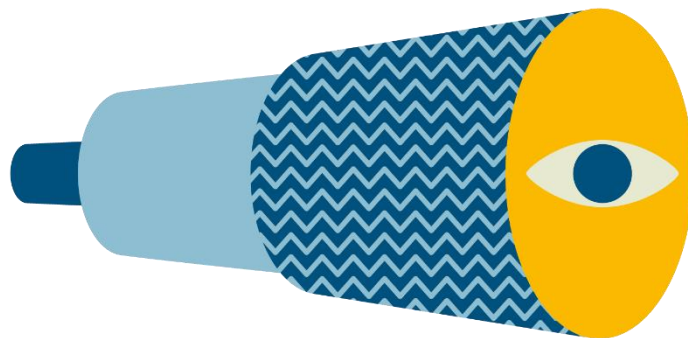


# Capitalisation approaches and practices

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Capitalisation approaches and practices in Interreg. From concept to practice  
December 2017



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## **List of Abbreviations**

DTP	Danube Transnational Co-operation Programme
EUSDR	European Union's Strategy for the Danube Region
Interreg	European Territorial Cooperation
KM	Knowledge Management
TOs	Thematic Objectives

## Executive Summary

Capitalisation is a growing trend in the context of European territorial cooperation (Interreg) programmes. Even if it has never been a regulatory requirement, this is now a trending topic due to the constraints related to the “focus on results” embedded in the new regulatory framework for the Cohesion Policy 2014-2020 “Why to reinvent the wheel?” On the basis of this wise principle, many Interreg programmes have progressively given substance to this concept, although not in a unified way, due to the lack of a common regulatory provision and requirement.

In this sense, capitalisation is a complex process taking into account several layers of analysis, planning, clustering, and sharing of information and knowledge. Considering that several Interreg programmes have undertaken capitalisation approaches and practices till now, it appears essential to identify, classify and compare these initiatives. It is the purpose of this publication and its repository of capitalisation practices and approaches can be found in Annex 1. This repository gives a clear view on the state of play without claiming any exhaustiveness. Moreover, the information taken into consideration are basically those available from programme sources up to 2017. The key features of this repository, such as the methodological approach and the selected criteria, are described in the first section. On this basis, the grouping of consistent capitalisation approaches and practices is addressed according to different elements, in particular through a pyramid of capitalisation activities.

Overall, this information is aimed at making the whole Interreg community more aware of what is going on in terms of capitalisation experiences and approaches in the Interreg context and to encourage programmes bodies to establish or upgrade their capitalisation activities, where relevant into more strategic ones.

### How can an effective capitalisation process be implemented?

Part 1 provides an overview of the capitalisation practices and approaches developed over the programming periods 2007-2013 and 2014-2020 in order to have a clearer view on which stage of development they apply and what could be expected from the development of additional capitalisation activities. This part looks into the detailed and sequential approaches for an effective capitalisation process, illustrated by concrete examples implemented by some Interreg programme.

If positive developments in Interreg capitalisation have been observed in recent years, progress could still be made. Indeed, capitalisation activities are faced with several limits or unfavourable opinions:

- they are often restricted to the promotion of projects, and sometimes without tangible results on its added value,
- they go rarely beyond the dissemination of results,
- there are still stakeholders in Interreg programmes who are not convinced of the added-value of such an exercise - like capitalisation - or others who think that transfer is not suitable, notwithstanding programmes' territorial approach.

Now, more than ever, it's crucial to develop capitalisation activities in order to:

- promote achievements and demonstrate the added-value of cooperation,
- use results in order to improve the quality of implementation as well as to improve mainstreaming into regional policies,
- make Interreg more visible with tangible results and to provide solid inputs to the EU policymakers, particularly in the framework of post-2020 discussions.

### **Main conclusions and prospects**

Although applying strategic capitalisation approaches in Interreg context is still an element of novelty and, somehow, resistance, it should be kept in mind that capitalisation can't be developed in a uniform way across Interreg strands and this must take into account programmes' specificities.

For instance, capitalisation is often a more complicated and less rewarding task for cross-border cooperation programmes due to their type of outputs and intrinsic scope. It is then widely admitted that strategies developed by some transnational programmes are not necessarily replicable at CBC scale. Programme managers should also take into consideration their environment and the potential synergies that can be developed: in this sense, links between transnational cooperation programmes and the EU macro-regional strategy - where existing - are crucial to raise awareness or even boost the active involvement of decision-makers. CBC programmes, instead, should also establish connections with the EU macro-regional strategy which covers partially or totally their cooperation area and the same applies when it comes to the links between the Interreg and mainstream programmes under the "Investment for growth and jobs" goal, which should be more systematically developed, whatever is the strand of cooperation.

In most programmes, capitalisation is linked to communication, while it should be also content-related and linked to evaluation. Finally, the emphasis should be put on the importance of increasing the awareness of more and different stakeholders - other than the classic ones involved in programme implementation and management - and to develop specific actions to reach and to spur their potential interest, in order to influence all levels of policy makers (from local to EU). A more "demand-driven approach" should unquestionably be taken on board from the early thinking of a capitalisation strategy or plan. It is the basis of a successful capitalisation process. Generally speaking, capitalisation should be a part of the whole project cycle.

Within this framework, and in line with its specific objectives, Interact could play the role of facilitator and reference point regarding Interreg results' capitalisation and information. In order to fulfil this, the facilitation and implementation of capitalisation networks will play an important role in order to collect Interreg programmes and projects data in a coherent and clear way and to be all-inclusive of Interreg contributions to each (selected) TOs and topics of Cohesion Policy. Interact will provide a structured environment, as well as technical tools, for capitalisation across programmes (networks) and to support this process with its expertise in facilitation and communication.

## Introduction

Capitalisation is a growing trend within the community of European territorial cooperation (Interreg) programmes. Why does such an interest rise now, when it has never been a regulatory requirement? The main argument put forward by its promoters is: “Why to reinvent the wheel?” On the basis of this principle, many Interreg programmes have progressively given substance to this concept, although not in a unified way, due to the lack of a regulatory provision and requirement. It is then reflected in diverse definitions provided by some more advanced programmes, as presented here below:

“Capitalisation can be defined as the iterative and cooperative process that allows to identify, capture and enable the uptake of the results produced by the numerous and diverse actions that have been implemented throughout the Programme”

*(Source: capitalisation strategy for the Interreg IVB North-West Europe programme – November 2012)*

“In the context of the Interreg Europe programme, capitalisation is defined as a process of collecting, analysing, disseminating and transferring good practices and policy experience in a particular field of regional policy with the objective of exploiting and deploying in policy the results achieved by the regions in that field....”

*(Source : Programme manual - Interreg Europe programme - 2017)*

“The process of the capitalisation can generally be defined as collecting, analysing, disseminating and transferring good practices on the same topic.” *(Source: Latvia-Lithuania cross-border programme - 2015)*

“As a building process, capitalisation is 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 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, in order to boost performance and delivery;
- Raising awareness and improving communication of results in specific fields of regional policy”. *(Source: Capitalisation plan 2016 – Interact).*

This situation is at the source of a lot of confusion among stakeholders involved in Interreg programmes. Indeed, for many people, the term 'capitalisation' is at first sight related to financial aspects: capitalisation of interest is the addition of unpaid interest on a loan to its principal balance. Future interest accrues on this new principal. The correct terminology should rather be "capitalisation of experiences/results" instead of "capitalisation". It is closely related to the concept of knowledge management which has a well-established theoretical corpus.

**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.  
(Source: [https://en.wikipedia.org/wiki/Knowledge\\_management](https://en.wikipedia.org/wiki/Knowledge_management))

What can we learn from the practices implemented by large companies and public institutions considering the specificity of the Interreg context?

Interreg programmes should position themselves in resisting two opposite temptations, both inappropriate:

- The temptation to obey the rules of the institutions that govern. Capitalisation in public institutions is very often performed in compliance with administrative rules with the objective to justify the allocation of means of implementation. It does not really care about "lessons learned" which implicitly encourages beneficiaries to conceal mistakes made during project or policy implementation.
- The temptation to understand capitalisation "industry-like". Capitalisation in private companies, industry type, is driven by a rationale of productivity, quality, costs, delays, etc. It tends to build standards, rules, which reuse must be driven, sometimes coercively, to generate measurable gains. A rule posted on a motor control replicates more easily than a recommendation concerning the "insertion of young people" in urban areas, between Glasgow and Rome for instance.

#### **Insight: the ways capitalisation has been addressed so far in the Interreg context**

Before 2007, capitalisation initiatives were restricted to a handful of Interreg programmes, such as URBACT I for instance. The programming period 2007-2013 represented a major step forward for capitalisation. Different initiatives were carried out by pan-European programmes (URBACT II and Interreg IVC, Interact), by a significant

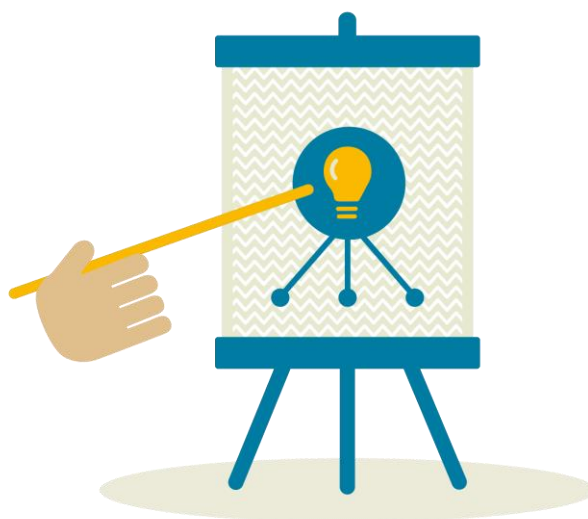


number of transnational cooperation programmes and by some cross-border cooperation programmes. The main activities were focused on thematic analysis and the development of clusters of projects addressing similar issues, on the development of well-organised libraries of projects' achievements.

