



CAPACITY-BUILDING FRAMEWORK

This document has been developed to serve as a reference on the Capacity-Building carried out by the URBACT III Programme. It describes the place of this strand of activities and the synergies with the other actions carried out by the programme and explains the rationale and principles that will guide the development of future Capacity-Building actions within the 2014-2020 programming period.

> Context & Background

The scope of URBACT III Programme actions is regulated by the European Structural and Investment Funds Thematic Objective 11 'Enhancing institutional capacity and efficient public administration' under which all activities are positioned and converge to promote empowerment and strengthening of capacities.

Furthermore, URBACT's specific objective 1, as stated in the Operational Programme, is "to improve the capacity of cities to manage sustainable urban policies and practices in an integrated and participative way."

In order to build better, inclusive and sustainable cities, the primary focus of the URBACT Programme lies in improving the effectiveness of professionals involved in urban development and management.

Capacity Building is thus one of the three strands of activities carried out by the URBACT III Programme, complementary to Exchange & Learning and Capitalisation & Dissemination. URBACT understands Capacity-Building as being both a central strand of activities as well as transversal, occurring at different levels of the Programme activities.



URBACT Capacity-Building activities target all urban players from URBACT 30 Member and Partner States, primarily urban professionals and decision-makers, but also stakeholders such as residents, NGOs, businesses and end-users. More specific actions are carried out towards targeted audiences such as potential applicants, Lead Partners of networks, First Level Controllers, National URBACT Points, experts and trainers.

Capacity-Building is covered by the following Programme documents:

- URBACT III Operational Programme
- URBACT III Programme Manual - Factsheet 3
- Annexed Action Plan and URBACT Guides overview (to be updated as needed)

> Objectives

The overarching objective is for urban practitioners to increase their knowledge and capacities in relation to integrated approaches to sustainable urban development, in order to operate in a more effective and efficient manner. Urban practitioners are considered as change agents: it is expected that through the development of their individual skills and knowledge, both enhancement of organisational/institutional capacity and better policy will be achieved.

Four main areas related to the URBACT Method have been identified for Capacity-Building actions:

- Integrated Approach
- Participatory Action-Planning
- Project Management and Delivery
- Sustainable urban development and policies

These key areas are informed by on-going beneficiary' needs analysis. At this point in the Programme the needs relate to the first round of Action-Planning and Implementation Networks, from the outset of their activities and at different steps in their development.

This analysis confirmed and highlighted the following topics as main fields where a need for development of skills was identified by the beneficiaries. They can be considered as learning objectives for the URBACT beneficiaries, to be met through Capacity-Building activities:

- URBACT Method:
 - Understand the action-oriented, integrated and participatory approach of URBACT for sustainable urban development
- Integrated Action-Planning
 - Design and Produce Integrated Action Plans
 - Develop work across departments

- Participative approaches
 - Develop Multi-stakeholders Governance
 - Coordinate work with URBACT Local Group
 - Understand and develop innovative participatory approaches in urban policies
- Results Framework/Monitoring & Evaluation
 - Understand the intervention logic and Results Framework
 - Set indicators and develop monitoring/evaluation systems
 - Measure and assess impact
- Funding/Resourcing of Integrated Action Plans
 - Design strategies to find resources to implement actions
- Implementation of Integrated Actions Plans
 - Identify and overcome challenges linked to Implementation

Within each of these objectives/actions there are different levels of existing knowledge and need within the URBACT community. Capacity building activities and tools are designed in a differentiated way to respond to the variations in threshold knowledge and experience.

It is assumed the Transfer Networks, due to start in 2018, will have similar learning needs, but an analysis will be conducted to make sure that the actions foreseen for them are appropriate.

This direct link to cities and constant attention paid to their issues and expectations allows the Programme to rapidly adapt its activities to answer their needs in the most appropriate manner, in order to fill in gaps in terms of skills, knowledge and know-how.

> Values & Principles

All activities proposed by URBACT are focused on enhancing both knowledge of policies as well as skills, with the key idea of developing capacities in 'learning by doing' mode. Another value underlying URBACT activities is to learn how to learn, how to find information as well as develop tailored, pertinent solutions to local issues, without URBACT providing ready-made solutions.

Also, URBACT aims to share thematic solutions between beneficiaries to develop innovative responses in specific policy challenges, for instance with the URBACT labelled Good Practices.

The principles that will underpin the development of future Capacity-Building activities are:

- **Modularisation:** activities will be conceived and developed in modules that can be accessed by beneficiaries depending on their specific needs and level of knowledge.

