



Mid-term Evaluation 2015

# Mistra Urban Futures

May 11, 2015

**Authors:**

EVALUATION PANEL

**Ilmar Reepalu**, (chair), Former Mayor of the City of Malmö, Sweden

**Caroline Moser**, Emeritus Professor at the University of Manchester, United Kingdom

**John Robinson**, Professor at the University of British Columbia, Canada

**David Dodman**, Acting Head of the Human Settlements Group, International Institute for Environment and Development (IIED), United Kingdom

**Carl-Johan Engström**, Professional Urban Planner and Professor at the Royal Institute of Technology, Sweden

Contact at Mistra: **Johan Edman**

The contents of this mid-term evaluation are the responsibility of the authors



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# 1 Main Conclusions and Recommendations

## /executive summary

The evaluation panel concludes that based on its proposed plans, Mistra Urban Futures will play a critical global role in supporting and implementing the vision of fairer, greener and more accessible cities. The panel nevertheless considers that the following recommendations be taken into account in order to ensure that this vision is achieved in practice.

- ▶ The panel recommends retaining a substantial and explicit commitment to making co-production / co-creation a central element of Mistra Urban Futures as the most significant way in which the programme can continue to make a substantial and globally relevant contribution to the discourse and practice of sustainable urban development.
- ▶ The panel recommends that the LIPs remain at the heart of providing practical examples of how co-production and co-creation are put into practice. The panel recommends that the relationship between LIPs in the development of these collaborative ideas fully embraces the principles of co-creation, including co-design that genuinely involves local partners.
- ▶ The panel advises caution in relation to the creation of new international LIPs. Given the length of time taken to establish a common vision and approach, and the inevitable constraints, particularly in relation to the capacities of the secretariat to engage with LIPs, we recommend prioritising the sub-objective of strengthening collaboration between existing LIPs over the suggestion to create more new LIPs.
- ▶ The panel recommends that the MUF secretariat should engage with global agendas by prioritising translating, scaling up, and making LIP and cross-LIP findings relevant and applicable (including, but not limited to, the Sustainable Development Goals, a post-2015 climate agenda, and Habitat III) – rather than applying priorities from global processes to the work that is being done locally in the LIPs.
- ▶ The panel strongly recommends the appointment of one further senior staff member in the MUF secretariat with substantive responsibilities as Deputy Director for Engagement.
- ▶ The panel recommends that as Board members are gradually replaced over time, that issues of diversity and global representation are taken seriously – a commitment to global partnerships in the work of MUF should be reflected in its highest decision-making body.
- ▶ The panel recommends that further attention is paid to the budgeting and strategic planning for raising additional counterpart funds for the 2016-19 period, and that fundraising for the post-2019 period is treated as a matter of significant priority by the secretariat and the Board.

## 2 Introduction

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### 2.1 A Brief History

In 2008, Mistra, the Swedish Foundation for Strategic Environmental Research, made an open call for research proposals concerning sustainable urban development. The idea was to create a full-scale, internationally renowned, research centre, based in Sweden but with a number of local platforms in different parts of the world. The call text (Annex 2) was relatively detailed about Mistra's expectations with the initiative.

After evaluation, a bid submitted by the Gothenburg Consortium<sup>1</sup> (GC) (Annex 3) was selected in 2009 from a handful of competing proposals and Chalmers University of Technology was appointed host organization for the centre. Mistra Urban Futures (MUF) was formally established in early 2010 with a 2-year build-up phase to develop and establish the centre. An agreement was signed in 2012 between Mistra, and Chalmers University of Technology (Annex 4) to fund and host an international centre for research and practice on sustainable urban development. The GC agreed to ensure that the Mistra funding was matched and Sida (the Swedish International Development Cooperation Agency) contributed additional funding specifically to support poverty-reduction activities.

The Mistra Board decision was for a possible 10-year commitment, including a build-up phase in 2010–2011, a first fully operational phase in 2012–2015, and a second phase in 2016–2019. The commitment is subject to evaluation and decision of funding between the two operational periods. The Progress Report on the first phase and this Mid-Term Evaluation Report pertain to this decision point.

In Gothenburg the consortium also accepted four associated partners to the Mistra Urban Futures, the Swedish Transport Administration, the Swedish National Board of Housing, Building and Planning, SP Technical Research Institute of Sweden and White Architects.

The Mistra funding of the centre was envisaged to be 2+4+4 years, with a start-up review during the second year of operation. The establishment and development of MUF is outlined in various documents made available for the evaluation.

Mistra Urban Futures has, over the past six years, become an international knowledge centre for urban development hosted by Chalmers University of Technology with Local Interaction Platforms (LIPs) in Gothenburg, Kisumu, Cape Town and Greater Manchester. MUF envisions a world with sustainable urbanization and their ethos is co-production, meaning that all knowledge is produced in close collaboration between academia and practice.

#### 2.1.1 The Funders

Mistra Urban Futures has three main funding parties. Mistra is the core funder. Mistra's funding has been equally matched in cash and in kind by the Gothenburg

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<sup>1</sup> The Gothenburg Consortium: Chalmers University of Technology, Göteborg Region Association of Local Authorities (GR), City of Gothenburg, University of Gothenburg, IVL Swedish Environmental Research Institute, the County Administration Board of Västra Götaland, Region Västra Götaland

Consortium, consisting of several important players in the West-Sweden region. Mistra funding will terminate at the end of Phase 2

Sida's funding is used for activities related and relevant to development cooperation and mainly directed to the Local Interaction Platforms in Kisumu and Cape Town (the latter with a regional focus).<sup>2</sup> In addition, local partners in Cape Town, Greater Manchester and Kisumu are providing match funding to MUF.

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## 2.2 Mid-Term Evaluation

Following a start-up review of MUF performed in 2011 by Belinda Yuen two years after start up (Annex 5), which made extensive recommendations, Mistra have now requested a mid-term evaluation that will provide the basis for the funders' decisions regarding the next funding period (2016-2019).

Mistra prepared a Terms of Reference (Annex 6) that, in consultation with the MUF Board and Leadership, have specified that the evaluation should consider the following criteria for this mid-term evaluation:

1. Centre performance
2. Excellence in science, knowledge generation and utilization
3. Integration of science, policy and practice
4. Organisation, management and leadership

The Terms of Reference for the mid-term evaluation specify that the Evaluation Panel review and analyse all available material and information regarding Mistra Urban Futures. Core inputs to the evaluation were the Progress Report 2010–2014 (Annex 7) outlining achievements in the start-up phase and phase1, and the Strategic Plan 2016–2019 (Annex 8), giving the proposed focus for phase 2.

Review of these documents was complemented by visits to each of the LIPS, and interviews with the board and the Secretariat (see section 1.3 and annexes 9 and 10 that show the timetables for these meetings). The reviewers examined the extent to which the Mistra Urban Futures has delivered outputs and impacts in relation to the plan in the original proposal.

During preliminary discussions, the evaluation panel determined that the unique nature of MUF required a modified framework of the evaluation criteria. This approach, which takes an expanded view of the nature of outcomes and impacts, is elaborated in section 2.1 and through-out section 2.

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## 2.3 Evaluation panel and timeline of activities

Mistra convened an evaluation panel of the following members:

- ▶ **Ilmar Reepalu**, (chair), Former Mayor of the City of Malmö, architect and professional urban planner, Sweden
- ▶ **Caroline Moser**, Emeritus Professor at the University of Manchester, United Kingdom
- ▶ **John Robinson**, Professor at the University of British Columbia, Canada
- ▶ **David Dodman**, Acting Head of the Human Settlements Group, International Institute for Environment and Development (IIED), United Kingdom
- ▶ **Carl-Johan Engström**, professional urban planner and professor at the Royal Institute of Technology, Sweden

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<sup>2</sup> Sida has an indirect contractual relation with the MUF Centre through an agreement with Mistra.



See Annex 11 for biographies of the panel members. Johan Edman acted as contact person to represent Mistra. Rebecca Oliver from the Royal Swedish Academy of Sciences supported the Panel in compiling the report, who, together with the Panel members, took part in the evaluation in her individual capacity not as representative of an institution.

The timetable for the Evaluation process can be seen in the Terms of Reference (Annex 6). This timetable was closely followed although the LIP visits took place in April rather than March. More details of the visits and timetable for the Fieldwork by Caroline Moser can be found in Annex 1 and 10 respectively. The programme for the visit to Gothenburg by the whole Evaluation Panel can be found in Annex 9.

Mistra has invited SIDA to participate in the planning and implementation of the Mid-Term Evaluation. Sida submitted recommendations for the choice of Evaluation Panel but has otherwise declined to comment on the evaluation. SIDA did not send a representative to Gothenburg for the meeting on May 4 to 8.

