2020 has implemented a capitalisation strategy to valorise and further build upon the knowledge resulting from projects working in a similar thematic field. The objective is also to create links between stakeholders with complementary thematic specialisation and experience. In order to achieve these objectives, the programme has planned the creation of communities.

Lessons learnt so far:

Thanks to the common networking meetings and joint activities EUSDR (Strategy) as well as DTP (Programme) became more visible and more understandable among various stakeholders. Therefore, the project outcomes, e.g. guidelines, position papers, policy recommendations, etc. gain more attention and wider outreach.

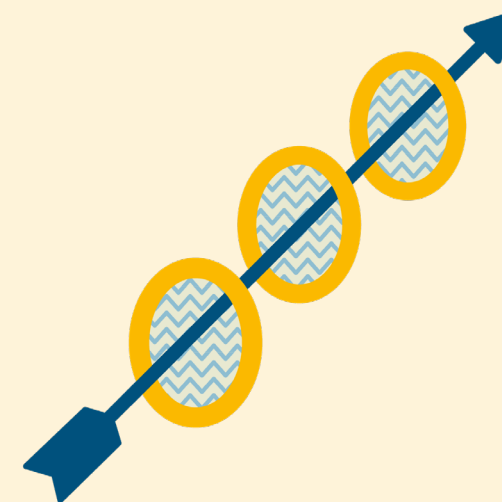
Moreover, the Capitalisation Strategy and communities are open to project partners from other programmes and support schemes.



Key points to keep in mind

A particular care to choose the adequate potential "receivers"

- *To plan the time required to identify, mobilise potential targets, called "receivers".*
- *To identify the right persons (in charge of the concrete implementation of policies).*
- *To be able to mobilise thematic stakeholders as potential receivers, beyond ETC programmes.*
- *Necessity to take into account the needs and expectations of potential "receivers" in the definition of projects priorities.*



2.2.4. The key role of communication strategies

A capitalisation and transfer process requires that potential receivers are involved or at least aware of the activities of the selected project(s) and potentially interested in using the outputs produced.

To do so, programmes and projects must have communication strategies that do not only consist in "informing" people and institutions but should be elaborated around specific targets and objectives, and to some extent be driven by the capitalisation logic.

From communication to capitalisation: communication can provide input for capitalisation process: How to gain a "political" commitment to capitalisation from MC and national authorities (why invest money on capitalisation rather than in financing more projects?).

How could the communication be organised to disseminate the Interreg results?

For an effective capitalisation, dissemination modalities should be accompanied by a transformation of the information to make it more "communicative".

It's crucial that stakeholders are more aware of the information concerning Interreg results, but this information should be formalised to inspire other project promoters or policymakers, to improve the implementation of Interreg programmes and to make major achievements more visible.

To achieve this, the capitalisation process should be linked to the communication strategy from the beginning of the programming period:

- The thematic capitalisation (notably project results) will feed the communication strategy with content input and the communication strategy will be an opportunity to disseminate the capitalisation results with effective tools.
- In cases where there are officers respectively dedicated to communication and to capitalisation, their skills and knowledge should be combined to optimise their respective missions.

This strong link between capitalisation and communication should be formalised from the beginning of the programming period when the strategies are defined. This would prevent the lack of articulation between formalised information produced in the framework of capitalisation and content input produced for communication. The most appropriate communication tools and content should be in line with the targets and the capitalisation objective.

LINKS ONLINE

For more information:
www.interreg2seas.eu/en/download/file/fid/3812z

***Project communication**
Interreg programmes encourage project promoters (Lead partners and partners) to communicate on their projects results and realisations. In this framework, Managing Authorities and Joint Secretariats provide some advices, tools kits and guidance concerning communication.*

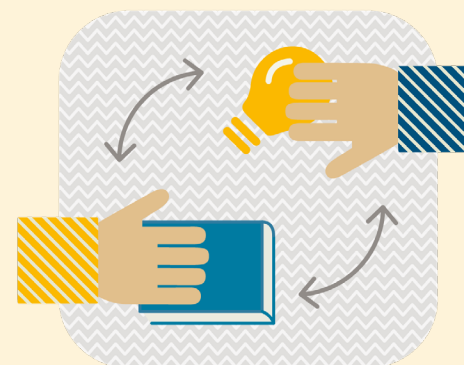
The Interreg 2 seas Programme 2014-2020 has for example prepared a factsheet concerning project communication. It includes the following information: communication concerning application stage, a reminder of project branding and visibility rules, points for attention, programme support.