- **Versatility:** activities will be developed keeping in mind that they can be used by beneficiaries from different types of networks or with different backgrounds. For instance, activities developed for beneficiaries of Implementation Networks will be developed making sure they can be useful for Action Planning Networks as well, particularly when thinking of the future of their Integrated Action Plans.
- **Digitalisation:** in order to be sure to reach out efficiently to as many beneficiaries as possible, an emphasis will be put on the use of digital and online tools with the development of online trainings (webinars) and digital modules.
- **Optimisation:** with a view to efficiency, Capacity-Building actions that have already been developed and successfully implemented will be adapted when relevant (Summer University curriculum). Tools and modules will be designed to be potentially re-used and made available to an external audience to reach urban professionals beyond those in URBACT funded networks. In addition, for the delivery of some actions at national and local level, structures already in place such as National URBACT Points (NUP) or other stakeholders such as Ministries, Lead Experts and networks themselves might be involved with a “train the trainers” principle in mind. When relevant, joint actions with partners will also be considered.

> Programme Capacity-Building Activities & Synergies

Capacity-Building activities will focus mainly on the use of tools, instruments and methods supporting integrated and participatory approaches to sustainable urban development. As already stated in the Programme Manual Factsheet 3, Capacity-Building activities as such include training seminars, like URBACT universities, national seminars and ad hoc actions (physical and online), as well as the development/update of guidance as supports to training in passing on tools and methods to target audiences (list of current URBACT guides available in annex).

URBACT Universities – These events are large transnational capacity-building events aiming to provide URBACT partners and their local stakeholders with tools and methods to develop integrated and participatory approaches for the design and implementation of urban policies. Project partners from all URBACT networks in one call (eg Action Planning) come together to “learn by doing”, working on a simulated city challenge, share good practices and test different tools they can apply more especially in the work of their local groups at city level. This tool is the main training event that builds up the skills and capacities of urban professionals that take part in the URBACT Programme. These events are usually organised over three very intensive days and represent a big investment for the URBACT Joint Secretariat. Yet still, URBACT Universities proved highly successful under URBACT II (Krakow 2011 and Dublin 2013) and URBACT III (Rotterdam 2016). From the

evaluation of the latest URBACT University, it appears this capacity-building action is very effective especially if timed at the beginning of the network cycle.

National seminars - This tool, which was tested under URBACT II, normally aims to reach out to stakeholders in network partner cities, in national language within a specific country or jointly across several countries, language permitting. There is a benefit for the national level (eg ministries) to be involved in such actions as they provide an interesting opportunity to foster dialogue between national and local players on urban policies and allow project partners to better understand the national context in which they are operating. In this regard, the National URBACT Points also have a key role to play in the delivery of these seminars at national and local level.

Other ad hoc capacity-building actions - based on an established need may also be developed for specific stakeholder groups involved in the design and implementation of sustainable urban policies (e.g. elected representatives, Managing Authorities of Operational Programmes, national authorities, etc.).

Development of capacities is taking place as well at different levels of the Programme activities and synergies are developed between Programme Capacity-Building activities and Capitalisation as well as Network activities in order to develop skills and knowledge.

The table below summarises how learning is taking place at different level of the URBACT activities.

Learning Approach	Definition	Key URBACT Approach
Open Innovation	Being open to and embracing ideas outside of ones' own organisation, but as part of a two way process which also involves consolidating internal ideas, knowledge and good practice stimulating new perspectives and innovative ideas.	Transnational Exchange
Best Practices	Primarily a one-way transfer of knowledge from provider to receiver, the best practice model is based on a method or process with proven success. Parameters of 'best' can be unclear although usually defined by critical success factors and performance indicators which can vary between studies.	Capitalisation and Dissemination
Communities of Practice	A process whereby groups of people with a shared interest learn and develop through mutual exchanges of information and interaction. Very similar to the 'Collective Learning' concept although Communities of Practice is perhaps more methodological and has a specific theoretical basis.	ULG (integrated, participative approach as theoretical basis)
Action Learning	A problem focused method which sees an issue identified and addressed by a diverse team. Practical solutions are worked out through a reflective process. The key point of action learning is its practical approach akin to 'learning by doing'.	Local Action Plan Development National Training Seminars
Collective Learning	Joint learner groups composed of people facing similar problems who collaboratively develop knowledge. Requires open sharing of information which usually requires a period of building trust and relationships	Peer Review URBACT Summer University

	between the participants.	
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URBACT II Learning through Transnational Co-operation - Methods, Results and Indicators, EKOS, 2014

Capacity building in exchange and learning- Indeed, capacity-building is occurring at network level, during the transnational meetings through the exchange of practices and through the support provided by experts involved in these activities and by the URBACT Secretariat. This takes the form of both policy and process learning, with structured activities such as peer reviews, site visits, place analysis. Capacity building continues between transnational meetings in the form of one to one coaching and online meetings with experts and project leaders. It is also taking place at city level through the work of the URBACT local groups and the transfer of knowledge from transnational level to local level. In many cases beneficiaries specifically develop activities to develop capacities at their local level on the basis of their network activities, such as open days, hackathons, and community innovation meetings.