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## 2.4 The Structure of this report

This report presents the main recommendations as an Executive Summary, linked to Annex 1, which reports the fieldwork visits to the non-Swedish LIPs as critical to understanding the recommendations. Section 1 gives all relevant background information regarding MUF and this Mid-Term Evaluation, with links to corresponding Annexes for reference. In Section 2, the assessment of performance to date is presented, starting with a necessary framing of the review. Section 3 looks at the Strategic Plan and lays the ground for recommendations, bringing in the evaluation of the progress made to date and looking for coherence between what has been achieved to date and what priorities have been stated are for the future.

# Section 2:

## Review of past performance

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### 3.1 Framing the Review: engaging with co-production and co-creation

#### 3.1.1 Evaluating co-production

The first sentence of the Executive Summary of the *Mistra Urban Futures Progress Report 2010–2014* states:

- ▼ *“Mistra Urban Futures is in the midst of a decade-long effort to revitalise and revolutionise academic research and practice in urban settings.” (p. 4)*

It goes on to say:

- ▼ *“Five pilot projects were carried out in 2010–2011 to implement and evaluate a methodology for knowledge co-production, which was to become the signature approach of Mistra Urban Futures.” (p. 4)*

These, and many similar statements throughout the Progress Report and Strategic Plan, indicate that knowledge co-production (broadened in the Strategic Plan to knowledge “co-creation”) represents not only the central **methodological** approach of the work of MUF, but also a **key contribution to global practice around urban sustainability**: articulating the meaning and value of co-production of knowledge itself has been a key product of the first five years of operation of Mistra Urban Futures (MUF).

This panel therefore place knowledge co-production and co-creation at the heart of this evaluation. This differentiates this evaluation process from a more conventional one, based primarily on the quantity and quality of academic publications, and/or the direct impacts on urban decision-making or policy-making. On the former issue, we consider that a rather narrowly interpreted ‘technical’ evaluation based solely on ‘scientific’ outputs is not an appropriate means of assessing whether MUF is meeting its goals. Not only do these miss key aspects of the co-production agenda, but also we consider that there are time-frame limitations to any assessment of the quantity and quality of peer-reviewed publications at this point in the programme (how much can really have been initiated, researched, written, and published in 3-4 years?). On the latter issue, direct impacts on decision-making or policy-making are notoriously hard to assess in complex policy and decision environments in which individual decisions are over-determined by many inputs and causal factors.

Instead, the panel consider that **it is more important to evaluate whether, and to what extent, the process of co-production has been used to understand and practice urban sustainability more effectively and to engage with how this can be done more effectively in coming years**. The process and structure of the evaluation therefore reflects this. In order to evaluate the success of MUF in contribut-

ing to the co-production of knowledge in the various locations in which it has operated, it is necessary to take into account some of the key characteristics of the co-production process, including the nature and timing of expected impacts and outcomes, and the interaction between researchers and the various partners in the MUF program.

A focus on co-production means that it is essential to identify the perspectives and views of both academic and professional practitioner partners in MUF in terms of the core outcomes and impacts achieved through the LIPs. Evaluating outcomes and impacts in the LIPs goes well beyond counting publications and concrete products and introduces complex and second order effects and issues around, for example, building social networks and capacity. For this reason in this accompanying text box, the panel explicitly examine the concept of co-production, and how it has itself developed over the course of the past five years, as well as commenting on the proposed expansion to co-creation.

#### **The Conceptualisation of Co-production as presented in MUF the Progress Report and the Strategic Plan**

If co-production lies at the heart of the activities of MUF for the past five years, and co-creation will form the core of the future approach, it is essential to develop a clear understanding of what is meant by these concepts in the MUF context. The Progress Report states:

- ▼ *“Societal problems, particularly those at the urban level, are increasingly complex and require transdisciplinary research from different fields of knowledge and from multiple actors inside and outside the university. The idea of ‘knowledge co-production’ has therefore attracted increasing interest. Knowledge of how to address urban challenges must be collected and developed in dialogue and collaboration between different stakeholders that represent practice, communities and academia. This methodology is the basis for all activities at Mistra Urban Futures.” (p. 5)*

And

- ▼ *“A core mission of the Centre is to create joint arenas to develop, support, translate and communicate locally specific and globally generic knowledge on sustainable urban development.” (p. 5)*

This approach is further elaborated in chapter 3 of the Progress Report, which states:

- ▼ *Knowledge that can contribute to creating sustainable cities, according to the philosophy of Mistra Urban Futures, has to be created or collected in dialogue and cooperation between different users and interest groups, including both academia and practice, across different political and economic agendas. (p. 34)*

These quotations make it clear that interaction between MUF researchers and both academic partners and professional practitioners in the LIP context is critical. To this end, the Progress report evokes the concept of “trans-disciplinary research”:

- ▼ *While it is defined and used in many different ways, the definition [of trans-disciplinary research] used at the Centre focuses on participatory and stakeholder based forms of knowledge production, where the inclusion of multiple disciplines and non-academics in knowledge production processes is central to the ability of the research to create socially relevant knowledge. (p. 35)*

This in turn leads to the following definition of co-production, as the term is used by MUF:

▼ *Co-production is an umbrella term that refers to collaborative approaches to knowledge production that draw upon interactive and participatory research methods for societal problem-solving. In other words, co-production is a research approach that creates new knowledge by combining different sources of knowledge to increase the social relevance of the knowledge produced for policy/practice action and for new academic practices. The research at MUF thus addresses urban complexity through promoting mutual learning and action across diverse urban development contexts and conditions.*

Overall, MUF focuses on bringing together research and practice, and creating joint processes and arenas for social learning between academic researchers and practicing professionals. (p. 35)

In the Strategic Plan, this approach is broadened, and the term “co-creation” is introduced:

▼ *‘co-creation’ is ‘co-design, co-production and co-implementation’ combined. (p. 21)*

And

▼ *The Centre recognises that co-creation is not a single method but a methodological ethos which can be implemented in different ways. It is a means to an end – our hypothesis is that through working collaboratively with all relevant stakeholders at different points in the knowledge cycle we can generate better/more useful/more easily implementable knowledge. (p. 21)*

In effect, co-creation extends the basic approach of co-production to earlier and later stages of the partnership process, including the design and implementation of both research and policy.

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## 3.2 Reviewing the LIPs

Within the overall framework of building more sustainable cities, along with poverty reduction, co-production in each of the LIPs has been shaped by a close relationship between its individual history, institutional structure and staffing, co-production partners, financing and context specific priorities. In addition, Swedish partners have played a critical role in the choice of institutions and LIP sites. Consequently each LIP is unique and the overall richness and success of the MUF lies in the diversity of institutional models and co-production partnerships, outputs and outcomes. While the budget situation within each LIP is complex, a central finding of our evaluation is that, in totality they give excellent ‘value for money’ to MUF. A brief contextualization of the four LIPs comprises the following:

The **Gothenburg Consortium (GC)** was the first, and most important institutional response to the Mistra call in 2008 that culminated in the formal establishment of Mistra Urban Futures in 2010. The initial call for bids to set up a transdisciplinary centre included requirements of co-funding and public-university partnerships. GC built on twenty years of cross-sector and multilevel collaboration practiced by municipalities and regional organizations that influenced the construction of its organization. This included, for instance the Comprehensive Plan of the City of Gothenburg (1993), the Gothenburg Region Association of Local Authorities (GR), *Goals and Strategies with a Focus on Sustainable Regional Structures* (GR 2006) and *Structural Illustration for the Gothenburg Region* (GR 2008), the future regional public transport, K2020, carried out by GR, Region Västra Götaland (VGR), as well as *Dialogue Group* (DG), which was established in 2009 between academic and political organizations including Chalmers, University of Gothenburg, CoG, VGR, and the West Sweden Chamber of Commerce.

The GC, which came from this history, consists of seven partners: Chalmers, University of Gothenburg, GR, Region Västra Götaland, County Administration Board of Västra Götaland, City of Gothenburg and the Swedish Environmental Research Institute (IVL) together with three associate partners: Swedish Transport Administration, Technical Research Institute of Sweden (SP) and White Arkitekter (architectural practice).

The Gothenburg Local Interaction Platform was developed during the build-up phase in 2010-2011, mainly through five pilot projects and the formative evaluation of these. GOLIP is now managed by the LIP Director Mikael Cullberg in collaboration with co-ordinators from the ten local partners (the GC and associate partners), which serve as liaison officers and lead networkers in their respective organisation. GOLIP is supported by the Secretariat staff at a part time basis.

GOLIP institutionalize the ground for co-production of knowledge and joint responsibilities built on three pillars. These are first, co-funding (requirements from Mistra); second, joint leadership for projects; and finally, joint bearers, producers and users of knowledge representing crucial areas of expertise and experience, which aims at enabling knowledge for transition and change. The GOLIP is working with and initiating projects and networks in five main themes: social integration, sustainable urban lifestyles, integrated social and ecological urban systems, business-driven sustainable urban development, and spatial urbanisation and competition for urban qualities.

