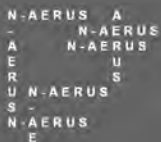


ENGAGING URBAN RESEARCH IN POLICY MAKING



Towards Equitable
Economic Growth

A partnership between Cities Alliance,
AURI, REDEUS_LAC and N-AERUS





FOREVER

WORD



Figure 0. "Makoko", Nigeria 2010
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FOREWORD

There is consensus in the international community that cities are engines of economic growth, knowledge generation and innovation. As such, cities have the potential to deliver sustainable development and promote equitable economic growth. However, evidence from the Global South has shown that urbanisation does not always lead to positive outcomes in sustainable development and equitable economic growth. Developing countries are urbanising at a faster rate than developed countries did when they were at the same stage of development. This rapid urbanisation is in most cases unplanned and as result most residents are pushed into informal settlements where access to basic services such as housing, sanitation and water is at best limited and in some cases nonexistent, thereby exacerbating inequalities and poverty.

Cities Alliance has supported programmes and projects that seek to foster equitable economic growth in cities and in this process, it has advanced the argument that equitable access to public goods and services is necessary for urbanisation benefits to be captured. Equitable access to public goods and services such as electricity, transport, adequate housing, WASH and public spaces directly improves the social and economic well-being of citizens and is essential to productivity of people and businesses. The importance of equitable access to public goods and services has also been magnified by the COVID-19 pandemic. Informal settlements have become potential COVID hotspots due to lack of access to public goods and basic services such as housing, sanitation and clean water. At the beginning of the pandemic, measures to fight the spread of the virus depended on access to these basic services. With limited access to vaccines, access to public goods and basic services will continue to play a key role in efforts to reduce and stop the spread of the virus as well as promoting post COVID-19 recovery efforts.

While there is clear argument and evidence of the role of access to public goods and services in promoting equitable economic growth, in policy making, very little urban development research considers this link. Hence, more scientific knowledge and understanding is required to validate the link between access to public goods & services and equita-

ble economic growth and provide policy recommendations on how public goods & services can be provided in a way that maximises equitable economic growth. Cities Alliance commissioned this research on “Equity, Services and Economic Development in Cities of the Global South: Engaging Research in Policy Making” to address this knowledge gap and promote the interface between policy and research. Three research networks, working in Europe (N-AERUS), Africa (AURI) and LAC (REDEUS_LAC), collaborated to investigate, with the aid of case studies from the three regions, the link between access to public goods and services and equitable economic growth, to provide unique insights into the challenges and opportunities faced by cities, particularly secondary cities in the Global South in advancing equitable economic growth, to share tested strategies for integrating policy making and research, and to disseminate these strategies to broader urban contexts.

We hope this research will inspire future structured investigations in academia on how access to public goods and services can foster equitable economic growth in cities.

Cities Alliance, 2021



EXEC

SUMM

Figure 1. "Philadelphia 090515 083",
2009

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UTTIVE

EMBASSY
SUITES

MARY



EXECUTIVE SUMMARY

Cities are often considered as “engines of economic growth,” yet many cities in the global South struggle to increase productivity and to provide significant economic opportunities for their growing populations and for new inflows. There is the need to deepen the knowledge on the links between public goods and services and equitable economic growth and how to support such processes, in policy and strategic terms, locally and globally.

Against this background, the project titled “Equity, Services and Economic Development in Cities of the Global South: Engaging Research in Policy Making” was developed as part of the Cities Alliance Joint Work Programme on Equitable Economic Growth Cities Campaign initiative, with the objective of exploring how the interface between urban research and policymaking can be redefined to help ensure that public goods and services foster equitable growth. The project is a collaboration between Cities Alliance and three networks: the Network Association of European Researchers on Urbanization in the South (N-AERUS) from Europe; the African Urban Research Initiative (AURI) from Africa; and the Network of Sustainable Urban Development in Latin America and the Caribbean (REDEUS_LAC) from Latin America and the Caribbean. The project reviewed the linkages between public goods and services and equitable economic development in cities of the global South and produced a range of outputs, including this report.

The project consisted of three work packages, each presented in this report as a chapter. Work Package 1 investigated the relationship between public services provision and equitable economic development by analysing implemented practices in different world regions and their impacts. The analysed practices included housing and land development, slum upgrading, infrastructure provision, public space, mobility, jobs, education and skills development programmes. These cases were diverse in terms of type, size, and set-up but shared certain

features such as participation and effective governance and the integration of “soft” interventions (such as skills development) to accompany physical interventions.

Work Package 2 examined the urban research-policy-making interface within the urban planning domain. In particular, it explored the interactions between researchers and policy makers in urban decision-making processes for equitable economic growth, focusing on knowledge co-production and on the role of researchers in urban policy/programme interventions. Three types of research-policy interface were identified and examined: actor-equity based practices (from expert to user involvement); local knowledge building; and alternative knowledge production/co-production.

Work Package 3 looked at the new perspectives for developing and promoting alternative paradigms of equitable economic growth (e.g. innovative ways of measuring economic development). It explored the institutional conditions for equitable economic growth, and investigated the potential of knowledge co-production to support equitable economic growth. In terms of enabling environments and conditions, the co-creation of a common vision and of an ongoing collaboration between academia, policy makers and local communities was identified as a catalytic factor in developing initiatives to achieve equitable economic growth.

The three regional network chapters highlighted the different urban challenges in the respective world regions and discussed past and present engagements of the network institutions and members. The chapters highlighted the necessity of the co-production of knowledge to tackle the main challenges in the regions, such as segregation, inequality, and poverty.

While each work package and network chapter provides unique insights into the challenges of advancing equitable economic growth in urban development, there are four key cross-cutting issues that emerged. The first cross-cutting issue illustrates that although elements of equitable economic growth can often be identified in policies, programmes and projects, very little urban development research explicitly considers the issue of equitable economic growth. New scientific approaches need to be developed that not only adhere to scientific inquiry but also, which can deliver a broad comparative view on complex issues to identify commonalities and differences between initiatives and places, for example, the taxonomic sample analysis used in Work Package 1.

The second cross-cutting issue is the importance of effective governance and structures for collaboration in achieving equitable economic growth in urban development as presented in Work Package 2. It is crucial that all stakeholders are recognized and their opinions treated fairly. These modes of joint work require political commitment, special governance structures need to be set up, trust-building activities carried out, and mechanisms developed to make silent/silenced voices more visible.

The third cross-cutting issue is that the theoretical and methodological dimensions of achieving equitable economic growth in urban development (such as the alternative ideas and concepts examined by Work Packages 1 and 3 and the alternative knowledge production methods analysed by Work Package 2) require systematic support in order to be institutionalised and upscaled in flexible and context-specific ways, such as political support, adequate administrative structures, and institutional skills.

The fourth cross-cutting issue is the transformative potential of knowledge co-production to enhance equitable economic growth in urban development. Knowledge co-production is not a panacea for urban problems nor a substitute for participation, but it is an important response mechanism to ensure that different voices are heard, and interventions are aligned to the expectations of all stakeholders and in accordance with contextual factors.

Key policy recommendations emerging from this research study include (i) the need to strengthen and expand participatory decision-making at all levels (from the international to the local level), (ii) the need to develop governance mechanisms that enable participation and improve transparency, (iii) the need to develop a common vocabulary and shared long-term visions for urban development, (iv) and the need to actively promote interfaces between academia and policymakers to strengthen and expand evidence-based decision-making and to help reducing the practice-research gap.

Many issues still require further research, such as how to better capacitate and support academics to engage with policy makers and co-production processes, how to better connect international policy dialogues and local initiatives in various contexts, how to increase resources for urban development interventions in the global South, and how to promote alternative concepts that overcome the existing growth-equality dilemma for urban development.

The New Urban Agenda and the Sustainable Development Goals require a concerted effort of all sectors in order to achieve development that is more sustainable and more equitable. These challenges have been made even more visible by the COVID-19 pandemic, which has also highlighted the importance of achieving equity in society. The research discussed in this report reveals a richness of practices that can provide a broad and lasting positive impact in terms of equitable economic growth in urban development, and collaborative efforts between academia, policy makers, communities and practitioners can play a crucial role in enriching these debates and processes.



INTER

DUCE



Figure 2. "The sprawling view", 2011.

Kampala, Uganda

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TO - TION

INTRODUCTION

Over the past decades, economic growth scenarios have had a significant effect on urban policies, shaping cities' growth patterns in both physical and habitat terms; nevertheless, urban development has demonstrated inequalities worldwide at different scales and levels (Rodríguez-Pose and Wilkie 2015, pp. 7–8). Persisting high levels of inequality within countries and cities, across communities and among generations affect people whose life-existing or unaccessible opportunity structures seriously constrain chances (Melamed and Samman 2013, p. 3). Prevailing inequalities are the critical measure for equity evaluations in urban policies and linked with distributive justice of services and public goods (ibid, p. 2). Hence, more knowledge and understanding are required on the relationships between public goods/services and equitable economic growth (EEG) and how to support EEG processes. At the same time, there is a need to interrogate the linkages between EEG and the legal and institutional implications which were conceptually highlighted in Habitat III and the New Urban Agenda (NUA).

Developed in the frame of the Cities Alliance 'Equitable Economic Growth Joint Work programme' (JWP-EEG), this report presents the results of the research project 'Equity, Services and Economic Development in Cities of the Global South: Engaging Research in Policy Making'. The project builds on the discussions initiated during the networking event "The NUA in the Global South - Engaging Research in Policy-Making" at Habitat III in Quito, Ecuador (October 2016) as part of the N-AERUS-Cities Alliance partnership 'N-AERUS Recommendations for the New Urban Agenda', funded by Cities Alliance in 2015 (see Alfaro d'Alencon et al., 2016 and Alfaro d'Alencon et al., 2018). The project initiative recognised the need for further knowledge on the role of public goods and services in fostering equitable growth in cities and redefining the interface between urban research and policymaking. Three research networks agreed to conceptualize the demand for research and policymaking in the project: the Network Association of European Researchers on Urbanization in the South (N-AERUS), the African Urban Research Initiative (AURI), the Network of Sustainable Urban Development in Latin America and the Caribbean (REDEUS_LAC).

Cities Alliance conceived the JWP-EEG to respond to the equitable economic growth challenge in cities. The programme focused on supporting equitable access to public goods and services by all citizens and formal and informal businesses in urban areas through the production of global knowledge products, facilitation of policy dialogues, and the support of city-level diagnostics and policy recommendations. The programme emphasised that improved access to public goods and services benefits the poor and strengthens the fundamental prerequisites for growth and productivity, enabling cities to benefit from economies of agglomeration and scale. In this frame, the universal provision of basic infrastructure is essential to

enhance productivity. Crucially, many public goods and services are within the control of cities and local governments, rendering them a key entry point for addressing the challenge of adopting more equitable and sustainable economic development approaches in cities.

STRUCTURE OF THE PROJECT AND RESEARCH OBJECTIVES

The project strengthened the partnerships within and beyond the existing networks through their broad expert base. The three networks acted as facilitators for international discussions on EEG policy design in cities, particularly in relation to the production of urban knowledge from Global South perspectives. The networks' diverse expertise and geographic focus fostered the dialogue on EEG and the city, working on the JWP's challenges and exploring alternative research-policy-making interconnections.

Through research cooperation and knowledge exchange, the research worked in complementing the activities developed by CA and JWP members, involving academics, international agencies practitioners, national and local government representatives, and NGOs activists at the global level. The translation of knowledge into practice and vice versa have been strengthened through the research networks interrogating long-term policy visions for urban dynamics and future scenarios. The research project underlined the urgent need to integrate and coordinate urban research multi-sectoral approaches and improve the interconnections among researchers, policymakers, and local actors across regions.

In this framework, the project has developed three main actions:

- a) The production of a reflection paper/report including policy recommendations, knowledge gaps and further areas of required research to deepen the analyses developed within international organisations, and research bodies and to provide research instruments to national and local governments on the aims and targets of the JWP;
- b) The dissemination and discussion of the research results through a webinar series on thematic project areas to widen the debate on EEG aspects and the city, involving academics, practitioners and activists;
- c) The promotion of cooperation and stimulation of research throughout the regions, fostering the connections among research networks and other stakeholders, and encouraging new frameworks for knowledge co-production on EEG and the city through their local partners.

The project implemented these actions through research work packages, network analyses and a webinar series.

Work Package 1: A critical review on the relationship between public services provision and Equitable Economic Growth (Chapter 1)

Work Package 1 analyses the practice of public good and service provision as well as their relation to equitable economic development to identify potential positive local impacts and evidence of their interconnection. Analysing interventions of different good and service categories throughout the world, the objectives of WP 1 are as follows:

- * Provide insights into successful interventions of public goods and service delivery
- * Compare the experiences of different world regions
- * Highlight commonalities and differences in project characteristics and impacts
- * Develop a deeper understanding of local manifestations of equitable economic growth

Work Package 2: Urban research-policy interface in the urban planning domain for Equitable Economic Growth (Chapter 2)

Building on WP1 analysis of EEG conceptualisation, WP2 provides an analysis of the urban research-policy interface in the urban planning domain based on a review of literature and an exploratory web survey, which have been discussed and fostered through the thematic webinar series. The chapter focuses on the conceptual reception of EEG and interactions between researchers and policymakers by exploring interfaces structures and processes and the researchers' role in urban policies/programmes, with the following research questions:

- * In what domain is there a strong connection/gap between research and policymaking?
- * How are the research-policy interfaces structured in the urban planning field to EEG topics?
- * What roles do researchers fulfil in interfacing between research and policymaking?
- * What are the research challenges?
- * To what extent do external dynamics and interest-driven actions influence the mechanism connecting research and policymaking for EEG?

Work package 3: Knowledge co-production contributing to alternative paradigms of Equitable Economic Growth (Chapter 3)

In line with the project objectives and the previous components carried out by WP 1 and WP 2, WP3 focuses on how Equitable Economic Growth (EEG) can directly impact life quality. This component aims to push the discussion further reflecting on dynamics behind knowledge co-production concerning sustaining EEG through the proposed objectives;

- * Identify alternative paradigms to EEG developed and promoted as a result of the interaction between science and policy.
- * Explore the institutional conditions for an environment enabling EEG.
- * Understand the dynamics behind knowledge co-production fostering synergies between policy, science and local communities.

Networks Analyses

The second part of the research project is based on the regional analysis of EEG mechanisms and interfaces research-policy, developed by the three research networks involved in the project (N-AERUS; AURI; REDEUS_

LAC). While the N-AERUS chapter presents a reflection on global processes and research-policy interfaces at the international scale, the AURI and REDEUS_LAC chapters deepen the analysis on EEG urban dynamics focusing on the African and Latin American contexts through the following actions:

- * Understanding the EEG conditions in local/regional urban contexts
- * Presenting approaches and mechanisms for interventions aimed at addressing urban inequality
- * Identifying ways forward for further research and action towards EEG.

Webinar Series

Understood as a space of research dissemination and an inclusive platform for discussion among academics, policymakers, activists and practitioners, the webinar series develop four thematic areas explored during the research process:

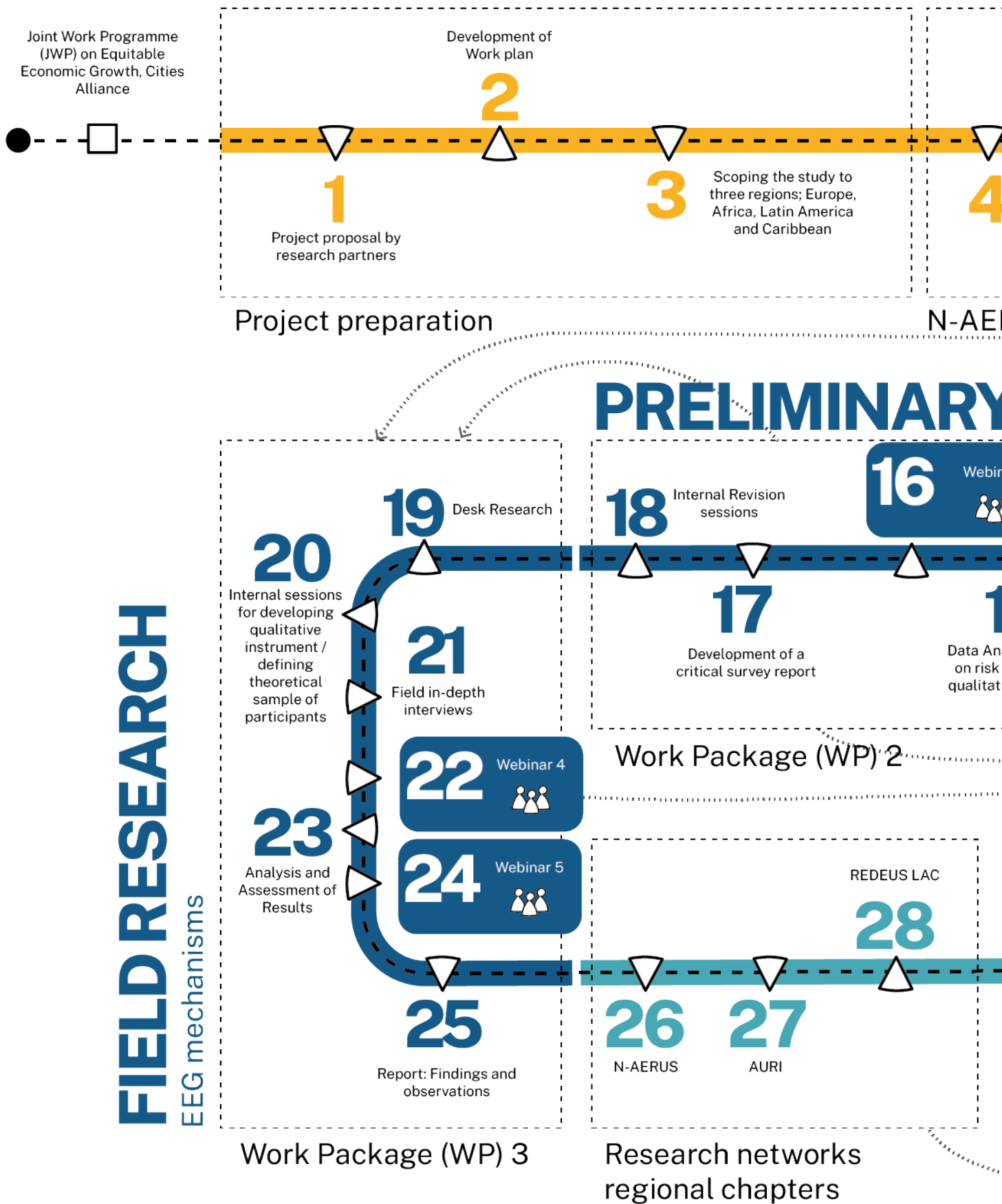
- * EEG and the climate crisis;
- * Best practices in housing and access to land towards EEG scenarios in Latin America;
- * Mobilisation of local research in relation to global policy agendas definition;
- * Critical approaches to equity and growth and the role of public service provision.

CONTEXT: WHY IS THE CONCEPT OF EQUITABLE ECONOMIC GROWTH IMPORTANT?

For decades promoters of market-based mechanisms (including the Washington consensus) have argued that free markets will lead to economic growth and that this economic growth will benefit all members of society. The central concept of the JWP is equitable economic growth that aims at connecting the process of economic growth to the idea of equity. In practice, the benefits of growth are disproportionately reaped by certain layers of society and certain places (Sankhe et al. 2010; Turok and McGranahan 2013; Zhuang 2011), leading to an increased contrast in socio-economic realities across urban areas.

Economists have investigated the relationships between economic growth and social and spatial inequality. Based on Simon Kuznet's (1963) work, inequality was seen as a necessary yet temporary product of development, as growth produces and exploits inequality in its first phase (so-called Kuznet curve, see also Aghion et al. 2000). Nevertheless, the development of many countries revealed a picture of persistent and even worsening inequality (Aghion and Howitt 2008), failing to produce a turning point where benefits start to trickle down to the poor (Ranieri and Almeida Ramos 2013). The widespread and persistent nature of poverty and inequality across and within countries, communities, and even generations are increasingly seen as a constraint to the population's opportunity structure (Melamed and Samman 2013, p. 3) and economic growth as such.

OPERATIONALIZATION



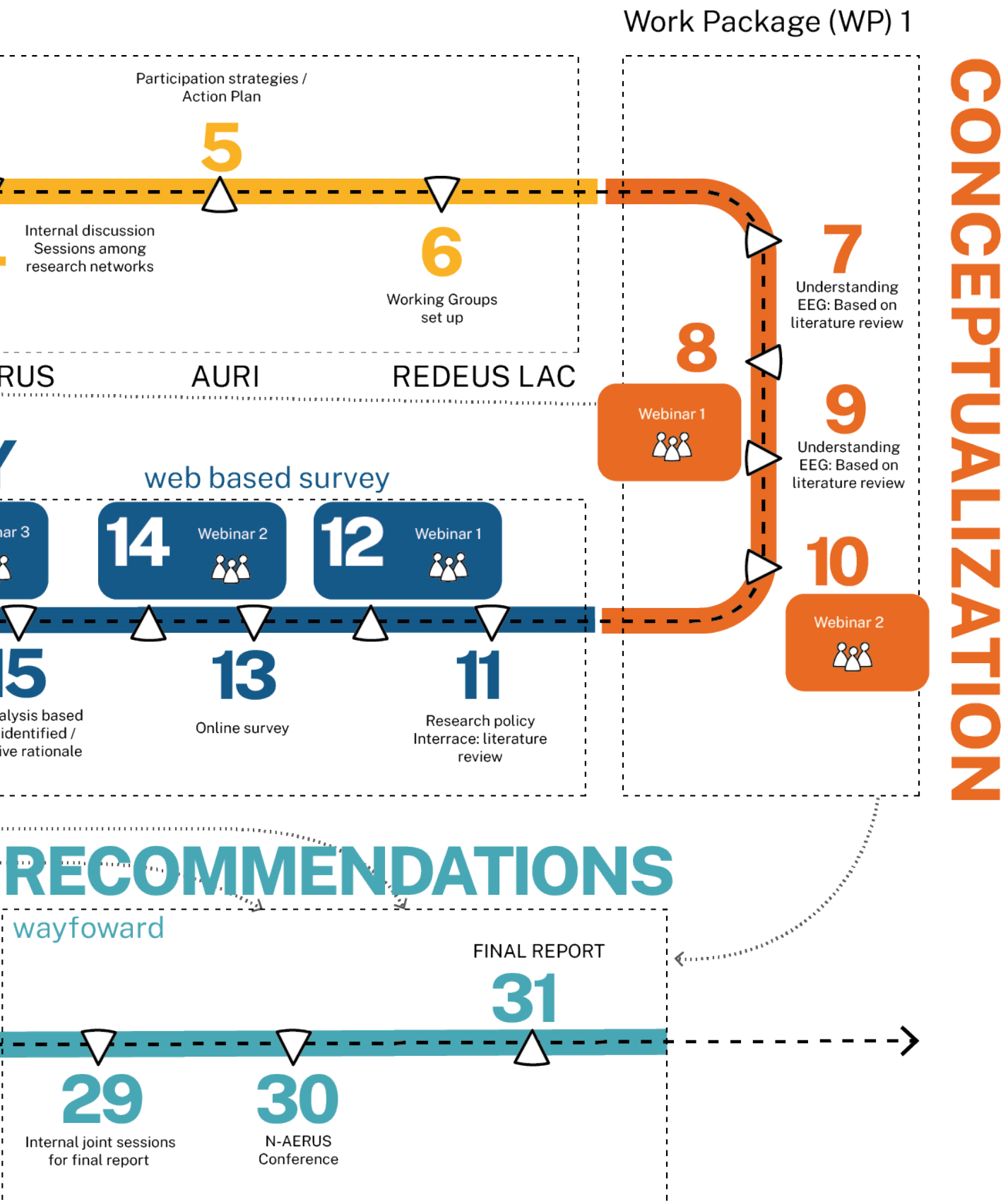


Figure 3. "The working process of the project"

Source: By the authors

In reaction to this increasing gap between on-ground reality and discourse, different discourses and ideas emerged, such as “pro-poor growth” and “inclusive growth.” The idea of “inclusive growth” recognises the need for overall growth to touch all parts of society (Kakwani and Pernia 2000). A relative definition of ‘pro-poor growth’ stipulates that the poor need to benefit more than other layers of society. This is seen as a precondition to reducing current inequalities (Rodríguez-Pose and Wilkie 2015). Otherwise, urbanisation benefits might be jeopardized for all of society (Ostry et al. 2014; Sankhe et al. 2010). Consequently, pro-poor growth policies aim at increasing the share of the poor within the aggregated wealth of given geography (whether being a country or city).

There is still not yet a consolidated definition of EEG in literature. The interpretations vary depending on the adopted theoretical framework and methodological approach (Stewart 2013, pp. 6–7), such as measured by the prevailing inequalities in a particular geographical context linked with services’ distributive justice (Melamed and Samman 2013, p. 2). The working definition of EEG provided by the Cities Alliance Joint Work Programme is: “a long-term, sustainable economic growth that creates economic opportunity in the form of decent, productive employment opportunities in both the formal and informal sectors, accessible to all society members” (Rodríguez-Pose and Wilkie 2015, p. 13). The concept of EEG (see Rodríguez-Pose et al. 2018, p. 12, for a more detailed definition) can be seen as an attempt to unite the two aforementioned concepts, and advocates for a synchronous broadening and deepening of local economies: broadening by creating more livelihood opportunities and deepening through enabling and improving access of the urban poor and other formerly marginalized groups (informal workers, women, elderly, people with deficiencies or different social, cultural, or racial backgrounds).

Infrastructure and, more specifically the access to public goods and services, are considered as the essential levers to increase the social and economic well-being and life chances of citizens (Cities Alliance 2019) and benefits are optimized if their access “is as universal as possible” (Cities Alliance 2016a). A significant contemporary challenge persists in the inequitable distribution of public services in cities (UN-Habitat 2016, p. 15–17), and for example the urban poor “pay more for services of lesser quality” (Cities Alliance 2016b). Cities Alliance advocates EEG as it is seen as “crucial for national development” (Cities Alliance 2016a) and for maximizing benefits for the entire society. This is well in line with academic research that points out the connection of appropriate infrastructure to unlock the potential of urbanization (Turok and McGranahan 2013).

In urban planning, EEG is still an evolving phenomenon for researchers, planners and practitioners regarding its adaptation into policy planning processes. In this context, the global development agendas to advance sustainability (e.g. Agenda 2030) interrogates the centrality of equity through equitable distribution of public services and goods, since access to public goods and services benefits the poor and can also strengthen growth and productivity (New Urban Agenda, 2016).

From an analytical point of view, the definition of EEG is problematic as it is almost impossible to be rigorously accessed. The overall increase of well-being would need to be evaluated on an aggregate level of at least a city. The required data (number of employment in the formal and informal sector, their accessibility) is complicated (if not impossible) to obtain the required quality on a municipal or even metropolitan level. To identify positive developments, someone would need to have control groups and be able to single out the effect of the specific intervention. Another substantial criticism could be that EEG focuses primarily on the productive, not fictitious part of the economy. In practice, it is the latter that drives economies' growth in most parts of the world.

Consequently, even if the data would be available, it would be inapt for EEG analysis. As shown in the next chapter, a further complicating fact is that the concept of EEG is not widely applied in either academic or urban advocacy circles. These represented considerable bottlenecks for advancing the research of WP 1, aiming at analysing the relationship between public services provision and equitable economic development in different parts of the world.



CHAPEL

01



REPORT

**A critical review on the relationship
between public services provision
and Equitable Economic Growth
(EEG)**

Figure 4. "Senegal", 2016
Source: Eva Alvarez.

Chapter 1: A critical review on the relationship between public services provision and Equitable Economic Growth (EEG)

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INTRODUCTION

The provision of public services and goods is one of the most direct ways to tackle existing inequality. Improving access to such essential aspects can fundamentally change the daily lives of the urban poor and marginalized population. Specific interventions such as providing drinking water, better access roads, or improving current housing conditions can directly lead to time-saving, greater health, and overall ameliorated opportunity structures, particularly if physical changes are combined with skill-building and other forms of educational offerings.

Investigating the relationship between public goods and service provision and equitable economic growth has been somewhat challenging as many insights from practice are not easily substantiated by scientific inquiries. A further complication is that both central concepts are not broadly used and difficult to operationalize within academic research. A workaround has been developed and the original focus adjusted. The concept of Equitable Economic Growth has been discussed in the introduction; the next section offers a practical take on public goods and services to operationalize the second fundamental concept. This is followed by an explanation of the workflow of the work package. Results are presented regarding a case studies analysis on public goods and services and a more targeted one on the category of housing and land. The analysis highlights commonalities and differences of practices in different world regions and draws some conclusions and recommendations.