The lessons drawn from this learning process have encouraged many programmes to upgrade their practice or even to test more innovative and ambitious approaches during the current programming period.

In more qualitative terms, some findings from the experience of Interact national contact points (NCPs) are put into perspective below:

- Start with a limited scope, identifying the main regional players and communicating to them and then building on the lessons of this experience, hence, testing, monitoring and adjusting the focused capitalisation process
- Capitalisation needs a truly effective communication strategy to make the results known to the right people
- Capitalisation must make sure that results are not only transferred but also used by others and that there is therefore a gradual improvement in regional policies, remembering that the whole policy logic builds on the fact that Interreg is inside regional policy and not next to it.



## **Capitalisation: new challenges on the basis of lessons learnt**

Capitalisation should be:

- a process based on the analysis of the needs, which slightly differ between cooperation strands
- a structured process, which involves having a real capitalisation strategy as early as the beginning of the programming period
- a process which goes beyond the Interreg stakeholders and which creates a community gathering interested stakeholders from various backgrounds/sectors
- a process which guarantees a re-use of the knowledge (and not only the enhancing of the knowledge)
- a process which makes a connection with the evaluation (evaluation of impact or evaluation of the implementation).

This publication is structured around several parts:

Firstly, it provides a panorama of the main capitalisation approaches and practices in the Interreg context over the 2007-2013 and 2014-2020 programming periods. These processes are the subject of a classification based on several criteria which gives the opportunity for any programme to place itself in relation to the scale of the intensity of capitalisation activities across Europe.

Secondly, it focuses on how an effective capitalisation process can be implemented. It describes a step-by-step approach by highlighting the factors of success and risks.

Finally, it establishes links with the concept of communication basically by defining the process of turning capitalisation results into communication stories, and with the concept of evaluation by exploring how to integrate effectively the capitalisation strategy into the evaluation plan.

## 1. Panorama of capitalisation processes in the Interreg context

Considering that several Interreg programmes have undertaken capitalisation approaches and practices till now, it appears essential to identify, classify and compare these initiatives. It is the purpose of the repository of capitalisation practices and approaches in Annex 1. This repository gives a clear view on the state of play without claiming any exhaustiveness. Moreover, the information taken into consideration are basically those available on programme websites, which does not give in some cases a perfect picture of what is under development. It is worth mentioning that this information does not allow drawing lessons on the comparative results and effectiveness of the different capitalisation approaches and practices. Thus, some developments in the analysis are necessarily simplistic.

The key features of this repository, such as the methodological approach and the selected criteria, are described in the first section. On this basis, the grouping of consistent capitalisation approaches and practices is addressed according to different angles, in particular through a pyramid of capitalisation activities, in the next section. Overall, this part intends to make the whole Interreg community more aware of what is going on in terms of capitalisation experiences and approaches in the Interreg context and to encourage programmes bodies to establish or upgrade their capitalisation activities, where relevant.

### 1.1. Identification and classification of capitalisation approaches and practices

#### Description of the content of the repository

Columns	Features	Drop-down lists
1	Type of European Territorial Cooperation strand	A (cross-border), B (transnational) or C (Interregional in Europe)
2	Name of the programme	Not applicable
3	Programming period	2007-2013 or 2014-2020
4	Short description of capitalisation approach / practice	Not applicable
5	Link with core objective(s) of the capitalisation process	<ul style="list-style-type: none"><li>* Making the knowledge and results generated by projects more accessible, thus improving transfer of knowledge.</li><li>* Obtaining additional results through benchmarking and detailed content analysis, building on existing knowledge and experience.</li></ul>

		<ul style="list-style-type: none"> <li>* Promoting the re-use and / or transfer of the knowledge / good practice, in order to boost performance and delivery</li> <li>* Raising awareness and improving communication of results in specific fields of regional policy.</li> <li>* Contributing to impact evaluations</li> </ul>
<b>5</b>	Level of intervention	<ul style="list-style-type: none"> <li>* On project level</li> <li>* At territorial level</li> <li>* On programme level</li> <li>* On inter-programme level within Interreg</li> <li>* With other European programmes or initiatives on specific thematic fields</li> </ul>
<b>6</b>	Nature of capitalisation activities regarding the offer side	<ul style="list-style-type: none"> <li>* calls for capitalisation projects</li> <li>* calls for thematic clusters /cross-cutting projects</li> <li>* thematic analysis (in-house or with external experts' support)</li> <li>* identification and selection of good practice owners</li> <li>* exchanges among regional and national authorities in order to improve the transfer of practices at the political level</li> <li>* development of collaborative networks</li> <li>* dissemination of capitalised results</li> <li>* support of local stakeholders in the transfer of good practices and improvement of local policies</li> </ul>
<b>7</b>	Nature of "enhanced value" activities regarding the demand side	<ul style="list-style-type: none"> <li>* identification and motivation of potential re-users</li> <li>* creation of communities with givers and takers (targeted stakeholders)</li> <li>* involvement of stakeholders wishing to import knowledge</li> <li>* not significant</li> </ul>
<b>8 &amp; 9</b>	Operational tools and methodologies (database, events, participative methods, publications...) – n° 1 & n° 2	<ul style="list-style-type: none"> <li>* publications (brochure, factsheets on good practice, etc.)</li> <li>* events (thematic workshops, peer-review, policy learning event, matchmaking event, etc.)</li> <li>* database of good practice validated by experts / database of practitioners</li> <li>* online collaborative tool</li> </ul>

		<ul style="list-style-type: none"> <li>* expert helpdesk</li> <li>* participative method of capitalisation involving various types of stakeholders</li> <li>* mainstreaming of good practice</li> <li>* use of KEEP database</li> <li>* n.a. (not applicable)</li> </ul>
<b>11</b>	Degree of embedding capitalisation activities into programme life-cycle / programme management process	3 = strong 2 = medium 1 = weak
<b>11</b>	Degree of replicability of the capitalisation process (at least among programmes belonging to the same Interreg strand)	3 = high 2 = intermediate 1 = low

Methodological specifications on some criteria:

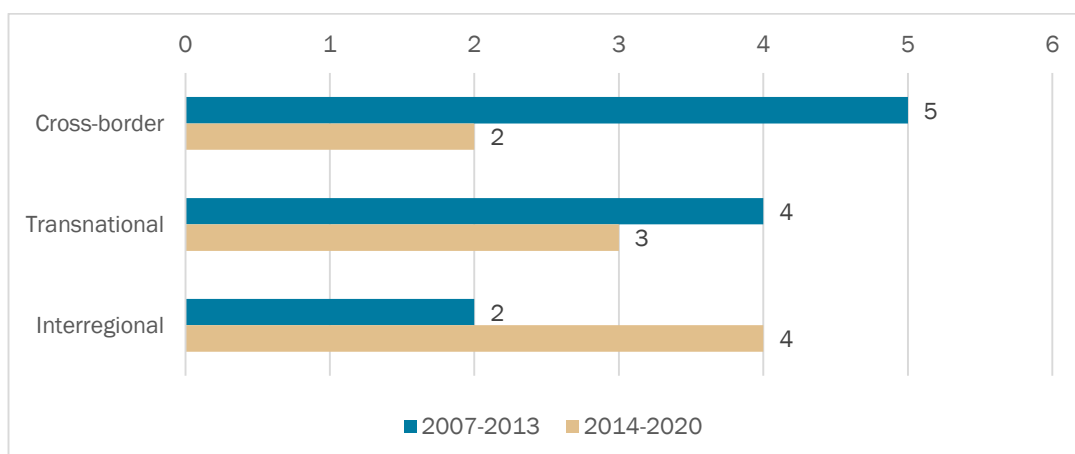
- **Nature of capitalisation activities regarding the offer side**  
 These activities are mainly intended to aggregate and structure the knowledge at the programme level, e.g., for communication purposes or even for evaluation needs. The demand side is not considered as a priority, even if incidentally it may be part of the whole process of capitalisation.
- **Nature of “enhanced value” activities regarding the demand side**  
 These activities are developed to stimulate the engagement of stakeholders not directly involved as programme beneficiaries. Most of the time, these stakeholders are considered as potential re-users of practices, or as multipliers.
- **Degree of embedding capitalisation activities into programme life cycle and programme management processes**  
 On this criterion, the repository ranks capitalisation approaches and practices according to three levels of intensity (low, intermediate, high). Differences can especially be observed between more-experienced programmes and newcomers on this issue (set up in 2014) and between cross-border and transnational programmes, the latter being sometimes more used to capitalisation activities.
- **Degree of replicability of the capitalisation process**  
 As capitalisation practices are deployed according to specific strategic and institutional context, dissemination processes must pay strong attention to the particularities of each programme (fields of intervention, geographic coverage, existing territorial networks (or not), human resources of the programme, level of coordination with other programmes, etc.). This criterion ranks the degree of replicability of capitalisation processes (weak, medium, strong) taking into account the type of activity implemented (management of information,

dissemination of information, transfer of practices) and their frequency of use by the programmes.