The **Greater Manchester Local Interaction Platform (GMLIP)** started after Mistra commissioned work on the theoretical conceptualization of co-production by two academics, Simon Marvin and Tim May, at the University of Salford's Centre for Sustainable Urban and Regional Futures (SURF), as well as on previous research on this issue within the university. GMLIP is based in SURF, with Dr Beth Perry as Director, and a small range of staff both in the centre and in the wider university, contributing part- and in-kind time to the programme. The GMLIP is funded by MUF, and around 60% of the budget is provided by the University of Salford, associated academic projects and local in-kind funding. GMLIP's work in co-production is primarily focused on increasing urban sustainability with four partnership co-production platforms and through them to a number of innovative initiatives around increasing economic, ecological, spatial, social and cultural urban sustainability.

The **Kisumu Local Interaction Platform (KLIP)** was the outcome of close links with Sweden beginning in 2006, when local Kisumu academics and practitioners were working on the Kisumu Action Plan. The relationship was consolidated when the Reality Studios started to send students to the city, with the initiative taken over in 2008 by Chalmers University. Although city-level consultative coproduction type processes had been on-going for an extensive period, MUF has provided an opportunity for diverse specialists to firm up their collaboration in working together in the city in co-production, an initiative that no other donor, including UN-Habitat has been prepared to do. KLIP started within the university, but has recently set itself up as the KLIP Trust with a prestigious Board of Trustees. KLIP is entirely supported by Sida with a number of in-kind arrangements for different staff members. The Director is Prof. Stephen Agong, Vice Chancellor, Jaramogi Oginga Odinga University of Science and Technology (JOOEST), with two fulltime KLIP staff, who run the separately located KLIP Trust in the City. KLIP is primarily focused on amassing knowledge to increase urban sustainability through a large PhD programme that involves 23 students implementing or studying co-production around eco-tourism and marketing for their fieldwork site – as is also used by PhD students from the University of Gothenburg. These sites are more a means for the creation of knowledge around co-production rather than to increase urban sustainability per se.

The **Cape Town Local Interaction Platform (CTLIP)** was invited to join MUF specifically because of its history of co-production work. As a senior advisor to the government, Edgar Pieterse had observed first-hand the 'disconnect' between

the intellectual depth of policy-makers at different levels and the academic discourses of neo-liberalism. Collaboratively with colleagues at the University of Cape Town (UCT), the African Centre for Cities (ACC) was established to create a different research culture generating a different knowledge. CTLIP sits within the ACC at the University of Cape Town. Being a self-funded research institute, staff members, including the Director, do not hold tenured university funded positions. The Director of CTLIP is Dr Zarina Patel, whose salary is currently fully paid by MUF/Sida, as is ACC's Deputy Director, Gordon Pirie – which enables ACC Director Edgar Pieterse to play a critically important role in ACC's global and local agenda. Others supported by the MUF include Warren Smit, who coordinates the CityLab programme, with four further staff in full or part-time funding arrangements. CTLIP focuses both on using co-production to increase urban sustainability directly as well as to increase knowledge relevant to increasing urban sustainability. This is achieved through its embedded programme in Cape Town that includes PhD students embedded in the City Authority, as well as practitioners embedded in the University. Its regional programmes, such as AURI and its Urban Africa website, focus on the second objective, namely to increase knowledge relevant to increasingly urban sustainability.

### 3.3 Assessing Results

#### 3.3.1 Assessment Framework

As mentioned above, the discussion of co-production and co-creation in the MUF context clarifies the limitations of conventional forms of evaluation, which are based on counting publications and policy impacts and call for the development of an alternative evaluation methodology, sensitive to the underlying ethos and goals of MUF, in order to determine the success of MUF activities and plans.

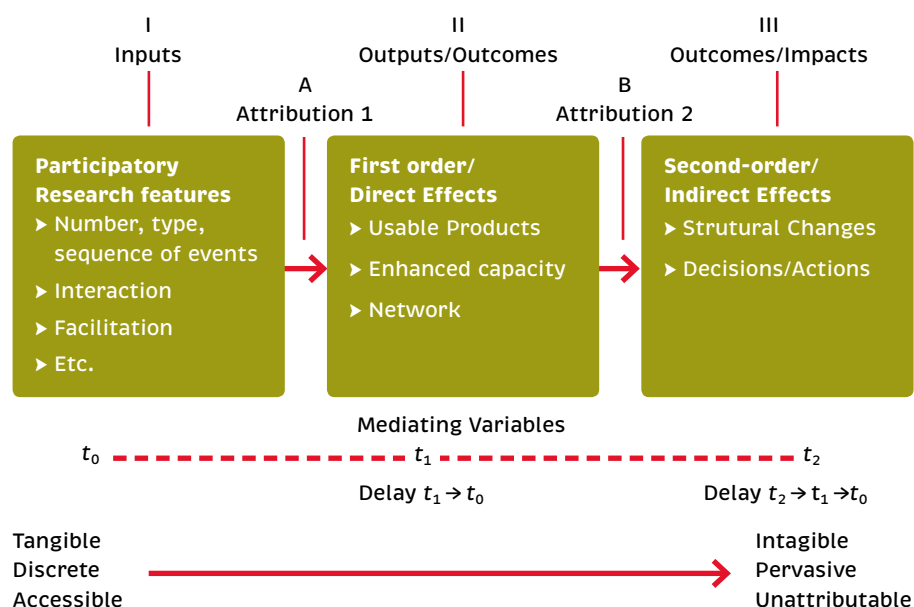
Of particular relevance here is the growing literature on new forms of participatory research, much of it framed in the context of new approaches to the role of science in society, such as Mode-2 science (Gibbons et al. 1994; Nowotny et al, 2001), post-normal science (Funtowicz and Ravetz 1993), interactive social science (Caswill and Shove, 2000), and various forms of problem-based interdisciplinarity or transdisciplinarity (Klein, 2004, Robinson 2008; Lang et al, 2012). This work has in turn given rise to various attempts to articulate criteria for assessing the societal impacts of various forms of such research.<sup>3</sup> Building on the work of Wiek et al (2014), the evaluation panel highlight the value of the following effect categories for solution-oriented participatory sustainability research, which can be usefully applied to understanding the effects and outcomes of Mistra Urban Futures:

- ▶ **Network effects:** networks created / expanded; community created / expanded; trust; distributed knowledge; accountability.
- ▶ **Enhanced capacity:** acquired knowledge / understanding; improved research capacity; use of technologies; anticipatory competence.
- ▶ **Usable products:** technologies; products (goods); publications.
- ▶ **Structural Characteristics** (e.g. change in organizational/institutional structure)
- ▶ **Decisions/Actions/Policies**

These categories of effects illustrate the complexity of types of impacts and outcomes that might result from work based on strong forms of co-production and co-creation. However, the evaluation is even more challenging when the panel consider the indirect nature of some of these effects and their delayed nature, as shown in the following figure (from Wiek et al, 2014):

<sup>3</sup> See, for example, Baldwin et al (2000), Kasemir et al (2003), Currie et al (2005), Robinson and Tansey (2006), Blackstock et al (2007), Walter et al (2007); Quinlan et al (2008), Donovan (2008), Meagher et al (2011), Talwar et al (2011), Bell et al (2011), Wiek et al (2014).

**FIGURE 1:** Attributions Challenges for Research based on Co-production and Co-creation



### 3.3.2 Assessing effects and outcomes

These considerations lead us to recognize the challenge of assessing the activities of MUF, and the critical importance of the interaction with both academic partners and professional practitioners in the LIPs. The evaluation panel note the criteria that MUF have themselves suggested in the Progress Report:

“Indicators of success include that: an international network has been built up; partnerships have been established by all local partners; the co-production methodology has developed and is being put into practice; results from the research have been presented in a great number of publications and at events; and examples of impact on governance and policies can be identified in all partner cities.” (p. 19)

The narrative text from the field trip evaluation of three of the LIPs, namely KLIP, CTLIP and GMLIP (see Annex 1) has been quantified in terms of the frequency with which each category of outcomes or impacts was present in the narrative. This proves very provisional tentative results based on subjective perceptions and is not a judgment of the quality of engagement of any of the LIPs. Nevertheless it seeks to comparatively identify outcomes and impacts in terms of the different categories identified in the methodology above (see Table 1).