PUBLIC GOODS AND PUBLIC SERVICES –HOW THE CONCEPT CONTRIBUTES TO EEG

Public goods and public services (PG&PS) is a concept well-anchored within the international policy discourses on cities. However, a theoretical definition is largely missing, and PG&PS are mostly delineated from their practical manifestation. Based on the past work of Cities Alliance (Cities Alliance 2016a,b, 2019, 2020) the following list of PG&PS has been elaborated, adjusted, and extended based on the terms found in the review of other international practices. These PG&PS are intimately connected to cities and their development challenges, including the idea of the right to cities (fundamental needs of urban residents) and EEG:

- * Basic infrastructure (water, sanitation, sewage, stormwater, drainage, electricity/ energy, solid waste)
- * Social Infrastructure (health services, educational facilities, community infrastructure, police and safety)
- * Digital infrastructure
- * Public space and greening projects
- * Urban mobility
- * Jobs, educational, skill building and cash transfer programmes
- * Slum upgrading (because of its importance of the term in the discourse, technically, it is a project that combines several elements of the points above)

While in practice, these public goods do not fulfil the textbook definition (non-excludability and non-rivalry, see Boanada-Fuchs 2021), they have been historically and are often still under the control of and provided (dominantly) by the government for the benefit of everyone (Cities Alliance 2016a). For this report, it is crucial to keep in mind that public goods and services are not necessarily consumed in a non-excludable and nonrival manner but have a greater risk of being partially subject to a non-market situation, where there is no supply for the demand. PG&PS are ultimately defined by the need for a certain level of government involvement (not necessarily the provision of the good as such) due to their essential nature for national and human development.

OPERATIONALIZING THE CONCEPTS FOR ACADEMIC RESEARCH

If looking closer, the definition of equitable economic growth is problematic as it is almost impossible to be rigorously assessed. The overall increase of well-being would need to be evaluated on an aggregate level of at least a city. The required data is challenging (if not impossible) to obtain in the necessary quality. To identify positive developments, someone would need to be able to have control groups to single out the effect of the specific intervention. Another substantial criticism could be made that EEG only applies to a growth scenario, and it is unclear how the same idea can be used in stagnation or a de-growth context. A further complicating fact is that the concept is not widely applied in either academic or urban advocacy circles. These represented considerable bottlenecks for advancing the research of WP 1, and a research design with a workaround was developed (for a more detailed explanation, see Boanada-Fuchs 2020) with a focus on actual practices rather than the review of existing academic literature.

Key publications (2016 to March 2020) of international organizations¹ that are among the most important knowledge stakeholders related to the PG&PS were identified and reduced from 3,113 publications to 133 relevant ones based on a specific filter mechanism (ibid.).

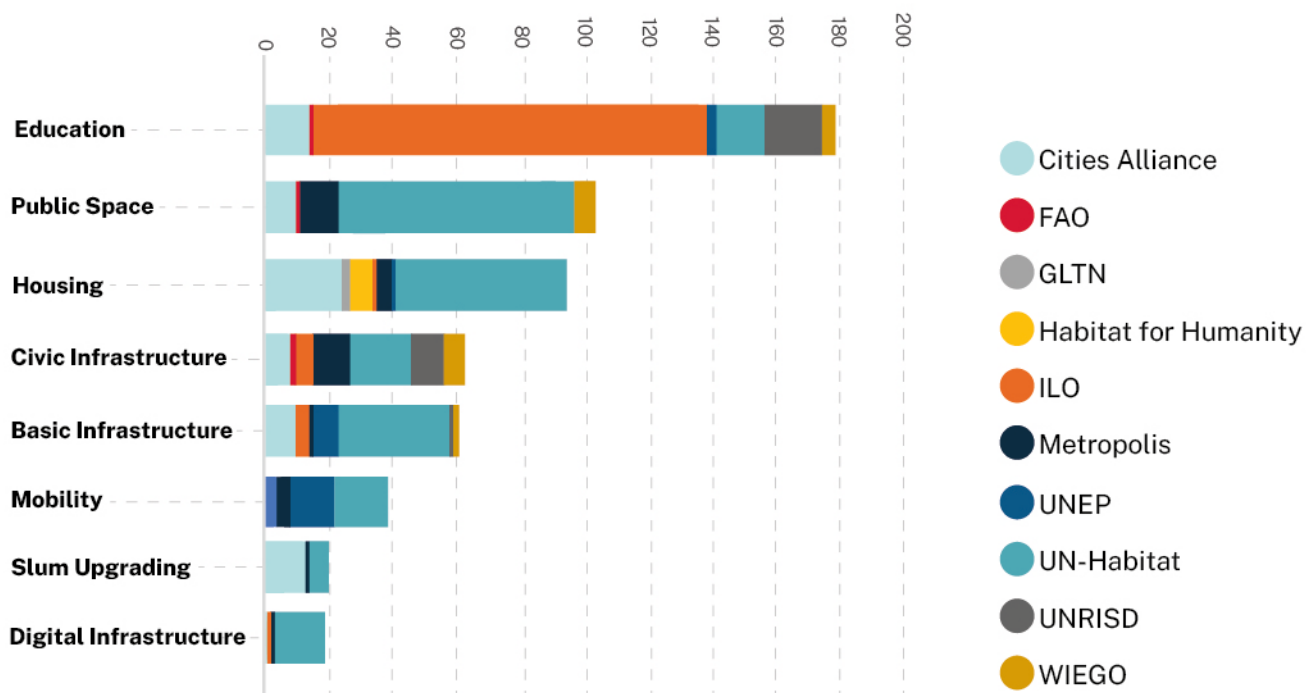
The relevant publications were analyzed in more detail to extract any direct reference to a public good and public service interventions for which basic information was collected (name, location, PG&PS category). In total, 466 projects were identified. Most cases pertained to Africa (152), followed by Asia (121) and Latin America (111). The Global North only represented 58 case studies (of which 41 were from Europe). Topic-wise, the PG&PS category of education, skill-building, employment, and cash transfer programmes was the

most important one because the relevant ILO publications were numerous. In the figure 5, the split per IO and PG&PS can be seen (Wepfer 2020).

The generated database formed the entry point to two interrelated workflows. On the one hand, the three academic networks were contacted in order to disseminate a call for participation in the filtering process. All interested academics could fill out a survey stating their thematic and geographic expertise and then receive the information of the identified PG&PS projects. The common shortcomings associated with best practices' internal mechanisms (Fine 2002; Moore 2013; Peck and Theodore 2010; Stead 2012; Stone 2004; Vettoretto 2009) are primarily avoided by introducing an educational filtering process to an aggregate view on best practices.

Based on the feedback received, two masters students writing their thesis on this topic were tasked to gather the information on 30 projects each (see Table 1 and 2 for the complete list of projects). The workload was split based on the logic of breadth versus depth. The first research assistant had a closer look at all PG&PS projects (except for categories housing/land and slum upgrading) by following the relational share of the database's thematic and geographic weight (Eichrodt forthcoming). The second research assistant focused on the two housing-related categories to deliver a comparative analysis based on a more profound and less heterogeneous sample (Rohner forthcoming). As the experts hardly covered the Global North and the housing and land

¹ Cities Alliance, Food and Agriculture Organization (FAO), Global Land Tool Network (GLTN), Habitat for Humanity, International Labour Organization (ILO), Metropolis, United Nations Environment Programme (UNEP), United Nations Human Settlement Programme (UN-Habitat, United Nations Research Institute for Social Development (UNRISD), and Women in Informal Employment: Globalizing and Organizing (WIEGO).



practices were primarily concentrated in the Global South, it was decided to focus on Asian experiences instead of European ones. Each of the practices was summarized on three A4 pages by detailing the project's context, the institutional configuration, finance, and (stated) impact.²

Each research assistant developed her own taxonomy based on the characteristics she was able to identify.³ All elements were identified, and similar ideas were combined with the aim to reduce the number of different traits without losing a distinctive feature. A comparable workflow was developed in earlier research for very complex topical discussions (see

Figure 5. Public Goods and Services per Topic and Source Material
Source: Prepared by the author, based on Wepfer 2020

Boanada-Fuchs and Boanada Fuchs 2018). The two samples of practices provide complementary insights, one granting a broad overview on the delivery of public goods and services, the second more focused on one category to provide more robust and detailed insights on interventions and their regional differences. Given its focus and practice orientation, this workflow is not without limitations outlined elsewhere (Boanada-Fuchs forthcoming).

The findings discussed below address the governance and finance framework of the cases, their impact and lessons learned. The level of occurrence (number of projects) is stated as a percentage while specific references to projects are by their acronyms (see Table 1 and 2 for full names).

WHAT PG&PS WERE ANALYZED?

The research on the PG&PS provides an aggregate view on public goods and service provision by following the relational share of the best practice database. Consequently, of the total 30 projects, twelve were in the category of jobs, education, skill-building, six public spaces, four social and basic infrastructure, urban mobility, and one in digital infrastructure. Geographically speaking, ten practices were selected from Asia and Africa, seven from Latin America, and three from the Global North.

The more focused analysis on the PG&PS on housing and land and slum upgrading was based on ten cases per world region (LAC, Africa, Asia). Two third of all cases (20) were slum upgrading projects, and the remainder fell into the category of affordable housing. Due to the received feedback, fewer slum upgrading projects were identified in Africa (6) than in the other regions (8). Most practices fall into the category of a programme (68%). Projects constitute 28% and policies 10%. The size ranged from affecting a few dozen families (PV) to several millions of people (PSUP; OLHM; KISIP; QMB).

HOW ARE PG&PS IMPLEMENTED?

Both practice samples are very heterogeneous and range from very targeted interventions to very encompassing projects that aim to improve access to a specific PG&PS and include many other elements, such as employment opportunities and skill-building, social inclusion and confidence/trust-building programmes or environmental improvement. Some projects can be qualified as integral city-making practices as they attempt to realize entire neighbourhoods by providing all PG&PS categories at once.

Most projects are developed and implemented by the national and local government (each 42%). The third most important actors are communities (32%) which is followed by international organizations (32%). Other, though less often involved, actors are grassroots organizations (11%), state and regional governments (11%) and NGOs (5%). In housing and land, international organisations' involvement is much more robust, being involved in more than two-thirds of all the cases. It is striking that private market actors are only mentioned once in the PG&PS sample and play an essential role in only a tenth of all housing interventions.

² This structure is in line with CA observations that on city-level there are three enablers: (a) governance; (b) finance and planning; and (c) management (Cities Alliance 2016b).

³ The research on the entire range of PG&PS identified 85 ideas and grouped them into seven categories. The analysis of housing and land interventions yielded eight categories, with each having two or three sub-categories and a total of 100 characteristics.

The governance also is reflected in the financial aspects of interventions which follows a very comparable pattern. A broad range of different constellations of funding sources can be observed, including often a combination of government funds, support by international organizations, international or foreign funding, and private as well as community finance. In almost half of all cases, the budget for interventions comes from abroad, either in the form of international organizations (21%), external funding (16%), or multinational donors (11%). The community is quantitatively speaking less involved in leveraging the needed funds, but their involvement represents an important mechanism to foster local ownership and commitment (see PG&Ps learning).

Abbreviation	Name	Country	Continent	Type of Intervention	PG&PS Category
BAUA	Building Assets, Unlocking Access	e.g. Uganda	Africa	National Program	Affordable Housing
CAAP	Community Action Area Planning	Sierra Leone	Africa	Local Program	Slum upgrading
CMNB	Casa Minha, Nosso Bairro	Mozambique	Africa	Private Project	Slum upgrading
eT	(Participatory informal settlement upgrading)	South Africa	Africa	Local Program	Slum upgrading
KC	Kaya Clinica	Mozambique	Africa	Local Program	Slum upgrading
KISIP	Kenya Informal Settlements Improvement Programme	Kenya	Africa	National Program	Slum upgrading
PRRA	Rehabilitation and Accessibility Program	Cape Verde	Africa	National Program	Affordable Housing
PSUP	The Participatory Slum Upgrading Programme	Malawi	Africa	International Program	Slum upgrading
SHP	Social Housing Program	Egypt	Africa	National Program	Affordable Housing
SKAT	Brick House SKAT	Rwanda	Africa	Private Project	Affordable Housing
ACCA	Asian Coalition for Community Action	Philippines	Asia	National Program	Slum upgrading
BMK	Baan Mankong in Bangkok	Thailand	Asia	National Program	Slum upgrading
CMF	Community Mortgage Program	Philippines	Asia	National Program	Slum upgrading
HFH	Habitat for Humanity	Bangladesh	Asia	Local Program	Slum upgrading
HH	Homes not Houses	Sri Lanka	Asia	Project	Affordable Housing
KIP	Kampung Improvement Program	Indonesia	Asia	National Program	Slum upgrading
NRP	Neighborhood Renewal Program	Singapore	Asia	National Program	Affordable Housing
OLHM	Odisha Liveable Habitat Mission	India	Asia	Policy - National Program	Slum upgrading
RAY	Rajiv Awas Yojana, e.g. Hunnarshala Foundation	India	Asia	National Program	Slum upgrading
SNP	Slum Networking Project	India	Asia	Local Program	Slum upgrading
B31	Barrio 31	Argentina	LAC	Project	Slum upgrading
CB	Chile Barrio	Chile	LAC	National Program	Slum upgrading
CVAM	Federacio Uruguaya de Cooperativas de Vivienda por Ayuda Mutua	Uruguay	LAC	National Program	Affordable Housing
FBP	Favela-Bairro Program	Brazil	LAC	Local Program	Slum upgrading
JBC	Ciudad Juan Bosch, Santo Domingo	Dominican Republic	LAC	Project	Affordable Housing
PAC	PAC, e.g. Belo Horizonte	Brazil	LAC	National Program	Slum upgrading
PCMB	Community Program for Neighborhood Improvement	Mexico	LAC	Local Program	Slum upgrading
PUI	PUI Nororiental	Colombia	LAC	Local Program	Slum upgrading
PV	Programa Vivenda	Brazil	LAC	Private Project	Slum upgrading
QMB	Quiero mi barrio	Chile	LAC	National Program	Slum upgrading

Interventions seem to have a common point of departure characterized by a situation of multi-dimensional exclusion. Low-income families are often the target (conditional cash transfer programs in Egypt and Brazil), particularly in slum upgrading projects. In some interventions (but not as many as we hoped for), a gender (Safetipin; RAY; OLHM) or youth (YEK, SEJ, UPE) focus tries to target particular vulnerable groups. The current situation of poverty is the result of existing inequalities (Bolsa, GPSP; BCMP) and of a broader exclusion from accessing markets (EWD) with reduced opportunities (in both education and jobs) that are only partially ameliorated by the informal economy (PUD ZA).

WHICH IMPACTS DO PG&PS HAVE?

The primary target of practices is the delivery and broadening of access to a specific public good. Aspects often mentioned in the PG&PS were the improvement of infrastructure (47%), broadening access (68%), fostering inclusion (37%) and to improve more generally the quality of life (32%) of residents.

There are several more tangible impacts attached to the latter goal, as seen in the analysis of housing and land examples, it improves citizens' living standards (PIZU; HFH; PAC; FBP), in particular well-being (PV) and health (SNP; OLHM) by improving hygiene (HFH) and reducing diseases (PAC;

Table 1. Best practices (30) of all PG & PS (minus housing) as per geography and category.

Note: For reading the abbreviations of this chapter, see Table 1 and Table 2.

Source: Prepared by the author

PV; SNP). Another essential aspect of well-being is economic conditions and outlook. Interventions may contribute to time-saving and increase productivity (SNP), school attendance (FBP; HFH) and access to livelihood opportunities (RAY; CB) or even formal jobs (SKAT; CMNB; PIU). Improved safety in public spaces (CMP; PCMB; RAY; PAC; HH; FBP), and of course also improvement of current tenure situations (CMP; OLHM; SNP; BMK), can heighten expectations of the individual future financial well-being (BAUA) and trigger further investments (CMP).

The participatory nature of most interventions has a fundamental impact on the community, creating confidence (SNP; BAUA; NRP) and legitimacy (SNP) by improving the relationships with government institutions (PIU; SNP; BMK). This empowerment of the local community (HH; PCMB; OLHM) can also indirectly generate the propagation of democratic values (PCMB).

The lack of (formal and informal) jobs and education is increasingly perceived as a major impediment of poor families to improve their current situation, consequently access to finance (SWEEP; BMK; SHP; JCB; HH; PV) and skill-building, training, as well as additional qualifications (EWD; SENA; SWEEP; KES, Bolsa; CB; JCB; PCMB; SNP; PV; PAC; FBP; ACCA) are essential project components. Such components of opportunity structure feature in many projects - though not always as a primary focus.

Abbreviation	Name	Country	Continent	Type of Intervention	PG&PS Category	Icon
CBHI	Community Based Health Insurance	Rwanda	Africa	National Program	Civic Infrastructure	■
CCP	Community currency programs as a tool for sustainable development.	Kenya	Africa	National Program	Education	▲
K&T	Karama & Takaful	Egypt	Africa	National Program	Civic Infrastructure	■
KSMB	Kigali Smart Bus Project	Rwanda	Africa	Local Project	Mobility	●
NMT	(Bicycle import and repair through BEN Namibia + recycling)	Namibia	Africa	National Project	Education	▲
PUD ZA	(Participatory Urban Design)	South Africa	Africa	Local Program	Public Space	◆
SS	Slum Soccer	Kenya	Africa	National Program	Public Space	▲
SWEEP	Slum Women Economic Empowerment Program - SWEEP	Uganda	Africa	National Program	Education	▲
UPE	Universal Primary Education (UPE) programme	Uganda	Africa	National Program	Education	▲
YEK	Youth Employment for Sustainable Development	Kenya	Africa	National Program	Education	▲
BSIP	Benazir Income Support Programme	Pakistan	Asia	National Program	Education	▲
BWSSP	Bengaluru Water Supply and Sewerage Project	India	Asia	Local Project	Basic Infrastructure	✕
C2S	Chance2Sustain	e.g. India	Asia	International Project	Basic Infrastructure	✕
CGC	Inclusive, Vibrant Neighbourhoods and Communities; Clean Green Cities	e.g. Afghanistan	Asia	National Program	Public Space	◆
CMP	Child Money Programme	Mongolia	Asia	National Program	Civic Infrastructure	■
EWD	Improved Livelihoods for Home-Based Embroidery Workers in Delhi	India	Asia	Local Project	Civic Infrastructure	■
PPM	(Public participation in waste management)	Indonesia	Asia	Local Project	Basic Infrastructure	✕
PWP	(Pune waste pickers)	India	Asia	Local Project	Education	▲
Safepin	Using Safetipin to Build Safer Communities	e.g. Colombia	Asia	Private Program	Public Space	◆
WFC	Women-Friendly City	South Korea	Asia	National Program	Public Space	◆
BAL	(EU pilot initiative in Ballymun)	Ireland	Europe	International Project	Education	▲
HAM	Hammarby Sjöstad	Sweden	Europe	Local Project	Digital Infrastructure	+
CM	Citymapper	Global	Global	Private Program	Mobility	●
BF	Bolsa Familia	Brazil	LAC	National Program	Education	▲
MEB	Muevete en bici	Mexico	LAC	Local Project	Mobility	●
PJJ	Plan Jefes y Jefas de Hogar	Argentina	LAC	National Program	Education	▲
SEJ	Subsidio al Empleo Joven	Chile	LAC	National Policy	Education	▲
SENA	Servicio Nacional de Aprendizaje	Colombia	LAC	National Policy	Education	▲
VES	(Villa El Salvador)	Peru	LAC	Local Project	Public Space	◆
WRP	(Waste Recycling Program, Curitiba)	Brazil	LAC	Local Program	Basic Infrastructure	✕

At the scale of intervention, finance and economic concerns are often well integrated. The analyzed practices manage to foster (local) economic development (eT), by creating jobs (JCB; SHP; PIU; SKAT; PV) and businesses (BMK; HH) and by improving access to financial services, in particular loan accessibility (NAUA; ACCA). Building materials can play an essential trigger in this regard. Housing and land interventions may promote the use of local materials (CAAP; HH; PV) to create an economic impact and advance sustainability concerns (SKAT; PV; RAY). Well executed PG&PS can lead to economic growth on a national level (SHP; HFH) and increase property values (FBP) on the local level.

Table 2. Best practices (30) of all PG & PS (minus housing) as per geography and category.

Note: For reading the abbreviations of this chapter, see Table 1 and Table 2.

Source: Prepared by the author

IN WHICH WAY CAN WE LEARN FROM “BEST PRACTICES”?

Analyzing the different practices helps to identify specific unique elements that have considerably contributed to particular interventions’ success. These can be grouped around four thematic areas: planning and coordination, participation, added value, finance and economy. The section concludes by outlining some under-represented concerns.

Planning and Coordination

A rather evident contestation is that successful interventions in providing public goods and services are well planned and effectively managed.

PG&PS interventions can be highly complex, and the division of tasks into planning, implementation, and operating teams that brief each other regularly can considerably smoothen the process (PUD ZA). In some instances, special management units were created (Barrio 31; KISIP), often intersectoral (FBP), to foster intra-governmental communication (CB) and promote trans-scalar and transversal management structures (QMB; eT). These teams provide additional opportunities to include representatives of the local communities (CVD; QMB) and engaged civil society (CAAP).

An attractive solution was creating a platform to connect slum dwellers and governments to international stakeholders (ACCA), while another aimed at uniting all important actors in a country (HFH). A project that faced a dominant role of the central government managed to circumvent officials’ grip by establishing a separate inter-sectoral platform that worked, supervised, coordinated and monitored the program (UPE). The relations to politics seem complicated. There is evidence that political support (BMK) and being a political priority (CB) are essential; on the other hand, political actors can considerably stall interventions. Political realities, particularly local ones, are important factors to consider if fostering trans-local knowledge exchange.

To improve the local community’s exchange, physical space creation at the intervention site is advisable (FBP). Sometimes, it just suffices to apply a more flexible approach in the planning that better fits the local conditions and specific requirements of the urban poor (PUD ZA; CBHI; BMK), which includes offering differentiated service options (PV; eT; SNP). Several interventions developed guidelines and other tools to facilitate and guide future developments (HFH; CAAP).

An adequate level of control also appears to be a crucial factor. In many interventions, beneficiaries need to be regularly verified in terms of eligibility, appropriate use of the PG&PS, their contributions (K&T E), and standards and rules to prevent certain adverse developments (BWSSP). Controlling is often resource-intensive, but can threaten the programme and its success if poorly done (CBHI).

A precondition for suitable interventions but equally resource-consuming is information. Good quality data is missing in many places, and sizable efforts need to be deployed to map existing situations (eT; CAAP) and collect local data (HFH; BMK), so strategies can be developed and adjusted.

Participation

An essential success factor is local participation (ACCA) which starts by giving local implementation agencies more central roles (SWEEP) but should also extend to the concerned communities (GPSP). Such participation is mainly present in slum upgrading practices (Barrio 31; NRP; CAAP; PSUP; PUI; QMB) and should not be unidirectional but truly collaborative (PUD ZA), including joint problem solving (WRC) as well as a seat at the table in all project phases (PUI; PSUP).

The local communities have increased control of interventions and how they are executed (SNP; RAY; FBP; HH). This increases acceptance and ownership (CCP) and may lead at the same time to a broader perspective of concerned agencies (CAAP; NRP). This organizational logic can well be adopted within intergovernmental and intersectoral collaborations (Bolsa) to improve acceptance and efficiency (Bolsa, UPE).

Added Value

Several elements of success can be attributed to the idea of added value. Most practices manage to pair physical interventions with social measures (GPSP; all practices in housing and land). The importance of economic opportunity, as well as skill-building, has already been mentioned. Highly interesting is where projects included digital integration components, as these can help alleviate poverty and improve participation (see Minecraft in MLP) or improve safety (Safetipin). The added value of digitalization is further illustrated in its potential to generate and process data that can be used to adjust essential infrastructure capacities (BWSSP) and inform more resource-effective public interventions that go well beyond the initial scope of the intervention (Safetipin). Successful interventions can also trigger systematic change, as seen in the advancement of national deregulation efforts (QMB), transformative institutional change (ACCA; SKAT) and systematization of practices (PIU).

Finance and economy

The last group of unique elements are on the level of finance and economy. Best practices can either rely on fertile financial preconditions or have to address this aspect very well. A significant shortcoming is not having enough funds, which might as well be the results of delayed reimbursements (YEK) or changing government priorities (SNP) as well as macro-economic changes (PAC).

The availability of government funds has been stated very often as a critical aspect of interventions. However, best practices do not always need large investments, as can be seen in the innovative waste collection programs in Curitiba that managed with little investment to clean up the city, increase recycling rates, provide additional income/rewards to poor families, decreased diseases, and liberated space (fewer landfills) to be used as community gardens. Furthermore, available budgets can be better used by focusing on increasing access to a PG&PS and addressing economic losses in the supply and use of a PG&PS (BWSSP) or stemming from low-quality standards (SKAT).

While it is apparent from the analysed interventions that the poorest of the poor have to be fully subsidized, this can be achieved through cross-subsidization or another revolving income stream. Economic opportunities

paired with skill-building and educational programs maximize the impact of public goods and service provision and contribute to its sustainability. The urban poor is equipped with tools to improve their vulnerability and exclusion in the long run. Furthermore, the analysis reveals that the need for financial support and benefits is not limited to the weakest socio-economic layers but often extended to the top of the bottom of the pyramid and even beyond.

Missing Concerns

We can also learn from the blanks of the analyzed projects. It was striking to see that several aspects were not put at the forefront of projects. Given the workflow and the depth of analysis, we cannot exclude the fact that such elements are incorporated in some practices, but they seem not to have been mentioned in the analyzed documents. It is striking, though not very surprising that rental housing has only been implemented in two projects. Within these, rental solutions are treated somewhat marginally in small numbers (SHP) or confined to the redevelopment of left-over spaces (RAY). This absence also extends to renters in informal settlements (Scheba and Turok 2020), a group that seldom benefits from upgrading projects.

Another topic that appeared less present in the analyzed practices is the informal economy. The informal economy is recognized in some projects as an essential safety net and a productive force, but which primarily requires specific interventions to flourish while avoiding its significant shortcomings (EWD, BWSSP, PUDZA). Some slum upgrading projects include livelihood components and the creation of local work opportunities and businesses (NRP; FB; PVP), but these are sought in the formal market to slowly substitute the more irregular and less precarious opportunities from the informal sector. However, informal economic activities “are often the only feasible way to earn a living for slum and informal settlement dwellers” (UN-Habitat 2018, p. 15). Informal settlements and informal economies are intrinsically linked and replacing one or the other with the formal counterpart is neither an effective nor desirable goal.

The last concern that was not identified in many interventions is private market actors. Many practices will need market actors to finance and implement parts of the project design (Barrio 31, SKAT, SHP). Still, hardly any intervention was found where such stakeholders have a more present role in different phases. In only one instance, a public-private partnership could be identified (JCB). A recent report underlines the challenge of such collaborations, where governments have a stronger motivation than market players’ appetite and many failures provide fertile grounds for future learnings (World Bank 2020, p. 55). In a similar vein falls the scant evidence of counter-market measures. In two practices, regulatory levers were used to avoid real estate speculation’s negative impact (Barrio 31, ACCA). In two other projects (CMP; CVAM), communal ownership attempts to prevent the adverse effects experienced by earlier land titling programs (Bromley 2009).