## **1.2. Analysis of capitalisation approaches and practices and key lessons for programme bodies**

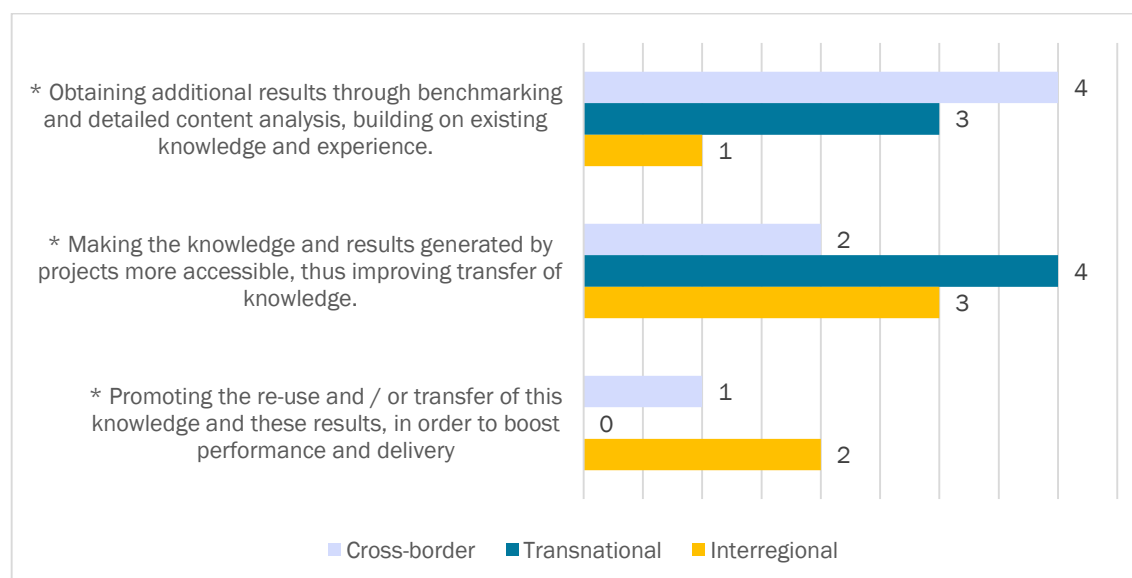
In total, 20 capitalisation practices or approaches are included in the repository. 11 related to the 2007-2013 programming period while 9 are currently in progress. They are broken down per strand as follows: 7 for cross-border programmes, 7 for transnational programmes and 6 for Interregional programmes.

Graphic: Breakdown per period and per Interreg strand of capitalisation practices and approaches collected in the repository

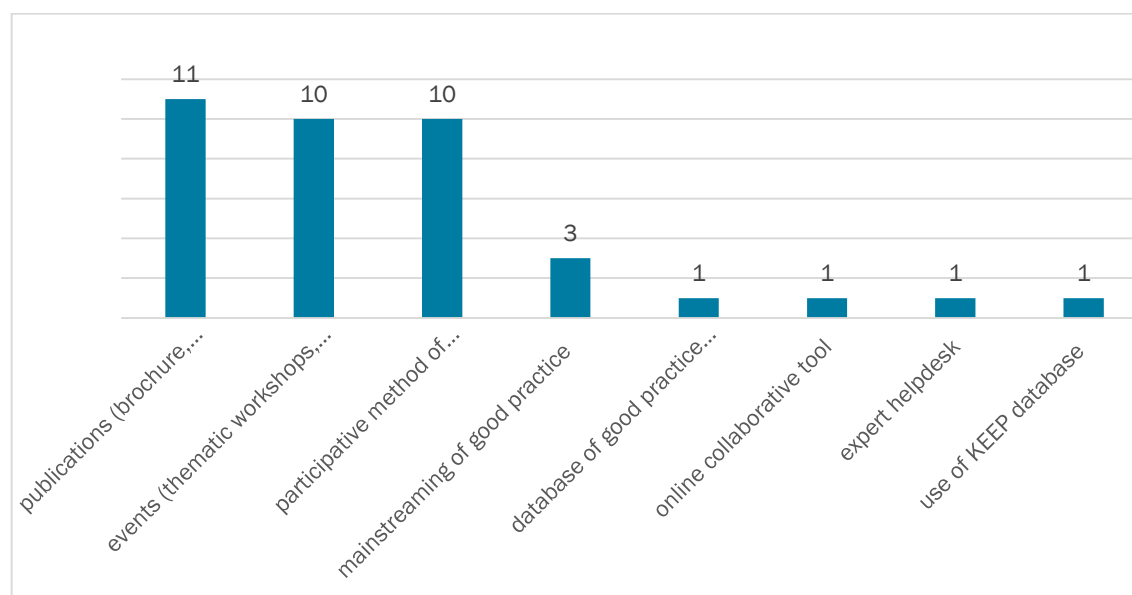


Regarding the “link with core objective(s) of the capitalisation process” as defined in the Interact Capitalisation Plan published in 2016, the classification is focused on the three first objectives. Even if it is sometimes tricky to assign only one category per capitalisation practice or approach, the core objective “Raising awareness and improving communication of results in specific fields of regional policy” appears to be less central from a methodological point of view. It is worth noting that none of the practices is directly related to the core objective of “contributing to impact evaluation”. However, it is a growing issue and managing authorities have started establishing cross-links between capitalisation and evaluation.

In practical terms, these objectives are translated into operational tools and methodologies, however it should be noted that a large majority of programmes use different types to implement their capitalisation process. The most popular ones are directly linked to the two main core objectives described above, and relate mostly to the emergence and increased visibility of data.

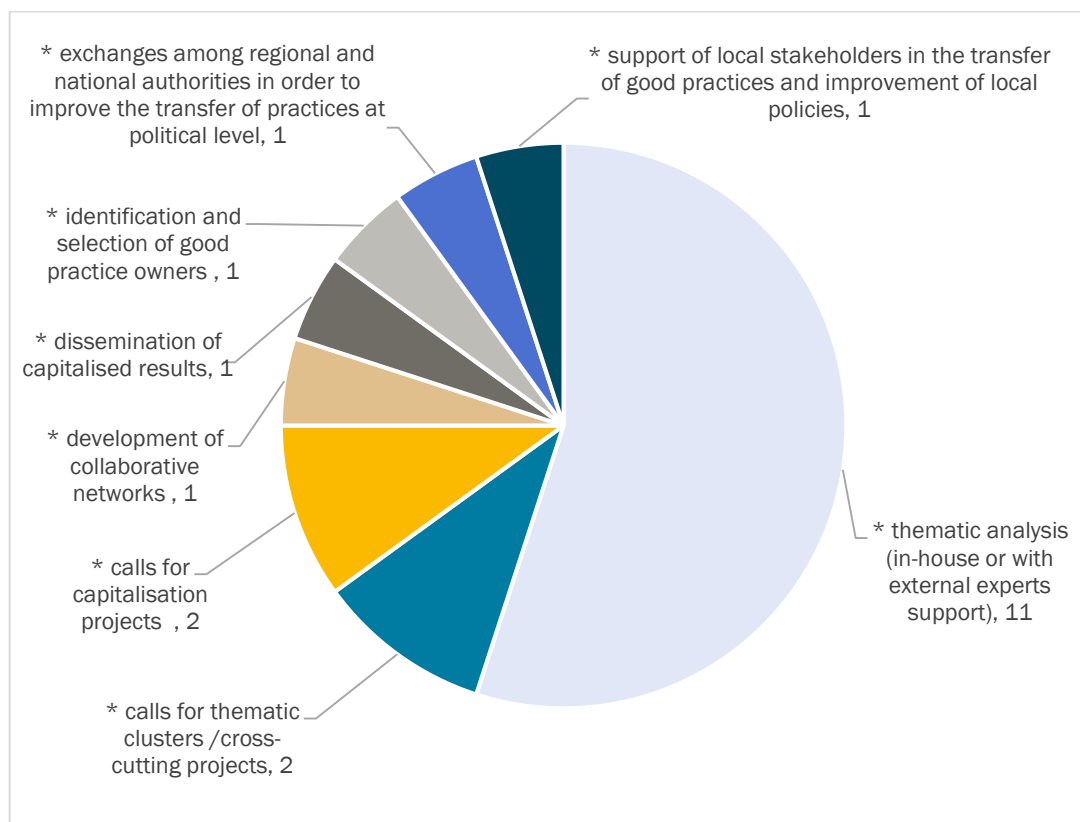


#### Operational tools and methodologies



As presented in the repository, Interreg programmes use a quite consistent sets of tools and develop comparable capitalisation activities to promote programmes and projects results. These activities generally depend on the main objectives of the capitalisation approach which can vary greatly across programmes.

Breakdown of capitalisation activities (Offer side)



The combination of the two aspects “capitalisation activities – Offer side” and “enhanced value activities - demand side and “operational tools/methodologies” leads to an additional categorisation of capitalisation approaches and practices, as described below.

#### **Category 1. Activities aimed to improve the production of relevant data and their increased accessibility**

These activities include the production and management of data usable for a capitalisation purpose. This implies that programmes’ beneficiaries produce good quality data and information and that these data are properly identified, gathered and classified for further comparison, analysis and dissemination.