This provides indications of the different priorities and associated outcomes and impacts of the different LIPs. For instance in Greater Manchester the GMLIP prioritizes network effects though testing innovative initiatives around increasing economic, ecological, spatial, social and cultural urban sustainability through its four partner organizations. In contrast, in Kisumu, the KLIP puts its greatest efforts into building enhanced capacity to address urban sustainability through a large PhD

**TABLE 1:** MUF Evaluation of Effects/Outcomes Coding Summary Table

Outcomes/Impacts Categories	KLIP	GMLIP	CTLIP
1. Network Effects	1	10	13
2. Enhanced capacity	12	7	3
3. Usable Products	9	1	2
4. Structural Characteristics (e.g. change in organizational/institutional structure)	5	2	3
5. Decisions/actions/policies	1	0	1
<b>Total</b>	<b>28</b>	<b>20</b>	<b>22</b>



programme that involves 23 students, with its themes of Eco-Tourism and Marketing an important means to support this as well as producing useable products. In Cape Town, the CTLIP combine both local co-production through the Knowledge Transfer Programme embedding PhD students in the City Authority along with practitioners embedded for shorter periods in the University of Cape Town, along with its regional African Peer Learning Programme that focuses on building knowledge networks to build durable knowledge institutions.

GOLIP with both a longer history and a far more extensive programme, obviously has a different scale of outputs and impacts. In the case of GOLIP, the entire evaluation panel made a similar – but qualitative assessment – based on interviews with process leaders, coordinators and decision makers in the GOLIP environment. Instead of frequency ratings the terms “Low”, “Medium” and “High” were used as ‘measures’ of the outcomes and impacts.

**TABLE 2: GOLIP Outcomes/Impacts**

Categories	Outcomes
1. Network Effects	High
2. Enhanced capacity	Medium
3. Usable Products	High
4. Structural Characteristics (e.g. change in organizational/institutional structure)	Medium
5. Decisions/actions/policies	High

Table 2 indicates that during its comparatively long programme, GOLIP has achieved a high degree of outcomes. This is consistent with the claim of project leaders in the Co-producing Knowledge for Sustainable Cities theme, and with statements in the anthology “Co-producing Knowledge for Sustainable Cities”, that outcomes need time for mutual learning and reflection. An important additional outcome identified in all LIPs was that jointly formulated research questions added quality to the co-production of knowledge, as well as producing research results with direct impacts both on political decisions and on products that are applicable in other cities nationally or globally.

An interesting example is the Low-carbon Gothenburg Project, which has been turned into an agreed municipal strategy for the city of Gothenburg, and at the same time is an innovative new approach towards a low-carbon society that could well advance welfare in society. Another such example is the *Divided City* project that demonstrates methods to conceptualize the links between urban form and social polarisation, not only between different neighbourhoods and communities in Gothenburg, but also in the way public spaces are used. These two examples are both key to new project initiatives undertaken in collaboration with other cities, and with other research institutions, including broader research projects such as *Integrated socio-ecological systems*.

Some projects have already produced cutting edge knowledge – and the demand to understand and use those results is proven (e.g., low carbon transition, how urban space can contribute to less segregation). These research projects built on co-designed research questions from specific local constraints and result in methods that can provide tools and planning methods, or inspire productive approaches in other local contexts. This illustrates how the global agenda benefits from questions arising and explored at the local level, with the LIP model a very powerful mechanism to deliver this.

Turning to the national and global impact of MUF achievements to date, first and foremost it is important to emphasise both the theoretical cutting-edge methodology of co-production as well as the increased practical ‘on the ground’ understanding of processes that require time, the building of trust, and the development of

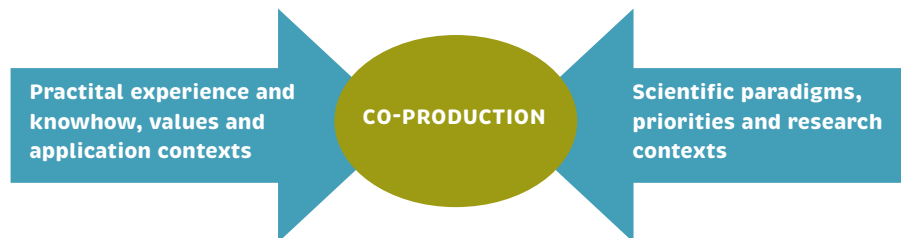


new institutional forms and structures. The unique contribution of MUF is an outcome of the long-term MUF support that has provided sufficient time for the testing of a diversity of approaches and projects. This contribution means that the concept itself has an exceptional potential to influence strategies for sustainable urban development.

### 3.4 Assessing ‘Excellence’ in Science

The central focus of Mistra Urban Futures on a model of co-production means that an assessment of the extent to which research outputs meet the criteria of ‘excellence in science’ needs to be based on an expanded notion of what this means in this particular context. The *MUF Progress Report* states that “knowledge that can contribute to creating sustainable cities... has to be created or collected in dialogue and cooperation between different users and interest groups” (p35), which has important implications in terms of the criteria for its evaluation that differ from top-down or ‘expert-led’ research and dissemination of findings. While this model of co-production (Figure 2) makes it explicit that the outputs are likely to challenge conventional views of ‘excellence in science’, and need to be assessed according to a different set of criteria, nevertheless even this model requires further elaboration.<sup>4</sup>

**FIGURE 2:** Knowledge Co-production



This analysis is very consistent with a growing recognition of the need for alternative methods of assessing research excellence from both an academic and a policy perspective<sup>5</sup>.

The following sections provide a brief overview of the excellence of *Mistra Urban Futures* research products according to both a ‘narrow’ and an ‘expanded’ interpretation of scientific excellence.

#### 3.4.1 Assessment of scientific publications

The bibliometric study undertaken in December 2014 identified nearly 400 publications that have been produced since the start of *Mistra Urban Futures*. Discussions with the Local Interaction Platforms indicated a more subtle distinction between knowledge products that drew in full on work undertaken as part of *Mistra Urban Futures*, and those that are associated more broadly with the intellectual agenda promoted by the programme or produced under the aegis of its support.

A fuller examination of the former shows some work that meets traditional measures of scientific excellence, such as publication by reputable academic publishers or in highly regarded peer-reviewed journals. One outstanding example is the edited book on *Co-producing Knowledge for Sustainable Cities*<sup>6</sup>, published by

<sup>4</sup> MUF Progress Report, Figure 5, p39.

<sup>5</sup> For instance, the 2014 *Research Excellence Framework* applied to United Kingdom Universities explicitly incorporated “impact” as one of the key components of research excellence, defined as “social, economic or cultural impact or benefit beyond academia” (See <http://www.ref.ac.uk/pubs/2011-01/>)<sup>5</sup>, while a guidance note prepared for the UK’s Department for International Development highlights that although “journal ranking systems can provide an indicative, though contested, proxy guide to the scrutiny with which an academic study has been subjected prior to publication... not all well-designed and robustly applied research is to be found in peer-reviewed journals and not all studies in peer-reviewed journals are of high quality” (see Department for International Development (DFID) (2014) *Assessing the Strength of Evidence: How – To Note*, Internal Publication)

<sup>6</sup> Polk M (ed) (2015). *Co-producing Knowledge for Sustainable Cities*. London and New York, Routledge.

Routledge, in which many of the contributions came from MUF-supported LIPs, as well as benefiting from editing support. The authors include many individuals closely associated with MUF (including members of the Board), the contributions engage with the four cities in which MUF has been most active, and the conceptual chapters provide a strong justification of the co-production approach and an assessment of the hindrances and success stories that have arisen thus far. Publication in the *Routledge Research in Sustainable Urbanism* series is a strong indication of the scientific value of this work, as is the forthcoming publication by Routledge of *Cities and the Knowledge Economy: promises, politics and potentials*<sup>7</sup> which comes out of the Greater Manchester LIP.

There is also an emerging body of peer-reviewed papers published in highly regarded scientific journals. For instance, papers from the Gothenburg LIP have been published in *Ambio* (impact factor 2.97), *Sustainability Science* (3.37) and *Ecological Economics* (4.00); while those from the Greater Manchester LIP are being included in a Special Edition of *Urban Studies* (1.33), with others are in preparation for high impact journals such as the *International of Urban and Regional Research* (1.63) and *Environment and Planning A* (1.69). Papers from the Cape Town LIP have been published in *International Development Planning Review* (impact factor 0.65) and *Environment and Planning C* (impact factor 1.46), while several others have been published in *Local Environment*, which despite having a relatively low impact factor (0.58) is widely distributed and is produced in association with ICLEI (hence indicating its relevance to the global urban sustainability community). Others have been published in South African journals, which indicates their prioritization of relevance to that context, rather than conforming to international models of academic excellence. It is promising to see the range of publications that are beginning to arise from the Kisumu LIP, although the range of outlets for these could be broader, and this may be one area which could be supported by cross-LIP collaboration.

However, as indicated above and as recognised in the *MUF Progress Report*, it is difficult to draw firm bibliometric conclusions at this point in time. There is a long lag-time between research and publication in peer-reviewed journals, and a further lag before figures on the citations of particular products can be used effectively (for example, citation figures on *Co-producing Knowledge for Sustainable Cities* are not yet available). Moreover, because of longstanding academic practice, high impact factor journals often have a narrower disciplinary focus – which makes it challenging for area-based or transdisciplinary work to be accepted for this type of publication. Given this situation, the range of publications produced thus far, and the types of outlets in which they have been published indicates an overall high standard of work.