INVESTIGATING THE CONNECTION BETWEEN PG&PS AND EEG

Establishing a link between the provision of public goods and services and Equitable Economic Growth, the latter being understood as economic growth that disproportionately benefits the urban poor. This can be very challenging

as PG&PS is very broad, and the concept of EEG too abstract to be easily connected to on-the-ground reality. While analyzing 60 case studies provided a solid knowledge base on current practices in delivering public goods and services, the linkages to EEG can only be done under reservation as the field of PG&PS is so broad; more comprehensive research efforts are required, mainly if aiming at differentiating regional experiences

Category	Sub-category	EEG Impact
 Economic Improvement	Finance	Loans Savings Subsidies or Grants
	Household Wealth	Access to Finance Services Flexible Payments Decreasing Financial Burden
	Opportunities	Formal Jobs Entrepreneurial activities Livelihood activities
	Benefits	Time Saving Increase Productivity Increased Investments
	Education	Skill-building and Trainings School attendance Capacity building
 Physical Improvement	Infrastructure	Access Durability / Reliability Quality
	Resources	Materials Labor Local Sourcing
	Environment	Visual Improvement Spatial integration / Connectivity Sustainability / Resilience Biodiversity
 Social Improvement	Community	Identity Social Capital / Stimulating Exchange Equality Security / Decreased Risk or Crime
	Participation	Engagement Empowerment Choice Recognition of Rights
	Life and Health	Living standards Quality of Life Well-being Hygiene
 Individual Improvement	Personality	Awareness / Sensibilization Confidence Self-esteem Increasing Democratic Values

The research on the more homogeneous PG&PS of housing and land highlights some interesting differences between Latin America, Africa, and Asia (in exchange for Europe, as too few practices could be identified). The economy (job, education, and skill-building and economic concerns) show a strong regional difference, being two times more likely to be included in a project in Africa than in Latin America and three times more likely than in

Table 3. Ideas associated with EEG based on case study analysis
Source: Prepared by the author

Asia. Social infrastructure concerns are underrepresented in Asia, being only half that of the other two world regions. In return, Asian interventions feature more hard infrastructure components (WASH, waste collection, mobility, public space) than in Latin America and Africa. Finance and governance, and management elements are twice as likely to occur in African practices than in other parts of the world. To summarize, it seems that Latin America's housing practices rely heavily on community and social infrastructure, while African practices have strongly developed economic components.

Comparable tendencies could not be established for the impact of interventions as the concept of equitable economic growth is still underdeveloped. However, the case study research introduces an intermediate analytical instance between the specific and the aggregate level, enabling a more structured investigation of the concept. Stated impacts that could be attributed to an EEG understanding were collected from all analyzed case studies and categorized according to overall ideas. As seen in Table 3, while the economic dimension of EEG impact is quantitatively speaking the most important one, physical, social, and individual improvements cannot be captured by an economic reading. These findings substantiate the insights of WP 3 to develop alternatives/extensions of economic understandings of growth and ultimately of EEG but more research on impacts (including planned, monitored, measured) to assess properly.

CONCLUSION AND OUTLOOK

Working Group 1 was tasked with investigating the relation of equitable economic growth and public goods and services. In order to answer specific challenges related to the under-definition and under-use of the two main concepts, a workflow was developed that identified best practices promoted by international organizations and used academic expert feedback to identify specific case studies.

In total, 60 practices were analyzed in their institutional configuration, finance, and impact to identify commonalities, particularities, and reasons for success. Ample evidence has been collected to show how the provision of public goods and services can positively impact lives and communities. Identified impacts range from improved access to public goods and services to minor intangible effects such as increased self-esteem, trust, and a more positive future view.

While these rather diverse impacts can be related to equitable economic growth, more specific indicators need to be attached to the concept, particularly if it will influence future policy decisions. At the moment, neither the data nor a specific way to quantify equitable economic growth is readily available. As pointed out by another working group, alternatives to the economic interpretation of development are ultimately needed that are anchored in concrete ideas and accessible to provide hard evidence on specific interventions' effectiveness. Only by advancing on such a level, an effective linkage between public goods and service provision and equitable economic growth may be established.

From such a perspective, the WP1 findings provide the first step towards a more comprehensive understanding of EEG by identifying various dimensions of impacts that could be further investigated to develop a broader yet more concrete definition of EEG.

Furthermore, the case study research also helps to develop a more nuanced perspective on the issue of best practices. This is not to refute the academic criticism about their political nature and mostly inadequate transfers from one place to the other, but to illustrate that there are many well-implemented and impactful practices involved in the international mobility of urban interventions and much can be learned from them.

The identified and analyzed 60 cases represent a fruitful contact zone where the interest of academia and policy circles overlap and should be investigated further, particularly to deepen the place-specific understanding and better account for contextual factors. The great development challenges of our time require all actors to come together to develop joint solutions. While participation is an important governance mechanism to ensure a seat at the table, such thematic contact zones are crucial for developing common understandings and insights.

Affordable housing and land in Latin America

Learning globally from local best practices in pursuit of Equitable Economic Growth

24.07.2020



Background Information

The unfolding COVID-19 pandemic and its geography within city regions have brought attention to the socio-economic cracks of current urbanization patterns. Poor neighborhoods and dense informal settlements are disproportionately at risk of becoming contamination vectors. With the health crisis, the fundamentals of cities are again back on the discussion tables: What cities do we want? How best to achieve them?

Urban Local Governments are one of the most essential actors to initiate and sustain change in the urban environment. However, the resources and institutional structure of local governments differ greatly between regions and cultures and more insights are needed for understanding contextual factors that explain successful local practices. An ongoing collaboration project investigates the relationship between improved access to urbanity and more equitable and sustainable urban development.

- 1. What can be learned from promising housing and slum upgrading projects in Latin America?**
- 2. Can local best practices be translated between global regions?**
- 3. How can interested academics and practitioners get involved to improve current transnational learning experiences?**

This seminar presented two promising case studies of slum upgrading in Latin America. By reviewing the positive and lasting impacts of these projects, this represents a continuation of systematizing global evidence on the role that the delivery of public goods and services (PG&S) and their contribution to Equitable Economic Growth (EEG). The webinar is part of the JWP WP 1 research that seeks to derive global lessons from local practices about the governance, resources and interlinkages required to make more equitable and sustainable cities.

WP1 - Webinar

More Information:
<http://habitat-unit.de/events/webseminar-iv/>

Team

Opening Remarks

Judy Baker - Global Lead on Urban Poverty and Housing and Lead Economist for the Africa Urban and Disaster Risk Management team (World Bank)

Panelists

Ana Claudia Rossbach (Cities Alliance)
Anthony Boanada-Fuchs (University St. Gallen)
Júnia Naves Nogueira (URBEL Belo Horizonte)
Diego Fernández (City Hall Buenos Aires)

Q&A Moderation

Catherine Lynch (World Bank)

Support Team

Colin Delargy
Felix Kariba
Yamila Castro
Keith Mudadi

Introduction

Latin America has generated very innovative approaches to slum upgrading and represents an ideal geographic entry point to discuss current practices and challenges. The online seminar was introduced by Judy Baker (The World Bank Group) who is a real authority on slum upgrading. The World Bank is very active in slum upgrading around the world because such projects work, and constantly improves current approaches. Important lessons learned so far are the importance of strong community participation, working closely with local governments, limited use of resettlement, and connecting communities with the rest of the city. Some challenges remain, particularly in the upscaling to a national level.

Anthony Boanada-Fuchs (GIMLA) provided the second frame of this webinar by presenting work in progress of a collaborative research project on public goods and public services (PG&PS) which analysis 40–50 best practices to find the commonalities and differences in the success of a specific public good and services. The two cases presented in this webinar are part of the promising experiences of Latin American slum upgrading.

Ana Cláudia Rossbach, Regional Manager for Latin America and Caribbeans at Cities Alliance, spoke briefly about the Latin American experience, a region with 40 years of experience in slum upgrading. By now, several countries have developed policies and legal frameworks that support such activities. These legal frameworks enable the government to spend public funds on informal settlements that are often characterized by unclear land rights. The first case presented today, illustrates what is possible at the local level when central government funds become available.

Key Case Studies

Vila Viva in Belo Horizonte, Brazil

Júnia Naves Nogueira from Urbel Belo Horizonte provided a very rich presentation on the slum upgrading practices by outlining the general context, the elements of the program, as well the triggered impact. Belo Horizonte is a city with 2.5 million inhabitants and an urban area of 331 sqkm, which managed to provide a holistic intervention package to informal settlements benefiting 165.000 people or a third of the half a million informal residents of the city. There are more than 400 informal settlements in Belo Horizonte, housing 20% of the total population while only occupying 7,5% of the urban land. These high densities, paired with slum occurrences in sensitive and/or risky areas, make resource and costs effective slum upgrading and regularization a challenge.

VILA Viva is the municipal local housing policy that is managed and enacted by Urbel (The Urbanization and Housing Company) which aims at reducing the local housing deficit of 50.000 units. In regards to the slums in the city, urban plans are elaborated with community involvement throughout the entire process. Today, 70% of all informal settlements have such a plan.

Another strong point of the program is a high concern for housing as a process. The city acknowledges the major changes slum upgrading program bring with them and deployed enough resources to ensure a smooth transition. To these activities pertained community supporting activities, sensibilization programs as well as skill-building. In order to improve the economic conditions of families, professional education classes are offered in construction, gardening, cooking, and sewing classes.

The local government was fundamental in this process, playing an important role in the political, financial, social, technical, and administrative domain. But complex projects such as slum upgrading require multi-sectoral institutional configurations and the federal government, engineering companies and public concessions companies, NGOs and social work companies, and the communities all had an active role.

The results of the slum upgrading projects in Belo Horizonte speak for themselves. The interventions improved the quality of life of the residents by reducing considerably water-borne diseases, geological risk, but also homicide and violent crime occurrences. This success goes hand in hand with increased job opportunity and environmental improvement. If trying to draw some lessons learned from the Brazilian example, the demarcation of slums as special zones proved to be very effective as was the structural transformation to support socio-economic changes as well as reduction of inequality. A strong reliance on the community further ensures the sustainability of such interventions.

Barrio 31 in Buenos Aires, Argentina

Diego Fernández from the City of Buenos Aires presented the internationally recognized best practice of an informal settlement upgrading. Barrio 31 is a large area of 72 hectares with a population of 40.000 inhabitants, situated in the downtown of the city, in close vicinity to very affluent neighbourhoods. In 2015, the decision was taken to integrate this area with the rest of the city by following the philosophy of urban acupuncture – the strategic use of public interventions to trigger large-scale transformations – inspired by comparable approaches in Medellín.

In four years, the city provided 18 km of basic infrastructure and services such as sewerage, drainage, water, public lighting, and roads, renovated 26 public spaces, and improved over 1.700 housing units, while constructing 1.200 new residences. It is essential to understand human development in its entire process and therefore reaching far beyond the built environment.

Education, health, and economic opportunities were three dimensions of inequality the original residents suffered from. Thanks to the slum upgrading project, families can access more easily health care services with digital records, send their kids to the largest public school in the city, and boost their financial opportunities by taking part in entrepreneur support programs or skill-building classes. 1.200 entrepreneurs were coached and supported while 3.500 inhabitants completed training courses. Furthermore, the most important local market was regularized and now the local traders are registered and also pay taxes to the city hall. Such transformation was only possible by combining public and private resources and the collaboration with 150 companies and several large multinationals. The remaining challenges of Barrio 31, are not dissimilar to other best practices in the world. When triggering a successful urban transformation, a major concern is how to avoid gentrification.

The second challenge is scaling-up a successful initiative. Given the scale of the problem, the solutions to informal settlements can only be found in the partnering of various sectors. Even if the very committed approach in Buenos Aires would be replicated in the rest of the country with the same pace, it would take a lifetime to upgrade slums where 4,5 million inhabitants live. Latin America has great experiences in upgrading, out of the box thinking to develop models that tap into the possibilities of the private sector and avoiding negative effects of gentrification.

Key Learnings

The interested audience:

1. received an overview of public goods and services provision and how these relate to the idea of Equitable Economic Growth as promoted by international organizations and global agendas,
2. learned valuable lessons from in-depth reflections on two housing programs in Latin America that prioritize strategic delivery of PG&S, including the political contexts, resources, governance structures and policies used to pursue slum upgrading and the impacts of efforts.
3. understand to grasp the challenges of trans-national learning on the topic of quality housing provision and reflect on how to systematize good practices.

Main Take-Aways

Based on the insights of the presentations and debates of the online seminar, some common elements of successful cases can be identified. These projects

- are centered around community participation in order to ensure a sustainable transformation
- provide not only physical interventions but also social services and economic opportunities
- are also concerned with the avoidance of negative side effects, such as gentrification.

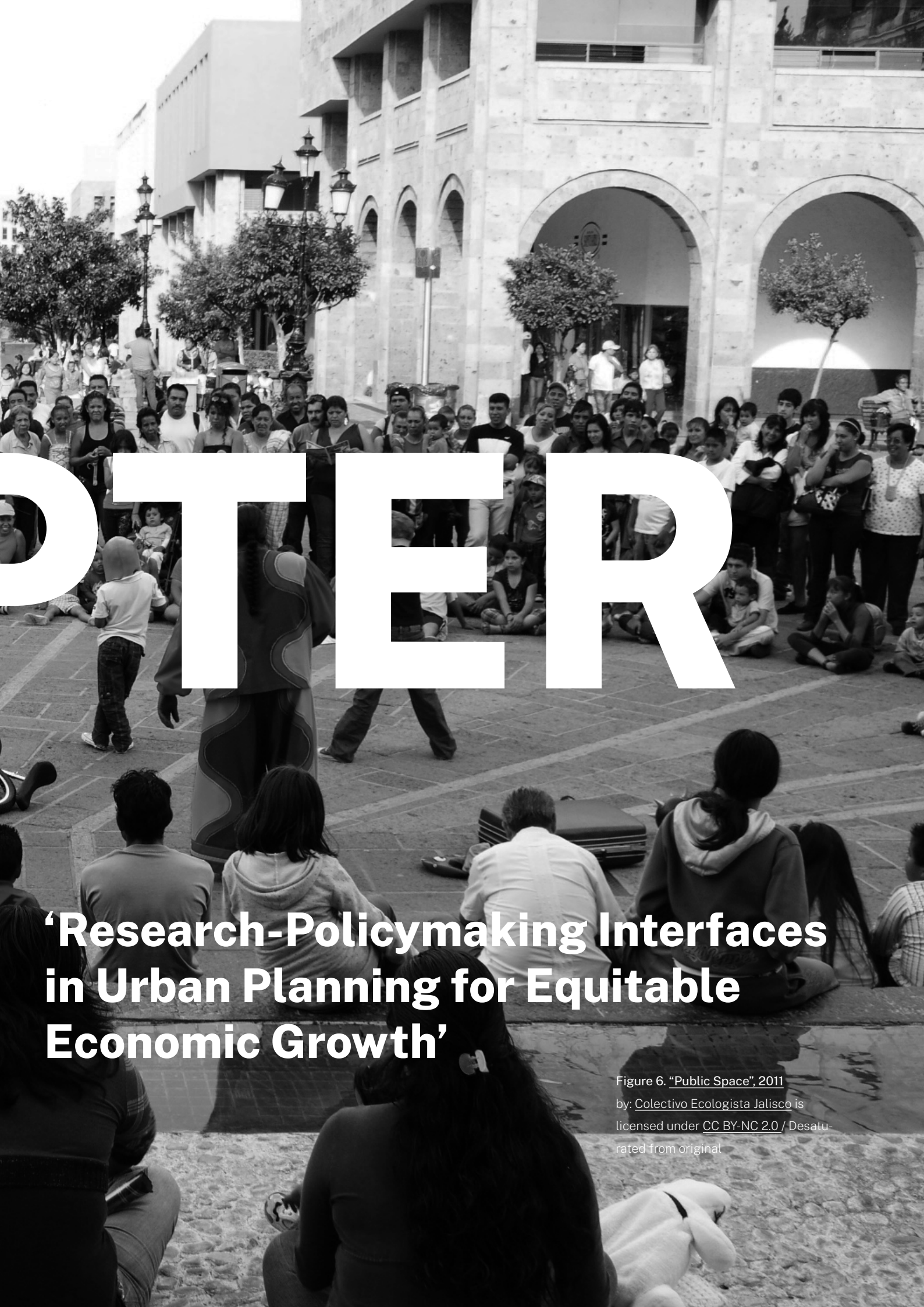
The main challenges remain

- how to establish lasting cross-sectoral collaborations in order to unlock the scaling-up of initiatives
- how to ensure the adequate financing of upgrading projects



CHAPTER

02



POTTER

‘Research-Policymaking Interfaces in Urban Planning for Equitable Economic Growth’

Figure 6. “Public Space”, 2011
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Chapter 2: ‘Research-Policymaking Interfaces in Urban Planning for Equitable Economic Growth’

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INTRODUCTION

Building on the previous chapter by WP1 on EEG conceptualizations and taking these perspectives as our departure for research, WP2 will draw points of action related to the interlinkage mechanisms for policy and research interfaces in the urban planning domain, focussing on research-policy interlinkage practices and challenges from the research side. In particular, the study explores the structures for the interactions between researchers and policymakers in urban decision-making processes. It revises the actors’ constellations involved in global development institutional mechanisms and the researchers’ role through urban policy/programme interventions.

In the context of Equitable Economic Growth (EEG), various topics and themes especially in the sphere of complex global urban issues, such as climate change, inclusiveness, sustainability, inequality and equity guided us to enquire about the interface between researchers and policymakers.

Beside the theory-building research by literature review the chapter is based on an exploratory web survey. The knowledge was further informed by the thematic webinar series on urban research - policy (making) interface in the urban planning domain.

UNDERSTANDING EQUITABLE ECONOMIC GROWTH (EEG) IN THE URBAN PLANNING DISCIPLINE

As discussed by WP1 in Chapter 1, the term EEG in the planning discipline as a composed concept is not present in discourses; however, parts of its composition as economic growth, degrowth and equity, inequality concepts are key topics in discourses. In this line, inequality in terms of income and opportunity has emerged as a critical barrier to achieving the Sustainable Development Goals (SDGs).

In the literature, a broad common consensus among scholars is that equity is an ethical expression linked with distributive ‘justice’ i.e. to have the opportunity to access the same resources by everyone’ (Bamberger and Segone 2011). In the context of the planning of urban services in cities, McDermott et al. (2013, p. 417) have identified three forms of equity, i.e. distributive equity

(refers to the distribution of cost and benefits among stakeholders), procedural equity (relates to decision-making processes) and contextual equity (relates to pre-existing conditions) which determines the citizen's and user's participation in the decision-making process. Against this background, research points out the need to include access to common-pool resources and co-production in urban development mechanisms in cities (Alfaro-d'Alençon et al. 2016, Huchzermeyer 2018, Galuszka 2018). The complexity of global urban issues often involves multiple actors' collaborative arrangements, which primarily requires sound research itself (e.g. action/evidence-based) to channel the scientific inputs (local/national/global/cross-sectoral level). The international development frameworks around sustainability (e.g. Agenda 2030) emphasize the importance of generating actual evidence based on research processes through collaborations.

In the constellation of governance solutions, the collaboration between researchers and policymakers (the research-policy interface) is central. Questioning the interface as a relational space connecting stakeholders and actors and interrogating the processes through which the translation of knowledge into specific policies and practices occurs at all scales is vital to understand EEG dynamics in cities.

RESEARCH FOCUS AND PROCESS

The survey focussed on the conceptual reception of EEG and interactions between researchers and policymakers with the main thematic areas as: the EEG topics structuring the Interface and the related actors' webs producing the interlink knowledge-practice in the urban sector; researchers' role in EEG knowledge production mechanisms; and the definition of analytical/operational tools for the implementation of EEG policies in cities. It therefore draws on these research questions, to explore the nature of the interface and the role of researchers in the relational web:

1. In what domain is there a strong connection/gap between research and policymaking?
2. How are the research-policymaking interfaces structured in the urban planning field to EEG topics?
3. What roles do researchers take on in the research-policy making interface? What are the challenges for research? To what extent do external dynamics and interest-driven actions influence the mechanisms connecting research and policymaking for EEG?

The survey was further structured for exploring the following topics: EEG concepts; policies/practices in place to achieve EEG in urban areas; the research-policymaking interface and the role of research in EEG processes; topics, methods and regional environments structuring the research-policymaking interface. The survey was informed by a mixed-approach research method by combining quantitative and qualitative tools.

The survey data analysis allowed outlining a provisional map of conceptual understandings, interlinkages, and institutional knowledge-building mechanisms on EEG, offering indications for the work's following steps. The survey was conducted from March to June 2020 among the urban

research networks focussing the three continents (Europe, Africa, Latin America and the Caribbean). It presents the survey and undertakes dialogues, including statements and discussions by the participants as university scholars, researchers, experts from networks and policymaking organizations, and practitioners in urban development, management, planning, and design.⁴

BACKGROUND : URBAN RESEARCH-POLICY MAKING RATIONALITIES AND STRUCTURES

* 'Equity' as a key driver for shaping the interface

The interaction between urban research and policymaking comprises many actors at different roles and levels, and is mainly realized within global agendas and their implementation cycles (SDGs, NUA). Under the international institutional structures (e.g. UN, World Bank, WHO) researchers' and policymakers' interactions have gained momentum through multi-actor collaborations, initiatives, forums and dialogues on global issues. Thus, international bodies keep a central place, especially in framing the theoretical approaches, in frameworks on 'equity' through knowledge-making processes (e.g. definition of implementation mechanisms, data consolidation and generation to collect, analyze, circulate and monitor).

Such collaboration often comprises institutional actors such as universities, research consultancies, city networks (such as 100 resilient Cities, C40 cities or ICLEI⁵) and development agencies as crucial drivers for urban knowledge mobilization (Acuto et al. 2018, p. 47). However, this framework also comprises NGOs and private sector consultancies. Theoretically, the policy cycle is defined by five steps, and research can be incorporated into every step (Cronin and Sedan 2015, p. 5). Figure 7 illustrates the most relevant structural events related to the international bodies' EEG Concepts and knowledge products.

* From expert to user involvement: Actor equity as a key driver

Governing the socio-spatial transformation of urban spaces requires the concerted inputs of public authorities, the private sector, citizens and users. Over the last two decades, new patterns of urban service provision and knowledge generation/transfer (e.g. fact-based knowledge, government policies/schemes) have been actualized by actors such as civil society, academic scholars/researchers (Herrle et al. 2016) by engaging in projects with the state and communities. Thus, new approaches have been manifested, such as transnational networks of the urban poor in Asia and Africa, 'Citizens Science' in Europe and interdisciplinary approaches through design, social science and urban planning discipline from the problem definition to the final project (Couling et al. 2019, p.17).

The inquiry on 'equity' is often attended through the critical lens of "whose knowledge counts?" and for whom and who benefits (Scholz and Alfaro d'Alençon 2017). Consequently, assessing what forms of urban production are emerging, whose experiences are being expressed and in which ways knowledge is produced and disseminated has become a challenge in itself. Hence there is a need to understand politics beyond research and education agendas to address equity issues by including plurality to research frameworks

⁴ Following institutions participated in the survey :

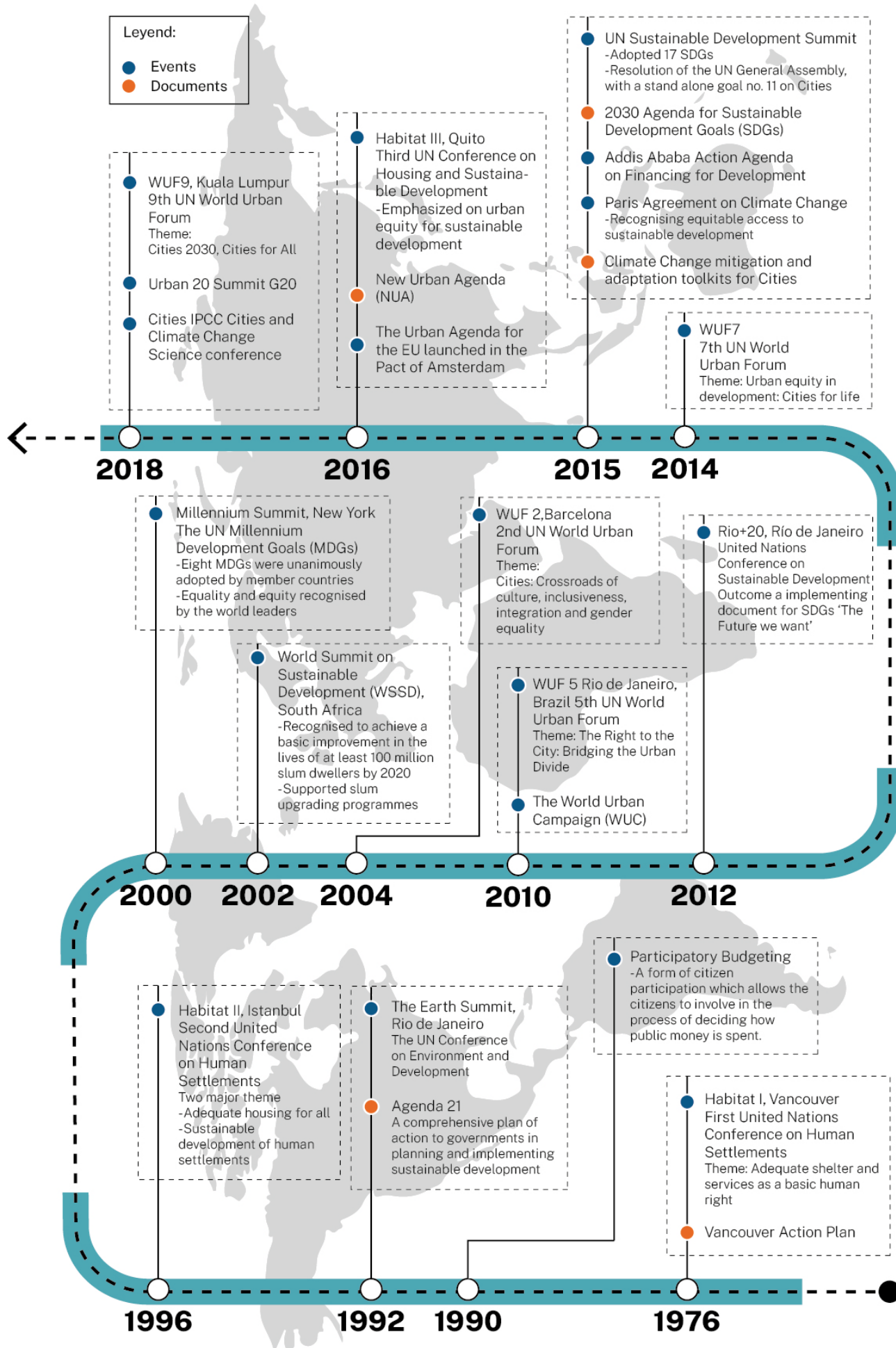
N-AERUS: ETH Zürich, TU Dortmund, Bishop Stuart University, Leibniz Institute for Ecological Urban and Regional Development, Technische Universität Berlin, Università di Udine, Mistra Urban Futures, Eindhoven University of Technology, GIZ GmbH
REDEUS_LAC: Universidad Autónoma de Baja California Sur, GFA Consulting Group GmbH, Pontificia Universidad Católica de Chile, Centre for Social Conflict and Cohesion Studies (COES) -Chile, Universidad Central de Las Villas
AURI: Lagos Urban Research Network, ENDA Tiers Monde, Centre for Settlement Studies, KNUST, African Centre for Cities University of Cape Town

⁵ See

<https://resilientcitiesnetwork.org>;
<https://www.c40.org>; <https://iclei.org>

Figure 7. Structured International Policy Dialogues and Initiatives related to the concept of EEG (1976 –2018)

Source: Prepared by the authors adapted from the literature review



and diversity in the strands of knowledge production (de Sousa Santos et al. 2006; Roy 2009; Guaran & Michelutti 2018). There is a need to consider various contemporary restructuring processes in the analyses of urban phenomena. It is inevitable to raise questions on how we understand, narrate and theorize urban practices related to urban change and the actors involved. It seems crucial to strengthen debates based on various experiences and understanding the complexity of comparison and the non-transferability of urban practices to deepen the understanding of urbanization processes worldwide (Theodore et al. 2011; Guarneros-Meza and Geddes 2010; Wiek et al. 2014). This has become key in understanding specific contexts and plays an essential role in creating knowledge in research and in the search for tangible solutions and monitoring and evaluation or improving living conditions.

As a result, various actors and the traditional urban design and planning sectors contribute to urban development scenarios. They enhance new approaches and mechanisms in adapting to new challenges and also reconfigure classic planning structures. These actions share a strong call for an interrelated trans-disciplinary governance framework. Consequently, decades of collective and bottom-up creation epitomizes a new paradigm and provides an alternative framework (Baker et al. 2006), and from a collaborative planning perspective, points to the fact that knowledge is generated among different actors (Healey 2007). The discourse argues to prioritize governance mechanisms based on acknowledged practices and on continuous collective actions emphasizing that inhabitants are not just recipients of services.

* The Paradigm Shift: Knowledge co-production as a model of relations between urban research and policymaking

Research and policymaking can be understood as different spheres yet interlinked through researchers' evidence for decision-making (Lompe 2006). Past policy interventions of urban service distribution have been discussed in terms of increased efficiency to service quality and quantity they can provide, due to performance-based planning practices (Baker et al. 2006, p.397).