It includes:

- The setting up of a projects library and projects results databases (MED programme)
- The investigation and analysis of results (Latvia-Lithuania; 2 seas; North West Europe)
- The identification of good practices and innovative approaches (Latvia-Lithuania; North-West Europe)
- The identification of projects aiming at capitalisation and knowledge transfer (Alpine Space)



- The draft of publications designed to reach out and offer support to partners outside the programme (URBACT III)
- The launch of calls for good practices (URBACT III)

#### **Category 2. Activities aimed to share data between beneficiaries and potential beneficiaries**

These activities are quite developed among cooperation programmes and include the sharing of information and results from one project to another, from one programming period to another, from one thematic cluster to another. They can be opened to external actors but pay specific attention to current/potential beneficiaries.

It includes:

- Launching of dedicated calls for proposals on capitalisation (Central Europe; MED; Interreg IVC)
- Setting up projects thematic clusters, thematic and collaboration networks (Italy-France Maritime; 2 Seas; MED; Italy-Croatia; Danube; URBACT III)
- Creating synergies within programme area and wider, with thematic Programmes and other transnational and cross-border cooperation areas (Alpine Space)

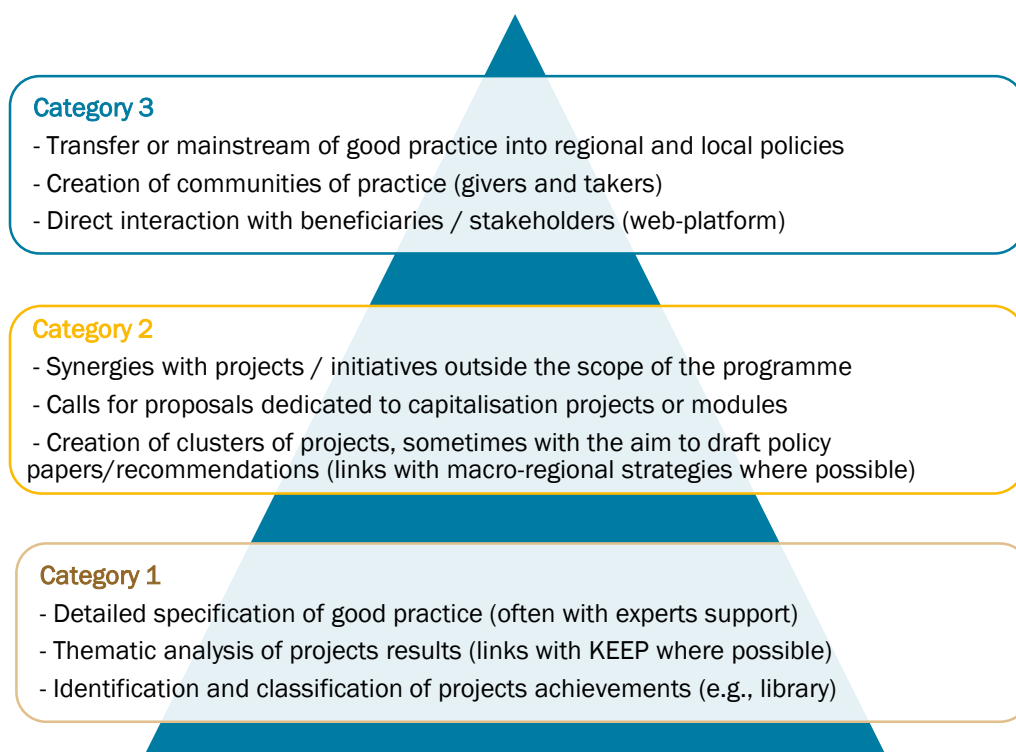
#### **Category 3. Activities aimed to spread and to transfer structured data to regional and local policies (mainstreaming)**

These activities require strong strategic objectives, the setting up of a stable and reliable data/results management process and the mobilisation of external bodies with relevant institutional and/or political dimension. It is often a core activity of the programme with a dedicated axis and/or budget.

It includes:

- Involving observers with strategic views (Alpine Space)
- Involving stakeholders in the planning of capitalisation actions (MED)
- Sharing Programme's policy achievements and know-how with a wider group of regional policy stakeholders in Europe (Interreg IVC)
- Transferring good practices and experiences into mainstream programmes (Interreg Europe)
- Transfer of good practice preselected by programme experts (URBACT III)

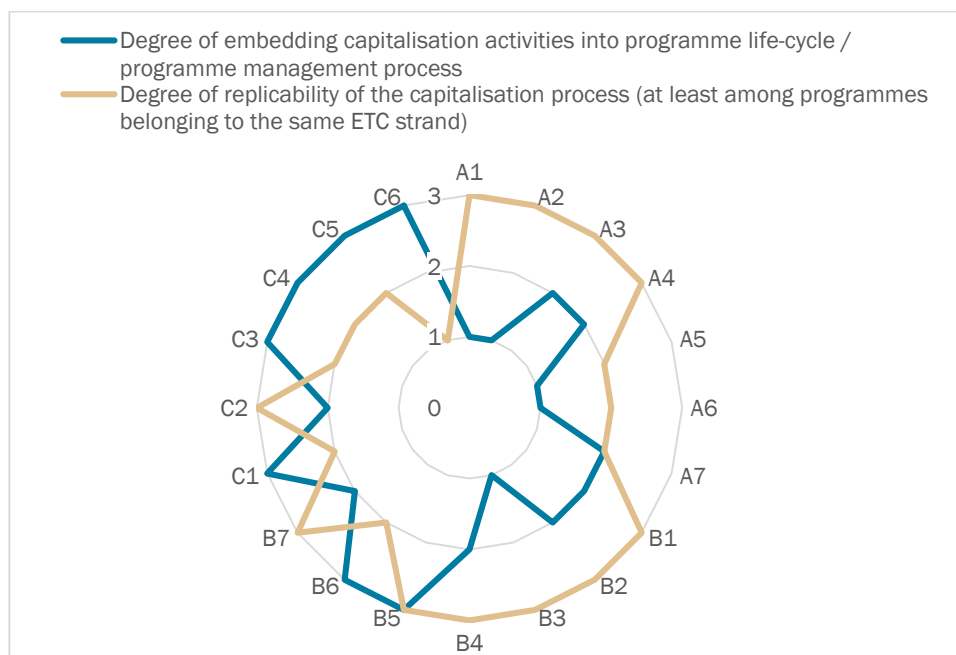
This typology can be visualised in the below pyramid, which is structured in three categories of tasks of capitalisation of experience ranging from basic ones to more-demanding tasks. Activities listed in the upper half of the pyramid are less frequently developed - more demanding activity in terms of resources and convincing key decision-makers. Activities listed in the lower half of the pyramid are more frequently developed - comparatively less demanding in terms of approach and resources.



Concerning the two last qualitative criteria (N° 10 & 11, in the above description of the repository), only one third of the capitalisation approaches and practices is considered as having a “high” degree of embedding capitalisation activities in the programme life cycle. It is consistent with the limited number of programmes that consider in a specific way the “demand side” in their capitalisation activities (8).

Approximately half of the capitalisation approaches and practices are considered as having a strong degree of replicability of their process. It relates mainly to thematic analysis of projects results, the organisation of capitalisation events, the use of participative methods of capitalisation or the publication of documents.

When crossing the two criteria, it emerges that capitalisation approaches and practices under strand A (A1 to A7) and B (B1 to B7) are those with the higher degree of replicability, unlike those under strand C (C1 to C6). On the other way round, the latter have a much higher degree of embedding into the programme life-cycle, which is less common for capitalisation approaches and practices under strands A and B.



(NB: the letter refers to the Interreg strand: A for cross-border; B for transnational and C for Interregional; the figure refers to the numeration of approaches and practices in the repository)


In short, programme bodies from cross-border programmes can reasonably adopt the collected capitalisation practices and approaches under strand A and to some extent strand B. Those related to strand C could be used as a source of inspiration, in particular for transnational programmes, due to their specificity in terms of scope and purpose, as well as the human and financial resources needed to implement them.

### **How can this repository be used by Interreg programmes?**


This repository gives the possibility for each programme to find synthetic information about capitalisation activities implemented by other Interreg programmes. It shall encourage direct contact between programmes and facilitate the learning process across Europe.

As Interreg programmes are quite different regarding their strategies, organisation, context of implementation, etc., it is essential for them to develop capitalisation activities in coherence with their own objectives and resources available (both human and financial). In the repository, programmes can find information about other programmes' experiences that can help them in identifying elements and/or practices that could be relevant according to their own level of experience and approach to capitalisation.