### 3.4.2 An expanded view of ‘scientific excellence’

Rather than eroding the importance of traditional measures of research excellence (such as rigour and reliability), an expanded view of scientific excellence suggests that this should be just one of a set of measures to be applied. For instance, International Institute for Environment and Development’s (IIED) criteria, specifically developed for policy-relevant research on sustainable development, would indicate that much of the research produced through *Mistra Urban Futures* can be judged as excellent.<sup>8</sup> If measured according to this expanded definition, in all four LIPs, the

<sup>7</sup> May, T. & Perry, B. (2015) *Cities and the Knowledge Economy: Promises, Politics and Potentials*. London: Routledge.

<sup>8</sup> IIED propose that excellent research should also: require meaningful engagement with a community of knowledge and practice (including an appropriate review process); provide benefits to communities involved in the research and who will be affected by its outcomes throughout the whole process (including the formulation of research questions, the deployment of methodologies, and the uptake of findings); and be communicated in appropriate ways to the right people who can use it to act effectively. (See International Institute for Environment and Development (IIED) (2012). *Towards Excellence: Towards excellence: policy and action research for sustainable development*. [<http://pubs.iied.org/Go3432.html>])

process of co-production or co-creation is one of the highest forms of meaningful engagement taking place across different communities of practice. This is highly evident in the Cape Town LIP, where city practitioners chose to co-author articles with academics – a highly unusual and extremely valuable process. In Gothenburg, city officials and academics alike repeatedly stressed the ways in which *Mistra Urban Futures* had enabled this type of meaningful engagement that has produced a range of intangible and tangible benefits in the process of policy formulation. The channels for communicating work within cities seem to be effective, although perhaps more could be done on communicating these findings more widely. One issue that could be further explored would be a MUF policy (and funding to support) to make scientific articles ‘open access’ so that these are available to a wider audience, including both policy makers and the general public who do not have access to academic libraries.

### **3.4.3 Conclusion**

Many of the knowledge products arising from *Mistra Urban Futures* are of a high standard. However, it should be borne in mind that – as shown repeatedly in this report – the unique and most valuable contribution of *Mistra Urban Futures* is the development and application of the principles of co-production and co-creation. The outcomes and impact of co-production in the scientific process are just beginning to be demonstrated, but show considerable promise for the remaining period of the programme.

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## **3.5 Organization, Management and Governance**

In the start-up phase of MUF, organisational and leadership challenges were described in the Start-up Review of 2011 (see Annex 5). Simply put, adequate administrative and management competences were clearly identified as missing, resulting in challenges relating to budget management, contracts and funding.

During this evaluation, it is evident that the MUF Board, together with the Secretariat, has now put into place a well-functioning organisation and even succeeded in reducing the size of the administrative part of Secretariat. Adequate contracts are in place with the LIPS and there is a sense of satisfaction from the LIPs with the current Secretariat combined with confidence that work is ongoing to resolve the challenges identified in 2011 and their legacy, particularly the cumbersome nature of the annual financial and project reporting procedures.

However, there remain some issues that in our opinion have the potential to undermine the central uniqueness of MUF named earlier on as the concept of co-creation in action at the level of the LIPS. Co-creation is very much dependent on a relationship built on mutual respect and careful listening. In the light of this, there has been evidence, such as recurring disparity of opinions, that the dialogue between the LIPS and the Secretariat could be improved.

### **3.5.1 Planning and evolution of quality control**

Improvements in planning and quality control are well described in the Progress Report, particular the criteria for starting a new project (see below) and use of QME (Quality Management and Evaluation). These engender confidence in the future development of MUF projects.

Criteria for new projects from Progress report p 97

- ▶ Support the strategic/operational goals at the Centre.
- ▶ Be backed by one/two or more of Consortium or Associated partners.
- ▶ Capture needs and knowledge around a specific urban problem seen from practice, industry and research.

- ▶ Be based on in-depth collaboration between involved stakeholders.
- ▶ Have clearly identified recipients within practice and research.
- ▶ Produce usable and implementable results.
- ▶ Be transferable to different urban development contexts.
- ▶ Show a potential for up-scaling.

### **3.5.2 The Communication Function**

The evaluation panel have identified that the role of communication and engagement is an essential integral part of MUF's potential for success, particularly in relation to maintaining the structure of the distributed organisation and relating this to external communities. The very nature of co-creation, both in the projects, in the LIPS and in MUF as a whole, envisions communications and engagement as an integral part of project design and implementation.

To date it is apparent that that much of the very excellent work of MUF is not well known either in Sweden or internationally, particularly in relation to the unique approach to co-production or co-creation. In searching for the underlying reason for this, it appears that both the investment and structure of the communication function within MUF has been inadequate and possibly over-reliant on traditional media and science communication practices; for instance there are fewer than 900 followers of the MUF Twitter account, which is very low in contrast to comparable organisations. This seeming underinvestment in communications within the Secretariat has limited the potential for broader recognition of MUF in the academic and professional practitioner communities within urban sustainability, with implications for the distributed internal relationships and sense of unity too.

## 4 Review of Strategic Plan and Future Recommendations

The Mistra Urban Futures Strategic Plan for 2016–2019 describes research and communication strategies to achieve a shift from Phase 1 to Phase 2 that includes plans to increase the number of LIPs and partnerships within Sweden and abroad, engage proactively in strategic global initiatives to leverage influence towards objectives, such as the Sustainable Development Goals and undertake systematic and deliberative comparative research on linked projects in different LIPs. There is a proposal to shift the three core attributes of sustainable cities identified by Mistra Urban Futures from Fair, Green and Dense to Fair, Green and Accessible in Phase 2, with these used to visualise four principal dimensions of sustainability: social, cultural, economic and ecological.

Phase 2 proposes two strategic objectives and five knowledge themes to provide the framework for the individual LIPs and other partners, with some flexibility to match local circumstances.

The objectives are to:

- ▶ Deliver evidence-based outcomes that address the challenges facing cities, and which make a difference in practice.
- ▶ Diversify the Centre's research base and forge strategic partnerships with selected international organisations.

The knowledge themes are:

- ▶ Sustainable spatial urbanisation and urban qualities.
- ▶ Urban social sustainability.
- ▶ Integration of economic, social and ecological systems.
- ▶ Sustainable urban lifestyles.
- ▶ Enterprise-driven

Mistra Urban Future's flagship methodology co-production of knowledge will be refined and developed further as 'co-creation' during Phase 2 (to include co-design, co-production and co-implementation) although not as a core research theme.

The bridging from Phase 1 to Phase 2 is planned in three different ways:

- ▶ Deepening of existing core themes and critical issues, such as urban governance, urban ecology and resilient creative communities.
- ▶ Developing and adding value of existing projects through comparison with other LIPs and partners. Examples include digital tools and community-based development.

- ▶ Extending existing work in new directions and external funding to a larger degree, including e.g. the research on urban poverty.

The Strategic Plan states the need to increase the international reach and scale of activity through increasing partnerships in Sweden and on continents where MUF currently has no presence, some of which may become full LIPs and others partners for particular research themes, and through a much more active engagement in international urban sustainability research and policy programs, such as the UN Sustainable Development Goals process. The plan is for MUF architecture to evolve to resemble a web rather than a hub and spoke structure. During 2014–2015, some initial steps have been taken, most notably participation in the Urban Sustainable Development Goal (USDG) campaign and the related undertaking of a separately funded pilot project as well as involvement in the Habitat III process into 2016.

A communication and outreach strategy has been developed for Phase 2, including priorities and guidelines that emphasises the role of communication and outreach with a focus on dialogue, interaction and engagement with stakeholders, partners and other collaborators. Operational processes will be streamlined and procedures simplified. Overall turnover of an expanded MUF is expected to increase from an average of MSEK 60 per year to MSEK 100 per year during Phase 2.

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## 4.2 Narratives from the LIPs

Annex I contains a report based on the visit by Caroline Moser to three of the MUF LIPs: Kisumu LIP, Capetown LIP and Greater Manchester LIP. This report presents a synthesis of responses to a specific set of open-ended questions relating to the *MUF Strategic Plan and next stages: 2016-2019*, consistently asked to the LIP Directors in Cape Town, Kisumu and Greater Manchester, as well as a diversity of colleagues while undertaking the fieldwork evaluation trips to the LIPs (see Annex 1 for details). In the case of GOLIP the panel asked similar questions in some sessions with researchers and officials. While all LIPs are highly committed to the next stages of the MUF, both the essential next phases on existing programmes as well as new initiatives relating to the new context, at the same time the LIPs share a high level of consensus with regard to concerns about a number of issues identified in the MUF Strategic Plan.