In the research and action domain, conventional, mainstream approaches involve the government actors as drivers in defining the policy sphere in decision-making and allocation of resources for public urban research. They are also the key in the interface leading the interface processes and operational frameworks. Simultaneously, the researcher's role was limited to scientific inputs and technical implementation of research in policy-making processes. In these processes there are restricted spaces for negotiating the political economy of urban research and for an 'active' political role in the interface. Hence, the researchers' interaction patterns were characterized by limited academic mechanisms and webs of relations with local/national policymakers and set in international bodies with predefined operational frameworks (e.g. UN global agendas). Thus, in the 'old paradigm' frame (see figure 2), researchers operated primarily within their own spheres, with a limited influence in urban decision-making processes and setting urban research policies funding schemes. Due to the complexity of urban processes and settings, the concept of 'evidence-based policymaking' is also gaining momentum in urban discourses. In this line, the governance approach has been adopted in planning discipline as a pivotal component to strengthening

the relationship between research and policymaking at all levels and scales (e.g. global, national, regional, local). The discussion surrounding complexity and new and alternative forms of governance increasingly give rise to discussions of co-production as a way to comprehend collaboration between civil society and formal planning frameworks (Batley and McLoughlin 2010; Booth 2011; Gaventa and Barrett 2010; Jakobsen 2012; Osborne and Strokosch 2013; Verschuere et al. 2012; Watson 2014; Wild et al. 2012) and theoretical debates are discussing forms and facets of common action (Satterthwaite and Mitlin 2013).

In particular, in the context of social inequality, where an increasing number of citizens do not see their rights to participation guaranteed, the establishment of solidarity networks is an essential alternative to a crisis-ridden state and to the inability of public institutions to secure basic (social) services (Osborne and Strokosch 2013; Secchi 2013; Watson 2014).

Within the emergent international discourse, the term “co-production” refers to a diverse set of forms of cooperation between state and civil society that have improved citizens’ living conditions. The wide range of the term can describe projects that have emerged at the initiative of civil society and public administration (Jakobsen 2012). They can include NGOs and formalized civil society organizations, public or for-profit organizations (Verschuere et al. 2012). They can be referred to as “co-planning”, “co-designing”, or be oriented around practices of “co-management” (Osborne and Strokosch 2013). Thus, the model of “knowledge co production” has been recognised as a constructive approach to expanding dialogue spaces between these two spheres (von Haldenwang and Alker 2009).

The New Urban Agenda (NUA) on policy planning and implementation asks for mutual partnership and exchange in planning and implementation, with models such as co-housing, community land trusts and other forms of collective tenure, and incremental housing and self-build schemes (art. 107,art. 31).

What these discourses all seem to have in common is that they rely on planning processes. They emphasize, in particular, an expanded need to understand the relationship between state, private and civil society actors in the context of a “post-collaborative” era. As a result of difficulties that have emerged from the existing participatory processes (Brownill and Parker 2010; Healey 1992).The latter are pointing to advance on more inclusive urban development through the empowerment of disadvantaged social and economic groups (Herrle et al. 2016; Watson 2014).

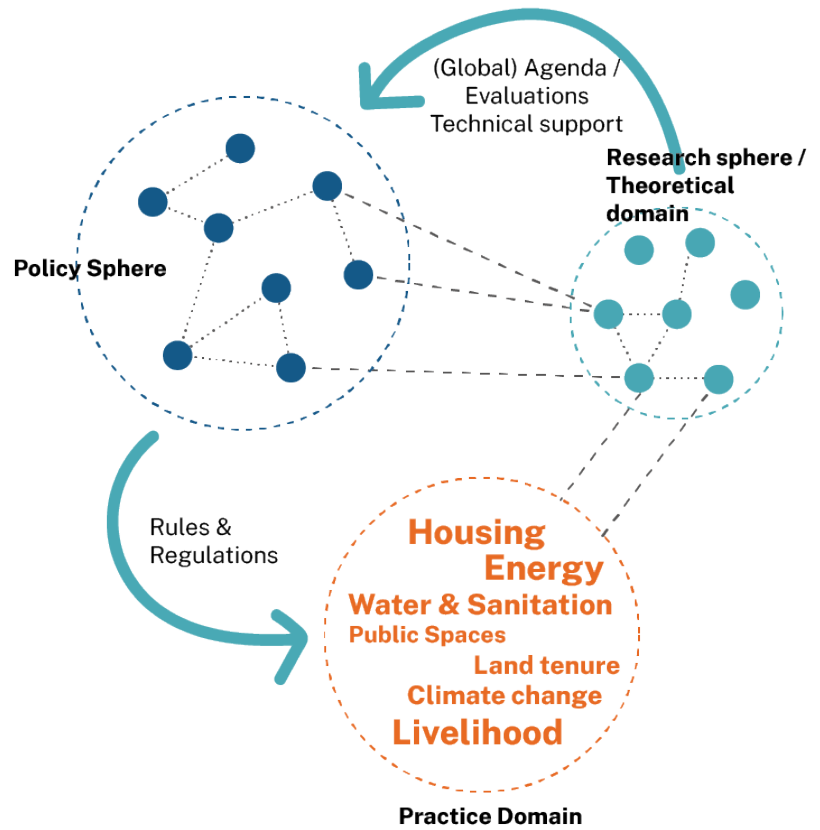
Figure 8 illustrates a visual interpretation of the overlapping roles and activities between policymakers, researchers and the practice domain.

OLD PARADIGM

Government, Academic International institutions each operates primarily within their own spheres

A certain degree of interaction / research for implementation of global agenda's but limited

Working Independently -define traditional role of government as public service provider.

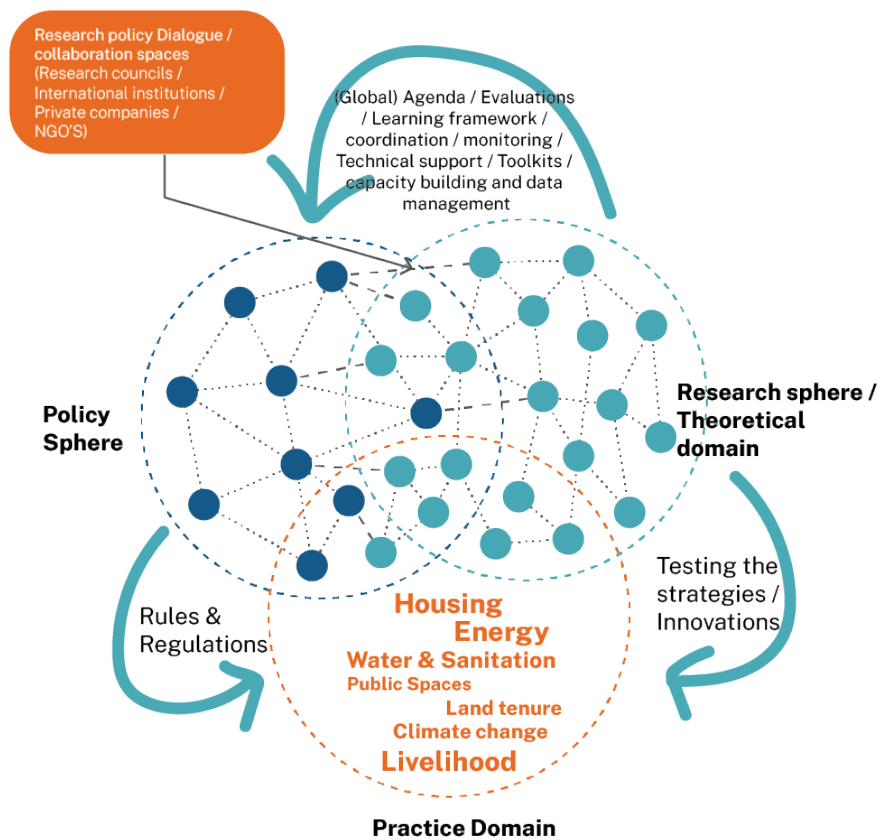


NEW PARADIGM

New framework for Coproducing concepts / knowledge through collaborations, partnership among universities, government, research and international organisations.

Greater degree of experiments strategies / action-orientes activities to incorporate global agenda (SDGs / Equity)

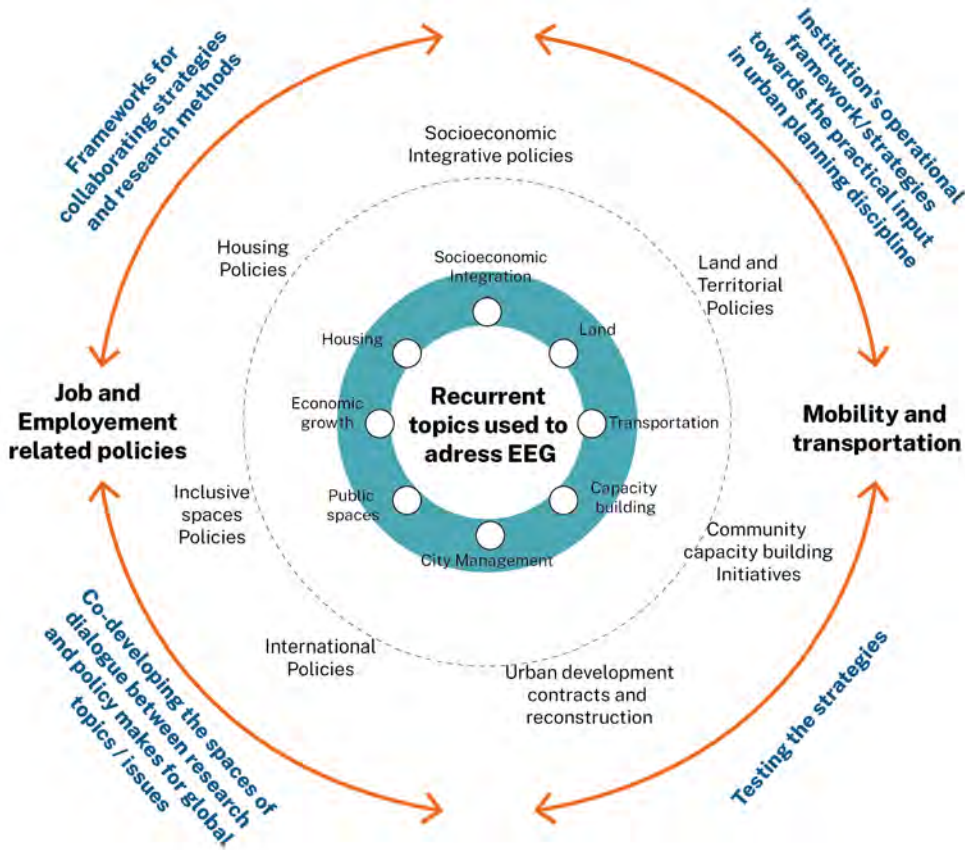
Evidence of alternative practices emerging (e.g. mobilization of community knowledge by civil society / grassroots community actors).



URBAN RESEARCH-POLICYMAKING INTERFACE FOR EEG: TYPES AND DYNAMICS

Question 01: Areas of interaction and gaps between research and policymaking in urban development

Engagements in empirical Knowledge generation



highlighted a strong connection between research and policymaking in policies with recurring topics related to addressing EEG (see Figure 9). The preliminary results provide a descriptive snapshot of urban development policies and programmes as a strong interactive space for research inputs/exchange to researchers and policymakers.

On the one hand, the findings indicate that these research exchanges are mainly in global agendas, initiatives and issues (e.g. SDGs, organization of debates, empirical knowledge generation, research funding). On the other hand, such interactive spaces and the thematic exploration of the “research-policy interface” is itself motivated by the international institutions through new patterns of knowledge generation (e.g. institutions’ own operational framework/strategies towards the practical input in urban planning discipline, working formats for collaboration strategies, research). However, most responses were limited in terms of the operational mechanisms around EEG focused policies and programmes. The lack of specificity among responses could be explained by the existence of unclear definitions and

Figure 8. The paradigm shift in urban research and policy sphere

Source: Prepared by the authors adapted from the literature review

Figure 9. Recurrent urban policies/ programmes initiatives to address EEG and emerging strategies

Source: Prepared by the authors, based on critical survey database

operationalizations towards what is Equitable Economic Growth and in which manner it is delivered in cities. Thus, within a functional format of a programme cycle (e.g. planning, design, management), the delivery stage's response shows the minor interaction point between research and policymaking. To further gauge this gap, 'the level of inclusion' was also being inquired concerning the participants' experiences in their context. The majority of responses noted a significant trend that the policies and initiatives mentioned (see Figure 9) tend to be seen as not very inclusive. Inclusion seems to remain a formal objective rather than a consolidated practice.

The experimental findings provided examples of policies and programs addressing the interfaces in research/policymaking in EEG in their geographical context (Fig.4). These initiatives were characterized by different levels of inclusivity in approaching stakeholders and partners. The collected experiences showed how theories and applied research in EEG depend on various rationalities, which are linked to different ideas of development and growth (see chapter 3, 'Alternative paradigms of EEG for reducing inequalities of opportunities'). The degree of inclusivity in itself is not a central factor, while EEG implementation processes assume relevance. Inclusion seems to remain a formal objective rather than a consolidated practice.

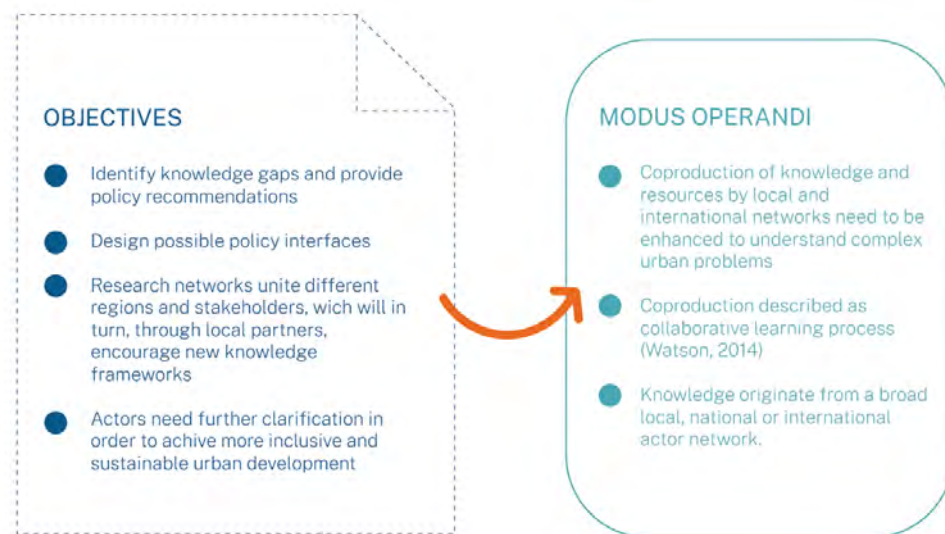
Survey results pointed to a knowledge imbalance affected by context-dependent factors and the actual mechanisms through which the encounter between experts (scientists), practitioners (policy officers, consultants) and community representatives occur. Knowledge co-production appears as a response to conciliate such conflicting rationalities and overcome disciplinary fragmentation. Simultaneously, through its results, the survey underlines the specific responsibility of research in linking academic and non-academic partnerships. The focus presented by the survey demonstrated the involvement of researchers in programs set-up. Researchers' participation is mainly seen in the planning, design and assessment stage, while there is no feedback concerning other phases of programmes implementation (e.g. delivery stage). Academia's engagement is mainly perceived to enable better processes design in supporting formalized and institutionalized activities (consultancy) or as an instrument for policy definition (research as a political alternative). According to the 'consultancy' and 'political engagement' field, it is seen as a critical linkage between academic and non-academic partners.

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Question 02: Research role, challenges and pending fields of actions in the interface



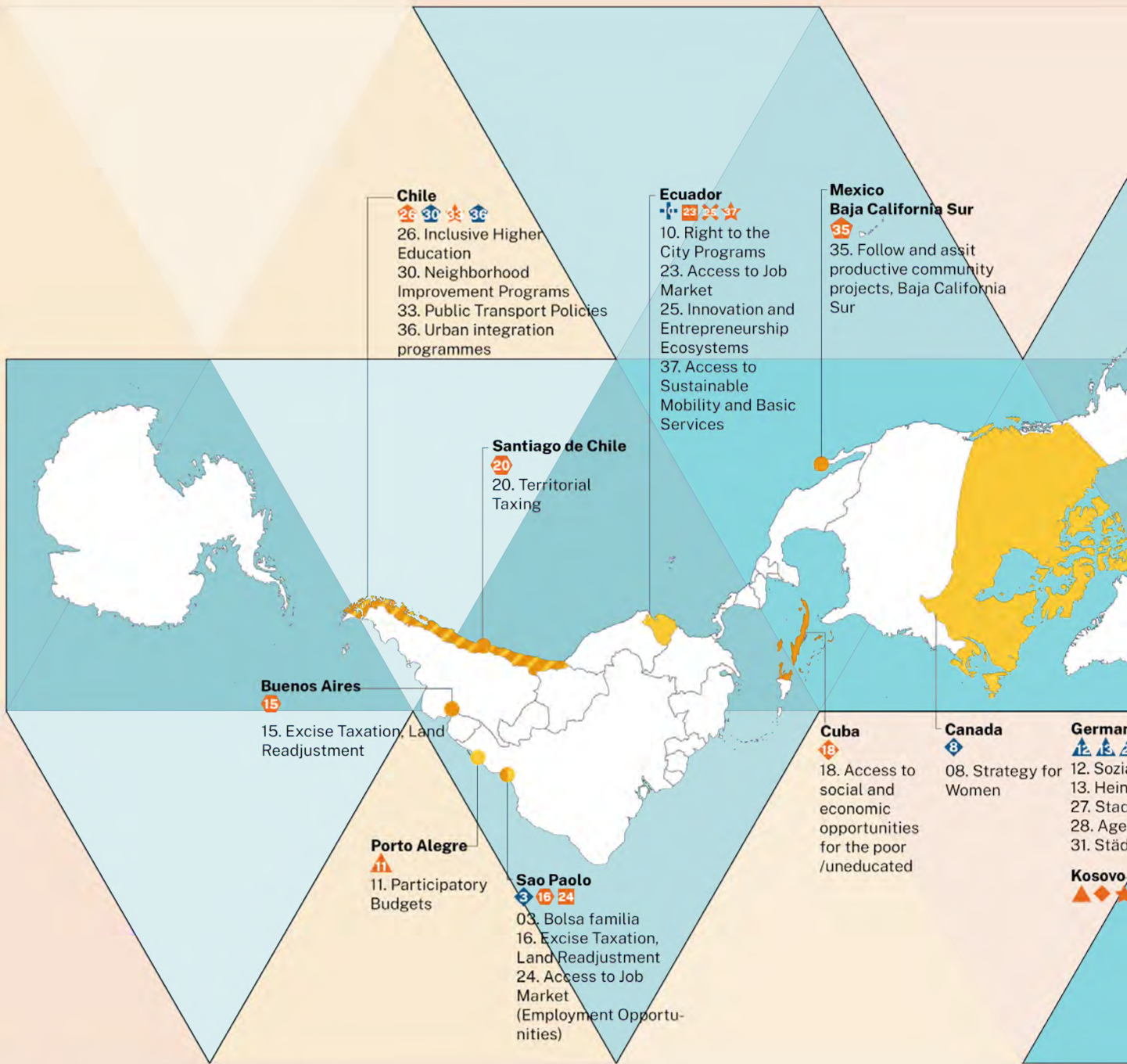
Considering methodological factors in research as tools to strengthen the linkage of research and policymaking, survey results underline the role of data collection methods (qualitative and quantitative methodologies) and research paradigms and approaches (including action research, participatory research, etc.) as engines underpinning more inclusive institutional solutions.

Concerning the role of the communities in research processes, survey results show:

- The need to strengthen community capacities:
 - * Sharing knowledge through advocacy platforms for NGOs and civil society organizations;
 - * Creating leverage for the establishment of nationwide community social investments funds.
- The necessity of increasing participation in communities:
 - * Through the creation of platforms involving representatives of government, experts from civil society and other research institutions at different levels (international, national, local);
 - * Through decentralization reforms reshaping the political environment of research/action processes.

Fig 10. Research role and field of actions in the interface

Source: Prepared by the authors



EEG Focus and Programs

- Job market and employment-related policies
- Land and territorial policies
- Housing policies
- ▲ Urban development contracts and reconstruction programs
- ◆ Socioeconomic integrative policies
- ★ Mobility and transportation-related policies
- ✕ Innovation and entrepreneurial policies
- + "Inclusive spaces" policies
- Community capacity building initiatives
- International programs

- Policies related to EEG
- Programs
- Mixed

- Strategies**
- EEG Programs
 - EEG Focus

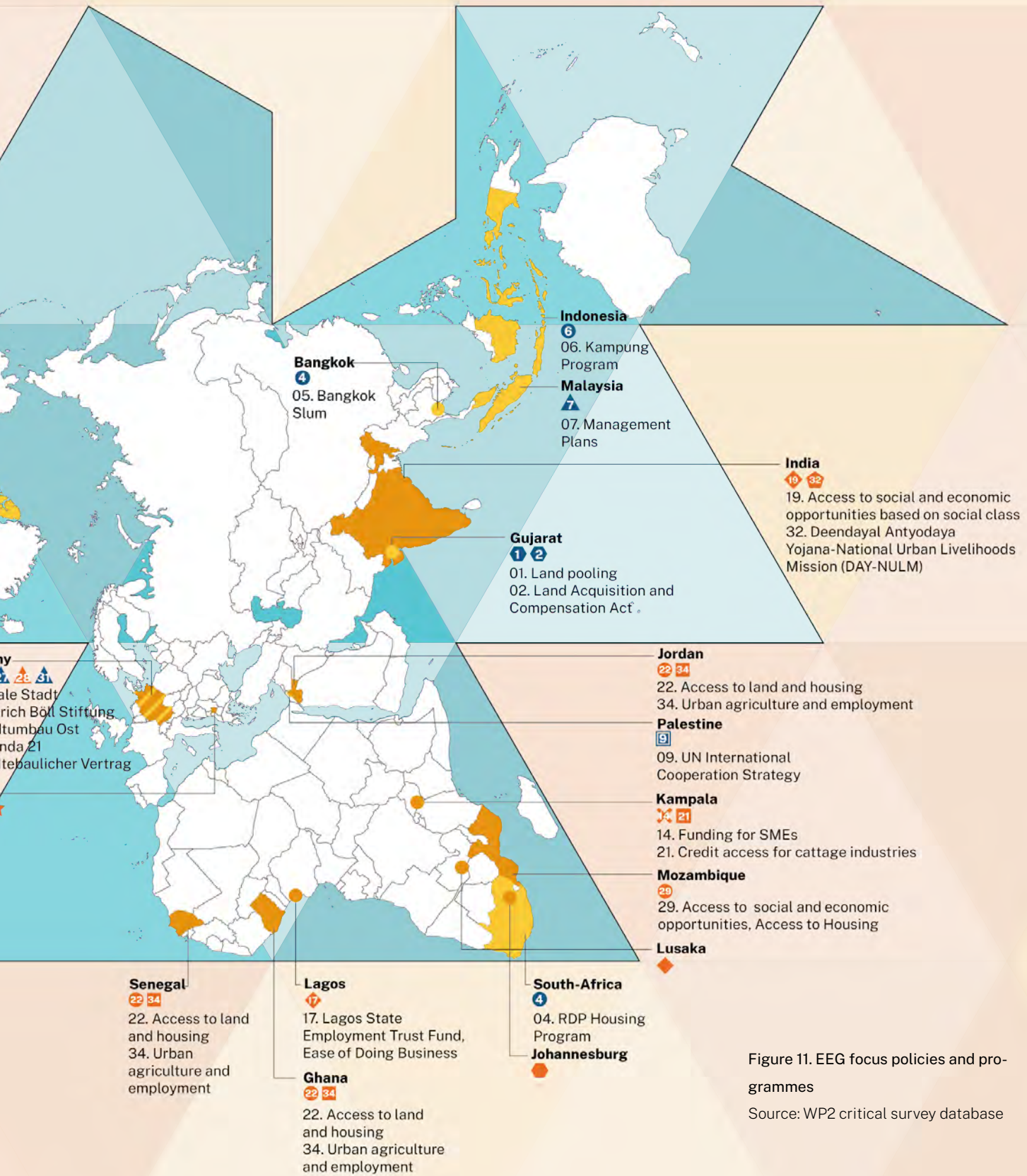


Figure 11. EEG focus policies and programmes

Source: WP2 critical survey database

Policy	Program (strategy)	Category (recoded from responses)
● Land and territorial policies	Land pooling, Gujrat, India Land Acquisition and Compensation Act, Gujrat, India Excise Taxation, Land Readjustment, Buenos Aires and Sao Paolo Territorial Taxing, Santiago (Chile)	Land
● Housing Policies	Bangkok Slum Upgrading, Thailand RDP Housing Program, South Africa Kampung Program, Indonesia Access to land and housing, Ghana, Senegal, Jordan Access to Housing, Mozambique	Housing
▲ Urban development contracts and reconstruction	Management Plans, Malaysia TSP-DP Planning, Gujrat, India Participatory Budgets, Porto Alegre (Brazil) Soziale Stadt, Germany Heinrich Boell Stiftung, Germany Stadtumbau Ost, Germany Agenda 21, Germany Städtebaulicher Vertrag, Germany	city management
◆ Socioeconomic Integrative policies	Strategy for Women, Canada Bolsa Familia, Sao Paolo (Brazil) Access to social and economic opportunities for the poor/uneducated, Cuba Access to social and economic opportunities based on social class, India Lagos State Employment Trust Fund, Ease of Doing Business, Lagos (Nigeria)	Socioeconomic Integration
● Community capacity building initiatives	Neighborhood Improvement Programs, Chile Deendayal Antyodaya Yojana-National Urban Livelihoods Mission (DAY-NULM), India Follow and assist productive community projects, Baja California Sur (Mexico) Urban integration programmes, Chile Inclusive Higher Education, Chile	Capacity building
★ Mobility and transportation	Access to Sustainable Mobility and Basic Services, Ecuador and Chile	Transportation
✕ Innovation and entrepreneurship policies	Innovation and Entrepreneurship Ecosystems, Ecuador Funding for SMEs, Kampala (Uganda)	Entrepreneurship development
⊕ Inclusive spaces policies	Right to the City Programs, Ecuador	public spaces
■ Job Market and Employment related policies	Credit access for cottage industries, Kampala (Uganda) Urban agriculture and employment, Ghana, Senegal, Jordan Access to Job Market, Ecuador, Cuba and Sao Paolo (Brazil)	Economic growth Education
■ International policies	UN International Cooperation Strategy	Worldwide programs and initiatives

Interviewees' research base and region of research

● N-AEURUS

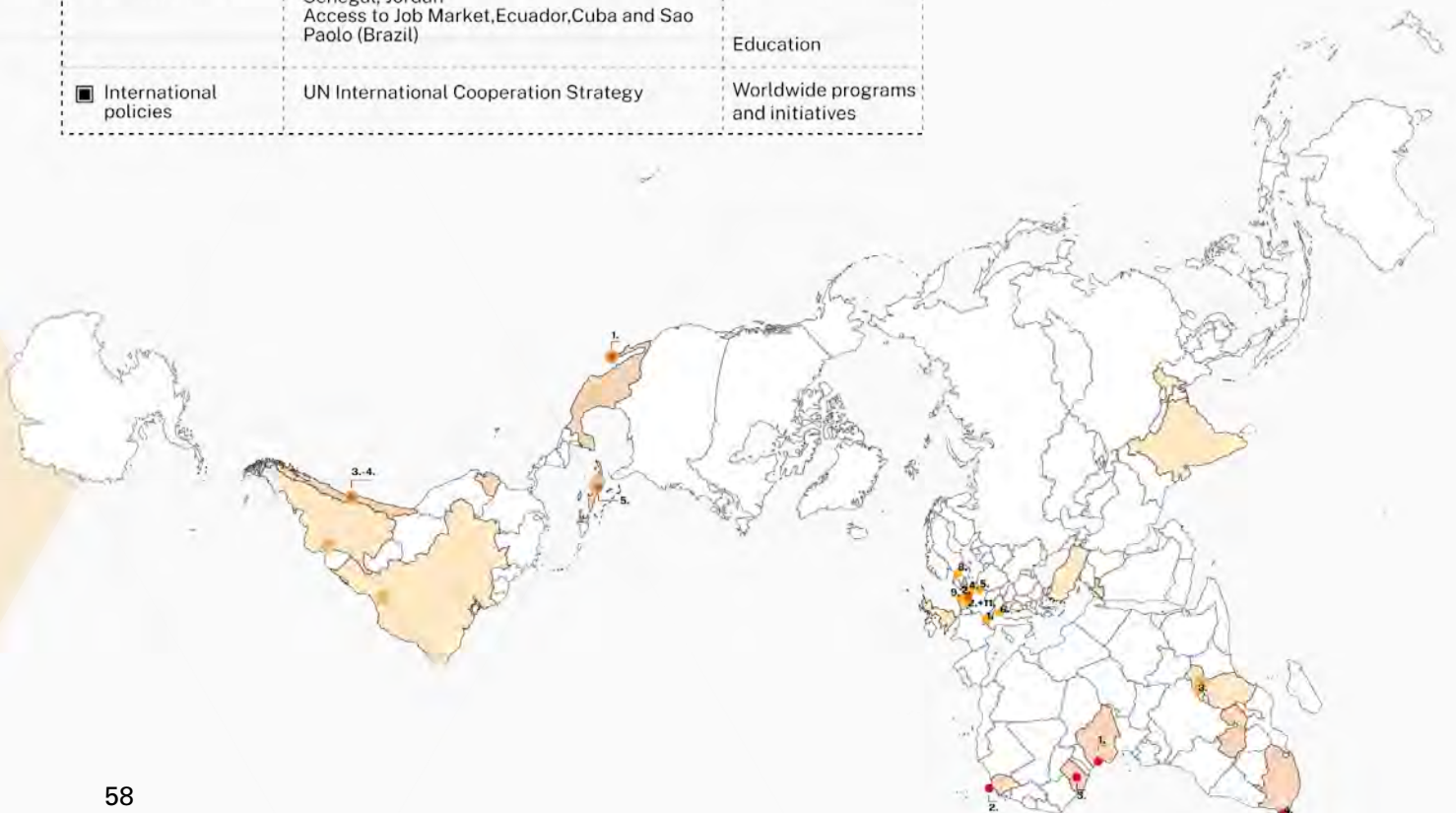
01. ETH Zürich
02. TU Dortmund
03. Bishop Stuart University
04. Leibniz Institute for Ecological Urban and Regional Development
05. Technische Universität Berlin
06. Università di Udine
07. Independent Consultant
08. Mistra Urban Futures
09. Eindhoven University of Technology
10. Retired and Volunteer Teacher
11. GIZ GmbH

● REDEUS LAC

01. Universidad Autónoma de Baja California Sur
02. GFA Consulting Group GmbH
03. Pontificia Universidad Católica de Chile
04. Centre for Social Conflict and Cohesion Studies (COES) -Chile
05. Universidad Central de Las Villas

● AURI

01. Lagos Urban Research Network
02. ENDA Tiers Monde
03. Centre for Settlement Studies, KNUST
04. African Centre for Cities University of Cape Town



- The need for increasing available public information so as to:
 - * Highlight the magnitude of problems related to EEG;
 - * Enable the development of lobby tools to be used in the communities.

