

EUROPEAN  
U R B A N  
INITIATIVE

# Transfer Factsheet

## EUROPEAN URBAN INITIATIVE – INNOVATIVE ACTIONS

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# List of abbreviations

EUI	European Urban Initiative
IA	Innovative Actions
MUA	Main Urban Authority
TP(s)	Transfer Partner(s)
Partners	all (relevant) Project Partners: Main Urban Authority, Associated Urban Authority, Delivery Partners and Transfer Partners
PMS	Project Monitoring System
SWOT analysis	Strengths, Weaknesses, Opportunities, and Threats analysis
WP	Work Package

# 1 INTRODUCTION

**Transnational transfer is a compulsory element to every European Urban Initiative (EUI) – Innovative Actions (IA) project.** There are a couple of objectives that should be achieved by introducing this component, key amongst which are to improve the innovation capacity of cities acting as Transfer Partners (TPs) and to increase the general adaptability and transferability of the innovative solution developed by the IA project to other urban areas in the EU. The transfer component will support the Main Urban Authority (MUA) and three TPs from different Member States to consider transfer and scaling of the innovative practice.

Key aspects of the transfer component are set out in the [EUI-IA Guidance](#), especially in:

- **Chapter 5 Transfer**, where the general logic, objectives, principles of transfer partnership, timeline of implementation, rules of identification and selection of TPs, basic introduction to working methods (including a list of obligatory activities, deliverables and outputs), as well as budget and financial principles are presented;
- and **Chapter 2.2.& Work Package Transfer**, where required elements of Work Package Transfer (WP Transfer) are presented.

Please note that this Factsheet must be read jointly with the EUI-IA Guidance.

**The Factsheet details the framework of the transfer component, providing the IA projects with a manual designing and implementing transfer activities in the most effective and beneficial way for all Partners involved.** In this sense, the transfer framework presented in this Factsheet should help MUAs and their Partners in designing a meaningful and complete WP Transfer.

The Factsheet presents the EUI requirements (and obligatory elements) of the transfer cooperation, recommendations and a palette of optional activities from which each IA project can compose its own WP Transfer. It also explains the role of a Transfer Expert (see Section 4 “Transfer Experts”) and how MUAs and Partners can benefit from Transfer Experts support.



**Info  
note**

This Factsheet refers only to the Implementation Phase of the IA project, therefore does not cover MUA’s tasks, obligations and rules applicable at the application stage or Initiation Phase. Tasks expected from MUA and TPs at these earlier stages regarding the transfer component are explained in the EUI-IA Guidance and in the Initiation Phase Factsheet.

## 2 KEY PRINCIPLES

**Transfer cooperation should ideally include all the Partners** – not only the MUA and TPs, but also Associated Urban Authority/Authorities and Delivery Partners to allow everyone to benefit from the exchange within the group of IA project key actors.

**IA transfer framework consists of several obligatory elements** (activities, deliverables and outputs) both for the MUA and TPs, **as well as a palette of additional recommendations, tools and working methods** that each project can use to make their WP Transfer useful for all Partners involved.



### Point of attention

As explained in the EUI-IA Guidance, the transfer component of the IA projects has been introduced on the one hand **to prepare the process of replicating the innovative solution in the TPs**, and on the other hand **to raise the innovation potential of the TPs**. In this sense, transfer is about the practice (innovative solution) as well as about the process.

All Partners are invited to maximise benefits of the collective exchange and opportunity not only to observe and learn about the concrete urban solution, but equally importantly about the process of developing an urban innovation.

**Transfer scope and its wider logic.** It should be noted that the outcome of the transfer cooperation in each individual case will be different. In some cases, it will lead to transferring the entire innovation concept of the IA project, in others to transferring selected elements fitting the needs of the particular TP. In some cases, TPs will be interested in transferring to their own urban context the solution in a very similar format, in other cases the innovative solution elements will serve as a starting point and inspiration for the TP to develop their own models. All these approaches are welcomed within the IA transfer framework. At the same time, it should be noted, that TPs are invited to act in an ambitious way, challenging their own status quo and not limiting their activities and interest only to the easiest elements of the IA projects.

Transfer should also be perceived as a wider process which includes also administrative change, culture shift, and a chance to improve a general innovation capacity, both for MUA and TPs. In this sense, all Partners are invited to shape their transfer cooperation in a way allowing to fully benefit from this exchange.

Transfer Partners should seek opportunities to maximise the use of the transfer cooperation to:

- learn about the innovative solution, explore ways of adapting it to their local context, and plan further implementation beyond the timeframe of the cooperation and scope of the IA project;

- increase their general readiness and capacity to innovate and develop new urban solutions while observing how MUA and its Delivery Partners are implementing the innovation process.