## Focus on two capitalisation practices

	
<b>Main strengths of the capitalisation approach/practice in your programme</b>	<p>Why the DTP CS is different from other Interreg programmes (if any CS in other programmes):</p> <ul style="list-style-type: none"> <li>• The DTP Capitalisation Strategy (CS) is embedded in the programme from the very beginning.</li> <li>• DTP CS is envisaged not only as a tool for collecting results (with a purely inventory scope), but in the first place it is an ever evolving process that enables projects from similar thematic fields to cooperate, exchange ideas, practices, results which may and should in return contribute to the betterment of those concepts.</li> </ul> <p>DTP welcomes the opportunity to be a part of the macroregional strategy – the EUSDR. <b>The Thematic Poles are based on the EUSDR Priority Areas to reinforce the links between the Programme and the Strategy and foster the capitalisation opportunities.</b></p>
<b>Utility / first results of added value for programme stakeholders (as well as for the macro-regional strategy)</b>	<p>Even if it is too early to have first results, the Priority Area Coordinators of the EUSDR have recognized the importance of the process and potentials the Thematic Poles may bring to their work. The Thematic Poles' Leaders are offering information from the ground; they invited to their Steering Committee meetings to present their work. The Poles and the DTP CS shall provide by 2020 all stakeholders relevant for shaping the future of macroregions and Interreg with valuable inputs.</p>

<p><b>Link/contribution to communication and/or evaluation strategy – what is concretely expected?</b></p>	<p>Communication should be the “right hand” of capitalisation, and the former should help the latter to reach the proper target groups. Not only programmes should deal with communication, but also projects, especially when aiming to reach out other projects / programmes. Projects should also be able to express clearly what are their goals / aims / possible clusters and, when reaching out a wider public, the stakeholders to be involved with the aim of dissemination and / or taking up projects’ results.</p> <p>The capitalisation process is challenging because:</p> <ul style="list-style-type: none"> <li>• It requires consensus and proper understanding from programme bodies,</li> <li>• It is very complex in its nature (if devised properly and not only one-dimensionally)</li> <li>• It needs constant monitoring from the programme’s side.</li> </ul>
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<p><b>Main strengths of the capitalisation approach / practice in your programme</b></p>	<p>Capitalisation started in the previous period. The main output was the knowledge bank. Programme bodies had to prove that it was necessary and useful.</p> <p>For the current period, there is a shared willingness to deepen the capitalisation process even if there is no specific budget allocated to this task.</p>
<p><b>Utility / first results of added value for programme stakeholders (as well as for the macro-regional strategy) where possible</b></p>	<p>For the current programming period, all beneficiaries are obliged to take part in “sharing of practices” events organised by the programme bodies. As an example, beneficiaries are collectively requested to solve puzzles dealing with the effects of the projects on the ground.</p> <p>Even if the South Baltic programme is not the main contributor to the Baltic Sea Strategy, there are clear links in the application form regarding the contribution of these projects to the macro-regional strategy. 7 projects are contributing to the strategy and 3 of them are already involved in cross-cutting activities.</p>

<b>Link/contribution to communication and/or evaluation strategy – what is concretely expected?</b>	<p>As regards communication, a new person is in charge of both communication and capitalisation, which ensures close links between the two concepts. For example, video footages on maritime issues are performed, promoting a common vision with other programmes.</p> <p>Programme bodies have developed close interactions between capitalisation and evaluation. Even if the evaluation plan adopted in 2017 does not plan any specific objective to capitalisation, it was inspired by the ongoing capitalisation process. The results will be measured in many ways, in particular in view of impact evaluations.</p> <p>The set of indicators is designed to provide inputs for both evaluation and capitalisation activities, for instance by identifying the best practices from beneficiaries.</p> <p>Surveys performed as part of the evaluation process are also used for the capitalisation process.</p>
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## **2. How can an effective capitalisation process be implemented?**

Part 1 has provided an overview of the capitalisation practices and approaches developed over the programming periods 2007-2013 and 2014-2020. As mentioned earlier, programmes managers should definitely be able to have a clearer view on which stage of development they are and what they can expect from the development of additional capitalisation activities. This part details the sequential approach for an effective capitalisation process, illustrated by concrete examples developed by some Interreg programmes.

Before getting into a deeper stage of this analysis, some preliminary remarks are necessary in order to contextualize what is observed in the Interreg context.

Even if positive developments towards a strategic use of capitalisation in Interreg programmes have been observed in recent years, a further progress could still be made. Indeed, capitalisation activities are faced with several limits or unfavourable opinions:

- they are often restricted to the promotion of Interreg projects, and sometimes without tangible results on its added value
- they go rarely beyond the dissemination of results
- there are still stakeholders involved in Interreg programmes who are not convinced of the added-value of capitalisation or who think that transfer is not suitable, notwithstanding programmes' territorial approach.

Now, more than ever, it appears crucial to develop capitalisation activities in order to:

- promote Interreg projects achievements and demonstrate the added-value of cooperation: new answers to territorial challenges
- use Interreg projects and programmes results in order to improve the quality of their implementation as well as to improve mainstreaming programmes and regional policies
- make Interreg more visible with tangible results and to provide solid inputs to EU policymakers. This objective becomes more relevant, particularly now during the framework of post-2020 discussions.

This part aims at focusing on the main steps and conditions for an effective capitalisation process, so that each programme can pass to the next stage in its capitalisation process, whatever its initial level would be in this field. Capitalisation should not be developed in a uniform way across Interreg strands, due to different needs, willingness of programme bodies, planned budget and human resources, etc. However, on the basis of lessons learnt from Part 1, all programmes should be encouraged to implement at least basic capitalisation activities as soon as possible. The drafting of a capitalisation strategy or plan shall be the starting point of a well thought-out and consensual process.

### **2.1. Defining a capitalisation strategy or plan**

If each Interreg programme is encouraged to think about its capitalisation strategy from the beginning of the programming period, it could be formalised through the drafting of a capitalisation plan or strategy.

This capitalisation plan should integrate:

- a short analysis of what each programme did in capitalisation during the previous programming periods
- the ambition concerning capitalisation and the objectives
- the potential action plan and capitalisation tools foreseen
- the targets and the participating stakeholders in the capitalisation process
- the technical means available for capitalisation: budget allocated, human resources

The detailed content of the capitalisation plan should depend on the objectives laid down as regards the capitalisation approach chosen and on the available resources (financial and technical). An programme with a low budget for capitalisation should not foresee a lot of capitalisation actions if he has not the human resources or the technical support to implement them concretely. It will be counterproductive. The capitalisation plan should be adapted to programme's resources dedicated to capitalisation activities. In this sense Interact could work on a specific process and template to be provided to programmes, to ease the embedding of capitalisation within the programme life cycle.

The sooner the capitalisation plan is prepared, the better. It should be led by the Managing Authority with the support of the Joint Secretariat and should also involve the

entire programme governance and structure. As defined by the Danube Transnational Programme in its strategy, “capitalisation shall transform the Programme’s achievements into long lasting and durable values”.

## **2.2. Sequential approach for an effective capitalisation process**

This section describes the core dimension of capitalisation along **three main steps**:

1. Collecting, analysing and summarizing data/information
2. Disseminating and encouraging the re-use of knowledge
3. Supporting stakeholders in the transfer and re-use of information/knowledge

### **STEP 1: Collecting, analysing and summarizing data/information**

This first step starts with the gathering of the needed information and data which will be capitalised. The following questions shall be raised:

- Which data, which information should be collected? Are there reliable sources? Should additional data collection actions be implemented?
- To what extent this information can be aggregated/reworked? How and with which tool can this information be collected and analysed?
- Which stakeholders should be involved at this stage?

#### **→ Which data, which information needs to be used and capitalised?**

When an Interreg programme defines its capitalisation objectives, it will decide on the core focus of capitalisation:

- a thematic capitalisation (based on projects) with different potential degrees of implementation:
  - creation of an organised library on the programme website to give visibility to all projects deliverables
  - enhancement of communication activities led by projects promoters
  - promotion of projects results at programmes level or thematic crossing analysis of projects
  - “supra projects capitalisation” with the integration of external inputs
- a methodological capitalisation (based on programme and projects practices)
  - promotion of capitalisation process experimented by programmes (e.g. URBACT methodology)
  - enhancement of management practices concerning monitoring, governance, reporting process, selection and application modalities, etc.

This choice of capitalisation subject leads the programme to define the data and information which needs to be collected.

#### **→ Which type of analysis and which format can be chosen to collect and analyse information?**



Depending on the capitalisation ambition and objectives, the capitalisation tools can vary among the following: thematic studies, methodological guidelines, project database, dissemination or matchmaking events, peer-review, etc.

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

		(e.g., Interreg Europe: <a href="https://www.interregeurope.eu/bio4ec">https://www.interregeurope.eu/bio4ec</a> o)
	At the programme level - Programmes evaluation or programmes capitalisation (if applicable) - Programmes guideline (e.g., Urbact tool kit in the previous programming period)	At the Programme level: - Creation of a methodological toolbox available on the website, - Translation of key documents (e.g. Transnational Danube: <a href="http://www.southeast-europe.net/en/news_and_events/news/seecapitalisationevaluated">http://www.southeast-europe.net/en/news_and_events/news/seecapitalisationevaluated</a>

**→ Which stakeholders should be involved at this stage?**

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

If the capitalisation process is generally led in technical terms by the Managing Authority with the support of the Joint Secretariat, it shouldn't remain only within their tasks. 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.