Communication tools for disseminating Interreg projects or programmes results

Main targets for capitalisation	Main objectives	Selection of communication tools
Other Interreg programmes	<ul style="list-style-type: none"> ► To improve the implementation of Interreg programmes ► To improve the quality of Interreg projects ► To promote the added-value of Interreg programmes 	<ul style="list-style-type: none"> ► Projects databases (e.g., KEEP) ► Project analysis (with impact, costs...) ► Good practices in programmes management ► Exchanges events (thematic, methodological...)
Interreg project promoters	<ul style="list-style-type: none"> ► To improve the quality of Interreg projects ► To inspire new potential Interreg project promoters 	<ul style="list-style-type: none"> ► To improve the quality of Interreg projects ► To inspire new potential Interreg project promoters Projects databases (e.g. KEEP) ► Project analysis (with impact, costs...) ► Exchanges events
Others regional policy stakeholders	<ul style="list-style-type: none"> ► To improve the public policies in integrating cooperation projects results ► To defend Interreg in the framework of post 2020 negotiations 	<ul style="list-style-type: none"> ► Project analysis (with impact, costs...) ► Exchange/Peers to peers sessions/Networking events ► Concrete study cases
Elected representatives	<ul style="list-style-type: none"> ► To improve the public policies in integrating cooperation results ► To defend Interreg and to give some arguments in the framework of post 2020 negotiations 	<ul style="list-style-type: none"> ► Concrete study cases ► Project analysis (with impact, costs...) ► Political Briefings
Journalists	<ul style="list-style-type: none"> ► To demonstrate the results of concrete cooperation projects ► To promote European actions on the spot (visibility) ► To Enhance Europe 	<ul style="list-style-type: none"> ► Storytelling method ► Projects videos ► Targeted advertisement campaigns ► Interview of beneficiaries

What are the keys to success and the points for attention?

- to link communication and capitalisation strategy, tools and human resources dedicated to capitalisation and communication, from the beginning of the programming period if possible;
- to develop targeted contact with other Interreg programmes or stakeholders in charge of regional policies;
- do not consider that the information formalised for capitalisation is ready to be spread and re-used without modification and without targeted contact with potentially interested stakeholders; information should be transformed and reworked before being disseminated and integrated.



2.2.5. Governance of the capitalisation process

General conditions for proper implementation

As a preliminary step for the implementation of an effective capitalisation process, it is crucial to remind the importance of creating a "friendly environment" for it. As a matter of fact, there are still stakeholders involved in Interreg programmes who are not convinced of the added value of capitalisation or who think that transfer is unsuitable or not useful notwithstanding programmes' territorial approach.

To create an environment conducive to capitalisation it is advisable to elaborate a targeted approach to motivate relevant actors according to the following lines:

FOR MONITORING COMMITTEE /STAKEHOLDERS:

Better sustainability for programmes and projects; the opportunity of getting more funding; a more efficient/effective use of funds; the possibility of showcasing innovative approaches and upstreaming the programmes' results; the improvement of projects' quality; the avoidance of overlapping and double funding.....have been found useful topics to convince these actors to invest human and financial resources to this task.

FOR PROJECTS PROMOTERS:

Better visibility and sustainability of projects; disposing of incentives to continue exploring solutions; getting the opportunity of networking and clustering within the programme, among programmes, cross- programmes; having the possibility to test pilot solutions; creating synergies among results ; experiencing better awareness of their work; enhancing transferability of innovative approaches and exploitation of ready solutions opportunity of collaboration with EU institutions have been listed as 'good reasons' for beneficiaries to agree to capitalize their experiences/results.



Key points to keep in mind

*Each programme should, as a first step, **define precisely the categories of actors to be addressed** and find appropriate reasons for each one depending on the specific context as a basis for capitalisation: projects proving to have a strong potential for replicability.*

Respective roles of programme bodies (MA/JS, national authorities/contact points) and project promoters

To be effective, the capitalisation process should be shared and implemented by various actors.

MANAGING AUTHORITY (MA) AND JOINT SECRETARIAT (JS)

In technical terms, the capitalisation process is generally led in by the Managing Authority with the support of the Joint Secretariat. It is up to the MA to raise awareness and propose a capitalisation strategy to the MC, to define and implement a detailed capitalisation plan and to allocate the necessary financial resources, usually in the TA budget. All this since the very beginning of the programming period.

The MA should also obtain from the MC the mandate to set up a JS that includes enough qualified human resources to carry out this task, possibly creating a specific profile of "capitalisation officer/manager" to ensure effective support to the process.