One of the objectives of the transfer cooperation, as set at the EUI level, is **to increase the transferability of the innovative solution**. This objective must be understood from the perspective of identifying, indicating and explaining to TPs (and in a wider sense – via dissemination activities and EUI - Innovative Solution Model available on the EUI and Portico<sup>1</sup> websites – also to a broader EU urban audience) the conditions, resources, and other crucial factors necessary for the successful implementation of the innovative solution, as well as other aspects that need to be considered by each individual city in terms of adapting the solution to their local contexts. It must be noted, that increasing the transferability of the innovative solution doesn't mean modifying the scope and format of the solution as designed by the MUA in the Application Form, other than introducing modifications resulting from the experimental character of the IA project.

As a new element of the IA framework, **the implementation of the transfer component will be supported by the Transfer Experts** (see section 4 “Transfer Experts”). Each IA project will be allocated a Transfer Expert whose role will be to advise and guide the IA project's transferability, as well as support the Permanent Secretariat in monitoring the progress and scope of the transfer cooperation. Transfer Experts will work in collaboration with IA Experts.

### 3 WORK PACKAGE TRANSFER BUDGET

The WP Transfer budget is individually planned by each IA project at the application stage and modified, if necessary, at the Initiation Phase Stage. In general, it is composed of MUA's (and/or Delivery Partners') budgets for the overall coordination and implementation of transfer activities, and fixed lump sums for each TP.

Regarding MUA's / Delivery Partners' budgets for the WP Transfer, the amounts are individually decided by each IA project taking into account foreseen scope of work and Partners involved.

Regarding the TPs' budgets, there is a **budget for each TP in a form of a lump sum amounting to EUR 150 000** (EUR 120 000 ERDF and own contribution of EUR 30 000). It is expected that each TP will be able to cover from the allocated amount key expenses like:

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<sup>1</sup> Portico is the European urban knowledge platform is being developed by the EUI and funded by the European Union, to support better urban policy and strategy design, implementation, and mainstreaming. The platform connects urban actors with the knowledge, people, and initiatives they need to implement sustainable urban development. It can be found under the following link: <https://portico.urban-initiative.eu/>

- staff costs of the staff involved in the transfer cooperation,
- travel costs related to the participation in the site visits and partnership meetings,
- preparations of all obligatory deliverables and outputs,
- any preparatory works allowing the TP to get ready for transferring the innovative solution in their own local context (external expertise, investment documentation, small-scale pilot investments, local co-creation/participation activities with relevant stakeholders, etc.),
- communication activities.

As indicated in the EUI-HA Guidance, Chapter 5 Transfer: “Lump sums for the Transfer Partners will be reported in FCs (30% in FC1 and 70% in FC2). They will be accepted provided that all following conditions are met – for FC1: the Partnership Agreement with the Transfer Partners is signed and provided to the Permanent Secretariat (please note that, in principle, the whole ERDF payment related to FC1 will be suspended in the absence of the above condition); for FC2: Transfer Partners’ pre-defined deliverables and outputs are completed and submitted to the Permanent Secretariat. Please note that, as for all other Project Partners, it is the responsibility of the MUA to collect and submit all the Transfer Partners’ deliverables and outputs to the Permanent Secretariat and pay lump sums to the Transfer Partners.” The details of the management of the ERDF advance payments received (when and under what conditions TPs receive their lump sums from MUA) are to be decided by the Partners in the Partnership Agreement, similarly how this is being decided between MUA and its Delivery Partners.

It must be noted that no costs related to transfer cooperation can be incurred before the start date of the WP Transfer neither by MUA (if not reflected in other WPs) nor by the TPs.

## 4 TRANSFER EXPERTS

Transfer Experts are selected and financed by the Permanent Secretariat to co-create the IA transfer component, assist in its overall execution and monitoring, and to support IA projects in implementing transfer activities.



### Support

Transfer Experts’ support for the IA projects has a twofold character: providing individual support, advice and guidance (also on-demand basis) and providing collective support.

### Individual support

Each IA project will be allocated a Transfer Expert who will assist the MUA and TPs in key moments of the WP Transfer implementation and provide on-demand support. Each IA project is invited to exchange with their Transfer Expert to ensure a good quality transfer component of their project and to enhance

the overall transferability of the piloted innovative solution. Details on the scale and scope of the Transfer Expert support are provided below.

**Transfer Experts** will be present during the key moments of the WP Transfer preparations, implementation and conclusion. They will:

- **provide introductory advice on designing and planning transfer activities,**
- **engage in exchange with TPs on obligatory deliverables and outputs expected from them** (Transfer Capacity Surveys, SWOT analysis, individual TPs' roadmaps and Replication Feasibility and Opportunity Study – hereinafter: Transfer Study – see below for the details),
- **take part in 3 obligatory site visits** (Opening Site Visit, Deep Dive Site Visit and Closing Site Visit – see below for the details),
- **contribute to the preparation of the EUI - Innovative Solution Model.**

The Permanent Secretariat will contract each Transfer Expert for a certain number of days to perform these tasks.