An avenue is given to knowledge co-production mechanisms to overcome the gap between research and policymaking with a holistic approach to different related fields of knowledge by multi-actors frameworks and inter and transdisciplinary with varying governance levels. The survey shows two main dynamics related to the mechanism:

- power-distribution as ‘reduction of asymmetries’ among participants/stakeholders in knowledge production processes
- reducing knowledge imbalances between partners as a strategy for research implementation. In this sense, survey results underline the research’s role as a ‘transformation strategy and the necessity to recognize its process-oriented nature.

Question 03: Interface types and frameworks

This section is concerned with knowledge-building mechanisms and the particular interface structures. Against this background, discourses are making reference to knowledge co-production mechanisms. Co-production is regarded as having the potential to enhance the effectiveness of research by linking it to community preferences and needs and enabling communities to contribute to outcomes and realistic solutions (Ostrom 1996). It significantly contributes to the change of competence models in urban development projects, programmes and innovations for knowledge production to urban issues and confirmed by researches in the global south and north.

The focus captured by the survey was on two essential dimensions of the interface:

- a) Knowledge building mechanisms: the diversity of different patterns of relationships and, in particular, the collective formation of knowledge between different actors
- b) Governance: development and evolution of partnership structures and their transformative potentials

Besides, the webinars (Webinar Series) show the plurality of practices and mechanisms underpinning knowledge co-production.

In this sense, the search for new governance models recurs in many cases (e.g. producing knowledge and testing strategies to implement global agendas). These models act as platforms for interlinking research and policy making. These programme objectives and political agendas change the shape of urban research-policy interfaces at all levels, determining characteristics and dynamics among actors.

An institutional approach to the research-policymaking interface offers instruments to understand the relationships between actors and knowledge-building mechanisms and the following translation into urban practice.

Drawn as a research tool, Table 4 presents knowledge-building frameworks

Figure 12. EEG focus policies and programmes. Interviewees’ research base and region of research.

Source: WP2 critical survey database

(strategies and methods of implementation) and types of Interface (actor-equity based practice, local knowledge building and alternative knowledge production/knowledge co-production), focusing on the role of public authorities, research institutions and civil society, recognized as main institutional agents in urban research-policy-making interfaces.

RECOMMENDATION AND WAY FORWARD FOR FURTHER RESEARCH

In many Global South/North urban interfaces, external political dynamics and interest-oriented actions shape research and policymaking relations. While social-democratic mainstream policies in the planning sector have suffered from the incapacity of reading social changes and global scenarios (e.g. climate change, the rise of unequal dynamics in urban areas), weakening the relationships between public authorities and local communities (see Figure 2), a revival of neoliberal and nationalist ideologies pushes to relegate community outside knowledge generation and decision-making processes. Some experiences analyzed during the research (e.g. 'Reallabore' practices in Europe; capacity-building initiatives and 'Living-Labs' in Latin America) (re-) set communities at the urban centre interfaces research-policy-making, having researchers as critical agents of the knowledge co-production process. The themes of research programmes and funding are largely determined by politics (and that there is less and less funding for independent and free research. Freeing these practices from clientelism and interest-oriented dynamics towards a real integration of communities in the Interface is a way forward/ challenge that generates new horizons for research.

In assessing the current research-policy-making interface, research results show the need for defining researchers' type of engagement in the Interface and their role in translating knowledge into practice. Researchers underlined the necessity:

- * To increase researchers' presence in all the project phases, going from co-production to co-design/co-creation processes;
- * To improve communication between research and policymaking spheres (new languages, communicative tools, platforms to exchange research inputs);
- * To open multisectoral/transdisciplinary spaces for action-research experiences and research-based policymaking;
- * To put citizens/communities needs as a critical concern in the negotiations for new context-dependent interfaces research/policymaking.

Participatory/co-production dynamics embedded in the interface are central for researchers. New interfaces need to be platforms for a real inclusion of public institutions, private actors and the third sector in knowledge production processes through multilevel and multi-sector approaches. In this sense, a redefinition of the relationships with the political sphere emerges as a key concern: the 'politicization' of the research-policy making interface reflects the necessity of rethinking cooperation mechanisms between researchers and policymakers.

Ways forward for further research may include:

- * Deepening the knowledge of the context-dependent configuration of interfaces and the role of local actors and interests in politicizing the relationship between research and policymaking;
- * Working on innovative communication platforms between research and policymaking for the establishment of a direct dialogue and the development of research-based policies in the framework of EEG;
- * Exploring knowledge production mechanisms for needs related with EEG underpinned by community-based, action-research and inclusive approaches in urban development and management;
- * Understanding alternative assets in actors' networks dynamics for the development of the concept of EEG in research/policy making interfaces.

Urban Research-Policymaking Interface: Institutions, Frameworks and Types

Institutions (key actors shaping the Interface)

Public Authorities

- National and regional governments
- City/district level administration and planning departments
- International/ National/ Regional funding partners

Research Institutions

- Universities
- Research networks ('Reallabor', 'Living-Lab's')
- Independent research-based development organizations at the regional/local scale
- Private sector-development consultancy

Civil Society

- Social movements
- International and local NGOs
- Local committees and networks
- Private sector actors

Knowledge Building Frameworks

Strategies

- Defining partnerships and (technical/financial) agreements with multiple actors to address knowledge (co-) production
- Promoting partnerships/agreements and co-planned activities among institutions (involving technical and financial assistance)

- Developing inclusive research paths and tools to strengthen connections with social/political counterparts
- Incorporating practical inputs working format in teaching through collaboration with multiple actors (including non-academic environment)

- Promoting bottom-up practices in knowledge production
- Fostering multi-stakeholder approaches for data generation

Methods

- Urban data platforms for dialogue and experiences/practices exchange among stakeholders
- Facilitation of technical/funding assistance for projects
- Implementation of negotiations processes through validation meetings with stakeholders

- Dialogue/ peer learning approaches
- E-learning approaches for networking and 'know how' transfer/ experiences with non-academic partners
- Facilitate training to strengthen capacity-building actions

- On-site laboratories as test rooms/planning workshops
- Agenda-setting workshops to diagnose the city-based issues
- Use of new media technologies to share data and organize local actions

Types of Interface Key actions (by frameworks and types)			
Actor-equity based practice (from expert to user involvement)	Create the administrative/ processual conditions for equal participation in the project/ knowledge production experience	Facilitate the dialogue among different knowledge production mechanisms in multi-actor platforms	Put users/ local stakeholders as crucial counterparts of practice/ knowledge production process
Local Knowledge building	Guarantee the involvement of social counterparts as an active part of knowledge production processes at the local scale	Create research tools and design cognitive processes to achieve local knowledge production	Promote grassroots knowledge production mechanisms
Alternative knowledge production / Knowledge Co-production	Optimize community involvement in co-production processes and use more effective research-based decision-making tools/products	Explore/ test innovative research paths/ instruments and make research institutions a key agent in knowledge co-production processes	Make knowledge production (and co-production) mechanisms/ experiences instrument of change for social counterparts
Institution's Role in the Interface	-Coordinate/monitor research programmes in a practice-oriented framework -Integrate knowledge production into urban/ city policy platforms	-Facilitate innovative knowledge generation and scientific analysis/ evaluation -Produce learning frameworks for programmes/ projects processes	-Ground research at a local level -Make research a vessel of social change

Table 4. Urban research-policy making interface: Institutions, Frameworks and Types

Source: Prepared by the authors

Climate Policy for all Equity and Growth in Light of the Climate Crisis

17.12.2019



Background Information

There is a current worldwide demand for more effective policy responses to the climate crisis. Increasingly, drastic climate disasters (e.g. heat waves, droughts, cyclones, flooding) put ever larger portions of the world's population at risk. Effective climate policy requires rapidly increasing monetary, political and civil investments and coordination at all levels of decision-making in order to even approach success. At the same time, the widening gap between rich and poor and the uneven distribution of the consequences of climate change on more vulnerable population groups present a new set of social challenges that policy makers are equally pressed to address.

Local and national governments must implement policy responses and programs that take on the climate crisis while still enabling the promotion of economic growth as well as the fight against poverty and inequality. Hence, climate change, economic growth and socio-spatial inequality should and can not be perceived as independent of one another.

The webinar aims at triggering a broader discussion and invites the interested public to commonly reflect on several issues:

How can the policy making that is required to address the climate crisis be made compatible with demands for increased economic justice and social equity?

How can and does existing climate policy include or exclude those vulnerable populations most immediately at risk from natural disasters and climate crises and without the necessary means to respond?

How does the current standard discourse on climate policy integrate the parallel goal of addressing social and economic inequalities in cities?

Introductory Webinar WP2

More Information:

<http://habitat-unit.de/en/events/webinar/>

Team

Opening Remarks

Dr. Ing. Paola Alfaro d'Alençon - N-Aerus, TU Berlin, Deutsche Forschungsgemeinschaft (DFG) Research Fellow / Assoc. Prof.

Panelists

Dr. Nicola Borregaard - Director, EBP-Chile
Dr. Rene Hohmann - Head of Global Programmes, Cities Alliance
Marina Gosselin - Cities Unit at Economic Commission for Latin America and the Caribbean (CEPAL)

Q&A Moderation

Colin Delargy - TU Berlin

Support Team

Colin Delargy - TU Berlin
Josefa Zavala - TU Berlin
Deepa Joshi - TU Berlin

Introduction

This webinar took place in the week following the COP25, the UN global climate summit. Participants and guests of the webinar include experts on climate change policy and ongoing struggles for social justice with a special focus on the region of Latin America and the Caribbean (L.A.C). As to bring together regional research on public service provision, urban management strategies, local implementation of global agendas, equitable economic development practices and climate challenges facing specific population groups (e.g. women, inhabitants of informal settlements). Researchers and advocates shared their experience working with these topics in the region.

The topics that we focus on are split into two categories:

Discourse

Inequality and Climate Policy: (where) does economic growth fit in?

Operationalization

Field report: L.A.C - Financial, technological, logistical and material resources for equity-focused climate action and policy

Governance for future?

A critical review of national, regional and local governance models as suitable instruments for equity-oriented climate policy.

Strategies for integrating policy making and research to address climate change in Latin American context

Why L.A.C?:

In Latin America, around three quarters of the population already live in urban areas. The most vulnerable often live in informal settlements, which account for about one fourth of new urban development in cities in the region. Economic and social policies implemented in most Latin American countries in the past decades have reduced the capacity of cities to respond to disasters and to reduce deficits in infrastructure, housing and services. Expected urban growth in many cities in the region will increase social inequality, resource consumption and greenhouse gas emissions.

Key Concepts

Economic growth models and practices in Latin America

Latin American national development models tend to promote and maintain economic growth by means of policies proposed by neoliberalism (Lopez and Vertiz 2015, p.155). By closely integrating Latin American economies into the global economy, the neoliberal model has also made them more dependent on, and hence vulnerable to, global economic shifts; this in turn is also linked with increased prevalence of various forms of inequality (ibid, p.156). The neoliberal model has restructured the political and economic system and also has created new interest groups, particularly in finance capital and resource-exporting companies (Gwynne and Kay 2000, p.154).

Extractivism has emerged due to the dominant global actors, driving the region's economies toward greater homogeneity, in particular by assigning Latin American economies to the role of natural resources exporter, regardless of local resistance and differences in national development programs (Lopez and Vertiz 2015, p.155).

As injustice and discrimination persist across the global south, Santos proposes a narrowing of injustice and difference — not a removal of difference, but an acknowledgment, a respect, and equality of difference and valorization of diversity (Sousa Santos 2015, p.2). Escobar argues that the neo-liberal reforms sheltered the cultural and spatial constructs of the modern nation-state, with all their forms of violence against cultures and places.

Example: Environmental Sacrifice Zones

The environmental justice movement in Latin America validates the grassroots struggles of residents of places which Steve Lerner refers to as “sacrifice zones”: low-income and racialized communities shouldering an unequal share of environmental harms (Scott and Smith 2017, p.1). Places of acute climate deterioration e.g. urban heating points, environmental “sacrifice zones” are often home to vulnerable groups. At the same time, it is often these places of concentrated poverty that lack the resources to invest in infrastructure and public services that might effectively mitigate and adapt to the unfolding effects of climate change.

Alternate growth models for environmental and social justice

While significant strides have been taken in the direction of counteracting neoliberal dis-embedding, recent economic downturns have unveiled cracks and tensions in the attempt to achieve more profound economic and societal transformations for re-embedding the economy. For example, one of the most significant issues preventing a sustainable restructuring of Latin American economies is the dependency most of these economies have on primary resource export, which makes the development of alternative (local-based) growth models difficult.

a. Majority World: Challenging the rhetoric of democracy

During 1990' Shahidul Alam advocated for a new expression “majority world” to represent the “Third World” and challenged the West's rhetoric of democracy to define the community in terms of what it has, rather than what it lacks (Alam 2008). In the context for Decolonization, Elizabeth (Dori) Tunstall proposes the methodology of design anthropology as an answer to how one might create decolonized processes of design and anthropological engagement (Tunstall 2013).

b. Rights to natural resources

The economic expansion by the private and public sectors often neglects the circumstances of people and their needs with respect to the “right to the city”, including the right to nature, given its role in production and sociability (Cardoso et al. 2018, p.196). For example, Brazil's East Amazon, the restructuring process is responsible for the exclusion of the people born in the region who depend on the natural biophysical base for their livelihood, including indigenous peoples, caboclos (the offspring of indigenous and Portuguese peoples), peasants and traditional communities and pushed into urban areas (ibid, p.178).

Such large-scale economic policies contradict current data on climate change and are responsible for the degradation of natural resources, with results such as increased deforestation, pollution, the siltation of rivers and the reduction of surface water volumes (ibid). Monte-Mor have suggested the concept of extended naturalization with urbanization, where urban merges into nature rather than the latter disappearing or geared towards a virtual version of urban-utopia (Monte-Mor 2018, p.201).

This discourse also highlights the theoretical notions of the “pluriverse” (Escobar 2017) and “otros saberes” to present the existing discrepancies between modern and traditional scientific learning and codes of embodied and lived knowledge.

Co-Production of urban spaces: robustness of space

How do the institutional arrangements affect the robustness of social-ecological systems (SESs)? By robustness, Ostrom refers to the maintenance of some desired system characteristics despite fluctuations in the behaviour of its component parts or its environment (Anderies et al 2004, p.7). The key elements of an SES system (defined as a combination of input resources, governance system, and associated infrastructure) are resources, resource users, public co-production of urban spaces: Robustness of Space/infrastructure providers, and public infrastructures.

Key Learnings

Despite the increased urgency of the climate crisis, an integrated approach to recognizing the unequal burdens of the crisis for those most acutely affected by it is often relegated to the periphery of serious policy proposals. After the COP25 was relocated due to demonstrations in Santiago de Chile against unequal economic and social conditions, it was surprising that discussions of social inequality did not play a bigger role in the conversations and resolutions held at the conference by global players.

This webinar, hosted in the week after the conference, has three main purposes to continue pushing this dialogue:

- to discuss the ways in which economic growth, equity and the climate crisis are interrelated in the Latin American and Caribbean context,
- to explore examples of current regional activities (financial, technological, logistical) which represent equity-based approaches, programs, policies and research-policy interfaces in the context of the climate crisis, and
- to reflect on how governance frameworks can be used as possible tools for multi-level climate policy in order to address the different inequalities and challenges facing the region.



CHIA

03



POTTER

**Knowledge co-production
contributing to alternative
paradigms of Equitable Economic
Growth**

Figure 13. São Benedito, 2013
Source: Paola Alfaro d'Alençon

Chapter 3: Knowledge co-production contributing to alternative paradigms of Equitable Economic Growth

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INTRODUCTION

In line with the JWP programme and the previous chapters carried out by WP 1 and WP 2, this chapter focuses on how Equitable Economic Growth (EEG) can directly impact life quality. Particularly, we look at benefit distribution—equitable access to public goods and services, in the sense that everyone has access to the service he/she might need ⁶ (Rodríguez-Pose and Wilkie 2015).

To attain equitable access to public services, the previous chapter (WP2) revealed that participatory dynamics of knowledge co-production (among science, policy and practice) could contribute to EEG by reducing the power and knowledge imbalance among participants. This chapter pushes the discussion further, reflecting on the dynamics behind knowledge co-production to sustain EEG.

We focus on three main objectives:

- * Identify new perspectives that can stand as a basis for the development and promotion of alternative paradigms to EEG as a result of the interaction between science and policy;
- * Explore the institutional conditions needed for an environment that enables EEG;
- * Understand the dynamics behind knowledge co-production that fosters synergies between policy, science and local communities.

To answer these objectives, we adopted a three-phase approach⁷. Phase 1 focused on a literature review on the topic of alternative perspectives on EEG and knowledge co-production. In phase 2, we carried out a series of in-depth semi-structured interviews with ten experts (carried out in English and French). They were selected from a wide range of public service sectors based on their knowledge and professional expertise. An interview protocol was followed; this was divided into three categories according to our research objectives: alternative paradigms to EEG, conditions creating an enabling environment for EEG, and mechanisms of knowledge co-production (i.e. the synergies between academia and policy, the involvement of local communities, the limitations of knowledge co-production and the role of communication tools). In Phase 3, we organised a public webinar where we

⁶ The relation between EEG and public goods and services is described in more detail in the work of WP 1 and WP2.

⁷ The collected data was analysed using NVivo axial coding following the main categories identified in the research questions. The results of the analysis were also interrelated with additional documentation sent by the experts supporting their different viewpoints.

invited four experts from among the interviewees to discuss possible pathways for equitable distribution of benefits from economic growth related to public services.

The chapter is structured following the three objectives, in two main parts. The first part focuses on alternative perspectives contributing to the development of EEG by: (a) by emphasising inequality as a critical negative externality resulted from economic growth; (b) by identifying alternative perspectives for strengthening equity in opportunities; and (c) by presenting examples of benefits distribution favouring equity; and (c) by proposing the co-creation of visions as a necessary condition for reaching EEG. The second part contributes to a better understanding of knowledge co-production by addressing three critical issues: (a) the need for actionable strategies from academia; (b) the challenge of trust-building between academia and policy; and (c) the influence of community cohesion in relation to public policy.

ALTERNATIVE PERSPECTIVES CONTRIBUTING TO EEG

Inequality – the negative externality to economic growth

Inequality is the most frequent negative externality resulting from economic growth (Aghion and Howitt 2008). Based on this tension between inequality and growth, our empirical research looked at alternative perspectives that place equity and inclusion at the centre of economic growth in both theoretical and empirical ways.

Throughout our research, equality—in the sense of the equal distribution of income (Aghion et al. 2000) –was often described as a utopia, too challenging to achieve and with low impact on productivity. However, this was also discussed as an aspiration that could trigger further action (Interviewee 1, Interviewee 5, Interviewee 9). Following this perspective, the JWP programme from Cities Alliance emphasises that the focus should be on reducing inequalities of opportunities rather than reaching equality of income through improving access to public goods and services (IPE Global, 2020).

The reduction of inequalities (income or opportunities) requires an in-depth understanding of the economic growth stages that each country is currently undergoing (Interviewee 3). Examples such as Ecuador, Uganda, Ethiopia or the Democratic Republic of the Congo, facing early stages of economic growth; thus, less value needs to be divided between more people (Interviewee 3). For instance, Interviewee 9 considers Ethiopia as undergoing the first stages of economic growth; therefore, inequality of income can trigger investment:

'Inequality becomes a necessary precondition for economic growth (...). (U)nless somebody or a group has more from the small economy than the majority to reinvest, growth and ultimately development will not happen or won't be sustained (...) redistribution schemes at earlier stages of economic growth (...) may end up having a detrimental effect on economic growth' (Interviewee 9)

This view is based on the Kuznets curve (1963), which conceptualised the relationship between inequality and gross national product (GNP) based on the development of the US economy and OECD countries – income

inequality should increase in the early stages of economic growth, but will decrease later on (Aghion et al. 2000). Nevertheless, later developments in the OECD countries indicate that income inequality has increased since 1970, putting in question the applicability of the Kuznets curve (Aghion and Howitt 2008).

⁸ Citation in original language: “la croissance économique pour aider les plus défavorisés à accéder à des conditions minimales, pas à des conditions optimales”.

For countries facing extreme poverty, such as the Democratic Republic of the Congo, this dramatic inequality (of both income and opportunities) requires a gradual approach to address it: ‘economic growth would help the most disadvantaged to access minimum, rather than optimal conditions’ (Interviewee 10)⁸. This perspective is in line with the findings of Bruno et al. (1998) indicating that the distribution of growth benefits to disadvantaged communities tends to be lower as the initial inequality is higher.

Chile is an illustrative example of a developing economy that has focused on economic growth, leading to increased negative externalities, such as inequalities and social unrest. This example is in line with the view of development economics, such as Todaro and Smith (2012), emphasising that equality is important for developing countries to reach self-sustaining economic growth. How to move further is well summarised by Interviewee 7 in the form of the equality versus growth dilemma:

‘In the regions, some public policies said (...) we first grow, and then we try to tackle the problems of inequality. There are others, no, we should go directly to inequality to postpone (...) economic growth in some countries (...) because the main issue now is equality.’ (Interviewee 7).

Alternative perspectives to strengthen equity in opportunities

Our empirical research identified four alternative perspectives that focus on strengthening equity in opportunities to respond to inequality resulting from economic growth. A first alternative view concentrates on improving the understanding and quantification of different forms of inequality (Cowell 2015). Standardised measurements of inequality that aim to assess what is suitable for a person are often misleading, especially in urban areas that are under constant transformation. More particularly, the measurement of spatial inequality is particularly challenging (Interviewee 3).

A second alternative view is to develop more innovative forms of measuring economic development in different contexts. Apart from the illusory progress illustrated by the GNP that can support new aims for economic policies, identifying ways to measure social and environmental consequences needs better illustration (Anderson 2014). Alternative criteria to measure economic growth might look at what we considered to be of value in an economy its capacity to grow, or its way of being flexible and adaptable to shocks (Interviewee 3). From this perspective, the economy’s stability is more important than growth; an example is measuring economic resilience to shocks (Sensier et al. 2016).

A third example of an alternative view on reducing the imbalance between economic growth and inequality is to frame it as a question of how to reach equity. This perspective pushes the traditional perspective on development,

where economic growth is at the centre, to tackle inequality (Interviewee 3). Furthermore, from an economic growth perspective, inequity, rather than inequality of outcome, can delay economic expansion (Interviewee 5). For instance, the research of Bruno et al. (1998) illustrates that actions enhancing both growth and equity simultaneously through public services seem to be the only real solution to reduce inequality.

A last alternative perspective is looking at the roots of inequality of opportunities within its environmental, economic and social dimensions (Interviewee 7). In the Forum of Ministers and High Authorities of Housing & and Urban Development of Latin America and the Caribbean MINURVI, (2016)'s preparatory work for the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III), inequality was described as one of the eight challenges of urban development. In the document, instruments are proposed for tackling the tension between growth and equality for planning and design (e.g. social mixing zoning), for governance and institutions (e.g. Control of illicit trade), and for financing (e.g. economic diversification). This perspective is supported by the concept of economic development associated with the participation of more people in the economy with a larger distribution of benefits (Interviewee 9; Todaro and Smith 2015).

Examples of benefits distribution

Among the different alternative views on strengthening equity with opportunities, all experts agreed on the necessity to focus on benefits distribution that results from economic growth. The challenge faced by this perspective is on how the surplus of growth can be distributed (Interviewee 7). Benefits distribution does not require a certain level of economic growth. This perspective is well summed up by one of our interviewees:
'We do not necessarily need multi-digit growth for (...) people to have access to economic opportunities. (...) There is a need (...) for interventions that allow the redistribution of wealth'. (Interviewee 1)⁹.

Our empirical research identified different examples of how benefits distribution can be implemented, focusing on investment in public goods and services directly impacting reducing poverty:

* The German Development Cooperation (GIZ) programme Sustainable Municipal Services (Waste Management) in Kosovo¹⁰ indicates that public services improvement to reduce inequality of opportunities does not necessarily lie in receiving higher financial resources. Attention should instead be focused on cost efficiency and the relationship between state and citizens (Interviewee 4).

* The World Observatory on Subnational Government Finance and Investment focuses on the redistribution of benefits through innovative financial mechanisms by looking at the resources available to local governments from over 120 countries¹¹. The United Cities and Local Governments (UCLG) took upon their mission to help local governments develop their ideas into eligible business ideas. This was done to receive financial credits and support the development of national legislation to facilitate access to credits (Interviewee 1).

⁹ Citation in original language : 'On a pas forcément besoin d'une croissance à plusieurs chiffres pour (...) que les gens aient accès à des opportunités économiques.(...) Il y a besoin (...) des interventions qui permettent la redistribution des richesses'

¹⁰ For more details about the programme: <https://www.giz.de/en/worldwide/21121.html>

¹¹ For more details about the programme: <https://www.uclg.org/en/media/news/launch-world-observatory-subnational-government-finance-and-investment>

* On the African continent, Ethiopia's Micro and Small-Scale Enterprises (MSE) Development Programme focused on creating economic opportunities. This was started in 1997 and later updated in 2004¹². The programme aimed to create employment opportunities in the urban sector. A series of financial incentives, training opportunities, locations for setting up the business, and equipment was offered to small entrepreneurs to improve their living conditions by further developing their business. Nevertheless, less than 1% of these businesses developed into medium size businesses and increased their productivity to trigger job opportunities and growth (Interviewee 9). One of the reasons for this low impact was connected to the fact that the businesses depended on other governmental initiatives, leaving them uncovered when these initiatives stopped (Interviewee 9). A study indicated that this dependency of MSE to government initiative was not beneficial because of policy unpredictability in changing rules on the way (Ageba and Amha 2006).