The "capitalisation officer/manager" but also the "projects officers" of the JS (forming a capitalisation team) should be recruited having in mind the specific requirements to

accompany both the programme and the projects to capitalisation of the results, as well as their transfer and re-use, with a demand-driven approach as described above both the MA and the people of the JS involved in capitalisation should be given the possibility to benefit of the training and networking opportunities provided by INTERACT concerning capitalisation (seminars, events, capitalisation platform).

The MA and JS capitalisation officer/team should further develop specific activities addressed both to the programme and the projects such as:

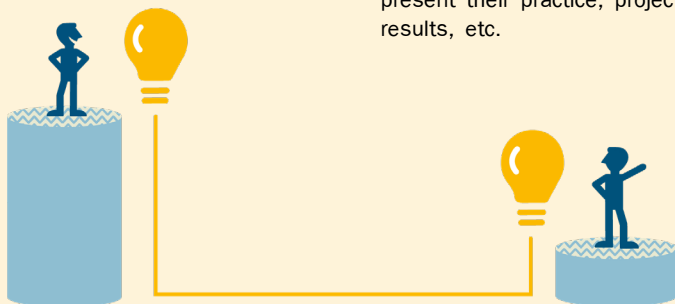
1. For Programmes:

- support the MC in the clear definition of the potential demand' of transfer and reuse of the results of the programme,
- single out the specific targets for transfer and re-use of results and find appropriate methods to approach and involve them concerning their specific nature and role,
- drive the MC towards and inter-programmes and cross-programmes capitalisation,
- support the definitions and animate the functioning of programme's thematic clusters of projects also with the help of external expertise.

2. For Projects

- Making them aware that capitalisation is "embedded" in the project's life cycle.
- Ensuring that projects' budgets allocate enough specific resources dedicated to capitalisation other than those for communication and that the expenses incurred for capitalisation activities are totally eligible.
- Supporting them in establishing sound criteria for collecting results that can be effectively transferred and re-used.
- Helping them to "go out of the bubble" encouraging them to join thematic clusters and networks

- Stimulation of potential transfers:
 - ✓ organisation of transfer networks, the launching of a specific call for proposal dedicated to transfer... Coordination of all the transfer activities and formalisation of reports to keep track and capitalise on these transfers (recommendations, lessons learnt, condition of transferability...)
 - ✓ actions to mobilise the potentially interested stakeholders
 - ✓ providing methodological support: guidelines, human support... The projects lead partners and partners can: Contribute to the transfer activities: attendance in the transfer workshops, involvement as "givers of good practices", etc.; Welcome potential interested stakeholders "on-the-spot" to present their practice, project results, etc.



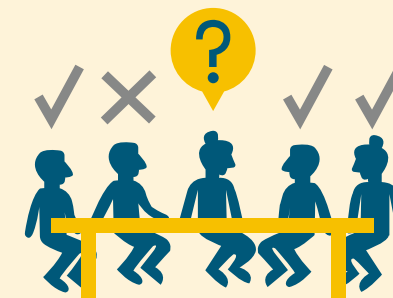
MONITORING COMMITTEE

It's crucial to actively engage the monitoring committee which usually gives the green light for the launch of the process.

The objective is twofold:

- To raise the awareness of the importance of capitalisation; it implies to show pedagogy in demonstrating the added value, based on needs.
- To stimulate a potential "capitalisation" demand from certain regions and stakeholders.

This monitoring committee should be involved from the beginning of the process, when the capitalisation strategy is defined, but also during the whole programme lifecycle. Exchanging and presenting regularly the state of progress and the first results of capitalisation is a key to success to maintain the stakeholders' engagement.



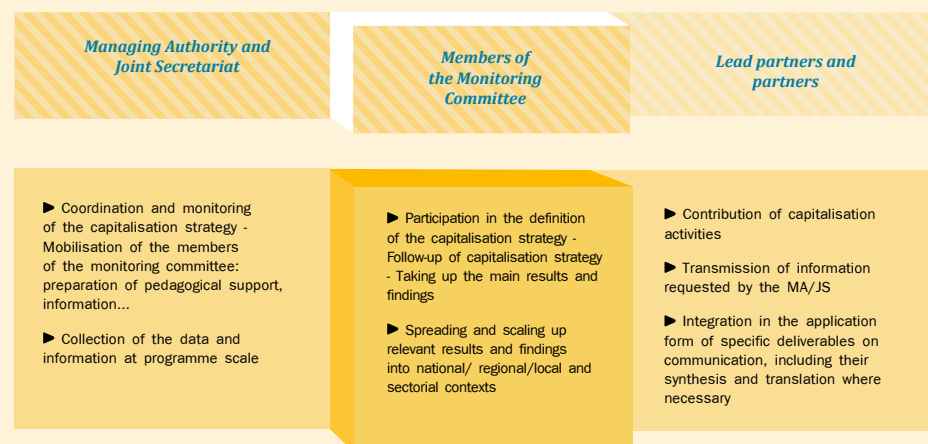
PROJECTS PROMOTERS/ BENEFICIARIES

Beyond the engagement of the programme bodies, the project beneficiaries (Lead partners and partners) should also contribute to the concrete implementation of capitalisation actions. The capitalisation process implies to split the responsibilities between all stakeholders.