At the same time, **Transfer Experts will also be available to respond to on-demand requests from MUA or TPs.** On-demand Transfer Expert support can be dedicated to, for example:

- advice and guidance regarding planning the IA project's transfer activities or solving individual challenges related to implementation of WP Transfer.
- facilitation of a transfer activity (such as workshops, site visits or any other form of online or in-person exchange).
- support in planning and structuring TP's own transfer activities and participation in the IA project implementation to make this learning opportunity as useful as possible.

**The maximum number of days that can be requested by each IA project for ad-hoc, on-demand support throughout the WP Transfer preparation and implementation is 8.** On-demand support can be requested by MUA and each TP, however TPs' request should be managed by MUA (and communicated to Transfer Expert via MUA) who holds the responsibility to monitor the total number of days of expertise used, and not to exceed allocated pool of days. MUA should make sure that days are shared fairly and equally among all the Partners.

Each IA project is expected to discuss details of the collaboration with their Transfer Expert (agreeing on the communication channels, mutual expectations, overall timeline, etc.), in order to optimise the available expertise resource.

### **Collective support, advice and guidance**

On top of individual support, some collective formats at the Initiative level for all IA projects are foreseen. They will take the shape of on-line trainings, webinars, supporting documents, and other capacity building interventions as required. In principle they will be organised at the Permanent Secretariat's initiative, however IA projects are invited to signal to the Permanent Secretariat what kind of support will be needed and beneficial for them.

## Complementarity between the IA Expert and Transfer Expert

As per the EUI-IA Guidance Chapter 1.9 The European Urban Initiative Experts, each IA project will also benefit from the support of an IA Expert. IA Experts are responsible for providing the MUA with advice and guidance (ongoing and ad-hoc) on strategic and operational aspects of the IA project, related to the policy area addressed by it, its innovative solution; as well as for knowledge capture and dissemination at IA project-level: collecting data and evidence from projects, producing and disseminating accessible content to ensure the knowledge legacy of the project.

Operationally speaking, IA Experts will focus their support on MUA and on knowledge capture and dissemination efforts of the innovative solutions, while Transfer Experts will focus their support on TPs and their individual efforts around transferring the followed solution to their own urban contexts, and on analysing the innovative solutions from their transferability perspective.

To summarise:



### Transfer Expert

**focused on:** transferability of the innovative solution; transfer learning experience and needs of the TPs.

**support mostly dedicated to:** TPs.



### IA Expert

**focused on:** strategic and operational implementation of the innovative solution; capturing and disseminate the thematic and operational knowledge generated by the IA projects (the main findings, lessons learnt and experiences)

**support mostly dedicated to:** MUA

# 5 TRANSFER FRAMEWORK

## 5.1 BEFORE THE START

As per EUI-IA Guidance (Chapters: 1.7 Project Phases, Chapter 2.2.& Work Package Transfer and Chapter 5 Transfer) **Work Package Transfer (WP Transfer) starts at the latest 12 months after the IA project start date and lasts until the end of the Implementation phase.** The start of this WP should be decided by the MUA and the TPs after analysing the most feasible and beneficial moment to launch the cooperation. This should allow TPs to become involved at the most opportune moment during the initial stages of implementation of a project. Depending on the decided starting moment, transfer cooperation will therefore last in principle between 2.5 and 3.5 years.



Taking this into account, the MUA and the TPs should dedicate the first year of IA project implementation to the following tasks:

- **Finalisation of the formal aspects of the transfer cooperation** (if not completed at the Initiation Phase), regarding signing the Partnership Agreement with the TPs and agreeing on all the formal, organisational and financial aspects of the cooperation.
- **Joint preparations of the WP Transfer** (agreeing on the project-specific ambitions and objectives, determining joint activities and their timeline, clarifying respective roles and responsibilities, establishing organisational details of the transfer cooperation – collaboration mechanisms, communication channels, etc.) and obtaining the Permanent Secretariat's approval.
- **Getting to know each other and establishing a shared project culture.**

Projects which will conclude the above-mentioned tasks before the end of the first year of the IA project implementation are invited to:

- **Start implementation of the WP Transfer** and activities which are planned there.



**Point of attention**

**WP Transfer should be prepared jointly by the MUA** (and its relevant Delivery Partners) **and all TPs.**

The draft **WP Transfer must be presented to the Permanent Secretariat for approval.** The approved WP Transfer will be added to the Application Form in the Project Monitoring System (PMS). **The MUA and TPs are only allowed to start implementation after obtaining the approval.**

WP Transfer must be approved by the latest on the 12<sup>th</sup> month of the project implementation to allow the latest start of its implementation as per the rule explained above.