The Strategic Plan calls for a shift in conceptualization and associated terminology, from ‘co-production’ to ‘co-creation’. With the exception of GOLIP, the other LIPs expressed an unwillingness to adopt the term co-creation, with the underlying reasons having to do with the fact that the term co-production now has achieved considerable traction in the partner organizations, as well as the view that that this was seen to be a top-down decision taken without participatory consultation with the LIPs. In the GOLIP the term ‘co-creation’ has already been adopted, identified as providing a deeper understanding of how *research questions* are expressed and formulated in a common process. But even here there is some scepticism with the term co-implementation, as implementing outcomes in the academy is very different from implementing outcomes that make ‘changes on the ground’.

The Strategic Plan sets out a new agenda including a new global international focus. Who has decided the new agenda was a common question, particularly as co-production means demand-driven partnerships decided collaboratively, which work against top-down academy-driven research agendas. LIP reactions outside Sweden included issues of institutional respect, and a need for confidence in the institutional culture and leadership within each LIP. The main recommendation was for a lean secretariat with the capacity to assist with scientific oversight, but with the LIPs implementing the programmes. This issue was seen as presenting a fork in the road between a focus on the international policy community and building local sustainability.

In the case of GOLIP, the panel finds that the secretariat's central role and its position within the GOLIP overlap in an unclear way. While the Gothenburg Consortium has a well-elaborated local task, it has also expressed the ambition to be a leading international centre for urban research and advice. There are processes in the GOLIP projects to collaborate more strongly with other LIP projects and to a certain extent to scale up projects including other research institutions in Stockholm and Malmö/Lund. Some GOLIP projects are strong enough to be directly of interest on the global scene, with international comparisons and peer-reviewed testing presented on the international scene as well as in local workshops to make change happen.

The SDG initiative was an example that some LIP directors mentioned; though it was not included in the questions asked as it falls outside the Progress Report. However, some LIP members felt this was a top-down initiative from the secretariat. Since there was no local participation in the decision to take this on, there was very little buy-in, and the LIP directors had sub-contracted this work to outside consultants, as it did not fit within their already overstretched work plans. In the case of CTPLIP, partners in City Authority were very antagonistic about such a remit being thrust on them.

Some LIPs were concerned about the financial implications of new agendas; if MUF want to take on new LIPs as well as an ambitious international agenda, then even if financial resources increase (itself an uncertain prospect), the funding provided to LIPs may fall. The pie will certainly be cut differently and LIPs view this with great concern as they move into the consolidation stage of their programmes.

While there may have been post-hoc justification for the initial choice of MUF cities, there are important context-specific, political, economic and social justifications for the continuation of programmes in all four:

- ▶ KLIP's priority is to strengthen its position as an urban knowledge and learning centre.
- ▶ CTLIP recognizes that Cape Town is at a critical juncture in terms of not only racial inequality and space, but also racial inequality and education and that it needs to identify new co-production partners to address issues of racial transformation in the built environment.
- ▶ The GMLIP partners, as already celebrated in the Strategic Plan, see themselves as positioned to play an important role in the upcoming devolution of government in Greater Manchester.
- ▶ The GOLIP has expressed its aim to go on being the base for further co-created projects with local and regional partners, identifying new projects and co-financing them. A process of future expansion of the partnerships outside the region to build a sustainable 'post-Mistra' after 2019 was expressed.

All the LIPs recognise the importance of collaboration between the LIPs, but point to the constraints relating to the specificities of context. One basic challenge concerns the differences in priorities between North and South; while the North is retrofitting and looking for new sites for new innovations, the South is focused on the basic task of building cities and at the same time avoiding 'Northern mistakes'. Much of the success of co-production is embedded in particular place. Some of the LIPs argue that setting up collaborative projects must include local partners, but also with better mechanisms to work across different cultures. In fact, co-production collaborations based on mutual intellectual substance are already occurring bottom-up, such as CTLIP's collaborative co-production with Kisumu on food security and the GMLIP introduction to GOLIP for Marie Curie Funding.

### 4.3 The vision: building on success

Based on the in-depth engagement with key documents from Mistra Urban Futures (particularly the *Progress Report 2010-2014* and the *Strategic Plan 2016-19, Annexes 7 and 8*), and detailed discussions with a range of stakeholders in Gothenburg, Kisumu, Cape Town and Greater Manchester, The evaluation panel concludes that based on its proposed plans, Mistra Urban Futures will play a critical global role in supporting and implementing the vision of fairer, greener and more accessible cities. The recommendations made in this section of the evaluation report should therefore be seen as supplementing and strengthening both the vision of Mistra Urban Futures, and identifying the specific strategies that will be necessary to achieve this.

**FIGURE 3:** Connecting the vision, mission, strategic objectives, and strategic elements.<sup>9</sup>

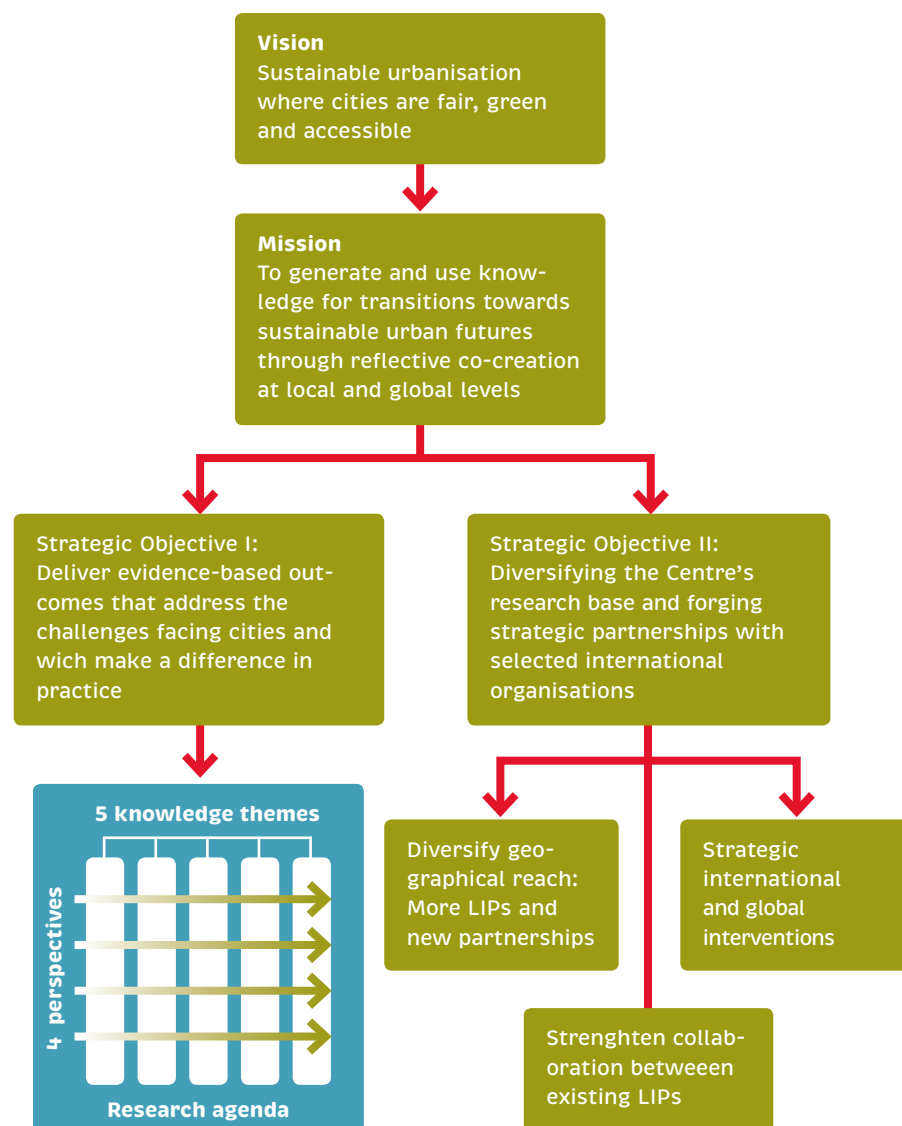
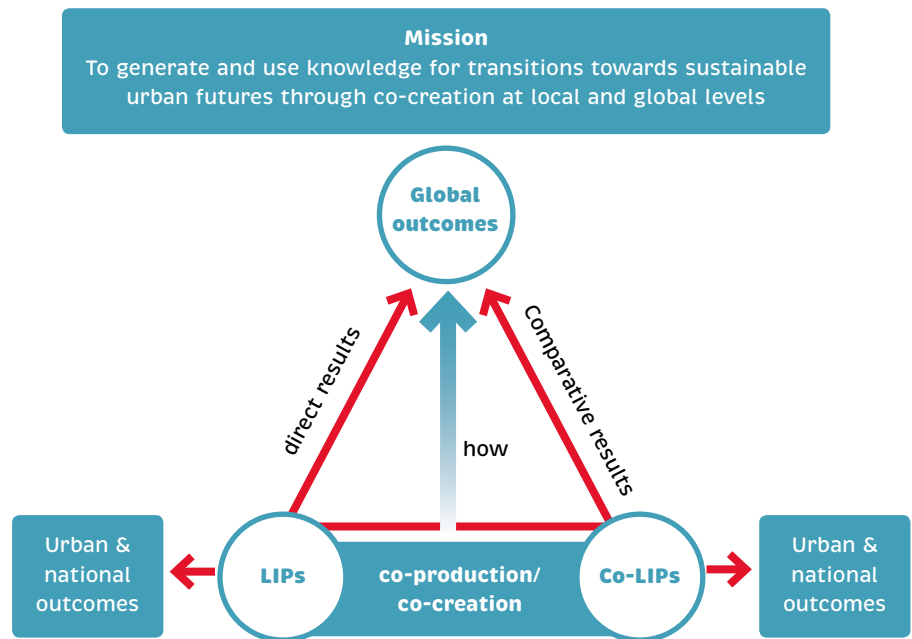