Capacity building through Capitalisation and Dissemination Synergies are also developed with Capitalisation and Dissemination activities whose aim is to further share good practices and lessons learned from the Exchange & Learning activities, to benefit a wider audience. The Programme monitors the capacities developed of participants in the URBACT City Festivals in 2017 and 2018 by post event surveys. One of the Programme-led Capitalisation actions is also specifically dedicated to the Integrated and Participative Urban Development, which is at the core of Capacity-Building activities.

> Priority Actions & Perspectives beyond 2018

The Capacity-Building Action Plan annexed to this framework was developed and will be updated with these needs, objectives and principles in mind.

Going beyond the prescribed Capacity-Building activities, some short-term Capacity-Building priorities will be tackled in 2018:

Support in final phase of Action Planning: As the Action-Planning Networks are coming to an end in May 2018, the focus of Capacity-Building actions in the first half of the year will be on partners of these networks. A pilot series of webinars is currently underway with external experts and partners interested in Urban affairs, to assist beneficiaries in delivering high quality Integrated Action Plans (IAPs) and to help them start thinking of the implementation of their forecast actions. These webinars are focusing on the production, monitoring and resourcing of the IAPs and include some elements that have been developed through the work with Implementation Networks. Two-way bridges will be built between the two types of networks, as elements of these webinars for Action-Planning Networks also interest partners of Implementation Networks - for instance on how to build resourcing strategies. It is also

intended to make this developed content easily available to a wider audience. These tools will also be used for the next generation of Action-Planning Networks.

Online Resource: This is the second priority for 2018. The aim is to develop and re-use digital modules, developed in the framework of Capacity-Building activities, comprising among others animations, videos, webinar excerpts and guidance in digital format, which will be made available online, in a structured way. The structure will be mapped over the first half of 2018.

National training: The specific and key role of National URBACT points will be further considered to ensure delivery of Capacity-Building activities at national level and to spread further the key elements of the URBACT method.

Needs analysis and preparation for next rounds of networks: Further needs collection and analysis will be carried out in the coming months and years with partners from Transnational Networks, particularly the new type of Transfer Networks, in order to bring adequate responses to their specific requirements. Further thought will be given to develop national trainings to provide partners of Transfer Networks with adequate tools and methods relevant to their needs.

As major future Capacity-Building events, the possibility is considered to organise an URBACT university for the future Action-Planning Networks, with an updated curriculum.

Further thought will also be given to the development of specific actions dedicated to elected representatives: following the experience of URBACT II, a cost-benefit analysis should be made and actions in liaison with partners may be considered.

> Evaluation and Monitoring plan

In the framework of the URBACT Evaluation, a result indicator (RI1) linked to specific objective 1 is specially dedicated to capacity-building:

“Participants in URBACT capacity-building activities who, in the field of sustainable urban development, have increased their knowledge and capacity in relation to:

- *integrated approach*
- *participatory action-planning*
- *working across departments and with relevant stakeholders*
- *project management”*

This indicator will be measured based on the percentage of participants in URBACT capacity-building activities with knowledge and capacity in the field of sustainable urban development.

Participants in the URBACT Summer University 2016 (USU 2016), mostly partners in Action-Planning Networks, formed the cohort, which helped set the baseline. They filled in a self-assessment questionnaire upon registration to assess their knowledge and capacity in relation

to the four skills outlined in the RI1. The results from the self-assessment questionnaire show that the baseline for RI1 is 47% while the target value set for 2022 is 75%.

It is intended that several cohorts of participants in URBACT capacity-building activities will be followed in the framework of this Result Indicator: participants in USU 2016, but also participants in Implementation Networks, in Transfer Networks and in the second wave of Action-Planning Networks. It is also intended to evaluate the progress of individual participants as well and to collect qualitative information through feedbacks from focus groups from the first generation of Action-Planning Networks.