Within the transfer cooperation period, **the transfer framework has 4 main stages which should be reflected in the WP Transfer:**

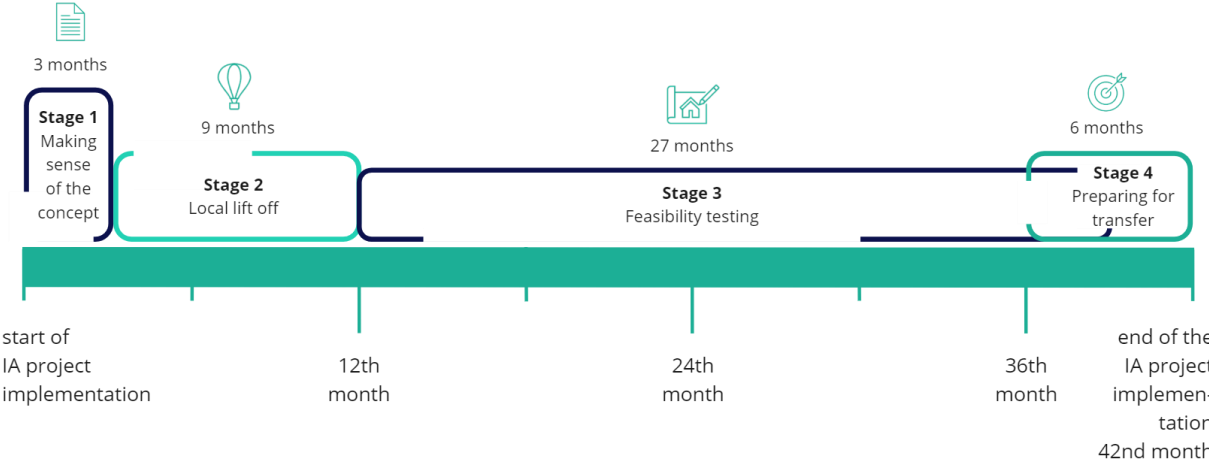
1. **Stage 1: Making sense of the concept** (around 3 months)
2. **Stage 2: Local lift off** (6-9 months)
3. **Stage 3: Feasibility testing** (minimum 18 months)
4. **Stage 4: Preparing for transfer** (around 6 months)

As indicated above, the MUA can decide on the most convenient beginning of the WP Transfer implementation having one year flexibility. Depending on the chosen start date, transfer stages will have a different length. It is also recommended that stage 4 partly overlaps with stage 3, allowing TPs

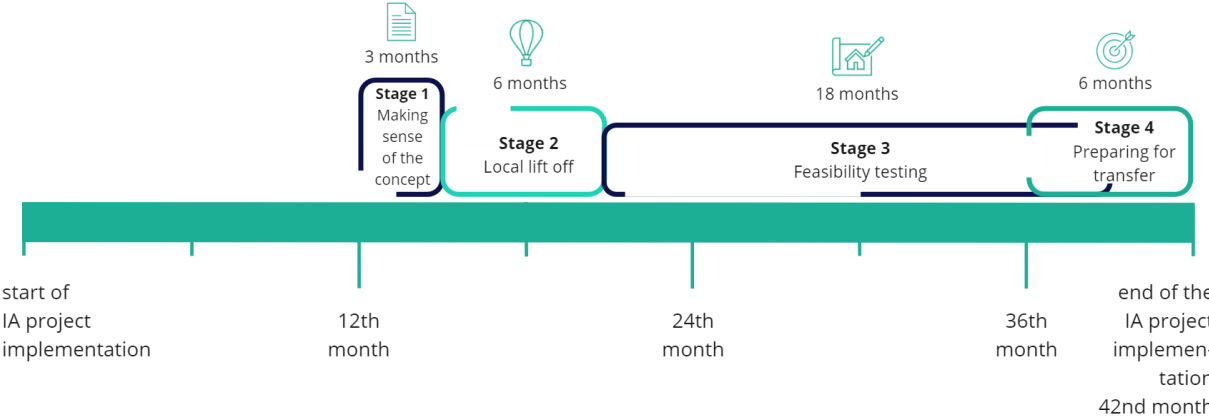
to have more time for the feasibility testing, while on the other hand all Partners can start concluding the transfer cooperation at the Partnership level.

The graphs below illustrate two examples of possible scenarios – first, when the implementation of the WP Transfer starts together with the IA project implementation and the second, when the implementation of the WP Transfer starts at the latest possible date (month 13<sup>th</sup> of the IA project implementation).

*Example 1: WP Transfer start date on the 1st month of the IA project implementation.*



*Example 2: WP Transfer start date on the 13th month of the IA project implementation.*



MUA and TPs are invited to start the WP Transfer implementation without undue delay to maximise benefits of the transfer cooperation.

Although these four stages may appear to represent a linear journey, this is unlikely to be the case in practice. Instead, the experience will require points where Partners check back to earlier parts of the process. For example, it is unlikely that the innovative solution will be fully conveyed in Stage 1, as this

will be only a very early point of the IA project implementation. The use of learning loops will therefore be an important part of the overall framework.