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

Thus, the Lead partner and others partners can have the following role: to make available all the projects 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		
Managing Authority and Joint Secretariat	Members of the Monitoring Committee	Lead partners and partners
<ul style="list-style-type: none"> <li>- Coordination and monitoring of the capitalisation strategy</li> <li>- Mobilisation of the members of the monitoring committee: preparation of pedagogical support, information...</li> <li>- Collection of the data and information at programme scale</li> </ul>	<ul style="list-style-type: none"> <li>- Participation in the definition of the capitalisation strategy</li> <li>- Follow-up of capitalisation strategy</li> <li>- Taking up the main results and findings</li> <li>- Spreading and scaling up relevant results and findings into national/regional/local and sectorial contexts</li> </ul>	<ul style="list-style-type: none"> <li>- Contribution of capitalisation activities</li> <li>- Transmission of information requested by the MA/JS</li> <li>- Integration in the application form of specific deliverables on communication, including their synthesis and translation where necessary.</li> </ul>

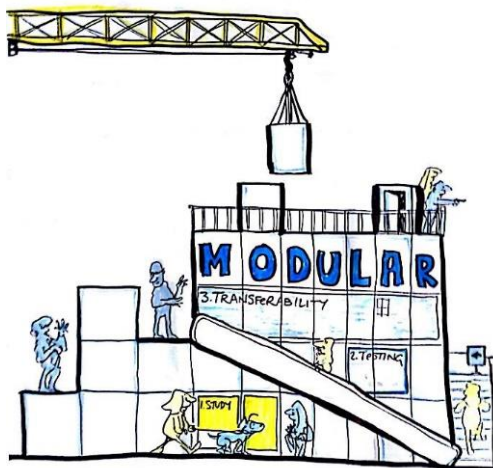
- ➔ According to its financial and technical means, each Interreg programme should initiate or develop a shared capitalisation process with detailed objectives, modalities and financial and human matters dedicated to this activity. Whatever the level of ambition, Interreg programmes should think about the modalities to gather useful data and information to capitalise from the beginning of the programming period if it's possible.

#### **Example: A complete capitalisation process launched and implemented by the MED programme**

The MED programme 2014-2020 has foreseen the following capitalisation process:

- at the project level: opportunity for project promoters to apply for a multi-modular project including potentially 3 different modules: Studying – Testing – Capitalising;
- at the programme level (inter-project): creation of calls for “horizontal project” unifying element of modular project working on the same theme;
- at the Mediterranean area level: an entire axis (axis 4) of MED Operational programme dedicated to a better governance and thematic multi-sectoral integration in the Mediterranean area.

- ➔ See the repository of capitalisation approaches in Interreg programmes



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### What are the key success factors and the points for attention?

A useful and efficient capitalisation process / strategy is based on:

- **a participative approach:** the definition of the capitalisation strategy should involve various stakeholders.
- **a connection with the evaluation work:** the conclusions of the evaluations study carried out during the previous programming period are used enough. However, it gives some key elements to help draft the capitalisation objectives. The managing authority can also encourage the projects partners to take into account the lessons learnt from the previous programming period in including some evaluation criteria for the application forms related to this point.
- **a win-win strategy:** the capitalisation strategy should meet expectations from other Interreg and regional policies stakeholders. These expectations are not expressed in a spontaneous way and imply to stimulate them with a lot of pedagogy, for instance by raising the awareness of targeted people of the importance of capitalisation. Starting from a concrete example of useful capitalisation (case study) helps to convince on the added value of such a process!
- **an anticipation of the potential data and information to gather for capitalisation.** From the beginning of the programme, it's necessary to think about and to foresee the concrete modalities to succeed: mobilisation of project promoters, technical modalities of exchanges of information...
- **a tailor-made capitalisation strategy according to its own constraints (political, financial, technical...).** There is no one single method and process for capitalisation. Each Interreg programme should define it depending on its context. If a programme has a very low budget dedicated to capitalisation, he should remember that he can introduce directly in a call for project a capitalisation part, whose responsibilities would be supported by lead partners and partners.

## **STEP 2: Disseminating and encouraging the re-use of knowledge**

After collecting and formalising the potential information, which could be capitalised, the aim is to organise its dissemination and to gather the conditions for its potential re-use. Indeed, the availability of the information is not enough. Interreg stakeholders should also foresee pro-active dissemination modalities, which guarantee as much as possible that relevant results are taken into due consideration by others stakeholders.

This new step raises several questions:

- What are the potential dissemination modalities?
- Which type of information could be spread?
- Which tools of communication should be developed to encourage its ownership by other stakeholders?

**How to go from communication to the re-use of knowledge?**

➔ **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 policy makers, 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 projects 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 capitalisation strategy is 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.

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

### **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. For more information: <http://www.Interreg2seas.eu/en/download/file/fid/3812>

#### **➔ How can the re-use of knowledge be encouraged?**

The dissemination of the information regarding Interreg projects or programmes results is not enough and programmes should gather the conditions for the appropriation of this information by others stakeholders and notably from other Interreg programmes and project promoters.

Various levers can be activated:

- creation of thematic communities gathering different stakeholders on the same thematic field
- integration of an analysis of transferability for the enhancement of projects results
- targeted events between decisions makers, researchers, and professionals
- setting-up of a community of potential capitalisation results applicants (networking): targeted contact with potential interested stakeholders notably from the ERDF/ESF
- launching of specific call for tenders /call for proposal integrating an enhancement of projects results or of previous projects on the same topic.

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

Thematic clusters have been defined on the basis of an analysis of the two first calls' projects results. Each cluster has identified good practices and had the possibility to organise exchanges between projects 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.

#### **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 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.

#### **URBACT 2014-2020: transfer network**

The URBACT programme has just launched a first call for "Transfer network". It's organised in different steps:

- a call for good practices to identify potential good practices throughout Europe
- a selection of good practices by the Joint Secretariat
- the launching of a call "Transfer network" involving the good practice promoter and other potential interested cities (relationship between good practice "importer" and "exporter")

➔ In the repository of capitalisation approaches in Interreg programmes.

#### **What are the keys to the 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 others 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 potential interested stakeholders; information should be transformed and re-worked before being disseminated and integrated.



### **STEP 3: Supporting stakeholders in the transfer and re-use of information/knowledge**

Even if the conditions are fulfilled to guarantee a re-use of the information by stakeholders, proactive support is necessary to envisage an effective transfer of practices (partial or complete). Indeed, it implies a specific method, technical support and budget.

Basically, the transfer of practices can be:

- Partial: Integration of a part of a project practice/result or projects practices/lessons, using the identified practice as inspiration;
- Complete: Full transfer of a good practice, taking into account the local context.

This process of transfer of practice can be bilateral (between an “importer” and an “exporter” of the practice) or multilateral (between an “importer” and several potential “exporters”).

**How could the stakeholders be supported in the implementation of Interreg results in their own policies?**

➔ Which type of actions could contribute to the transfer of good practice?

Several proactive actions can be implemented to support the usage and the transfer of Interreg results:

- Organisation of transfer workshops: they can be organised in a targeted way (meeting between an “importer” and a potential “exporter”) or they can gather several potential interested “importers” faced with a common issue. In either case, the support is not a “one shot” support but can give rise to several workshops.
- Training sessions, e-learning process to raise the skills concerning the transfer methodology
- Technical support dedicated to raise the awareness of potential “importers” of practices and to demonstrate the added-value of knowledge re-use; these sessions should start from the needs of stakeholders (bottom-up approach) and should point out how the results of Interreg projects or programmes can help them to solve a problem or to go faster in a project implementation.
- Mobilisation of externals to become more demand-driven and to focus more on the choices in terms of thematic poles or clustering of projects for instance
- Drafting of transfer guidelines, which could be linked with human support
- On-the-spot support based on a pilot practice/experiment

### **Policy Learning Platforms of Interreg Europe**

The capitalisation process aims at transferring good practices and experiences into regional and Interregional ESF/EFRD programmes. To achieve these objectives, the programme Interreg Europe has implemented Policy learning platforms on the following topic: 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.

→ The repository of capitalisation approaches in Interreg programmes

→ Who should be involved?

As for the whole capitalisation process, responsibilities should be shared among Interreg stakeholders.

The Managing Authority/Joint Secretariat can foresee different type of actions:

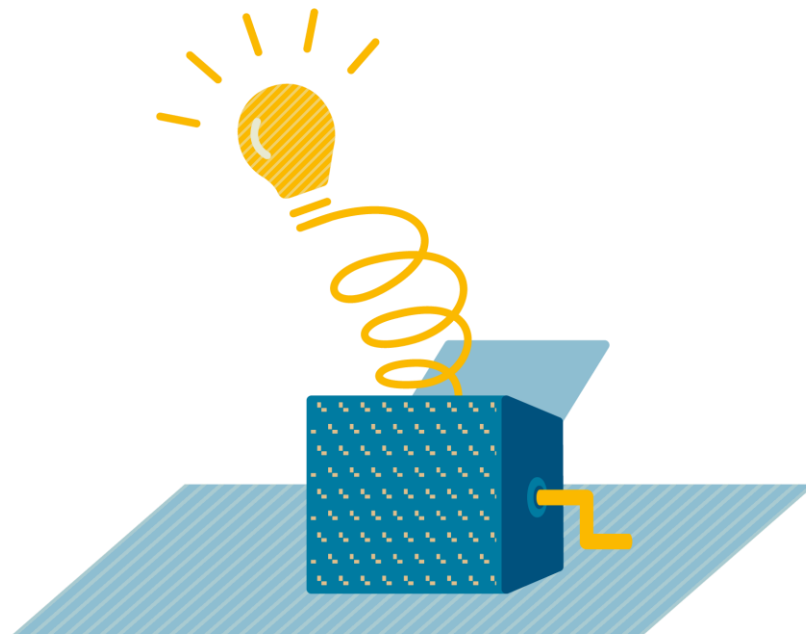
- Stimulation of potential transfers: organisation of transfer networks, launching of specific call for proposal dedicated to transfer...
- Coordination of all the transfer activities and formalisation of reports to keep track and capitalise on these transfers (recommendations, lessons learnt, condition of transferability...)
- Actions to mobilise the potentially interested stakeholders
- Providing of methodological support: guidelines, human support...