¹² For more details about the programme: <https://use.metropolis.org/case-studies/micro-and-small-enterprise-development-program>

¹³ For more details about the programme: <http://www.achr.net/activities-de.php?id=4>

* The Asian Coalition for Housing Rights (ACHR) in Thailand took a different approach to benefits distribution, focusing on land tenure security.¹³ ACHR developed different forms of land tenure—rental, sharing, and leasing—to adapt to urban development dynamism in Thailand (Interviewee 8). The programme succeeded in giving access to housing and land to communities with different economic capacities through community organisations' active involvement in the decision-making process of how the programme is done and how finance should be managed (Mitlin and Satterthwaite 2012).

Examples such as the ones presented above are important to show the different possibilities to reach benefits distribution; nevertheless, for them to contribute to EEG in the long-term, conditions that create an enabling environment for them to emerge and develop need to be identified.

Enabling environments for EEG based on the co-creation of a shared common vision of EEG

The JWP report (IPE Global, 2020) mentions three main conditions for creating an enabling environment for initiatives focused on EEG to prosper: sufficient funding for relevant programmes, investment strategy should move towards public services promoting EEG and a governance regime allowing the first two conditions to develop. Our empirical research pointed out the limitations of these institutional conditions and identified an alternative approach based on the co-creation of a shared vision for the future of EEG.

The interviewees pointed out that the report's conditions can apply to any kind of public action and are not necessarily specific to EEG (for instance, they can also be applied to urban development strategies). Furthermore, the conditions seem to fall short when answering crucial questions about EEG: What triggers the transition towards EEG? How do we make EEG concrete in specific contexts? How do you manage EEG once it is triggered? (Interviewee 1). For instance, from our experts' experience, sufficient funding is rarely enough without the right frame to direct it and prioritise its spending.

A common idea that emerged from our empirical research was the suggestion to make the concept of EEG more concrete through co-creation. By the involvement of stakeholders from different spheres, such as local communities, private business, public authorities or academia, a common vision can be mapped out. Each sphere might have a different type of involvement and role. For instance, local communities might increase their claims through social unrest and conflict with public authorities to raise awareness of the political dimension of EEG (Interviewee 1). Nevertheless, to move further from conflict, synergies between the different spheres should become stronger to allow the development of concrete actions (Interviewee 10). Synergies between actors and trust, political will and democratic culture could represent a crucial precondition to move towards EEG the common vision (including objectives, values and understanding of the existing situation) of; how to proceed further (Interviewee 9).

The basis of this new co-created vision for EEG can focus on how benefits can be better distributed through a process of knowledge co-production: *'You have an agenda (... a common vision) and these instruments that need to be put into place that are related to these new visions (...). The critical question remains the participation of people and communities (...) in the co-production of knowledge and decision-making in cities, and (...) public policies'* (Interviewee 7).

DYNAMICS OF KNOWLEDGE CO-PRODUCTION

In literature, knowledge co-production is understood as a governance strategy or a research method, referred to as transdisciplinary research (Schuttenberg and Guth 2015). We explored the synergies created between three spheres often located at the centre of knowledge co-production for public goods and services: academia, policy and local communities. We identified three main aspects that illustrate knowledge co-production dynamics: actionable strategies proposed by academia, a trust-building process between academia and policy, and community cohesion in relation to public policy.

Actionable strategies from academia

The role of academia is to influence policy and practice by creating synergies between local communities and public authorities. However, academia needs to increase its potential impact to support the implementation of such practices. A means of achieving this goal is to develop 'actionable strategies' that translate the knowledge produced through research into solutions with clear instructions for implementation (Interviewee 2).

One example of how academia could provide actionable strategies was referred to by one of the interviewees (Interviewee 4). Professors and students from TU Berlin provided in-depth analysis and a series of solutions to waste management challenges in Kosovo's three municipalities through workshops.

'It is not the case that all of them (strategies proposed) are going to be taken up at a certain moment in time. But they give the comfort of having something in hand that can be discussed and further explored.' (Interviewee 4).

This may not always be the case. Two contrasting examples from Ethiopia

show that actionable strategies can have very different impacts depending on how results sync with policy makers' agenda (Interviewee 10). The first is a research project focusing on rural housing that proposes different housing typologies with improved construction technology. The solutions were presented to policymakers and were later included in the governmental policy for developing rural areas. The second focused on improving construction materials and techniques by involving the local community to create new employment possibilities. This did not trigger interest from the policymakers to ensure implementation on a broader scale.

Highlighted above are some examples of challenges academia faces to bridge actionable strategies with implementation and its dependencies with the political sphere.

Trust-building between academia and policy

Policy makers' involvement in knowledge co-production is seen to ensure that the knowledge produced can be implemented to elaborate policy (van der Hel 2016). This is often linked in the literature to the development of evidence-based policymaking (Bogenschneider and Corbett 2011). Our empirical research indicates that policymakers have a vested interest in getting data and an in-depth understanding of ongoing processes. This can help identify future trends to be able to anticipate what is needed in the next phase of management planning. The focus is relatively a short time span within the policy sphere, 5 to 10 years and rarely beyond (Interviewee 6). This short time span perspective is also linked to the fact that policymakers have a project-based focus (Interviewee 8) rather than research-based goals.

The agency of policymakers in knowledge co-production processes depends on their hierarchical position and their relative autonomy to engage in knowledge co-production (Interviewee 3). Often in centralised governance systems, policymakers are tied to state-designed programmes and projects: *'Policymakers usually either do not have the resources, the time, the will or commitment, or even the freedom to involve in such kind of long processes (...Knowledge co-production) unless it is a government-driven project (...) or if it is championed by a powerful agent in the state/party structure'*. (Interviewee 10).

The involvement of policymakers is not only being shaped by their hierarchy but also by their motivations (what is their objective, why they are in politics, what is their driving interest):

'You would find the board councillors in Uganda who will definitely try to avoid any transparency in the land market because his cousin is a real estate broker. And then you find people (...) who are in politics because they really want to revolutionise the system some way or another' (Interviewee 3).

Our empirical research shows that trust between academia and policy is crucial for setting up a better dialogue between the two spheres. We identified several key aspects that influence the process of trust-building:

First, from the policy sphere, the reluctance to inputs from highly-trained/specialised individuals is rooted in the belief that academia is disconnected from reality (Interviewee 8). The distance between research results and actual ongoing processes can be linked to the research environment's conditions. Researchers might treat some research questions as timeless, combined with

the large time gap between observing a phenomenon, analysing data, and publishing research results (Bogenschneider and Corbett 2011). Second, self-esteem can hinder policymakers from accepting that they do not have (all) the knowledge necessary to put in place a particular policy (Interviewee 6). Similarly, self-esteem can also make researchers believe they can impact policy more than possible (Kothari et al. 2009). Nevertheless, a way to overcome this tension is for policymakers to clearly describe the technical and scientific needs for a particular policy (Interviewee 6).

Third, in the policy sphere, academics are often perceived as outsiders or threats. This fear is linked to a perception that academics, while doing empirical research, are overstepping their role by entering the territory of policy and practice. This aspect is often encountered by academics working on research projects with outcomes related to the implementation on the ground (Interviewee 9), for instance, in urban planning (Hurley et al. 2016). Literature focusing on evidence-based policy indicates that one way to overpass this challenge is to understand that the researcher is not the only actor that contributes to knowledge production for policy, but it often draws findings from the interaction with other actors on the ground, such as civil society, practitioners or civil servants (Newman 2017).

Fourth, the process of trust-building between policy and academia faces uncertainties linked to the instability of policymaker's positions within their respective institutions. This instability can be related to a wide range of issues; in the African context, for example, it is linked to election cycles. Academics need to adapt to these shifts that arise in key positions in the policy sphere and to start new collaborations (Interviewee 9, Interviewee 10). Recently, a growing number of newspaper and journal articles propose a series of advice to academics on how to increase their impact on policy by emphasising, for instance, the need to understand the complexity and functioning of the policy sphere to be able to create collaborations and to adapt to changes in political positions (Oliver and Cairney 2019).

Lastly, academia and local communities often have a high mistrust towards policymakers (Interviewee 10). For this reason, on the one side, academics are usually focused on understanding processes with their causes and consequences with specific attention to bring forward criticism towards the activity of the policy sphere (Interviewee 8). On the other side, very often, policymakers tend to favour researchers who provide a particular interpretation of facts that goes in line with a specific policy and who have an already understanding of the system (Freedman 2017).

Community cohesion in relation to public policy

The presence of academia, policymakers and local communities within the same process opens up questions of power and knowledge asymmetries (Farr 2018). The term community refers to communities of 'place, identity, or interest to take collective action or who are the targets – or potential beneficiaries – of policy' (Taylor 2011, p.7). The prominent roles academics and policymakers have once entered in the process of knowledge co-production are relatively clear – to increase the impact of scientific knowledge and, respectively, to create evidence-based policies (Bogenschneider and Corbett 2011; Freedman 2017). In local communities, their role is less

defined (Frantzeskaki and Rok 2018). Moreover, co-production mechanisms are often criticised for their selective citizen involvement and knowledge and awareness asymmetries (Steen et al. 2018). Our empirical research identified one dynamic that shapes local communities' involvement in knowledge co-production – the relation between the level of community cohesion and the existence or not of a fit-for-purpose public policy to address their needs. In this report, community cohesion refers to the capacity of a community to have: 'flexible, self-reliant networks which contain a "sufficient diversity" of skills, knowledge, interests and resources for the formation of any number of groups and collective initiatives (Gilchrist and Taylor 1997, p.7) that facilitate their engagement in policy (Taylor 2000). The fit-for-purpose of public policies refers to how policies respond or not to a particular need of the community (Taylor 2011). Several case studies emerged from our research to illustrate this dynamic.

When a community with a low level of cohesion is met with a fit-for-purpose public policy, it often leads to a tendency of the local community to accept, with certain complaints, what is proposed by public authorities. Illustrative for this category is the urban housing programme in Chile (Jirón 2004). The programme has been very well organised for a hundred years, but communities have little or no impact on the agenda. *The only possibility is to react or to accept. You cannot receive a house coming from the Ministry of Housing because you find it ugly (... in a sense, you cannot refuse a house based on aesthetics) (...)* *If you want a house, you have to do that*' (Interviewee 8).

Communities with high degrees of cohesion often encounter public policies that are not fitted to their specific needs. In this case, a difference in opinion between communities and public authorities might require negotiations between the different proposals. An example of a community with a high level of cohesion can be recognised in the attitude towards partnership: *Rosie, who was one of the leaders in Africa, saying we are not beneficiaries. We are partners. (...) we need to be equal in what we have. (...) We have to have something to say and be able to be active in the process, but also to be able to feel that we are considered part of the process*' (Interviewee 8).

In the last example, a community with low cohesion levels can face very urgent needs that are not met by an existing public policy. In this case, 'outsiders' or 'intermediaries', such as academics and NGOs, often intervene to fill a gap by proposing pilot projects. The impact of these projects in the long term and on a larger scale is usually significantly reduced: *I call them boutique projects because they are perfect in themselves but (...) They don't have any impact on the environment because they are too small and too different from what happens in the context*' (Interviewee 8).

CONCLUSIONS

Further research is still needed to define alternative perspectives to address inequality by strengthening equity in opportunities in the context of economic growth. The interest in searching for alternatives is growing both within academia and policy circles. One example from one of the interviewees is regarding the following report from the Global Observatories on Local Democracies (GOLD)¹⁴ to be released in 2022. This report will look at the state of urban and territorial inequalities worldwide to understand how regional governments can better tackle this challenge (Interviewee 1). Some of the recommendations that this chapter identifies are listed below.

Policy recommendations:

- * Building co-creation methodologies and co-production approaches into policy conceptualisation and delivery, based on trust between academia and policy;
- * Identifying ways to build policies that are not normative but which respond to local contexts and community needs; in particular, concerning the relationship between the level of community cohesion and the existence, or not, of a fit-for-purpose public policy to address their needs;
- * Developing a vocabulary of actionable terms, strategies and approaches when partnering with academic institutions;
- * Developing policy environments that support the co-creation of a long term common vision through the involvement of stakeholders from different spheres (such as local communities, private business, public authorities or academia).

Directions for further research:

- * Identifying better pathways to differentiate between equality and equity within economic growth and development;
- * Moving away from normative measurements of growth towards a more nuanced understanding of economic growth in the sense of broader development targets;
- * Identifying various dimensions of inequality as related to opportunities in its environmental, economic and social dimensions and policy implementation;
- * Exploring the role of co-creation and co-production within policy delivery;
- * Developing actionable strategies for EEG to foster the link with policy and policies implementation;
- * Building better links between research and policy through projects with implementation goals, with academics involved at every delivery stage.

¹⁴ More about the report: <https://www.goldvi.uclg.org/en>. As the report was published.

The growth-equality dilemma and knowledge co-production for better public services

24.07.2020



Background Information

A wide range of research has been carried out to understand how economic growth influences the increasing inequality (in terms of income or economic opportunities) between different parts of the society (Aghion & Howitt, 2008; Todaro & Smith, 2015). The most recent report commissioned by Cities Alliance indicates that 'perfect' equality cannot be the aim as: 'this can also be a constraint on growth as the motivation to better oneself, one's family and one's business is often significantly diminished' (IPE Global, 2020). Alternative views also emerged. For instance, the book of Pickett and Wilkinson, *The spirit level: Why equality is better for everyone*, released in 2009, points out to a very critical point of economic growth that might provide a different perspective on its influence. They show how from a certain point economic growth no longer brings an increase in the quality of life and, as such, no longer addresses the increased inequality.

The webinar was issued from the working package 3 (WP3) of our collaborative project, which aimed to explore some of the most critical aspects linking public goods and services with equitable economic growth, from the perspective of research policy interlinkages. In order to explore them, the webinar created a space for discussion among four experts selected on the base of their specific knowledge on this and a professional experience, both in research and policy implementation (based on empirical research from WP3).

WP3 - Online seminar

More Information:
<http://habitat-unit.de/http://habitat-unit-de/events/webseminar-v/>

Team

Luisa Moretto and Catalina Codruta Dobre – Université libre de Bruxelles (Moderation and introductory remarks)

Josefa Zavala - TU Berlin (Coordination)

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Panelists

Ricardo Jordán – Former Economic Affairs Officer at the Economic Commission for Latin America and the Caribbean (UNCEPAL) – Chile

Serge Allou – ULGC World Secretariat

Alexandra Linden – German Development Cooperation (GIZ)

Joan MacDonald – Consultant on Human Settlements – Chile

Introduction

Considering that from a certain point economic growth does not necessarily bring in an increase in life quality, the question of how benefits are distributed becomes a critical challenge to be tackled (Larsson & Brandsen, 2016). The webinar focused on a particular form of benefit distribution – equitable access to public goods and services, in the sense that everyone has access to the service he/she might need.

More particularly, we unpacked possible pathways for equitable distribution of benefits from economic growth reflected into public services under two main objectives:

- Develop the dilemma between equality and growth to explore alternative views placing equality and inclusion in the centre, in both theoretical and concrete ways. This objective was tackled in the presentation of Ricardo Jordan and the intervention of Serge Allou as a discussant.
- Unpack the dynamics behind knowledge co-production by taking as an example the interaction between the formal and informal sector in the case of waste management public services in Kosovo. Alexandra Linden carried out the presentation of the case study and Joan MacDonald responded as a discussant.

Key Concepts

Challenges and dilemmas for urban development

Ricardo Jordan's intervention was inspired by his contribution to the Forum of Ministers and High Authorities of Housing & and Urban Development of Latin America and the Caribbean MINURVI, (2016)'s preparatory work for the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III). The report highlights that

urban policies need to address several challenges at once (such as inequality, low productivity, employment informality, low tax collection, insufficient investment in infrastructure, territory and regional integration, social insecurity, crime and violence, environment, climate change and resilience). These challenges lead to crosswords that expand into specific dilemmas: Growth-Equality; Centralization-Decentralization; Income-Externalities; Expansion-Density; Ecosystem-Environmental Services; Inhabitant-Citizen. During the webinar, we went more in-depth into the equality-growth dilemma as an alternative to the perspective that 'perfect equality' is a constraint to growth.

Knowledge co-production for waste management services in Kosovo

The webinar was based on the premise that knowledge co-production occurs in processes where different actors (coming from science, policy, local communities and practice) are actively involved and engaged in the production of knowledge (Schuttenberg & Guth, 2015). During the webinar, Alexandra Linden illustrated this approach through the dynamics between the formal and informal sector that facilitate the integration of Circular Economy principles in the waste management service in Kosovo.

Under the framework of the EU directive to transition services to a Circular Economy, the waste management service in Kosovo is handed down to the local level, but the capacities and financial resources are not well developed to support this decentralised organisation. At present, all the recycling activities are covered by an informal economy with an estimate of 7 000 active waste pickers. Beside the environmental benefits, the transition to Circular Economy brings job opportunities, creates opportunities of cooperation between municipalities, attracts the integration of the private sector and has the potential to improve the working conditions of minority groups.

The German Development Cooperation (GIZ)'s programme – Sustainable Municipal Services (Waste Management) in Kosovo – [1] aimed to create opportunities to facilitate the practice-academia-policy collaboration in the transition towards a Circular Economy. It focused on different instruments to engage a wide range of actors. For instance, in 2019, an exchange programme between students and researchers from TU Berlin, Peja and Pristina University developed alternative solutions to production and value chain of construction and demolition waste in Kosovo. The activity had a good impact on the political side through a publication that contributed to the national strategy action plan and to European Bank for Reconstruction and Development (EBRD) cooperation.

Key Learnings

The combined approach to the Growth-Equality Dilemma

Two main approaches to tackle the Growth-Equality dilemma developed: (1) in the late 1990s, influenced by the trickle-down effect paradigm – the approach was based on growth first and distribute later or (2) starting from the beginning of 2000s – first distribute income and provide access to public services and growth comes later. Neither of the two approaches appears to work in the context of Latin America. Ricardo Jordan pointed out the need to find a mixed approach combining development and equity. Three examples of instruments were presented during the webinar to illustrate how this approach can work in practice:

innovation in social housing, governance models focused on spatial reciprocity and territorial identity, and financial transfers to local communities from the central government.

Serge Jallou's response to the presentation of Ricardo Jordan emphasised how the proposed approach to the equality-growth dilemma is pledging for a new vision and political commitment. Three main pillars are required to support this vision and to create new models of development: (1) a new narrative to link the several elements together (i.e. the identified challenges); (2) new models of governance for development where all stakeholders are recognised for their role and where negotiation between all actors is favoured; (3) a new citizenship facilitating the transition from inhabitants to citizens.

Further reflection is required where research can play an important role:

- What should be a fair distribution of value resulted from growth.
- Alternatives to the increased commodification of public services such as the commons
- The role of local governments as a key local stakeholder in the new models to have actual political, institutional and financial power to act and deliver their mandate. An illustrative example in this sense is the Municipal development forums in Uganda where local governments create spaces for dialogue with different stakeholders[2].

The integration of the informal sector in knowledge co-production processes

Considering that informal workers are the main actors in activities related to the Circular Economy in Kosovo, the challenge remains how synergies and co-dependencies can be developed between the formal and informal activities. To achieve that, several challenges faced by the informal sector need to be tackled:

- The legitimate representation of the informal sector in cooperation with the municipality is questionable. During elections, minority groups tend to vote with the same municipal representative.
 - Day to day dependency, school dropouts and the dependency on social benefits is increasing.
 - The middlemen in the informal sector often hold all the information making the pickers dependent on their intermediary service to sell the waste they collected.
 - The groups face several prejudices, such as unreliability, that hinder their possibility to set up formal collaborations with the authorities.
- Joan MacDonald's intervention highlighted how knowledge co-production plays a central role in urban management by connecting information from different sources to understand and address public services in an adequate way. The challenge remains how to integrate the informal sector by overpassing the very asymmetrical power dynamics presented by Alexandra Linden for the Kosovo case such as marginalisation, strong distrust and opportunism, restrictive access to information and opportunities by minority groups.

The case from Kosovo indicates that several issues need to be addressed to facilitate the involvement of the informal sector in knowledge co-production processes: the lack of a uniform voice coming from the minority groups; the national government representation is mistrusted; often only men (usually the middlemen between the informal and formal sector) are present during organised meetings; the municipalities want to reform the waste sector and to cooperate with the informal sector, but they do not know to whom to talk to. Within the GIZ programme activities of peer-to-peer learning with municipalities from Latin America were set up to tackle these issues.



CHIAF

04



OUTTER

From urban policy tools to policy design methods - Network Association of European Researchers on Urbanization in the South (N-AERUS)

Figure 14. "Bangkok slum", 2011.

Bangkok, Thailand.

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Chapter 4: From urban policy tools to policy design methods-Network Association of European Researchers on Urbanization in the South (N-AERUS)

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When in February 1975, the nine Member States of the European Economic Community (EEC) States signed the “Lomé ACP-EEC Convention” with a number of African, Caribbean and Pacific (ACP) countries, a substantial change took place in the EU’s development cooperation approach with the introduction of the policy dialogue. The idea was, on one side, to move from the financing of single projects to supporting sector policies designed to achieve integrated objectives such a transport, energy, on the other side to include the private sector and non-State actors from civil society (especially NGOs) as beneficiaries of the EU cooperation. However, the EU policy of cooperation remained focussed essentially on food aid and trade.

One could say that only with the Treaty of Maastricht (1992) social development was acknowledged as a crucial part of the EU development aid objectives. The campaign against poverty, though not explicitly, started to bring some attention to the complex issues linked to the far-reaching consequences of the rapid urbanisation in the ACP countries.

By contrast, the Sector Working Paper Urbanization (World Bank 1972) followed by the three Sector Policy Papers Housing, Urban Transport and Health (World Bank 1975) showed how the World Bank had already realized the impact urbanization was having on the economic and political conditions of what at the time were referred to as developing countries. Already in the 1960s, John F. C. Turner had advocated self-help as a response to the shortage of housing in Latin American cities (Turner 1976), influencing the World Bank upgrading and sites-and-services policies and eventually the whole set of actors operating in the cities of the developing world, including the United Nations system, most bilateral donors and scores of NGOs.

When a group of researchers from France, the UK, Germany, Sweden, the Netherlands, Belgium, Switzerland, Austria and Italy met twenty-five years ago to exchange their findings and opinions on the city in the developing world, the idea was that Europe had to have its own understanding of the

challenge represented by the rapid urbanization that was taking place and what instruments would be most suited to cope with its consequences. The Network/Association of European Researchers on Urbanization in the South (N-AERUS) aimed to question the existing planning concepts and tools, openly market-oriented, that the World Bank and other multilateral organisations were suggesting to, and imposing on, developing countries. Policies such as government decentralization, land titling, homeownership and project bankability, grounded on a perspective based on the so-called developed world and their cities, did not fit with the real conditions of the rapidly growing cities in Africa, Asia and Latin America (Durand-Lassarre 2002).

Though born essentially out of architecture and planning schools, N-AERUS included economists, sociologists, engineers, and political scientists. All network members had a well-established research background and professional experience in a wide range of cities in developing countries, often but not exclusively stemming from the historical links of their countries of origin with the different regions of the developing world.

The fundamental objective of N-AERUS was to work at the interfaces between research and policymaking. The aim was to support the European Union in designing a cooperation policy for the urban sector based on an understanding of each country's political and cultural features, away from any uniform research methodology and professional practice typically used by the international cooperation organizations. In a way, one can say that N-AERUS was born out of a common, though unexpressed, awareness that policymaking had to be nurtured by research, particularly in a domain still relatively little understood as was the city in developing countries.

Though at times some divergences emerged, due to the different professional and cultural backgrounds of the network members, including language, the variety of research activity and professional experiences gathered around N-AERUS ensured a highly stimulating debate and promoted the construction of common thinking on a large number of issues the city of the South was experiencing, such as the legalization of irregular settlements, new mechanisms of land delivery, the positive role of the informal sector, among others. In many ways, since its onset, through the exchange of findings from research largely carried out on the field, what is currently referred to as knowledge co-production and knowledge generation, N-AERUS has looked at how to foster a more equitable city indeed based on economic growth but also social justice.

The first International Workshop N-AERUS organized in Venice in 1999, was explicitly focussed on the idea of achieving a European perspective on 'Decentralisation, Local Government and Governance', by then core issues in the urban scenario for the developing world. In perspective, one can say that the workshop was a success not only for the number of people who attended it but also from the political point of view. The views expressed by many of the network members explicitly questioned the faith in market-oriented policies championed by most multilateral and bilateral aid organizations. During the workshop, the World Bank was openly asked and overtly solicited to reconsider the approach followed up to then. It would be exaggerated to say that the workshop inspired the partial changes in urban policies the Bank adopted in the following years, but it certainly helped reduce the unconditional faith in its market-based perspective.

Due to the presence of diverse backgrounds, typical of many European networks, N-AERUS has always been and still is a place for questioning ideas, tools and policies. The twenty international conferences held since its creation have all advocated multifaceted problematic viewpoints and stayed away from any blind acceptance of mainstream discourses.

With the wisdom of insight, imagining that a group of academic researchers could actually have a say in designing the European cooperation policy, be it only for the urban sector, distancing it from interest-oriented dynamics, was clearly unrealistic. Despite the many efforts to have representatives from the Directorate General for International Cooperation and Development (DG DEVCO) at the network meetings, over the years it became clear that N-AERUS has only little clout, if any. The urban sector was hardly a priority for the EU, as it continues to be considered secondary importance. Though the 2017 “European Consensus on Development” stresses “the potential of cities as hubs for sustainable and inclusive growth and innovation” and ensures that the EU will foster inclusive sustainable urban development to address urban inequality, focusing on those most in need, including those living in informal settlements and slums” promoting “sustainable land use planning, equitable management of land markets, sustainable urban mobility and smart, safe cities that make use of opportunities from digitalisation and technologies”, the commitment needed to cope with the widely acknowledged consequences urban growth will have on many countries of the Global South and by consequence on the world, is contained in one only paragraph of the document (paragraph 60). The EU continues to significantly underestimate the real issue at stake as also highlighted by the preference given in recent years to single municipal and regional governments as recipients of support for the urban sector.

Since N-AERUS was established under the World Bank’s mainstream discourse on one side and the UN system on the other, in those years, research focused essentially on the different informalities (work, housing, services, policies) and the theoretical and policy problems they raised. However, the urban scene had changed significantly since Un-Habitat had been set up in 1976, modifying the research and policy paradigms for what used to be the city of developing countries.

The ICT revolution and the accelerated pace of globalization had clearly impacted the city worldwide. As for the cities of the South, together with the well-established urban divide issues (rich/poor, formal/informal, planned/irregular), several new topics were appearing.

Economic growth in several emerging economies and occasional more equitable policies have brought into the urban scene what can be called a consuming middle-class. A still limited but no longer insignificant number of families have come out of poverty and can now access urban goods and services they had always been excluded from. Housing, including social housing, private cars, healthcare and education, have become affordable goods and services for a larger part of the urban population. The urban society’s essentially dualistic structure was modified by an emerging social stratum bearing largely different interests, priorities, and needs. This resulted in a major departure from the sharp dichotomy between rich and poor that typified economically, socially and spatially the city in developing countries. However, though this new stakeholder’s appearance inevitably affected urban policy, it is yet unclear where it stands with respect to urban informality and weak government.

THE WAY FORWARD

Effective knowledge generation for the formulation of urban policies stands on the understanding of societal organization. Though in recent years, many cities in the South have experienced similar economic, social and spatial changes, paradoxically, the need has increased for the in-depth understanding of priorities and interests behind the different actors and how they affect the decision making (planning) process. Of all evidence, the economic, social, and spatial dichotomous views that dominated research and policy action when N-AERUS was founded no longer fit with the increasingly complex urban societies and issues of the “many” cities in the South. It is now apparent that research can produce beneficial effects to policymaking for the urban South only if it is strongly place-based.

Knowledge production results from a constant interchange between researchers, public institutions, private actors, as well as NGOs and CBOs. Consequently, a network of European researchers as N-AERUS was conceived needs to reposition itself, shifting from the study of urban policy tools to investigating policy design mechanisms. Apprehending the different actors’ roles, local and non-local, in shaping the urban policy and their agency in context-dependent interfaces may help devise EEG for more equitable cities. Similarly, spelling out the political and cultural interconnections in place in the different urban contexts may clarify the other actors’ position and strengthen their contribution to the knowledge production process.