Each of these stages is outlined in detail in the sections below.

## 5.2 STAGE 1: MAKING SENSE OF THE CONCEPT

### *Main objectives of Stage 1 and key tasks for the Partners*

The main objective of the “**Making sense of the concept**” stage of the transfer cooperation is to kick-off the transfer activity by ensuring that all the TPs (and also the Transfer Expert) have a good understanding of the innovation concept and that a proper working culture is put in place.

This stage is dedicated therefore to the following task:

- **Introducing TPs to the innovation concept presented by the IA project** (both at the macro-level presenting the strategic fit, the big idea, the principles, the challenges it addresses, etc.; as well as at the micro-level presenting the Delivery Partners, the governance model, planned implementation activities, financial management, etc.).
- **Establishing cooperation working culture and further detailing operational aspects of the transfer cooperation** (based on the approved WP Transfer).

### *Recommended duration of Stage 1*

Around 3 months

### *Obligatory activities for Stage 1*

As per EUI-IA Guidance, Chapter 5 Transfer – one activity is obligatory at this stage: the **Opening Site Visit**.

The Opening Site Visit should be **organised and hosted by the MUA and take place soon after the start of the WP Transfer implementation (within the first 3 months of the implementation of this WP)**. Apart from all TPs, it will also be obligatory **attended by the Transfer Expert** allocated to each IA project to, among others, provide support and guidance. It is recommended, if possible, that the IA Expert takes part in this visit as well.

The Opening Site Visit should be designed as an immersive event (ideally 1.5 – 2 days duration) allowing TPs and Transfer Experts to learn about the IA project from different local perspectives, to have a joint in-depth dive into the IA project’s objectives and delivery plan, to visit relevant locations, to meet with the Delivery Partners, Work Package leads and key stakeholders, and to exchange on the project’s ambitions bringing into the discussion also TPs external perspectives. Making this opening encounter as practical and informative as possible is recommended for the efficiency and effectiveness of future collaboration.

Some time should be planned for bilateral working between the TPs and the Transfer Expert on top of more collective exchanges, as the role of the Transfer Expert is also to support individual needs of the TPs.



### Support

The EUI Permanent Secretariat will provide the MUA with advice and guidance regarding the organisation and agenda of the Opening Site Visit to help organising it in an effective way.

Apart from the organisation of the Opening Site Visit, Partners are invited to conduct other on-line and in-person activities. These other optional activities can take a form of an online preparatory meeting with Partners to set the scene for the Opening Site Visit, a 'give and take' session to explore what TPs can bring to the project, TPs offering guidance and advice on the MUA's plans, etc.

### *Expected products concluding Stage 1*

There is no obligatory deliverable or output expected from the MUA or TPs to conclude this stage, however after the Opening Site Visit the Transfer Expert will produce an Innovative Solution ID Card.



### Info note

The Innovative Solution ID Card is a tool that allows the TPs to understand the MUA's innovative solution. Content-wise, it addresses key aspects of the innovative solution's implementation, focusing on identifying and highlighting the key factors determining its transferability. In this sense, the ID Card will serve TPs as a reference point for their further reflection on what to take into account for replicating the solution in their own local contexts.

The ID Card template (that can be customized according to the characteristics of the innovative solution and/or MUA's/TPs'/Experts' needs) will be provided to the TPs by the Permanent Secretariat via the MUA.

## 5.3 STAGE 2: LOCAL LIFT OFF

### *Main objectives of Stage 2 and key tasks for the Partners*

The key focus of the **"Local lift off" stage** is on the start of TPs' own reflections of what they learnt about the IA project during the previous stage, and especially during the Opening Site Visit, and to conduct a preliminary exploration of the transfer feasibility of the innovative solution.

This stage is dedicated to the following tasks:

- TP's individual preparation to embark on a transfer journey by **reflecting on and assessing their capacity to replicate the innovative solution and evaluating their general level of innovation potential** (in practical terms this task will take the form of the **entry Transfer**

**Capacity Survey** and **Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis** prepared individually by each TP).

- Planning the details of each TP's own activities (**individual roadmaps**) based on what has been planned by the Partners in the WP Transfer and results of the Transfer Capacity Survey and SWOT analysis.

At the same time, TPs are also invited to reflect on and to initiate any other process or activity that will help them reach the objectives of the transfer partnership, for example: engage local partners and stakeholders who are key for the transfer of the innovative solution.

### *Recommended duration of Stage 2*

Minimum 6 months – maximum 9 months.

### *Obligatory activities for Stage 2*

There is no obligatory activity pre-defined for the MUA or TPs to be conducted at this stage. However, all partners are expected to maintain their collaboration (on-line and in-person) using different working methods. For example, Partners might also want to organise site visit(s) in the TPs' cities to support knowledge exchange between them, or peer review of the Transfer Capacity Surveys and the SWOT analysis to share ideas between the TPs.