The projects lead partners and partners can:

- Contribute to the transfer activities: attendance in the transfer workshops, involvement as “exporters of good practices”, etc.;
- Welcome potential interested stakeholders “on-the-spot” to present their practice, projects results, etc.

**What are the key success factors and the points for attention?**

- to create and moderate a “demand” community gathering all the potential interested stakeholders in the Interreg results
- to be aware of the long-lasting process of transfer; the transfer process takes time for different reasons: necessity to convince the potential “importers”, to go beyond the resistances to change, to wait for a projects result before envisaging a potential transfer...
- to plan a budget with human resources: the transfer process needs to be supported (methodology) and moderated (“importers” - “exporters” community).



### 3. Potential contributions from capitalisation to communication and evaluation

Capitalisation should not be limited to an intensive and inward-looking work, but on the contrary it shall inspire and directly contribute to communication and to evaluation, concepts which have a clear regulatory framework and roles in the Interreg programmes lifecycle. The inputs collected below contribute to these two major issues.

#### 3.1. How to link capitalisation and communication?

The challenge is to make the most of well-structured capitalisation activities, by means of the potentialities of web tools. In this context, several programmes developed during the 2007-2013 programming period specific tools on their website to give more visibility to projects achievements in a structured way, ranging from the project library established by the MED programme, to the URBACT's project results collections, or the Interreg IVC capitalisation library performed by external experts. These are only a few examples of the initiatives taken on by many programmes, mostly under the strand of transnational cooperation. There is clear evidence that capitalisation actions inspire communication activities.

- MED programme 2007-2013 – *Project library*

<http://www.programmemed.eu/en/library/search-deliverables.html>

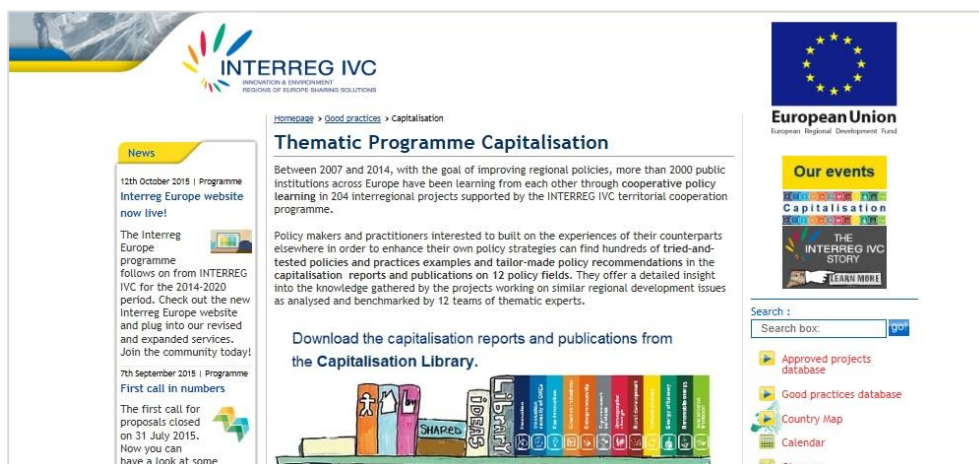


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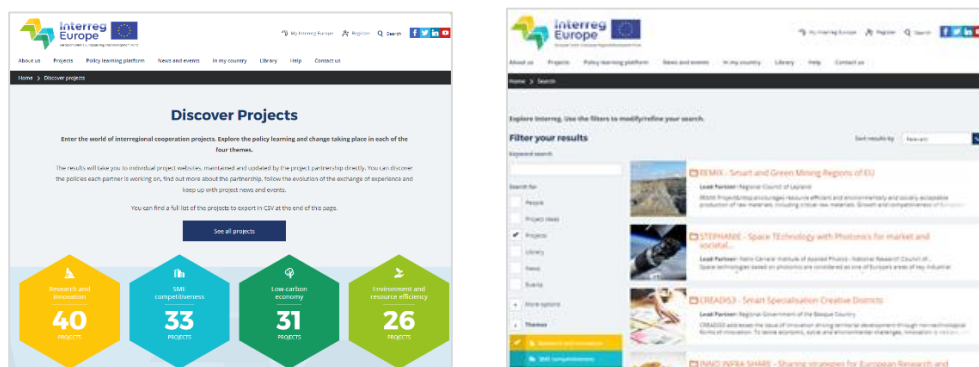
- URBACT programme 2007-2013 – cross-cutting approach on projects results  
<http://urbact.eu/files/urbact-project-results-first-edition>



- Interreg IVC programme 2017-2013 - Capitalisation library  
<http://www.Interreg4c.eu/capitalisation/>

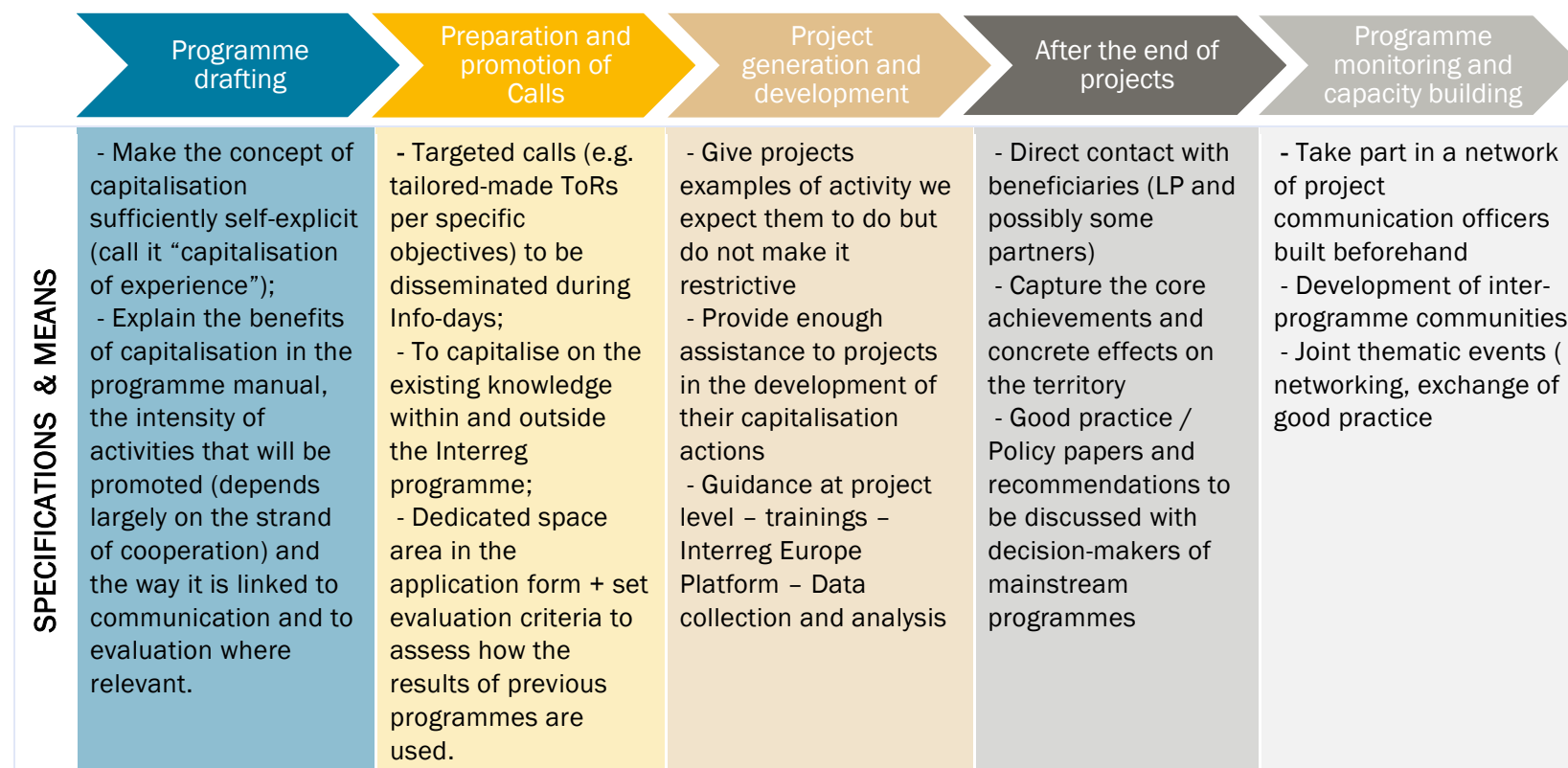


- Interreg Europe programme 2014-2020:  
Project web pages included in the mainstream programme website  
<https://www.InterregEurope.eu/discover-projects/>



Beyond these web tools, capitalisation can inspire communication in more diverse ways. This was the purpose of the Interact Cap&Com event held in July 2017 in Budapest which aimed to further explore two specific issues:

- To explore and define the process of turning capitalisation results into communication stories - how to link communication and capitalisation results as part of the main content of programme communication activities;
- To learn about the most effective approaches to extracting and communicating capitalisation content from a multitude of thematic projects to the appropriate target groups – lobbying and how it can help making Interreg more visible in the policy context.



### **What are the best tools to promote the results?**

The power of communicating good stories and results to reach relevant target groups and the lobbying, using the storytelling techniques for effective communication of capitalisation results.