In this regard, it is important to once again to underline that the capacity-building activities provided by the URBACT Programme consist of training events, but also of transnational exchange and learning enabled by the projects in Networks, and of the experts support provided to these Networks (Programme/Lead/Ad Hoc experts and URBACT Secretariat). The contribution of these other activities to the enhancement of participants' knowledge and capacity is not quantified, but can be considered as significant.

Capacity-Building is an essential part of this holistic support from the URBACT III Programme but it is the combined experience of events, Exchange & Learning, coaching, networking that helps people learn, build their skills and confidence and ultimately has a positive impact on organisations and the way urban policies are developed and carried out.

> Annex 1 – Capacity-Building Actions table

Main topic	Sub-topic	Capacity-Building Action	Main Target Group	Description	Internal Resources/Synergies	Potential Partners	Timeframe
IAP / Design	Co-production of an Integrated Action Plan	Webinar	APN First batch	Series of webinars focused on identified issues encountered by APN to finalise their IAP: - IAP Peer Review between networks - Good examples of IAP (what is good in them) - Possible surges webinars to be held with limited number of participants with direct feedback on IAP drafts - How to define actions (IN Action Table) - Purpose of the document - Technical/Practical questions (language, structure, dissemination...)	Guidance document / self assessment tool / Peer review exercises from networks - InFocus/MAPS/TechTown - Action Table (for IN)		For APN: 1st half of 2018 Can be updated for TN and IN To be updated for APN 2nd batch
		URBACT University	APN 2nd batch	Annual event to be held at the beginning of the second phase of APN	USU curriculum		Spring 2020 (beginning of APN Phase 2)
		On-line tutorials with examples and links Video on Action-Planning Cycle	APN 2nd batch	Series of tutorials that could be coupled with webinars on different steps of action-planning (how to co-produce an IAP) based on USU curriculum / explanation of tools and how to use them.	Network meetings – presentations Action-planning drawing		2018 - 2019 ready for the next APN
		IAP guidelines	APN 2nd batch	Update for APN 2nd batch	Existing guidelines		2020 (APN first year)
IAP / Monitoring & Evaluation	Results framework	Webinar	APN First batch	<i>In connection with webinars about IAP co-production</i> One (or more?) webinar on: - Results frameworks as a key tool for effective and sustainable project management - Defining objectives/ results from the outset of the action plan (what, when and how measured?). - Monitor progress by keeping timely and measurable objectives - How to set good indicators	APN Lead Partners training USU Curriculum	CEMR (RFSC)	For APN: 1st half of 2018 Can be updated for TN and IN To be updated for APN 2nd batch
		Updated Results Framework Guide	All URBACT beneficiaries	Guide should be updated to be used by different types of beneficiaries/networks.	Current Results Framework Guide USU curriculum		To define -2019?
		Training for ULG coordinators on defining objectives	APN	Webinar ? To be defined	Possible Link with NUP		To define (for next APN Phase 2 -2020)
IAP/Financing & Resourcing	Resourcing Strategy	Webinar	APN Interesting for IN as well	How to find funds matching project/action How to design and build a proper resourcing strategy	Could possibly be delivered to NUP as well as training to the trainers		For APN: 1st half of 2018 (ongoing) Can be updated for TN and IN To be updated for APN 2nd batch
	Innovative Financial Instruments	Webinar	APN Interesting for IN as well	Understand and use financial instruments	CSI Europe (UII)	European Investment Bank Committee of Regions (MOOC 2018)	To be updated for APN 2nd batch
	Alternative Resourcing	Webinar	APN Interesting for IN as well	Types of crowdfunding and how cities can use them	Good practices from cities	Eutropan/Cooperative City (D. Patti/L. Polyak)	
IAP / Implementation	Implementation Challenges	Implementation Package	IN Interesting for APN as well	Toolkit to be develop based on work done with IN dealing with different implementation challenges	USU curriculum, IAP guidelines		2018-2019 (ongoing)
URBACT Method - Integrated & Participatory Approaches	Governance: Foresight and System thinking	Masterclass/Training	All URBACT beneficiaries Elected representatives	Foresight & Cities Masterclass	Capitalisation Activity : Future Cities Once designed, could be adapted and reused for other external events/sessions	Joint Research Center OECD Committee of Regions	2nd Semester 2018 - To be linked with Capitalisation activities
	Governance: Change in mindset of local administration	Action linked to Capitalisation Activity	All URBACT beneficiaries	Action linked to Capitalisation Activity - To be defined	Capitalisation Activity : Integrated and Participatory Urban Development	Eurocities	Following Capitalisation Policy Labs planning
	Governance: Multi stakeholder processes	To be defined: session during training/webinar/guide/animation	All URBACT beneficiaries	- Bringing together a variety of actors (ULG): public, private, third parties, different units, regional and national level. - Engagement of citizens in policy-making and delivery - Change of mindset (way to involve politicians)	USU curriculum ULG toolkit		[To be discussed/defined]
	New technology participatory methods (hackathons, deliberative polls etc)	[To be discussed/defined]	All URBACT beneficiaries	How to use online tools in a efficient way for citizen involvement	Good practices from Interactive Cities, TechTown		[To be discussed/defined]
	General	Online Ressources	All URBACT beneficiaries & External audiences	Toolkit including tools (guides, animation, online tutorials, videos, registered webinars?), existing or to be developed on the URBACT Method and its components. This digital toolkit would include the elements listed below.	ULG toolkit		Ongoing process
	URBACT Method	Animation	All URBACT beneficiaries & External audiences	Short animation on the URBACT Method (What is it? Why is it called a method?) to consider as an entry point for the toolkit and could be used in networks first meetings, for ULG meetings...	Existing video made during URBACT II Link to Communication activities		2nd half 2018 - For next APN Call
	URBACT Glossary/Jargon	Series of animations	All URBACT beneficiaries & External audiences	Short animations on basic (for us) concepts, to be used during meetings or available online as reference for beneficiaries and outside audience.	Link to Communication activities		2nd half 2018 - For next APN Call
	ULG coordination	Video/ Animation for ULG first meeting	ULG	Video/Animation on role of ULG that can be used for ULG first meetings but for more general purposes as well, in order to explain the concept.	ULG toolkit National URBACT Points		TN Phase 2 - 1st half 2019 Next APN Phase 1 - 2019
		Updated Guide on Animation techniques? Animations/webinar?	All URBACT beneficiaries	Series of animations based on ULG toolkit and/or webinar for ULG coordinators	Guide on Animation techniques		TN Phase 2 - 2019 Next APN Phase 2 - 2020
		Updated ULG toolkit/ Animations?	All URBACT beneficiaries	Series of animations based on ULG toolkit and/or webinar	ULG toolkit National URBACT Points		TN Phase 2 - 2019 Next APN Phase 2 - 2020
Action-Planning Cycle	Animation/Tutorial	APN ULG	Transform Schema of Action-Planning Cycle into video	Drawing on Action-Planning Cycle		Next APN Phase 2 - 2020	