This stage should allow each TP to develop their own reflection on the followed innovative solution, identifying how they would like to practically benefit from the transfer cooperation, and how they would like to use the budget allocated to them.

A certain number of pre-defined, obligatory deliverables have been defined for the TPs (see below).

### *Expected products concluding Stage 2*

#### **The Transfer Capacity Survey (Survey)**

Following the Opening Site Visit, **each TP is expected to prepare its individual entry Survey** – a “learning deliverable” whose main aim is **to allow TPs to reflect and assess their capacity to transfer the innovative solution and evaluate their general level of innovation potential** at the beginning of the transfer cooperation. At the end of the transfer cooperation, each TPs will be asked to fill in the Survey again allowing them to reflect on the progress made (see the expected concluding the stage 4 in the section 5.5).

The Survey is a **self-assessment tool**, and the answers remain in principle visible only to the respective TP, Transfer Experts and the Permanent Secretariat. They are not publicly shared, although we encourage Partners to share them between themselves for the peer reviews as part of the learning journey.

The Survey is composed of two parts. In the first part, addressing TP's capacity to deploy the followed innovative solution, each TP is asked to reflect on, among others: the transfer vision; local challenge to be tackled; level of political support to the deployment of the innovative solution; broader context in

the TP's city; stakeholder ecosystem; social and environmental considerations; required regulatory frameworks; management and governance models; resources; long-term sustainability of the deployed solution and risks.

Part two of the Survey is dedicated to the overall innovation potential at the TP's city level, each TP is asked to reflect on, among others: innovation leadership at the city political level; capacity/tolerance for risk; capacity for cross-sectoral collaboration and effectiveness of cross-departmental collaboration; capacity to design, prototype and scale innovation pilots; and availability of funds.

The Survey template will be provided to the TPs by the Permanent Secretariat via the MUA.

### **SWOT analysis**

Each TP will be asked to conduct a SWOT analysis to identify context-specific Strengths, Weaknesses, Opportunities, and Threats. This exercise will support each TP in reflecting on the aspects needed for successful transfer of the innovative solution, underpinning the innovative solution's strong points, leveraging opportunities, mitigating weaknesses, and adapting to threats.

The SWOT document is composed of two parts: the SWOT analysis itself, and the SWOT synergies appraisal. A template (that can be customized according to the characteristics of the innovative solution and/or MUA's/TPs'/Experts' needs) will be provided to the TPs by the Permanent Secretariat via the MUA.

### **Individual roadmap**

In order to conclude this stage and based on the completed Transfer Capacity Survey and SWOT analysis, each TP is expected to prepare its individual roadmap. There is no template, and each TP is invited to design it for their individual needs.

MUA and TPs are invited to exchange on the prepared roadmaps for inspiration and shared understanding on everyone's individual plans and ambitions. The TPs are also expected to exchange on the planned roadmaps with their respective Transfer Experts.

Each TP is expected to exchange on the Survey, SWOT analysis and individual roadmap with their Transfer Expert to get their advice, feedback and recommendations. This exchange should bring an external perspective to the TP's reflection, whilst providing Transfer Expert with a better understanding of the conditions and ambitions of the TPs to adequately tailor their advice and guidance role. Transfer Experts are also available to help in preparations of these documents in case support is needed.

## **5.4 STAGE 3: FEASIBILITY TESTING**

### *Main objectives of Stage 3 and key tasks for the Partners*

The key objective of the **"Feasibility testing"** stage is to deepen the TPs' practical readiness for transfer of the innovative solution. This will comprise a detailed analysis of the scale of the transfer opportunity in each case, as well as providing space for local area testing, prototyping and experimentation.

While the two previous stages had an introductory and preparatory character, this is **a key stage of the transfer cooperation dedicated to the TPs' own work based on the prepared roadmaps in order to deepen their understanding of the piloted innovative solution**. This stage is planned to overlap with the IA project phase when the piloted innovative solution will start taking mature shape allowing all Partners to have a proper in-depth and practical exchange.

This stage is dedicated therefore to the following tasks:

- **Allowing TPs to have a deep dive into the mature form of the innovative solution**, observe progress and development, as well as to explore the challenges that have arisen.
- **Implementation of the individual TPs' roadmaps** and concluding its findings in a form of a **Transfer Study individually prepared by each TP**.

### *Recommended duration of Stage 3*

Minimum 18 months.

### *Obligatory activities for Stage 3*

In order to fulfil the objectives described above, Partners are invited to remain in a regular working contact and to organise regular on-line or in-person meetings, for example: site visit(s) in the TPs' cities.

At the same time a second site visit is obligatory at this stage: The **Deep Dive Site Visit**.