Figure 3 is the proposed model for the next stage of MUF. The review panel build on this with Figure 4 which shows the **internal logic** for understanding the key elements of the mission that explicitly incorporates the concept of co-creation, the centrality of urban sustainability, and the importance of the LIPs. Figure 4 (elaborated on in Section 3.4) in turn identifies some of the key **processes** that are necessary to support the achievement of this vision.

<sup>9</sup> Figure 1.1 (p15) in *Mistra Urban Futures Strategic Plan*



**FIGURE 4:** A model for understanding the Mistra Urban Futures vision



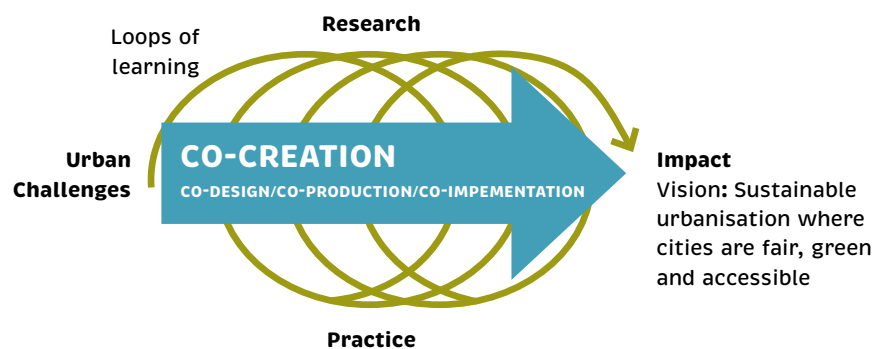
The following four key elements of the framework, shown in Figure 4, are:

**I) APPLYING CO-CREATION IN PRACTICE**

The evaluation panel concluded that the application of a co-production approach was the single most significant contribution of Mistra Urban Futures during the period 2010-14: both as a methodology used locally, and as a major contribution to the understanding of ways to achieve more fair, green and accessible cities in an urbanising world. Although the terminology of co-creation remains contested in the LIPs, there is substantial commitment to the principles underlying this (co-design, co-production, and co-implementation) (see Figure 5).

In the last five years, substantial achievements have been made in this area – but much more can be done. The panel recommends retaining a substantial and explicit commitment to making co-production / co-creation a central element of Mistra Urban Futures as one way in which the programme can continue to make a substantial and globally relevant contribution to the discourse and practice of sustainable urban development. This speaks explicitly to Strategic Objective I of the Strategic Plan – delivering evidence-based outcomes that address the challenges facing cities, and which make a difference in practice – which can only be done through sustained in-city engagements. We note in passing that the Stockholm Resilience Centre has approached MUF explicitly because it believes it is lacking a co-creation capability, and that MUF is the best place to obtain this. Representatives from the SRC told us that they were told by other colleagues that MUF was “the place to go” to get this expertise.

**FIGURE 5:** The proposed model of co-creation<sup>10</sup>



<sup>10</sup> Figure 2.1 (p25) in *Mistra Urban Futures Strategic Plan*

The WISE project in Gothenburg shows an extraordinary example of how a process based on co-production has made significant changes, and its recent international recognition demonstrates how a solid and rooted process may represent the best way to achieve global influence.

#### **II) ROOTING CO-CREATION IN THE LIPS**

The evaluation shows that the LIPs have begun to demonstrate innovative and impressive ways to move towards more sustainable urban development, and that this is beginning to be recognised globally. For this process to continue – with the result of them becoming hubs of excellence by the end of the next five year period – the panel recommends that the LIPs remain at the heart of MUF, providing practical examples of how to do this. Ensuring the LIPs remain at the core of the MUF strategy, and ensuring that the results from the LIPs are linked with global processes in an appropriate way, undoubtedly will therefore to be one of the keystones of the next phase of MUF work. This will require continued attention being paid to ensuring clarity of communications between the secretariat and LIPs, and a high level of respect in interactions.

#### **III) CROSS LIP COLLABORATION AND EVALUATION AROUND COHERENCE OF NEW THEMES AND PERSPECTIVES**

At the same time, the unique nature of MUF provides opportunities for new collaborations and the development of comparative perspectives. All of the LIPs recognise the importance of collaboration; indeed there are already examples of bottom-up collaborative initiatives. This includes joint work between Cape Town and Kisumu on food security, and Greater Manchester advising Gothenburg on Marie Curie funding. The panel, therefore, recommends that the relationship between LIPs in the development of these collaborative ideas fully embrace the principles of co-creation, including co-design that genuinely involves local partners.

At the same time, the panel advises caution in relation to the creation of new LIPs. Given the length of time taken to establish a common vision and approach, and the inevitable constraints, particularly in relation to the capacities of the secretariat to engage with LIPs, the panel recommends prioritising the sub-objective of strengthening collaboration between existing LIPs over the suggestion to create more new LIPs.

#### **IV) GLOBAL AGENDA FOR SUSTAINABLE CITIES**

The evaluation panel recognise the desire from the Mistra Urban Futures secretariat and board to enhance the global reach and reputation of the programme. As indicated above, the panel feels strongly that the approach and findings of MUF are globally significant, and agree that they should be recognised as such. However, the panel's recommendation in relation to contributing to this global agenda is that – as far as possible – this engagement should be rooted in the principles of co-production and co-creation, and should be a bottom-up process determined by LIP and cross-LIP priorities. This is a response to the strategic objective on “strategic international and global interventions” which recommends a particular approach to this, which is driven from practice, rather than from international agendas.

The panel therefore recommends that the MUF secretariat should engage with global agendas by prioritising translating, scaling up, and making LIP and cross-LIP findings relevant and applicable (including, but not limited to, the Sustainable Development Goals, a post-2015 climate agenda, and Habitat III) – rather than applying priorities from global processes to the work that is being done locally in the LIPs. One element of this will require strengthening the means of communications and engagement, including increasing the visibility of outputs through social media and other means.

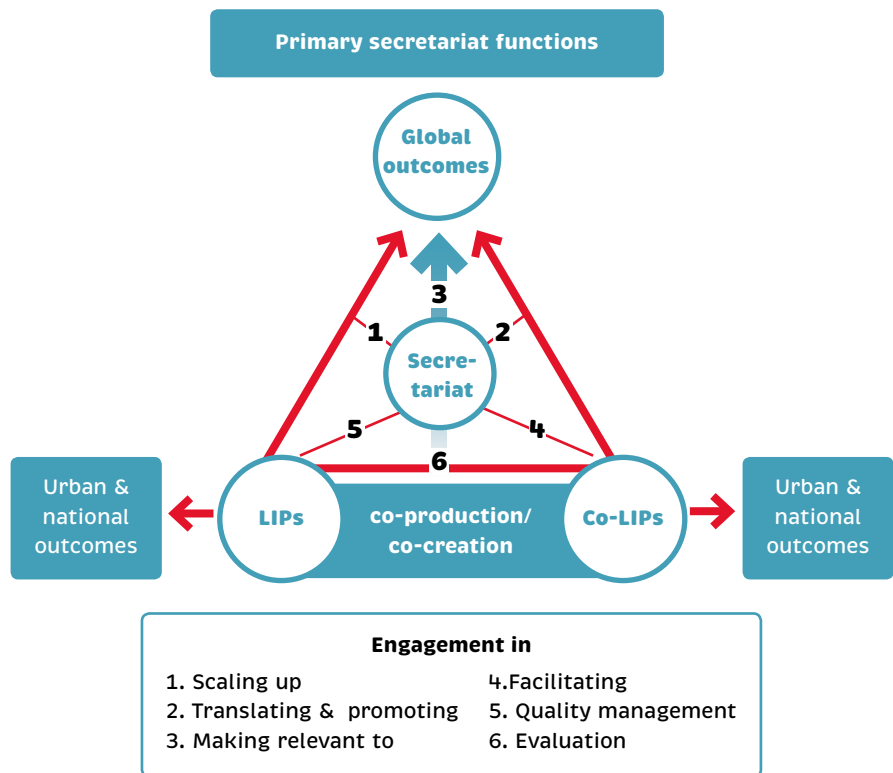
There are already sound examples demonstrating how excellent work in the LIPs has demonstrated new ‘bottom-up’ co-creation ways of doing things – and that this innovation is recognised on its own terms. For example, the WISE project in Goth-

enborg has been recognised by the World Bank and UNESCO, and has contributed to Gothenburg winning the WWF award as Sweden’s Climate Capital in 2015.