Thus, the Lead partner and other partners can have the following role: to make available all the project deliverables, to formalize the results of the project, to send the requested information to the managing authority, and to contribute to the capitalisation event organised by the programme.



Capitalisation responsibilities



The national level as a new player in the development of capitalisation approaches

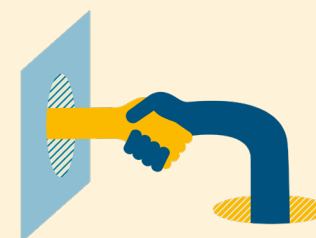
New actors have been recently emerging in the capitalisation logic. Beyond practices and approaches implemented by ETC programmes, some countries have developed their own capitalisation process at the national level, providing sometimes an important added value to the whole process (see sub-section 2.1.5. above).

Most of them developed capitalisation activities at projects scale, which can be considered as the *first degree* of capitalisation creating national databases of projects, often classified by theme. Some others promoted a *second degree* of capitalisation aiming to create synergies with projects inside or outside the ETC programmes.

A *third, more ambitious, degree* of capitalisation is also emerging at national level focused on up taking and transferring structured data outside the Interreg community and encouraging the re-use and potentially transfer of ETC projects results and deliverables by stakeholders in the framework of others policies (sectorial policies, structural funds...).

The emerging role of national authorities in capitalisation and transfer of results is surely providing a new and deeper perspective for the "traditional" actors of capitalisation, as they:

- Emphasize the role of programmes in collecting results so promoting the added value of capitalisation towards programmes' stakeholders and MCs'.
- Give national and even international visibility to good practices and lesson learnt.
- Facilitate the development of a "demand driven" approach creating the necessary synergies with the mainstreaming programmes and policies.
- Provide a larger "learning environment" for programmes encouraging the inter programmes and cross programmes fertilization.



3. Appendice



3. Appendice

Mainstreaming pilot experiences implemented

The experience of Interreg Med Programme

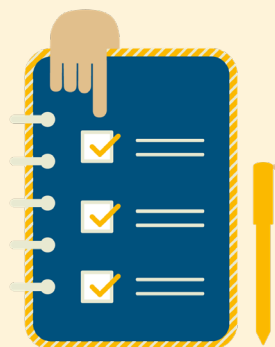
For the period 2014-2020, the Axis 4 of the MED programme has been setup in order to support and improve governance capacities in the Mediterranean area (PANORAMED governance platform). Within this axis, one work package has been especially dedicated to "Mainstreaming" activities (WP9).

In the context of Panoraméd, Mainstreaming can be defined as the process of transferring to public policies and other EU programmes results and experiences produced by ETC projects. It can be considered as a complementary step of "capitalisation", with the objective not only to collect and disseminate results, but also to ensure that these results are effectively used by "importers or receivers" at regional, national or transnational level.

Overall description of the mainstreaming process:

The mainstreaming process has been conceived as an experimentation in order to test Mainstreaming activities in different contexts, highlight good practices and potential difficulties and share experiences with other programmes and other regions.

For this reason, it is implemented over a short time frame (one year). It is focused on two thematic priorities (coastal tourism and maritime safety) and involves a limited number of participants.



Step 1

Identification of potential importers/receivers based on a mapping of competences and priorities.

Step 2

Identification of relevant and valuable project results.

Step 3

Bringing together "exporters/givers" and "importers/receivers" and delivering an action plan for the transfer process.

First results and main lessons learned

As of July 2019, The main difficulties encountered relate to on the one hand the clear identification of needs on the side of the "importers" who sometimes involve different bodies or services that are not used to work together or are not familiar with ETC issues. On the other hand, the mobilisation of "exporters" can be challenging for partners that are not prepared for this and who do not have dedicated time and money to get involved in such a process.

As a preliminary recommendation, it would be necessary to better include mainstreaming or transfer perspectives in the implementation of project and create connexions between potential exporters and importers during the lifetime of these projects. This can be supported by thematic or territorial communities and a better articulation between the "offer" and the "demand" sides.