The Deep Dive Site Visit should be **organised and hosted by the MUA** and it is recommended that this **should take place no later than by the end of the second year of the IA project implementation**. Apart from all TPs, it should also be **attended by the Transfer Expert**. If possible, the IA Expert might take part in this visit as well. The Site Visit should ideally last 1.5 – 2 days and have an interactive, tangible format allowing TPs to gather a good, in-depth understanding of how the innovative solution is being implemented and IA project's lessons learnt so far.

The second type of obligatory activities refer to **the work conducted by the TPs following their prepared roadmaps**. For each TP, this stage is key for testing the feasibility of transferring the innovative solution. Time and budget allocated for this stage should be effectively used to advance any preparatory works that will help the TPs for future transfer by, for example: ordering external expertise, preparing the investment documentation, deploying small-scale pilot investments, implementing local co-creation/participation activities, engaging with relevant stakeholders, etc.

A tool that will help the TPs capture all aspects of feasibility and opportunity analysis of the transferring innovative solution to their urban areas is the Transfer Study.

### **The Transfer Study**

The Transfer Study is a document prepared individually by each TP based on critical analysis of the innovative solution piloted by the MUA vis-à-vis their local urban context, and conclusions of their own transfer activities implemented as part of the IA project.

The Study should serve as **a tool to assess the feasibility and opportunity of replicating the followed innovative solution answering to the identified local urban challenge**. The Study will focus on analysing

parameters of the innovative solution in order to determine the desired and possible scope of adaptation, replication and/or scalability, key conditions and resources needed (technical, environmental, societal, legal, governmental, human, etc.), key aspects limiting potential adaptation, replication and/or scalability, as well as next steps after the completion of the IA project.

The Study should be perceived as **the ultimate output concluding the transfer journey for each TP**, and at the same time as a starting point for further work on adapting, replicating and/or scaling the solution using other financial resources/funds.

In this sense, work on the Study should be seen as an on-going process throughout entire “Feasibility testing” stage and it is expected to be concluded during the last transfer stage. Following the same logic as presented above for the Transfer Capacity Survey, SWOT analysis and individual roadmaps, each TP is expected to exchange on the Transfer Study with their Transfer Expert. This exchange should be foreseen as crucial to enhancing the robustness and utility of this primary transfer output.

### *Expected products concluding Stage 3*

At the end of this stage, it is expected that TPs will have **first drafts of their Transfer Studies** ready (please see Section 5 “Stage 4: Preparing for Transfer” for details).

## **5.5 STAGE 4: PREPARING FOR TRANSFER**

### *Main objectives of Stage 4 and key tasks for the Partners*

The “**Preparing for Transfer**” stage is the final stage of the transfer cooperation. It’s a closure moment to conclude all undertaken activities, summarise the transfer journey (at the IA project level and individually, at each TP level) and prepare the final outputs.

Note that the start of this stage can partly overlap with the “Feasibility testing” stage (see section *Overview of the transfer stages* for the visual illustration). This will allow TPs to finalise last activities related to testing the feasibility of transferring the solution, and at the same time, at the Partnership level, Partners can start concluding the cooperation and work on the remaining tasks.

This stage is dedicated therefore to the following tasks:

- **Summary of the IA project implementation, lessons learn, results of the experimentation and conclusion of transfer collaboration** between all Partners.
- **Conclusion of each TP’s individual journey** summarised in the form of the exit Transfer Capacity Survey and finalisation of the Transfer Study.
- **Preparation of the legacy of the IA project in a form of a EUI – Innovative Solution Model** based on the evaluation of the piloted solution, summary of all implemented IA project activities and TP’s transfer experience.



### *Recommended duration of Stage 4*

Around 6 months.

### *Obligatory activities for Stage 4*

In order to fulfil objectives described above, TPs are expected to design relevant on-line and in-person activities. Implemented activities should allow for a proper closure of the transfer cooperation, and especially: to make sure that the results of the experimentation are profoundly presented and discussed with the TPs, to reflect and summarise all aspects of transferability of the solution that should be identified and communicated to a wider EU urban audience (IA project legacy, among others, will be available on both the EUI website and on Portico, and will be composed of different elements: IA Expert's outputs published throughout the IA project implementation, MUA's communication and dissemination inputs, and EUI – Innovative Solution Model jointly prepared by all Partners and both Experts). TPs are also encouraged to design and implement their own closure activities together with an in-depth reflection on the next steps that will allow them to use lessons learned and replicate elements or the full scope of the followed innovative solution.

In terms of pre-defined obligatory activities, the last site visit is obligatory at this stage: the **Closing Site Visit**.

The Closing Site Visit should be **organised and hosted by the MUA and it is recommended to take place soon after all Thematic WPs are completed**. Apart from all TPs, it should also be **attended by the Transfer Expert**. If possible, the IA Expert might take part in this visit as well. The Site Visit should ideally last 1.5 – 2 days and have an interactive, practical format providing TPs with an in-depth understanding of the results of the experimentation, and the eventual shape of the implemented solution, as well as plans for its long-term durability and up-scaling.