#### 4.4 Means to support this vision

Achieving this vision will require strengthening of particular elements of the structure and administration of Mistra Urban Futures. As shown in Figure 6, the secretariat will need to scale up, translate and promote lessons from the LIPs to make these relevant in achieving global outcomes; will need to support relationships between LIPs; and will need to play an overarching role in evaluating outcomes.

**FIGURE 6:** A model for implementing the Mistra Urban Futures vision



The secretariat has a central role to play both in supporting the LIPs to achieve co-creation in particular urban contexts, to capture and synthesise the lessons from this, to enable the development of stronger collaborative relationships between them, and to scale up lessons and outcomes to influence the global context. The secretariat is currently recruiting a Deputy Scientific Director, primarily with responsibility for research leadership in GOLIP. The evaluation panel strongly recommends the appointment of one further senior staff member with substantive responsibilities as Deputy Director for Engagement. This in no way contradicts the desire expressed by LIPs for a ‘lean’ secretariat (see 3.2), but rather enables this by increasing the capacity to ensure that there is a greater engagement between the LIPs and the secretariat.

The key role of this Deputy Director for Engagement would be to: i) engage in a deeper way with the LIP directors in order to facilitate their greater involvement in the shaping of the overall programme of work; ii) oversee a Communication and Engagement strategy to extend the outreach of Mistra Urban Futures and enhance its ability to engage with external stakeholders; and iii) work directly and in association with the LIP directors on a fundraising strategy for post-2019. These three areas correspond directly to areas that require strengthening identified in section 3.3. At the same time, additional capacity to engage with these areas will create fur-

ther opportunities for the Director to provide overall strategic leadership and to link the experiences of co-creation to global agendas.

The panel also welcomes the strengthening of the Mistra Urban Futures Board in recent years, including broadening its international representation. However, the panel recommends that as Board members are replaced over time, that issues of diversity and global representation are taken seriously – a commitment to global partnerships in the work of MUF should be reflected in its highest decision-making body.

### 3.5 Finance, Fundraising and Budget

The budget of MUF during the Phase 1 (2010-2014) is 235 MSEK in total. Out of this, core financing from Mistra has been 75 MSEK ( $\approx 30\%$ ), while funding from the Gothenburg Consortium (GC) has been approximately at the same level, with 35 MSEK in cash and 38 MSEK in-kind. Local co-funding from the three other LIPs corresponds to approximately 26 MSEK, most of which has been in-kind. SIDA has contributed to 26.5 MSEK, and external funding approximately 35 MSEK.

The distribution of funding means that the LIP-projects and the coordination of them have used 165 MSEK ( $\approx 70\%$  of the total), common projects have been funded to the tune of 33 MSEK, and the secretariat has used 38 MSEK. In order to assess how the resources have been used, and how the MUF Strategic Plan aims to raise and distribute financial resources during the period of 2016-2019 and post-2019, the evaluation panel have analysed the cash flows (as the in-kind resources match every year) over the four years<sup>11\*</sup> in Table 3 and 4.

**TABLE 3:** cash funding per year (MSEK)

	2010	2011	2012	2013	2014
Mistra	7.0	8.0	10.0	30.0	20.0
GC	2.7	4.5	8.0	9.7	10.3
SIDA	6.0	0	6.0	7.9	8.5
CTLIP	-	-	0	2.7	4.0
KLIP	-	-	-	0	0
GMLIP	0.2	0	0	1.8	1.9
External	-	-	1.7	4.6	7.9
<b>Total</b>	<b>18.4</b>	<b>19.0</b>	<b>25.7</b>	<b>56.8</b>	<b>52.7</b>

Tables 3 and 4 show that all the LIPs benefits from MUF (through the core funding from Mistra and SIDA) to a larger extent than they co-finance themselves; and that all the LIPs have raised their amount of co-financing over time. According to the Strategic Plan, the ambitions for Phase 2 programme 2016-2019 are an up-scaling of the volume from around 60 MSEK per year (cash + in-kind) to 100 MSEK per year. There are still formal commitments from GC to keep the 50/50 proportion of co-funding and expectations to further co-funding from the other LIPs. Mistra and SIDA have been requested to raise their combined funding from 28 MSEK to 37 MSEK.

<sup>11</sup> Source: Annual Reports 2010–2014

**TABLE 4:** Spending per year (MSEK)

	2010	2011	2012	2013	2014
Secretariat	not available		9.6	10.0	5.3
Internalcollab			6.9	7.9	3.7
GOLIP			7.7	14.2	23.3
CTLIP			2.5	6.4	7.0
KLIP			6.4	3.6	3.3
GMLIP			2.0	4.3	4.2
Others			1.8	0.6	0.4
<b>Total</b>	<b>11.8</b>	<b>21.4</b>	<b>36.9</b>	<b>47.0</b>	<b>47.1</b>

**TABLE 5:** cash + in-kind per year versus spending (MSEK) 2012-2014

		2012	2013	2014
GOLIP	cash + in-kind	16.7	19.6	20.9
	total spending	15.8	22.7	36.9
CTLIP	cash + in-kind	2.9	4.2	5.1
	total spending	5.4	7.9	8.1
KLIP	cash + in-kind	0	0.1	1.8
	total spending	6.6	3.7	5.0
GMLIP	cash + in-kind	3.8	2.9	3.1
	total spending	4.9	5.4	5.3

Additional funding is expected from other research funds on national and EU levels particularly for the GMLIP and GOLIP.

The evaluation panel agrees that this up-scaling is appropriate in order to increase both the number of outcomes and the quality of these through the continued development and approach of the co-production model. However, the budget and fundraising strategy that support this are not yet fully developed, and require substantial elaboration in the near future. This is particularly true in relation to the period after 2019 when the LIPs should be sustainable and producing networks on their own and any common secretariat may have to be funded directly by the partners.

Based on our recommendation in section 3.3 to prioritise the sustainability and co-producing ability of existing LIPs, raising funds may not be the most important limiting factor in expanding the number of LIPs. Rather, even if expanding the number of LIPs does not have funding impacts on existing programmes, too much effort on the expansion program may impede collaboration and networking within the existing MUF network. Finally, the evaluation panel underlines the important point that strategies for funding the MUF beyond 2019 must immediately begin to be considered seriously

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# List of Annexes

**Annex 1:** LIP Fieldwork Report - C Moser

**Annex 2:** Urban Futures Call for Proposals 2008

**Annex 3:** Original Application Chalmers 2009

**Annex 4:** Agreement MUF 2012

**Annex 5:** Start-up Review MUF 2011

**Annex 6:** MUF Terms of Reference Mid-term Evaluation

**Annex 7:** Mistra Urban Futures Progress Report 2010-2014

**Annex 8:** Mistra Urban Futures Strategic Plan 2016-2019

**Annex 9:** Gothenburg Programme 5-6 May 2015

**Annex 10:** Field Programme of LIP Visits GMLIP KLIP CTLIP

**Annex 11:** Biographies of the MUF Mid-Term Evaluation Panel



# Glossary

**ACC:** African Centre for Cities

**AURI:** Africa Urban Research Initiative

**Chalmers:** Chalmers University of Technology

**CTLIP:** Cape Town Local Interaction Platform

**Mistra:** the Swedish Foundation for Strategic Environmental Research

**GC:** The Gothenburg Consortium<sup>12</sup>

**GMLIP:** Greater Manchester Local Interaction Platform

**GOLIP:** Gothenburg Local Interaction Platform

**KLIP:** Kisumu Local Interaction Platform

**LIP:** Local Interaction Platform

**QME:** Quality Management and Evaluation  
**SIDA:** Swedish International Development Cooperation Agency

**SURF:** Sustainable Urban and Regional Futures

**WISE:** Well-being in Sustainable cities

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<sup>12</sup> The Gothenburg Consortium: Chalmers University of Technology, Göteborg Region Association of Local Authorities (GR), City of Gothenburg, University of Gothenburg, IVL Swedish Environmental Research Institute, the County Administration Board of Västra Götaland, Region Västra Götaland







The Swedish Foundation for  
Strategic Environmental Research

Gamla Brogatan 36-38  
SE-111 20 Stockholm, Sweden  
phone: +46 8 791 10 20, fax: +46 8 791 10 29  
mail@mistra.org www.mistra.org