> Annex 2 – List of URBACT Guides

URBACT Guides				
Target	Guidance	Date	State of play	State
All	Meeting facilitation: <i>Getting Results through animated meetings - 7 top tips</i>	2012 May	to be updated	http://urbact.eu/sites/default/files/animation_techniques.pdf
All	URBACT Local Support Group Toolkit	2013 June	To be updated	http://urbact.eu/sites/default/files/urbact_toolkit_online_4_0.pdf
APN	Guide for Action Planning Networks	2015 March	Available	http://urbact.eu/sites/default/files/media/urbactiii_guide_to_actionplanningnetworks.pdf
APN	APN: Expanding the partnership in Phase 1	2015 September	Available	http://urbact.eu/sites/default/files/urbact_apn_guidance_partnership_final.pdf
IN	Guide for Implementation Networks	2016 April	Available	http://urbact.eu/sites/default/files/in_guide_01052016_final.pdf
APN	Applying the results framework to Integrated Action Plans	2016 August	Available	http://urbact.eu/sites/default/files/evaluation_guide_usu_final.pdf
APN/IN	Network Management for URBACT Networks (V2)	2016 November	Available	http://urbact.eu/sites/default/files/guide_to_network_management_v1_06102015_formated.pdf
APN/IN	URBACT Baseline Study guide	2016 November	Available	http://urbact.eu/sites/default/files/baseline_study_urbact_iii_guidance_document_for_networks.pdf
APN	Guidelines to produce an Integrated Action Plan	2017 January	Available	http://urbact.eu/sites/default/files/media/guidelines_for_iap_final.pdf
APN	URBACT Guidance for Mid-term review	2017 March	Available (to be updated for IN)	<i>Internal dissemination (available on the server)</i>
IN	Implementation Plan Template	2017 September	Available	<i>Internal dissemination (available on the server)</i>
TN	Guide to Transfer Networks - Phase 1	2017 September	Available (to be updated for Phase 2)	http://urbact.eu/sites/default/files/guide_to_transfer_networks_final.pdf
All	Communication - How to organise succesful events (before, during and after)	2018 February-April	Ongoing	
TN	Transferability Study Guidelines	2018 April	Ongoing	