The simplest way to talk about a project is based on the concept of the “elevator pitch”, with the below step-by-step approach:

- FOR** Target audience – e.g., policymakers
- WHO HAVE** A problem to solve – e.g., no time to read a 40 pages report
- WE CREATED** Project name
- WHICH IS A** Market category – e.g., infographic, video, etc.
- THAT** Key benefit – what it does which is “specific”
- AND THAT UNLIKE** Competition solution / company
- OFFERS** Something very different from the competing solution

### **Some lessons to take into consideration:**

- For maximum visibility and impact, it is essential to build a meta-story and not to promote individual projects in a classical way.
- Citizens do not seem to be the most relevant target group because they are too general, unlike journalists.
- A good story shows the real challenges, and how someone overcame them.
- Testimonials are a good way to tell stories as well as video case studies of 2 minutes or so which are excellent for rapid sharing if they fit the proposed content.

### **How to build the knowledge and capital from project level?**

- Clustering projects per topic - Thematic events;
- Dissemination through events, publications, studies on the topic;
- Analyse & identify potential synergies and joint activities;
- Interactive databases / library to extract information;
- Creation of a shared platform (with repository, library);
- Network of projects and other Pan-European networks (PLP of Interreg Europe and Capitalisation networks of Interact);
- Engage a debate within the monitoring committee to agree on what the CP wants to promote regarding the knowledge built by the projects. On the basis of these decisions, train projects leaders accordingly on what is needed;
- Involve policy-makers in the projects (e.g., stakeholder group in Interreg Europe projects);



- Make members of the monitoring committee as multipliers;
- Cross-border peer-review to get to know each other (support from MC members on the territory)

**How to select and communicate the relevant capitalisation results to different stakeholder and policy-maker groups and lobbying?**

Lobbying is an action aiming to influence a public decision persuading individuals or groups with decision-making power to support a position you believe is right. As cohesion policy is more result-oriented over 2014-2020, there is a crucial need to showcase the results. The combination of territorial dimension and cooperation, as a specificity of Interreg, should be kept in mind.

**Some lessons to take into consideration:**

- Convincing EU decision-makers and influencing any new or updated regulatory framework is a long process. A personal touch is very important to highlight the Interreg best practice or policy recommendations, which has to be sent to the precise committee or commission at EU level. Try to make contact with a person speaking the same language and contact his assistant. Look for a win-win situation
- Create a community: Look for people that are concerned by the same problem and who can take on board the proposed amendment. It is better to work with a group of projects within a programme or in an inter-programmes approach.
- It is more difficult for a CBC project to have an influence in the decision process at the EU level; such projects have their stories and usually don't look for a greater impact at EU level; the emphasis should be on best practice and less on recommendation papers. In the transnational context, it should be the other way round, especially for programmes which have a macro-regional strategy behind.

**Key messages:**

- Communication (information and dissemination of results) is a tool for an effective capitalisation.
- It is important to share the roles within the JS in the stages of preparation. Capitalisation is a shared responsibility.

**3.2. How to link capitalisation and evaluation?**

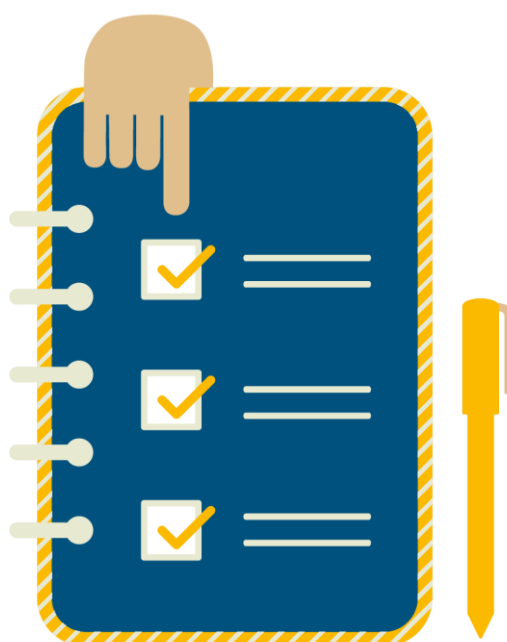
The result-oriented approach implemented in Interreg programmes has led to the development of renewed and more in-depth approaches in terms of monitoring and evaluation in the current programming period. In particular, monitoring tools are expected to give better evidence of detailed results achieved by individual projects on the ground. To some extent, it will contribute to the effort of capitalisation of experiences.



Example: Identification of the evaluation questions addressing the issue of “follow-up” beyond the effects of projects:

<b>What happens after the project?</b>	Durability (after the project in the same partnership)
<b>Are the project results adopted elsewhere?</b>	Transferability and capitalisation (outside the project)

However, even within programmes in which capitalisation strategies have been developed since the 2007-2013 programming period, they have not clearly established a close link between the capitalisation activities and the evaluation plan.



#### 4. Conclusions and prospects

The identification and classification of the main capitalisation practices and approaches in the Interreg context provides a clear picture of the state of play on this issue. Programme managers are encouraged to take into consideration both the repository and the analysis developed in Part 1, to upgrade their practices where possible or relevant, or at least to open an internal discussion in preparation for the post-2020 period.

However, it should be kept in mind that capitalisation can't be developed in a uniform way across Interreg strands.

Capitalisation in pan-European programmes and to some extent in transnational programmes is in line with the concept of a "learning organisation". It can be defined as "a learning organisation is one, in which people at all levels (not just the Management level) are continually increasing their capacity to produce results which they really desire to achieve; through bringing out a fundamental shift of mind, among the members of the organisation". (Source: <http://www.yourarticlelibrary.com>). On the contrary, capitalisation is often a more complicated and less rewarding task for cross-border cooperation programmes due to their intrinsic nature. It is widely admitted that strategies developed by some transnational programmes (e.g., Interreg MED 2014-2020) are not necessarily replicable at CBC scale.

Programme managers should also take into consideration their environment, and the potential synergies that can be developed. For this purpose, links between a transnational cooperation programme and the EU macro-regional strategy where existing are crucial to raise awareness or even active involvement of the decision-makers. CBC programmes should also establish connections with the EU macro-regional strategy which covers partially or totally their cooperation area. The same applies to the links between the Interreg and mainstream programmes under the "Investment for growth and jobs" goal which should be more systematically developed, whatever the strand of cooperation.

In most programmes, capitalisation is linked to the communication, while it should be also content-related and therefore linked to evaluation. This publication provides valuable inputs and examples about the way it is implemented in some Interreg programmes.

Finally, some emphasis should be put on the importance to check the awareness of the other stakeholders and to develop specific actions to better identify them and to arouse their potential interest, in order to influence local and regional policies. A more "demand-driven approach" should unquestionably be taken on board from the early thinking of a capitalisation strategy or plan. It is the basis of a successful process according to experts in knowledge management by following the basic framework:

1. Map (good) practices and related people;
2. Identify topics with high potential of replication (which assumes a significant demand);

3. Create groups (communities) ad hoc made up of givers and takers;
4. Implement methods of type "lessons learned", facilitate exchanges and mutual learning among participants, leading to build a consensual manner as a "conduct to hold";
5. In the end, only consider the possible capitalisation of a good practice as the final result of this human exchange process.

Within this framework, and in line with the Interact III Specific Objectives, Interact could play the role of facilitator and reference point regarding Interreg results' capitalisation and information. In order to fulfil this, the facilitation and implementation of capitalisation networks will play an important role in order to collect Interreg programmes and projects data in a coherent and clear way and to be all-inclusive of Interreg contributions to each (selected) TOs and topics. In this way, Interact will provide a structured environment, as well as technical (knowledge management) tools, for capitalisation across programmes (networks) and to support this process with its expertise in facilitation and communication.

#### **What's Interact aim and success towards the capitalisation of Interreg results?**

- To respond to the several objectives and needs towards the capitalisation of Interreg results, Interact III provides a series of services aimed at:
- Supporting a more strategic approach of Interreg programmes to results' capitalisation and communication,
- To exploit the results of Interreg programmes and projects to make them available for a knowledge transfer and available to a wider audience of regional policy stakeholders across Europe,
- To contribute to the EU wide evidence of the thematic contribution (added-value) of cooperation by sharing and promoting results and experience among relevant stakeholders within Interreg and outside.

**Interact will offer its experience and services acting as:**

1. Information and knowledge facilitator: to collect and share relevant and useful documentation on capitalisation,
2. Provider of capitalisation expertise, tools, events, to transfer data, information and thematic knowledge between programmes
3. Capitalisation knowledge hub, to document, analyse and disseminate information about added value of cooperation, according to topics of interest
4. Lead expert in capitalisation (to provide for the above and to be the forerunner on everything that is linked to capitalisation), to analyse and appropriate all the knowledge and expertise
5. Network facilitator, setting-up and running the thematic network, regularly analysing the possibly changing needs and adapting the network activities

**What's going on for the future?**

Based on the results of a first meeting on Capitalisation Practices *“Let’s capitalise!”* (Rome, 7-8 June 2017) and expectations by programmes, Interact will further support a wider integration and use of capitalisation approaches and methodology by:

- Strengthening the identification and promotion of more and new practices in the area of capitalisation, adopted by Interreg programmes, through specific events and meetings,
- Organising peer-to-peer workshops and learning tables between beginners and more advanced programmes, as well as a specific help-desk and back-office hotline,
- Defining a harmonised capitalisation process template, capitalisation toolkit and templates to be used by programmes at different scales and strands,
- Networking events and thematic trainings of all Interact Capitalisation Networks.

**5. Annex 1: Repository of capitalisation practices and approaches**