The second type of obligatory activities refer to the continuation of **the TPs own work following their prepared workplans**. This last phase should be dedicated to closing the transfer journey within the IA project timeframe and preparing for the future.

### *Expected products concluding Stage 4*

There are three obligatory deliverables and outputs concluding this stage, and the same time the entire transfer component of the IA project. These are:

- **EUI – Innovative Solution Model** prepared by MUA with inputs from the IA Expert, the Transfer Expert and TPs.
- **Exit Transfer Capacity Survey** prepared individually by each TP.
- Final version of the **Transfer Study** prepared individually by each TP.

### **The EUI – Innovative Solution Model**

The Innovative Solution Model is the ultimate legacy output of the IA project allowing others (all interested EU cities and other urban actors) to learn about the findings of the experimentation and

receive some guidance on how to approach replication and transfer. The Innovative Solution Model will be publicly available on Portico and the EUI webpage.

More detailed guidance and a template for the Innovation Solution Model will be provided to the TPs by the Permanent Secretariat separately.

### Exit Transfer Capacity Survey

As explained above, the Survey is an individual **self-assessment tool** that will allow each TP to **assess their capacity to replicate the innovative solution and evaluate their general level of innovation potential** at the beginning and at the end of the transfer cooperation. Specifically, a key aim of the exit Survey is to record the changes and the impact of participation in the transfer process on partners' overall innovation capacity. The format and content of the Survey remain in principle the same as the one completed at the very beginning of the transfer cooperation.

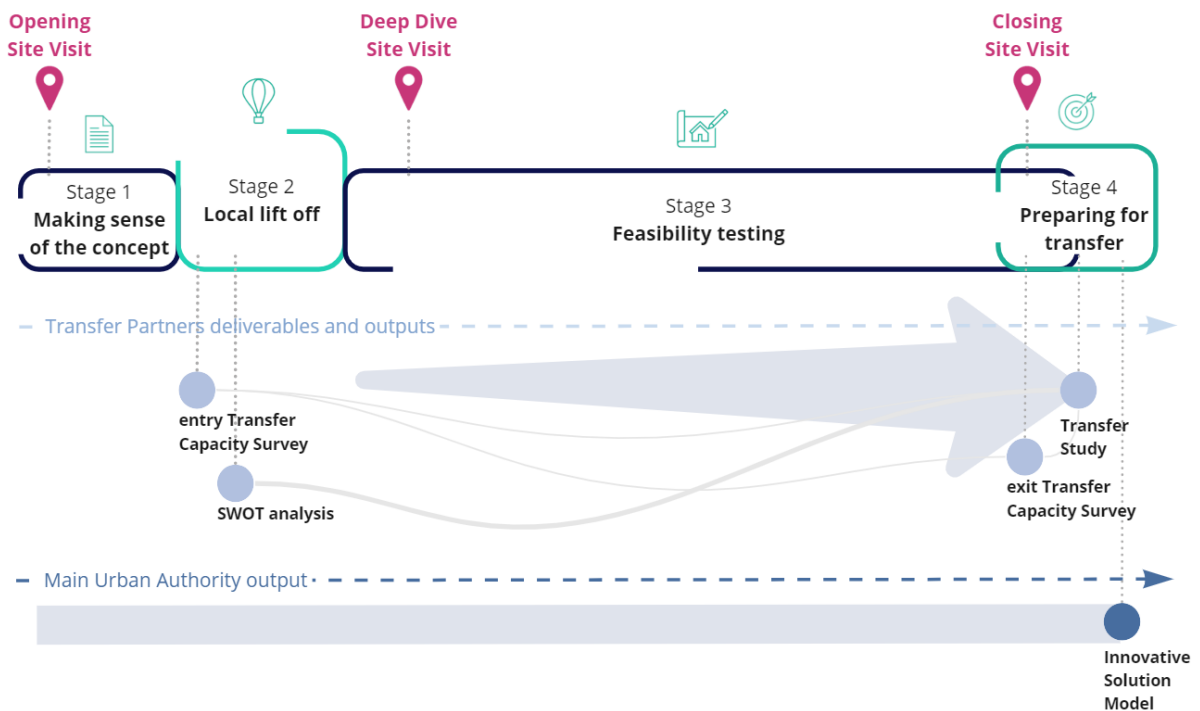
The Survey template will be provided to the TPs by the Permanent Secretariat via the MUA.

### The Transfer Study

The Study, as presented above, should be concluded at this stage.

## OVERVIEW OF THE TRANSFER STAGES

A visual overview of all transfer cooperation stages, including pre-defined deliverables and outputs (and indication who (TPs/MUA) are responsible for them), as well as of the timing of obligatory site visits is presented below.





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