СНАР

05

Figure 15. Maputo, Mozambique, one of the cities represented in the AURI network

Source: Warren Smit

PORTER

**Addressing Poverty and Inequality
in Africa**

**African Urban Research Initiative
(AURI)**



Chapter 5: Addressing Poverty and Inequality in Africa. African Urban Research Initiative (AURI)

Warren Smit (AURI secretariat,
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This chapter presents a perspective from Africa, specifically based on the experiences of the African Urban Research Initiative (AURI), on the challenges of poverty and inequality facing African cities, and how knowledge co-production can help address these challenges and help make cities more equitable. First, the regional context is discussed. Africa is urbanizing rapidly, economic growth has been impressive over the past two decades, and poverty levels have decreased. The number of people living in poverty remains unacceptably high, however, and levels of inequality are also high. Second, the role of knowledge co-production in addressing these problems of poverty and inequality in African Cities is discussed, drawing on the experiences of AURI.

AURI, a network of 21 urban research and policy institutes in Africa, has a focus on knowledge co-production, which has helped in better understanding and addressing many vital issues facing African cities. Knowledge co-production processes that bring together different stakeholders to develop holistic and context-specific insights of urban challenges and; how to address them have proven to be an important complement to governance processes. Finally, the chapter reflects on critical priorities for the future, such as the need to build capacity for undertaking knowledge co-production processes and the need for institutionalizing co-production processes as normal mechanisms of governance.

THE CONTEXT: INEQUITABLE ECONOMIC GROWTH AND URBAN INJUSTICE IN AFRICA

Africa is the most rapidly urbanizing region of the world, with an average annual urban population growth rate of 3.7% per year between 2005 and 2015 and 3.58% between 2015 and 2020 (UNDESA 2021). The urban population of Africa has grown from an estimated 409 million in 2010 to an estimated 588 million in 2020 and is projected to increase to 824 million by 2030 (UNDESA 2021).

Africa has experienced reasonably strong economic growth over the past two decades; for example, in 2019, Africa's economy grew by 3.4% compared to the global average of 2.8% (UNECA 2020). This economic growth has resulted in a rise in real per capita incomes, most tangibly shown by the rapid increase in the middle class in Africa (Ncube and Lufumpa 2015), and a decline in the poverty rate in Africa from 54 per cent in 1990 to 41 per cent in 2015 (Beegle and Christiaensen 2019). However, as a result of total population growth, the total number of African residents living in poverty actually increased during this period from 278 million in 1990 to 413 million in 2015 (Beegle and Christiaensen 2019). The global economic impact of the COVID pandemic will further increase poverty in Africa – it is projected that up to an additional 29 million people will fall below the extreme poverty line of \$1.90 per day (UNECA 2020).

Poverty, therefore, continues to be a significant problem in Africa. One of the ways in which lack of secure and sufficient income impacts families is inadequate living conditions, high burdens of disease, and high food insecurity levels. The proportion of urban residents in sub-Saharan Africa who live in slums (i.e. unplanned informal areas without adequate shelter or services and with low security of tenure) has been decreasing slightly, from 65% in 2000 to 61.7% in 2012, but the absolute number of people living in slums in sub-Saharan Africa increased during this same period from an estimated 168 million to an estimated 213 million (UN-Habitat 2013). Linked to these inadequate living conditions, African cities are characterized by particularly large and complex burdens of disease, made up of: high levels of infectious diseases associated with poor environmental conditions (e.g. diarrhoea, respiratory illnesses and malaria); high levels of infectious diseases associated with person-to-person transmission (e.g. COVID-19, HIV/AIDS and tuberculosis); rapidly growing levels of non-communicable diseases, such as diabetes mellitus and ischaemic heart disease, linked to urbanization and changes in lifestyle; and high levels of injuries, for example, from violence, traffic accidents and fires (Smit and Parnell 2012). An essential dimension of the health challenges in African cities is high levels of urban food insecurity, which have resulted in high levels of undernutrition (Battersby and Watson 2019). For example, surveys in Accra and Kitwe found that 20-30 percent of households in low-income areas spent almost their entire household income on food and that there were “disturbingly high levels of stunting (chronic malnutrition) and wasting (acute malnutrition) among children in both the lowest income and the poor-middle income populations” (de Zeeuw and Prain 2011, p. 37).

In addition to poverty, inequality in Africa continues to be a major problem, with stark differences between rich and poor. Inequality in Africa has slightly decreased in recent years: in 2013, the wealthiest 10% of the population in Africa held 55.3% of the national income, and this decreased to 54.3% in 2017, but levels of inequality remain unacceptably high (UNECA 2020). Africa is currently the third most unequal region in the world by this metric, after the Middle East and Latin America (UNECA 2020). Inequalities are particularly prevalent in cities. The 2010/2011 State of the World's Cities Report (UN-Habitat 2010) highlighted that African cities are the most unequal in the world, with an average Gini coefficient for urban consumption of 0.58 (where 1 is complete inequality and 0 is complete equality), followed by Latin American cities with an average Gini coefficient of 0.52. Another measure of these high levels of inequality are the very uneven access to infrastructure in African cities; in addition to being a measure of inequality, it also contributes

to inequality (Khalil and Rubin 2021). The spatial form of most African cities, with poor residents typically living in poorly serviced high-density settlements on the urban periphery, exacerbates inequality. A comparative study of Cairo and Johannesburg found that high densities, informality, and low incomes were closely correlated in both cities (Khalil and Rubin 2021).

Part of the reason for continuing high levels of poverty and inequality is high informality levels in the economy. Many in the informal sector have low and precarious incomes and limited access to a social safety net. Africa has higher informal economic activity levels than any other region of the world, with informal economic activities forming, on average, 40% of the economies of low-income countries and 35% of the economies of middle-income countries (Medina et al. 2017).

These urban problems are underpinned by uneven government decentralization and the prevalence of weak and under-resourced local governments in many areas (Smit and Pieterse 2014). There have also been relatively high levels of conflict and violence, which particularly impacts the poor (Bello-Schünemann and Aucoin 2016); this has been rapidly decreasing in recent years, though. Besides, although African cities have fairly low levels of emissions, African cities are greatly at risk from climate change, for example, in terms of sea-level rise and increased extreme weather events, such as droughts and cyclones (Simon 2010).

There are many positives in Africa. Governance conditions have significantly improved over the past few decades, with a substantial shift towards peace and democracy in most of the region (Temin 2018). This improvement in governance, peace and democracy is well-reflected by the Mo Ibrahim Foundation's Index of African Governance, which shows that 34 countries, home to more than 70% of Africa's population, improved their governance performance between 2008 and 2018 (Mo Ibrahim Foundation 2018). Although poverty and inequality levels remain high, they have been steadily falling, and prospects for continued economic growth remain high (the COVID-19 pandemic severely disrupted the global economy in 2020, but Africa is projected to bounce back strongly). Many innovations have taken place in terms of participatory governance practices and the provision of infrastructure and services. There are, therefore, many opportunities for addressing problems of poverty and inequality in Africa, and the future for the continent is bright.

ADDRESSING URBAN INEQUALITY AND INJUSTICE IN AFRICA THROUGH CO-PRODUCTION

One of the biggest problems in governance in Africa has been the vast divide between policymakers and other stakeholders (such as communities). Many governments still have colonial-era laws and regulations that are inappropriate to current realities, and new inappropriate policies and tools continue to be adopted. There is an urgent need to bring together different stakeholders to co-produce services, policies and knowledge that are more appropriate to our context to address urban inequality and injustice in Africa.

The co-production of knowledge is an increasingly common approach to research and policymaking worldwide and has become increasingly common in Africa (Patel et al. 2020). The African Urban Research Initiative (AURI) is the only African network focused on urban knowledge co-production. AURI consists of 21 member institutions across Africa that are involved in

urban research and policy work (see Table 4 at end of chapter for a full list of member institutions). The member institutions are a mix of academic institutions and NGOs that are able to play an intermediary role in working with urban stakeholders. A recent book written and edited by AURI members, *Reframing the Urban Challenge in Africa: Knowledge Co-production from the South*, highlights how “knowledge co-production is an appropriate approach to conduct urban research in the context-specific manner demanded by the challenges facing Africa’s cities... Knowledge co-production represents a way to include voices typically absent in research, and in the process, to foster new relationships between key stakeholders. Such an approach generates not only new knowledge concerning societal problems but also renders actionable knowledge for problem-solving” (Croese 2021, p. 5).

AURI member institutions have been involved in numerous processes of bringing stakeholders (such as policymakers, academics and civil society) together to co-produce policy-relevant knowledge and policies and programmes. These case studies show that by bringing different perspectives into dialogue with each other, innovative new policies and programmes can begin to address real problems (such as housing, transport, food security, flooding, etc.).

There is a long history of co-production for services in Africa, with government, NGOs and community organisations working together to deliver housing and infrastructure projects (Watson 2014). Many of the housing projects of Slum/ Shackdwellers International in Africa are examples of these.

The African Centre for Cities’ CityLab programme, established in 2008, was one of the first knowledge co-production programmes in Africa, focused on research and policy rather than the co-production of services. In collaboration with the Western Cape Provincial Government and City of Cape Town, a series of nine CityLabs was established to bring together government officials, academics and civil society to co-produce policy-relevant knowledge (Anderson et al. 2013; Smit et al. 2015). The CityLabs, each co-ordinated by a university-based researcher, used a range of methods to share and integrate different perspectives to build up a more holistic understanding of particular challenges and their potential solutions, including seminar series, joint field trips, collaborative publications, collaborative research, exhibitions, as well as the co-production of actual policies and projects.

Many other co-production processes based in cities have recently been undertaken in Africa. Ultimately, these co-production processes are about creating more equitable and just cities. There are a wide range of challenges facing African cities that need to be addressed, such as the governance of informality, the upgrading of informal settlements and other types of slums, and managing climate risk.

Governing informality is a vital issue, as governments in Africa have often tended to be intolerant of informality. Many policies either ignore or try to eradicate informality, placing additional burdens on those who live in informal areas and work in the informal economic sector. Thus, there is a need to work together with officials and local groups such as informal traders to better understand the complex interface between the informal and formal and how informality can be better governed to improve conditions and reduce fragility. Innovative research by the Cairo Laboratory for Urban Studies, Training and Environmental Research (CLUSTER) on three Egyptian cities analysed the



Figure 17. Informal traders in Kisumu, Kenya. Source: Warren Smit



interconnections between informal and formal urban spaces and activities, using the concepts of borders, crossings, activities, and flows to provide policy recommendations that promote a vision of an integrated city (Nagati and Stryker 2021). It is intended to extend this comparative research project to other cities in the AURI network. Similarly, the Centre for Urban Research and Planning (CURP) at the University of Zambia's undertook an in-depth process together with local government officials and informal traders to better understanding the formal-informal continuum, and thus help ground policy to support more inclusive and sustainable policy development (Siame et al. 2021). Another example was presented at the N-AERUS conference in 2021, where the ongoing challenge, but a necessity, of negotiating with informal traders to ensure that local government adequately plans for economic activity was highlighted (Ofosu-Kwakye and McBrown 2021).

Addressing land and housing is an important issue, but many ambitious housing programmes, such as the "Reconstruction and Development Programme" subsidized housing scheme in South Africa and the Urbanization and Housing Programme Housing in Angola, have been flawed (e.g. see Cain 2021). There is thus a need for co-production processes to help ensure that housing interventions deliver sustainable and good quality urban environments and meet local needs (for example, most of the good practices in Africa analysed by Work Group 1 of this project related to housing and land issues, particularly slum upgrading). In Cape Town, the African Centre for Cities worked together with the Western Cape Provincial Government and other stakeholders to co-produce a new human settlements policy for the province (the Living Cape Framework). The framework has a focus on an intersectoral multi-stakeholder approach to planning, on participatory in situ upgrading of informal settlements and on in-fill development of new housing on vacant and underused land within the urban edge as opposed to building on undeveloped 'greenfield' sites on the edge of the city (Joubert et al. 2021). Access to urban land is a particularly complex issue, and many co-production processes have focused on this issue. For example, in Kenya, the Centre for Urban Research and Innovations (CURI) at the University of Nairobi ran a co-production process to bring together community members, non-governmental organizations (NGO), and city officials in the informal settlement of Kiandutu in Thika on the outskirts of Nairobi to explore prospects for land sharing as a way of increasing security of tenure (Ngau and Olale 2021).

Climate risk is an increasing challenge in African cities, and co-production is essential for helping to reduce risk. For example, the Centre for Settlement Studies (CSS) at Kwame Nkrumah University of Science and Technology in Kumasi, Ghana, worked together with the local government and the community of the flood-prone settlement of Sepe-Buokrom in Kumasi to explore innovative options for flood risk management (Ahadzie et al. 2021).

Through co-production, we were able to produce policies that reflected a range of different perspectives and that were innovative and went beyond technocratic planning and policymaking processes. We, therefore, ended up with a better understanding of the fundamental issues faced by people in cities and with more robust city-level policies and plans that met both people's actual current needs and long-term needs of sustainability and equity. Besides, through participation in co-production processes, the perspectives of policymakers, practitioners, researchers, and civil society were broadened and expanded. People were able to develop a more holistic understanding of the problem and address these problems holistically and sustainably. Co-production also helps open up possibilities for further collaboration.

Table 5. AURI members
Source: By the author

THE WAY FORWARD

African cities have severe poverty and inequality challenges and face increased climate risks, and finding ways of making African cities more equitable and resilient is essential. As discussed in this chapter, a growing body of experience in knowledge co-production processes in Africa suggests that co-production processes that bring together different stakeholders to develop holistic and context-specific understandings of urban challenges and; how to address them are an essential complement to governance processes. Knowledge co-production is not a panacea for urban problems nor a substitute for public participation. Still, it is an important way to bring different types of knowledge and other kinds of expertise together and attempt to address urban challenges in a much more integrated way than would be the case if officials or communities did this entirely on their own.

In the short to medium term, it is essential to build the capacity of policymakers, academics and civil society to be able to work together in collaborative processes to co-produce knowledge, policies and programmes. The essential preconditions are appropriate curricula to develop a new generation of African urban scholars who can be involved in knowledge co-production processes and better recognition of the value of knowledge co-production processes within African academia. In the long term, it is critical to ensure that there is sufficient funding for applied research by African research institutions to address problems of inequality and injustice in Africa – government agencies and the private sector need to make money available for this.

The key challenge for co-production is to go beyond ad hoc experimentation to making it an integral part of governance. Collaborative governance forums need to be established to bring different perspectives into formal decision-making processes. There are a number of successful examples of this in Africa. For instance, in Kisumu in Kenya, the Kisumu Action Team and Kisumu Local Interaction Platform are co-production platforms that convened stakeholders to pool skills and resources and develop several ambitious strategies for Kisumu, such as upgrading informal settlements, upgrading marketplaces and creating jobs (Onyango and Obera 2015).

AURI members

- African Centre for Cities, University of Cape Town (Cape Town, South Africa)
- Cairo Laboratory for Urban Studies, Training and Environmental Research (Cairo, Egypt)
- Centre for Settlement Studies, Kwame Nkrumah University of Science and Technology (Kumasi, Ghana)
- Centre for Urban Research and Innovations (Nairobi, Kenya)
- Centre for Urban Research and Planning, University of Zambia (Lusaka, Zambia)
- Centre for Urbanism and Built Environment Studies, University of the Witwatersrand (Johannesburg, South Africa)
- Centro de Análise de Políticas, Universidade Eduardo Mondlane (Maputo, Mozambique)
- College of African and Oriental Studies, Addis Ababa University (Addis Ababa, Ethiopia)
- Development Workshop Angola (Luanda, Angola)
- Ecole Africaine des Métiers de l'Architecture et de l'Urbanisme (Lomé, Togo)
- Environnement et Développement du Tiers Monde (Dakar, Sénégal)
- Faculty for the Built Environment, Arts and Science, Ba Isago University (Gaborone, Botswana)
- Institute for Development Studies, University of Nairobi (Nairobi, Kenya)
- Institute for Human Settlement Studies, Ardhi University (Dar es Salaam, Tanzania)
- Institute for Urban Development Studies, Ethiopian Civil Service University (Addis Ababa, Ethiopia)
- Laboratoire Citoyennetés (Ouagadougou, Burkina Faso)
- Laboratoire d'Etudes et de Recherche sur les Dynamiques Sociales et le Développement Local (Niamey, Niger)
- Lagos Urban Research Network, University of Lagos (Lagos, Nigeria)
- Sierra Leone Urban Research Centre (Freetown, Sierra Leone)
- Takween Integrated Community Development (Cairo, Egypt)
- Urban Research and Advocacy Centre Malawi (Mzuzu, Malawi)

СНАР

06



REPORTER

Equitable Economic Growth in Latin America and the Caribbean Network of Sustainable Urban Development in Latin America and the Caribbean (REDEUS_LAC)

Figure 18. São Benedito, 2013

Source: Paola Alfaro d'Alençon

Chapter 6: Equitable Economic Growth in Latin America and the Caribbean

Network of Sustainable Urban Development in Latin America and the Caribbean (REDEUS_LAC)

Margarita Greene (Pontificia Universidad Católica de Chile, CEDEUS, Chile), Cristhian Figueroa, (Pontificia Universidad Católica de Chile, CEDEUS), Rodrigo Mora (Universidad de Chile, CEDEUS)

LATIN AMERICA AND THE CARIBBEAN CONTEXT

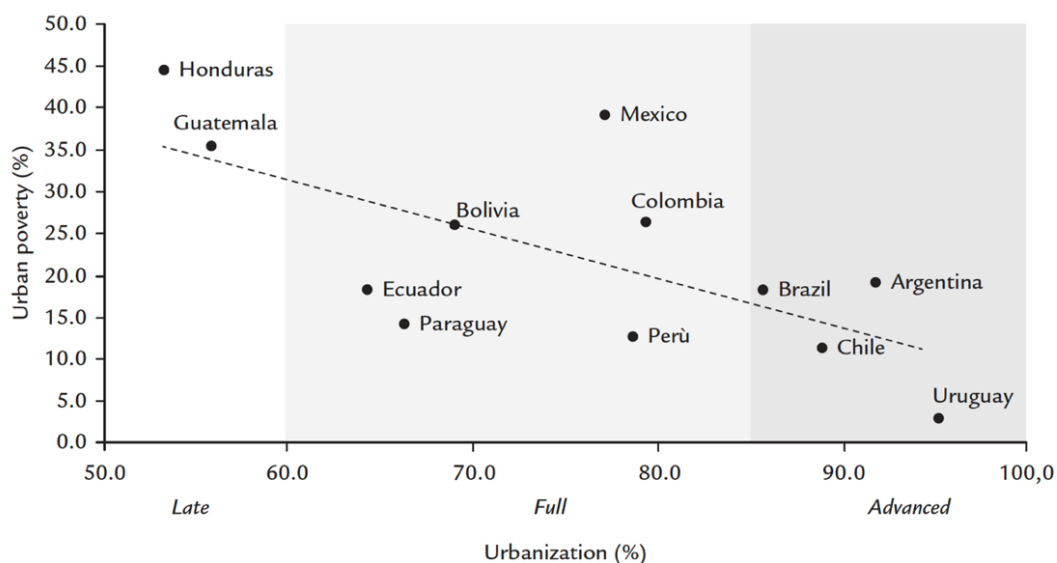
The Latin America and the Caribbean (LAC) region has been, and still is, rapidly urbanizing, with some of the largest cities in the world (Mexico, São Paulo) and vast rural areas with long-lasting traditions and cultures. The region also presents important cultural and geographical diversities and sharp economic inequalities, not only between countries but also internally. The LAC countries have different political structures and have been developing under very different economic models. Despite these differences, all countries have a common historical past and continue sharing traditions, culture and ideas; in particular, there is the idea that the region faces a common destiny and that its countries can learn from each other.

Urbanization and demographics

The LAC region is characterized by its high urbanization level; in fact, it is considered the most urbanized developing region of the world, with an estimated 80.7% of its population living in cities (CEPAL 2017). There is evidence that the urbanization process has improved the quality of life for many, since it has generally come together with what has been referred to as the first demographic transition (Arriagada 2020), characterized by a decreasing mortality rate, closely followed by a decrease in the birth rate. As shown in Figure 1, there is an inverse correlation ($r^2=0.45$) between urban poverty and the degree of urbanization among a sample of LAC countries: that is, as the urbanization process increases, poverty diminishes. The graph also shows the stage in the urbanization process of countries characterized

as late, full, or advanced in the demographic transition process, highlighting that LAC's situation is heterogeneous, with its countries facing considerably different realities.

The differences and asymmetries within countries and between subregions need to be recognized and attended to in different ways to improve the quality of life, close the inequality gaps and achieve urban sustainability. While those in the late stages of urbanization need to prioritize access to shelter and sanitation, those in more advanced phases need to attend to the elderly population, concentrate on the immigrants, and foster social cohesion. Nevertheless, what has become clear is that the future of the region is closely linked to sustainable urbanization, where urban development and sustainable urban policies are decisive given the demographic, economic, social and political importance of its cities.



From informal to incremental

As the urbanization process advanced in the last quarter-century, many LAC cities received massive rural immigration of people searching for a better quality of life. But most cities were not prepared and were unable to accommodate the new arrivals with proper dwellings and urban services. Consequently, rings of precarious informal settlements began to surround the cities of the region, especially the metropolises.

Informal settlements are typically seen as manifestations of urban poverty. Many times, they involve rural immigrants coming to the city; in other cases, it is people escaping from natural or man-made disasters – from earthquakes and inundations to guerrilla warfare, civil war or drug lords – and sometimes they are simply a consequence of the demographic growth of the urban poor, who cannot access the formal market. The primary sequence behind the formation of slums everywhere is reasonably simple. As Acioly (2009) puts it:

“... The formal land and housing delivery systems exclude large numbers of people; land and housing prices increase at a breakneck pace; individuals trade land and property rights regardless of legal status as a way to gain access to a place to live and legitimize their right to the city; and informal settlements are plagued by overcrowding, inadequate sanitation, poor housing conditions and, in some cities, urban violence.”

Figure 19: Demographic transition process and relation with urban poverty in LAC

Source: CEPAL 2019

To a certain extent, the previous sequence understands, and to a certain extent justifies, informality as a survival strategy of the poorest of the poor.

Nevertheless, back in the 1960s, an English architect and academic, John Turner (1976), based on research work carried out in Peru, already recognized self-help as a valuable route for providing housing for the poor. This system had the advantage of not only requiring fewer initial resources from the government, as it leveraged private and community resources, but was also recognized as a way of generating social cohesion, building stronger communities and, above all, yielding a product (houses and neighbourhoods) better adapted to the needs of the inhabitants (Harris 2003).



This perspective, later followed by the World Bank, marked the social housing policy for developing countries. Since then, many authors have proposed the incremental building approach based on their observations of what was actually happening in slum areas (e.g. MacDonald 1987; Payne 2002). The incremental programmes started by considering an initial solution that only included what the inhabitants could not attain by themselves (i.e., access to serviced land and a minimum core unit) and required a building process by the inhabitants to achieve a minimum standard.

At the end of the 1980s, Hernando de Soto (1986) published a paradigmatic work, *The Other Path*. The *Informal Revolution* demonstrated the inefficiency of the institutional and legal systems in Perú based on empirical data. These systems were not only onerous, but also time-consuming and almost

Figure 20: Urban infrastructure provided by Quiero Mi Barrio Programme to improve collective spaces in social housing estates

Source: The authors, September 2018

impossible to surpass for small start-ups or for accessing a house. The author not only demonstrated that the informal way was creative and ingenious but that somehow allowed the whole system to work. Further, it immediately became clear that the case was exemplifying not the country but the entire region. When the discussion was polarized between Marxist and liberal models of development, de Soto (1986) proposed a third way, one that accepted informality as a new way of getting the job done.

To a great extent, de Soto's work came to validate what Turner had highlighted a decade before "slums are not the problem, but part of the solution". The recognition of informality as an alternate route gave way to incremental housing programmes in LAC, which are being implemented until today. They



consider the provision of basic shelter and sanitation in countries at the early stages of the urbanization process; but have also been used in countries with an advanced urbanization process, adding urban services where the shelter and sanitation barriers have been overcome, but the areas are still facing social integration and urban inequity issues. An example of this is the Quiero Mi Barrio programme in Chile, which adds green spaces, social equipment and other urban amenities (see Figure 2) to vast areas urbanized with minimum housing solutions and no urban services or equipment (Greene et al. 2019).

In fact, urban informality and lack of access to urban amenities and resources reflect the long-standing inequality that characterises the LAC region. However, informality can be understood as a great opportunity in the LAC tradition, that of collaboration among urban dwellers and local stakeholders, which might be used in creative ways to design more sustainable and inclusive cities.

Figure 21: Urban infrastructure provided by Quiero Mi Barrio Programme to improve collective spaces in social housing estates

Source : The authors, September 2018

The Regional Action Plan (PAR)

Following the commitments adopted in Habitat III, the Economic Commission for Latin America and the Caribbean (CEPAL) and ONU Habitat, in collaboration with the Forum of Ministers and Highest Authorities on Housing and Urbanism in Latin America and the Caribbean (MINURVI) and an extensive group of regional experts and stakeholder groups, developed a regional action plan, called PAR, for action towards the implementation of the New Urban Agenda (NUA, Habitat, 2016). The PAR aims to respond to the opportunities and challenges for regional development and constitute a strategic framework for the cities and human settlements of LAC, capable of guiding urban and territorial development at a national and subnational level. The plan was developed as a reference that adjusts and adapts the NUA to local conditions and needs and, at the same time, establishes synergies with global development agendas, mainly Objective 11, Agenda 2030 for Sustainable Development Goals and the Paris Agreement (CEPAL, ONU-Habitat and Minurvi, 2017).

Just like the NUA promotes an urban paradigm shift, the PAR is seen as a fundamental instrument to produce a structural change in sustainable development towards equality in the region. The plan recognizes the need for significant changes in many areas of planning and management of cities and human settlements to achieve sustainable urban development. It also intends to point out the critical elements of this transformation process (Jordán and Divine 2018).

The PAR considers that the priority to achieve sustainable urban development in the region is to advance the equality agenda and citizen rights. It is guided by four principles, where the first three correspond to the NUA: (a) to leave nobody behind; (b) to promote sustainable and inclusive urban economies; (c) to promote environmental sustainability. The fourth principle, effective and democratic governance, was added as a fundamental pillar for achieving sustainable urban development in the region. This is very significant, as the region has been characterized by inadequate governmental capacities at several levels, with inefficiency, lack of transparency and corruption being common weaknesses.

Effective, efficient and sustainable implementation of the NUA in LAC depends on the commitment of a set of diverse actors from multiple sectors and intervention scales; in fact, the actions and efforts of all the actors involved in the region are required to advance towards sustainable urban planning. The PAR has already accumulated a significant body of knowledge, experiences, participants and networks interested in sustainable urban development. This offers meaningful opportunities to strengthen collective learning processes, exchange knowledge and good practices, and increase the possibility of obtaining better results. In this context, governance seems to be a central challenge in the continent. With a tradition of authoritarian regimes, populism and, lately, lack of confidence and trust in the authorities everywhere, signs of social unrest have been in the news in several countries, and they will probably continue.

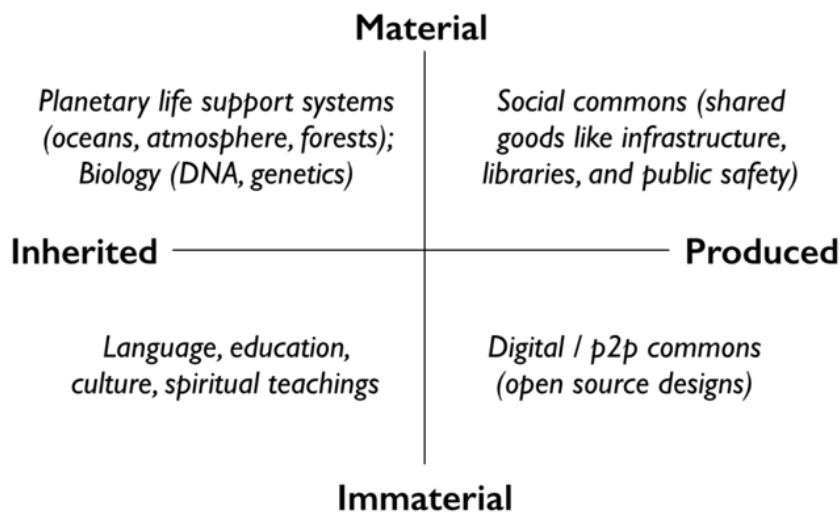
MAIN FINDINGS IN THE JOINT WORK PROGRAMME

From the beginning of the current project, it became evident that the Equitable Economic Growth (EEG) concept was highly relevant to the LAC region, especially given the working definition that Cities Alliance had chosen, prioritizing pro-poor and inclusive growth. The pro-poor element

promotes positive discrimination (i.e., the poor should benefit significantly from the middle-class and the rich people). The inclusive component aims to include vast parts of society, normally left behind, in the growing process. Both concepts attack the biggest weakness of the LAC region: inequity and segregation. The former is characterised by the unequal distribution of resources, and the latter refers to the spatial gap between poor and richer groups, which live distant from one another and share almost no commonalities.

Public goods and services: the commons

Based on the NUA, the EEG concept has so far been operationalized in a better distribution of public goods and services. Cities Alliance has suggested measuring the level of access to public goods and services through four dimensions: coverage, reliability, affordability, and quality of its provision.



An important point that becomes clear when comparing the regional contexts of the various networks involved in the present project is that the basic public goods are time and culturally defined; that is, they change over time and depend on the cultural and socio-political context in which they take place. Through time, and in this case, according to the level of urbanization and relative to the local circumstances and cultural characteristics, the basic goods may be defined differently. In the Cities Alliance perspective, the basic goods have been identified as basic sanitation, energy, educational services, health services, public transport, land for housing, and public space. Nevertheless, when crossed with the four dimensions previously mentioned – coverage, reliability, affordability and quality – it is easy to see that they can either mean much or very little.

An interesting perspective to understand public goods in LAC is the categorization proposed for the “commons” by the Peer to Peer (P2P) theorist Michel Bauwens. By using a double-entry categorization, he generates four categories for the commons, as shown in Figure 22.

Each of these categories is of enormous importance in LAC, but special attention should be given to both axes: material-immaterial and inherited-produced. The first since LAC’s tradition in terms of the immaterial is related with the production of a syncretism, where the inherited is enriched by the produced into new construction, a sort of magical realism where the culture

Figure 22. Four types of commons
Source: Ramos (2016)

does not replace one belief with another but, instead, adapts into a new way. On the other hand, the traditional informal culture that pervades the LAC region, through its informal buildings, shows that the material has been shaped and shapes the immaterial into a complex construction of social links.

Co-production of knowledge

Inclusion, equity, and sustainability are key elements of both the New Urban Agenda (NUA) and the Regional Action Plan (PAR); however, there are multiple barriers to put these elements into practice. As described earlier, the combination of inequality and segregation has become an integral part of cities' architecture. It has silenced the voices of ample segments of the region's societies, who hold little power to influence the public agenda. There is a need to include such groups in the processes that shape much of their lives. Furthermore, the social unrest that erupted in several countries of the region before and in the midst of the COVID-19 pandemic has demanded more inclusion, opening an opportunity to rethink the models that, so far, have guided the development of the LAC region.

To face those challenges, several authors have suggested novel approaches to integrate and validate the experiences, trajectories, perspectives and voices of all, to co-construct the way in which cities are moulded (Arnott et al. 2020; Moser 2016; Muñoz-Erickson et al. 2017; Norström et al. 2020; Osuteye et al. 2019). Rooted in the belief that diversity and plurality should lead to better research, projects and policies, the co-production of knowledge seeks to integrate the expertise of traditional stakeholders (e.g., policymakers, academia, private sector) and, also, the lay knowledge of the local communities and those who, for different reasons, are not able to access, and therefore participate in, the public debate. The co-production of the knowledge paradigm includes all stakeholders, their points of views and needs in the process of knowledge creation and its translation into policy; hence, it seeks to promote inclusion and equity in the broadest sense.

This perspective and others of a similar nature (e.g. participatory approaches) are key to overcoming the LAC region's structural imbalances. The many plans of urban upgrading and renewal that have emerged across the region in the last decades have already proved that the integration of the experiences and knowledge of different stakeholders, from the local communities to the private sector, can lead to better results and more sustainable practices (Berney, 2011; Burbano, 2014; Calderón, 2008; Ordóñez-Barba et al. 2013). As those experiences and other experiences show (e.g. incremental programmes), there is a latent knowledge even in deprived communities or among fragile individuals. All this suggests that the LAC region can be fertile soil to rethink the many processes that shape its cities.

Role of academia and local stakeholders

One of the many lessons to be learned from the recent COVID-19 pandemic is local organisations and local authorities' importance as bridges between people and state. At the same time, it reminded us that every locality is part of a worldwide system and depends on its global welfare. This rather obvious observation is the central paradox and main difficulty of urban planning, which aims to organize and shape cities considering every local community and neighbourhood while, at the same time, building the global city and macro-region.

In the LAC region, where we have both highly centralised and also federal

republics and a wide variety of governmental organisations, there are many rich experiences of local communities who have managed to surpass difficulties with little resources, but fewer where this has been linked to formal governmental action. An example of the latter, in the last years, has been the case of Medellín, Colombia, where through governmentally-led Plans of Integral Urbanism (PUI), it has managed to build high-quality public libraries and parks, together with a novel mobility system (i.e. escalators and metro cable lines) connecting the informal settlements, up in the hills, with the formal city below. Figure 4 shows a picture of the roofed escalators from a higher level and a small plaza in the stopover between them, where local commerce thrives.

In a REDEUS_LAC book “El Camino de Latinoamérica y El Caribe hacia la Sustentabilidad Urbana” (Greene and Ortúzar, 2018), a set of twelve initiatives such as this in LAC are presented. They were selected because they approached urban sustainability challenges creatively, which is typical of the Latin American and Caribbean culture.

The link between academia and public policy is even more complicated than between local stakeholders and national governments and necessary. A first difficulty here is the time issue: while politicians and government officials need immediate answers, most complex problems typically require a long time to understand them, longer implement suggested actions, and even more, time to perceive the, hopefully, positive results. For this reason, it is crucial that national governments select and trust academics for this task. In this sense, Chile has an interesting experience through the Financing Funds for Centres in Priority Areas (FONDAP) programme. Some ten years ago, the Chilean government selected areas considered relevant for the country’s development, allocated a substantial amount of funds, and made a call to form interdisciplinary research centres in these areas. A group of centres were selected and financed for five and up to ten years. Among these, there are centres on solar energy, conflict and social cohesion, disasters, and the Centre for Sustainable Development (CEDEUS), which formed the present network: REDEUS_LAC.

The more important lesson to be learned from this experience is the importance of public policy results. The centres, coming from an academic background, during their initial years have produced many papers and capacitated many researchers; nevertheless, the FONDAP’s valuation system forced them to come out of their comfort zones to participate in commissions, round tables and use the public media, to take positions and try and influence public policy. As such, centres such as COES (www.coes.cl), CIGIDEN (www.cigiden.cl), CEDEUS (www.cedeus.cl) and others, have become important actors offering scientific expertise to the assigned relevant areas for the country’s development.

THE CHALLENGES AHEAD

The future of Latin America and the Caribbean region is tied up to the future of its cities. As most countries have more urban dwellers than rural ones – in the southern cone countries, this percentage is reaching nine out of ten– the challenge to create more inclusive, sustainable and democratic societies means that cities need to be more inclusive, sustainable and democratic. This, in turn, demands the implementation of significant changes in financing and taxation, urban form and certainly not least, governance.





Figure 23. Planes de Urbanismo Integral en Medellín, Colombia
Source: Margarita Greene, September 2018

Financing and taxation

The guiding principle for EEG should be equity. Applied to urban planning, urban policies should be proactive in reducing urban and housing inequalities; this means improving the basic services and infrastructure of large portions of cities that have historically been neglected and improving the material conditions of poor households. In some cases, this will demand building new housing to alleviate overcrowding, while in others, the material condition of houses (e.g. insulation, ventilation or security) should be addressed.

Urban form

Cities should be designed for a more inclusive and sustainable functioning. This means that urban planning should encourage mixed land use in relatively dense areas, as these conditions are associated with vibrant urban spaces. Likewise, transport policies should embrace more sustainable transport modes, giving preference – both in terms of space and funding – to walkers and cyclists (i.e. active transport modes) and to public transport over solo drivers.

Governance

A profound rethinking of the current forms to govern cities in the LAC region needs to be promoted if we are to implement EEG. The deep-rooted inequality that characterises LAC cities requires forms of governance capable of providing goods and services for the many, not just for the few. This will demand to enact city-wide governments in countries lacking them or empower city governments with financial and administrative capabilities to provide these goods when they exist. Sometimes, a city-wide approach will demand the creation of new institutions in charge of dealing with essential services such as transport. In those circumstances, a combination of technical knowledge with political wisdom capable of defining short, medium and long term goals will be necessary (Ortúzar 2019). Good examples exist in the region of this perspective (the Colombian case is noteworthy), while bad ones might shed light on what not to do.

Sometimes, governance structures will demand to amend a country's general legal framework, such as its Constitution. At present, this is Chile's case, which suffered a critical social upheaval that took it to re-thinking its social contract. In less established cases, housing institutions should be enacted, providing them with technical capabilities to deal with complex issues. An interesting space for mutual collaboration and mutual learning might emerge in these cases. Likewise, honest and profound discussion of basic issues, such as: right to the city, social function of the land, land value capture, public services and public goods, among others.

Urban equity

Because we live in an urbanized region, the main challenge of EEG should be urban equity. This means that urban policies should allow people to develop in friendly, safe and inclusive urban environments, regardless of their race, socio-economic differences, origin, sexual preferences or political and religious affiliation. As such, EEG in LAC should see the implementation of programs that address the historical deficit that policies have had with the poor, the Afro-descendant and the Amerindian populations, and the women heads of households have been neglected in the distribution of urban goods.

Once a focus is put on urban equity, accepting the differences and needs of households, and improving the quality of life, urban policies should be guided by the utmost care of the environment. From an operational point of view, focusing urban policies on caring for the environment has several advantages. In the first place, it requires attending to the geographical and multi-scale dimension that translates into the management of hydrographic basins where cities are established. On the other hand, an environmental perspective necessarily pays more attention to the risks that cities face, promoting an agenda focused on urban resilience. Finally, a focus on caring for the environment helps to refocus the forms of sustainable growth and urban transport. Both dimensions are deeply linked. Having an efficient, comfortable and safe public transport network is facilitated by developing more compact and dense cities (Mora et al. 2018).

ACKNOWLEDGEMENTS

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Mobilizing local research for global agendas

Connecting regional networks to encourage sustainable urban development across research and policy cultures

19.02.2020

Networking Event (Webinar) - World Urban Forum

More Information:

<http://habitat-unit.de/en/events/webinar-ii/>

Team

Peter Gotsch & Anthony Boanada-Fuchs (N-AERUS): Towards a policy review on the role of public services for equitable economic growth

Margarita Greene (REDEUS_LAC): Equitable economic growth through provision of public goods: Social Cohesion through Collective Space

Taibat Lawanson (AURI): Research-Policy Engagements on the Lagos Resilience Journey
Colin Delargy (Coordination)

Other participants from the WUF

Edmundo Werna (N-AERUS, ILO).

Gilbert Siame (AURI, University of Zambia)



Background Information

Many cities and regions worldwide experience enormous rates of growth and transformation. In this context, the promotion of equitable access to public goods is widely considered a key factor to ensure equitable development and to leave no one behind. This event discussed the role of independent research networks promoting knowledge and policy on the role of public goods for equitable economic growth.

This webinar was a follow-up to the Networking Event 47 at the World Urban Forum 10 in Abu Dhabi, in which scholars, activists, and development professionals representing three research networks (N-AERUS - Europe/Asia; AURI - Africa; and REDEUS_LAC - Latin America and the Caribbean) shared and reflected on how research and policymaking can collaborate to better promote equitable urban development: How can research be more meaningful and effective for society and how can it have more impact on policy?

Learning Goals

1. To highlight local innovations, challenges, and lessons for NUA implementation within Latin America/Caribbean, Africa, and Europe and to learn about specific case studies of innovative policies and projects to promote equitable economic growth through public goods and services
2. To hear from local experiences on collaborating between research and policymaking in order to implement the NUA and SDGs in the network regions
3. To broadcast the World Urban forum discussion to a broader audience and continue to expand on the knowledge generated there.

The networks recognized the need to integrate research at the global level to overcome existing and potential fragmentation. Concretely, this collaboration aims to:

1. provide a critical review of existing NUA research, focusing on the initial implementation in the three different network regions;
2. study and deliver recommendations on applied strategies and possible research-policy interfaces to support the implementation of the NUA's objectives; and
3. disseminate resulting policy and research recommendations for further operationalization within the NUA.

Previous webinars hosted by these three research networks have focused on honing a locally-applicable definition of "public goods and services", attending to the cultural particularities of the diverse regions, as well as on exploring examples in which research, policymaking, and civil society effectively come together to pursue innovative interfaces for collaborative urban transformation. This webinar highlighted how innovative policy-research interfaces can be operationalized to strengthen local cultural and economic connectivity to meet the NUA goals of inclusive and effective provision of public goods and services in cities.

Introduction

Although urban services are definitely important to equitable economic growth, there are still questions to be asked.

- How can they be equitably provided?
- Why are they not provided even if the resources are available?
- Why are some of them even vandalized?

The thematic component of the event has the following objectives:

- 1) to raise awareness on the interplay between local policy and knowledge cultures and equitable access to urban goods and services in different contexts;

- 2) to assess the existing research of the JWP on equitable economic development in terms of the objectives of the NUA implemented at the local scale, especially considering linkages with the SDGs and highlighting potential knowledge and research gaps;
- 3) to provide guidance for participants on strategies to effectively bridge research and policy to implement the NUA and SDGs in light of their specific cultural and political setting, by
 - a) encouraging researchers to develop skills to emphasize policy-oriented research within this framework; and
 - b) raising awareness among decision-makers about the relevance of research in policy making, creating better links to research.

The formal component of the event has the following objectives:

- 1) to provide visibility for the three networks and to showcase the effectiveness of the inter-cultural and inter-regional knowledge exchange at the heart of the networks' collaboration in implementing the NUA;
- 2) to disseminate project findings regarding new research-policy interfaces via a thorough review of strategies of knowledge and policy (co-)production;
- 3) to open the discussion about innovative research-policy interfaces to a broader global audience, both on-site at the WUF and via a live interactive online format. By participating in a platform for live co-production of knowledge, participants are encouraged to share experiences, give impulses for new research and exchange ideas at the event.

Key Concepts

Urban Services

Urban services are definitely important to equitable economic growth. There are many questions to be asked: how they can be equitably provided? Why are they not provided in many situations in which resources are indeed available? Why are some even vandalized? One suggestion is to anchor the provision of services in the communities themselves. For example, use community members to build facilities through community contracts rather than bringing external contractors. This will bring some income, with multiplier effects in the local economy, and will also increase ownership.

Researchers and policy making

Research should be more action-oriented and less 'observatory' only. In addition to the reports, papers, books, researchers should produce easy to digest communication material (leaflets, videos, etc.). Researchers should spend sabbaticals within the institutions they analyse (e.g. local authorities, etc.). This is a new way to transfer knowledge, and the researchers will gain a different perspective by working inside their subject of research.

By anchoring the provision of public services in the communities themselves and therefore using community members to build facilities through local contracts instead of relying on external contractors

Main Takeaways

In the global dialogue surrounding sustainable development, there is an urgent need for integrating and coordinating urban research through multisectoral approaches, as well as for interlinking culturally diverse researchers, policy makers and local actors across different urban regions.

By basing our evaluation of global urban agendas on the intercultural exchange between the three partner networks N-AERUS, AURI and REDEUS_LAC, both established and younger researchers from diverse backgrounds and working within diverse contexts collaborate intensively to share approaches for evaluating the implementation of the NUA in their respective local frameworks. By pooling this knowledge, the event showcases a truly global-local action framework for effectively pursuing the objectives of these global urban agendas.

This network collaboration provides an opportunity to address concretely the intersection of culture and innovation within varying urban contexts and corresponds specifically to the WUF10 thematic objectives iii., iv., vi. and vii., as well as to the topics of Dialogue 6 (see event's key thematic objective 3 and key formal objective 1).

With respect to the scope of Dialogue 2, the event aims to demonstrate that effective implementation of the NUA will only take place if diverse urban stakeholders are involved in discourse-framing and solution-finding. By evaluating and updating existing research-policy cultures within their respective urban settings, the event outlines new possible action frameworks for researchers and decision makers that employ a multiscalar, multisectoral and inclusive approach to pursuing NUA goals (see event's key thematic objectives 1 and 2).



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Figure 24. "Slum Life Liberation",

2010. Ahmedabad, India.

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original

CONCLUSION AND RECOMMENDATION

In times when science is under threat and democratic values in decline, strong, meaningful collaborations that aim at being as inclusive as possible are of utmost importance – not only to respond to global urban development challenges but also to ensure a more consensus-based human coexistence. In the research underlying this report, three academic networks collaborated with Cities Alliance to provide scientific insights into the complex relationship of equitable economic growth and public goods and public services. Three working packages provided ample evidence on the importance of public goods and services and the pivotal role of (knowledge) co-production and other forms of symmetrical forms of collaboration to sustain and improve sustainable development in different world regions.

Work Package 1 investigated the relationship between public services provision and equitable economic development by analyzing implemented practices and their actual impacts in different world regions. Investigating specific interventions in housing and land, slum upgrading, basic, social, and digital infrastructure, public space, mobility, and jobs, education, and skill-building programmes revealed a great range of diversity in terms of type, size, and set-up but practices shared interesting features. Practices not only provide the specific good by improving its provision and broadening access but often also lead to improved quality of life by increasing living standards and levels of wellbeing. Hard interventions, such as the provision of housing and infrastructure, are only impactful if combined with soft interventions - essential in this regard is the creation of opportunity structures for the local community in terms of skills development, education and job creation to help to address some of the roots of persisting inequality. Participation and effective governance are the essential key factors of success while non-donor-based finance remains a challenge, as well as giving marginal groups (female, youth, informal workers, renters) and activities (informal economy) the right level of recognition in interventions.

Work Package 2 approached the research-policy-making interface for EEG in urban environments through two main interpretative axes: (a) the translation from theory to practice/policy of urban initiatives in EEG, focusing on the mechanisms of knowledge production (top-down, consultancy-type, etc.) and co-production (collaborative, grassroots, etc.) in terms of political approaches and action-oriented methods; (b) the actors' networks (and power relations) underpinning the interface in terms of organisational functions, institutional arrangements and structures. The research team recognised a structural paradigm shift in the interface (Fig. 3 in chapter 2), which sees communities,

civil society institutions and social movements as key ‘spaces of action’ for urban policies implementation in an EEG perspective. Understanding the role of context-dependent factors in the interface definition and the need for new platforms and languages interconnecting social actors, researchers and policymakers, the research provided an operational tool (Table 3 in chapter 2), which includes basic knowledge-building mechanisms and types of interface (actor-equity based practices, from expert to user involvement; local knowledge building; alternative knowledge production/co-production). Further research needs to include an exploration of community-based projects, action-research experiences and inclusive approaches to EEG, interrogating alternative political assets in the interface, and the role of researchers as critical agents.

Work Package 3 continued the reflections of previous WPs on EEG by: (a) looking at new perspectives for developing and promoting alternative paradigms to EEG; (b) by exploring institutional conditions that might favour the emergence of EEG; and (c) by investigating the potential of knowledge co-production to support EEG. The WP identified a series of perspectives that could generate alternative paradigms for EEG (e.g. the emergence of innovative forms of measuring economic development in different contexts). In terms of enabling environments and conditions, the co-creation of a common vision can play a triggering role in setting up and supporting EEG in a particular context. Furthermore, the collaboration between academia, policy and local communities in the pursuit of knowledge co-production has the potential to sustain the process of reaching a common vision for EEG. Three specific issues were addressed to maintain the process of knowledge co-production: the contribution of academia in proposing actionable strategies, the challenge of trust-building between academia and policy, and the relation between community cohesion and its response to public policies. Based on these reflections, a series of policy recommendations emerged—for instance, the development of an adapted vocabulary composed of actionable terms, strategies and approaches that can provide a basis for academia to translate and adapt their results. Further research is still needed to develop innovative and nuanced perspectives to address inequality by strengthening equity in opportunities in economic growth and finding concrete mechanisms of knowledge co-production between academia, policy, and local communities that can inform and support this process.

The regional network chapters highlighted the different urban challenges in the respective world regions as well as discussing past and present engagements of network institutions and members. Once again, the necessity of the co-production of knowledge was stressed to ensure context-specific understandings to tackle the main challenges in the regions, such as segregation, inequality, and poverty. In order to improve current urban problems, the three networks are actively involved in creating synergies between academia and other sectors to advance knowledge of EEG in urban development and advocate for specific policy agendas.

CROSS-CUTTING ISSUES & LESSONS LEARNED

While each WP and network chapter provides unique insights into the challenges of advancing equitable economic growth in urban development, there are several recurring elements and lessons learned on cross-cutting issues that are worth highlighting

1) Characteristics and Data for understanding EEG

The concept of EEG is not present explicitly in urban development research; however, it can be grasped through different urban practices in policies, programmes and management and planning schema.

Academic research needs to adapt to better correspond to the demands of an internationalized knowledge on urban development. There is an analytical gap between the specific and the general that partly explains the challenges highlighted by WP 3 and a missing alternative to economic readings of growth and inequality. Aggregation is a domain largely left to economic science which insights seem to not neatly fit onto local realities with their specific contextual factors. New scientific approaches need to be developed that adhere to the standards of scientific inquiry but can deliver a broad comparative view on complex issues to identify commonalities and differences between initiatives and places. The taxonomic sample analysis used in WP 1 represents a partial answer to produce a new set of knowledge situated between insights gained from case studies and complete abstraction. It is also important to recognise that contexts differ considerably from place to place, and can change rapidly over time, so research methodologies need to recognise these differences and changes.

2) Governance and Structures for Collaboration

All the WPs emphasized the importance of collaboration: stakeholders should be recognized and their opinion treated equally. The analysis of specific interventions underlined the omnipresence of community involvement on the ground. At the same time, practices reveal that participation is not always taking place in all phases and might not extend to all concerned people (e.g. informal renters). While some examples could be found of hands-on participation in forms of sweat equity and financial contributions of beneficiaries to realize public goods and services, participation in decision-making and knowledge production remains a key concern among policymakers and practitioners.

These modes of joint work require political commitment, special governance structures, trust-building activities, fostering mechanisms developed to make silent/silenced voices (e.g. female, youth, elderly, and other marginalized groups) more visible. Governance frameworks (including informal solutions) need to be institutionally anchored, enabled by law, and try to be as encompassing as possible, so all voices are heard and accounted for.

PG&PS interventions are more impactful and resource-effective with well-functioning intra-governmental coordination and communication between different levels of government and departments/ministries. Impactful practices relied on specially created administrative structures that brought different government structures and often other stakeholders together to

increase communication and effectiveness. Global policy advocacy is required considering that voices from international organizations, local and national governments are easier heard than the views of actors with less political weight, such as academia, grass-root organizations and communities. The focus on policy circles during research emphasized the need for building co-creation and co-production methodologies to avoid normativity and better account for the local context and specific community needs.

3) Types and Scaling-up Mechanisms

EEG involves theoretical factors and methodological elements related to inclusive urban development, which refers to different ideas of equity, economic development and urban growth models (WP1; WP3). EEG in cities is embedded in diverse knowledge production types built up on different epistemological structures (WP2). Collaborative practices and co-production in EEG question current mainstream knowledge production mechanisms and, at the same time, reveal complexities in their application (e.g. costs, resources and time investment). They require specific political support, adequate administrative structures and institutional skills. Locally grounded and context-sensitive, collaborative solutions resist simple scaling-up efforts and knowledge/policy transfers. Flexible governance models rooted in inclusive political setups are a precondition to develop effective research-policymaking interfaces for EEG in cities.

4) Transformative Potentials and Impulses

Co-production was identified as a vital concept to enhance EEG in urban development because co-production is considered a process that incorporates multiple actors and allows for inter-and transdisciplinary frameworks as well as policy production. Academia takes an important role in broadening the use of co-production and improving current practices, yet as underlined by the findings of WP 2, there is still considerable space for improvement. University researchers are not very present in the implementation phase of projects and more efforts need to be deployed to improve the communication between universities and policymakers.

It is important to go beyond a sector based approach on co-production (e.g. concepts of service co-production or knowledge co-production). As stressed in the network chapter by AURI, knowledge co-production is not a panacea for urban problems nor a substitute for participation. It is an important mechanism to ensure all voices are heard and interventions are aligned to the expectations of all stakeholders and in correspondence to contextual factors. Co-produced and participatory projects are more broadly supported and can trigger impacts that go beyond the immediate provision of a good or service; they can build trust, self-esteem, and even a positive view of one's future.

In line with the above reasoning, the policy recommendations are as follows:

* Strengthen and expand participatory decision-making at all levels (from international to local) and phases of PG&PS (from idea to post-hand-over) to ensure that all voices are heard, and collective ownership is increased.

* Develop governance mechanisms that enable participation, effective governments, and improve communication and transparency.

* Develop a common vocabulary as part of inter-sectoral collaborations as well as a shared and jointly promoted long-term visions for cities and urban development that can also broaden views on project impact and economic development

* Actively promote interfaces between academia and policymakers to strengthen and expand evidence-based decision-making to help close the practice-research gap.

The research also identified several issues that need more structured investigations. The areas with a need for more research are as follows:

* How to better connect academia with important decision-makers on the ground, especially local governments, in order to contribute to evidence-based and context-specific policy making.

* In which ways can academic resources be activated to contribute to improving current and future PG&PS interventions? Many academic institutions in the global South need greater access to resources in order to build the capacity and skills to engage in policy-relevant research and co-production processes.

* How to enhance international policy dialogues that analyse and at the same time connect international paradigms to local realities, in particular to vulnerable groups and their particular realities.

* How to finance urban development and find ways to better integrate market actors without increasing the risk of exposing local communities to additional financial pressures.

* How to promote alternative concepts that overcome the existing growth-equality dilemma for urban development (for example, through innovative circular economies) with governance models that are localized and more decentralized.

The New Urban Agenda and the Sustainable Development Goals require a concerted effort of all sectors in order to advance development that is more sustainable and broadly shared. The documents do not define how, no concrete guidelines and tools rather emphasizes that a localisation process is required that defines local vision, transformative commitments, and principles of implementation. With a Nexus thinking, that knowledge is required and built up by different actors, in a multi-scalar and multi-actors approach. Given the global COVID-19 pandemic, the challenges are poised to become even greater. Current estimates indicate that millions of people have been exposed to extreme poverty and many national economies have seen the strongest decline since the Second World War. In crises and their aftermath, economic narratives have the strongest political capital and therefore, a report such as this one is a timely contribution to remind us that economic development can be conceptualized through different lenses. A balance needs to be found

between emergency relief, quick-fix strategies and mid- and long-term strategies and different modus operandi. Impactful interventions need time and resources but are worth the effort, particularly if success is measured in a broader way.

As seen in the research undertaken for this report, there is a richness of practices that manage to engage communities, stimulating cross-sectoral collaborations that can provide a broad and lasting positive impact in terms of equitable economic growth in urban development. Collaborative efforts between academia and policymakers as well as communities and practitioners can lead the way to enrich these debates.



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Figure 25. "Girls on balconies", 2012.
Varanasi, India.

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Interviewee details (Chapter 3)

Interview No.	Institution	Role in the institution	Date of interview
1	United Cities and Local Governments (UCLG)	Technical Advisor	16th of October 2020
2	Alumni BSBA University of Pittsburgh, MURP University of Florida	Industrial/ strategies for sustainable communities	16th of October 2020
3	Institute for Housing and Urban Development Studies, Erasmus University Rotterdam	Head of Urban Strategies and Planning (USP)	16th of October 2020
4	German Development Cooperation (GIZ)	Programme coordinator	26th of October 2020
5	Cities Alliance	Urban Economic Development Specialist	26th of October 2020
6	European Commission	Research Programming and Policy Officer	19th of October 2020
7	Economic Commission for Latin America and the Caribbean (UNCEPAL)	Former Economic Affairs Officer	19th of October 2020
8	Chilean architect and consultant on human settlements	Former President of the Latin-American, Asian and African Social Housing Service SELAVIP	6th of October 2020
9	Ethiopian Institute of Architecture, Building Construction and City development (EiABC), Addis Ababa University	Lecturer	9th of October 2020
10	Higher Institute of Architecture and Urban Planning in Kinshasa (Congo) (ISAU) and the National Institute of Building and Public Works (INBTP)	Lecturer	27th of October 2020

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