

**The role of engaged scholarship and co-production to address  
urban challenges:**

**A case study of the Cape Town Knowledge Transfer Programme**

**Minor Dissertation**

by

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Sonia Miszczak

01 April 2015

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## **ABSTRACT**

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The City of Cape Town is under increasing pressure to develop sustainable urban policies and plans to be able to mitigate and prepare for impacts of environmental change. Both city practitioners and academic researchers in Cape Town believe that one knowledge base is not sufficient to attempt to address the 'wicked problems' associated with environmental change, and that there is a need for collaboration among different knowledge types. This case study considers the value of facilitating an engaged interaction between academics and practitioners in order to co-produce knowledge that can be more relevant and useful for addressing sustainable urban planning challenges. A process of qualitative research by means of interviews with practitioners and researchers within the Cape Town Knowledge Transfer Programme revealed that a more engaged interaction between the researchers and the practitioners, who are the likely users of that research, generates more valuable knowledge and solutions for addressing sustainable urban planning challenges. This case study found that the engaged interaction was immeasurably valuable for both of the institutions, as well as the knowledge produced during the interaction, and the individuals involved in it. The results and implications for partnerships between academic researchers and city practitioners is discussed.

## **KEYWORDS**

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Engaged scholarship, knowledge co-production, embedded researchers, city practitioners, sustainable urban planning challenges, Knowledge Transfer Programme, Mistra Urban Futures, University of Cape Town, African Centre for Cities, City of Cape Town

## LIST OF ACRONYMS AND ABBREVIATIONS

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ACC	African Centre for Cities
CCT	City of Cape Town Metropolitan Municipality
DDC	Department Director City of Cape Town Metropolitan Municipality
ECAMP	Economic Areas Management Programme
ECAMPCP	Economic Areas Management Programme City Practitioner
ECAMPER	Economic Areas Management Programme Embedded Researcher
EGCP	Energy Governance City Practitioner
EGER	Energy Governance Embedded Researcher
KTP	Knowledge Transfer Programme
LIP	Local Interaction Platform
MUF	Mistra Urban Futures
SIDA	Swedish International Development Cooperation Agency
UCT	University of Cape Town

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**“According to Darwin’s *Origin of Species*, it is not the most intellectual of the species that survives; it is not the strongest that survives; but the species that survives is the one that is able to best adapt and adjust to the changing environment in which it finds itself.”**

**- Megginson (1963:4) paraphrasing Charles Darwin’s *Origin of Species***

## CHAPTER 1: INTRODUCTION

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“The historical and political weight of systemic urban poverty and inequality, combined with unsustainable development patterns, requires of scholars to uncover tangible ways to understand and effectively intervene in the emergent dynamics of routine urban development processes and institutions.”

- Pieterse, 2013:30

### 1.1 Introduction

Living in the twenty first century, humankind faces a much larger degree of insecurity than previous generations due to the great uncertainty around both how environmental change is going to affect us, and how soon. This uncertainty means that local government departments have the difficult task of providing for their citizens now, while also being aware of and making provisions for how to provide for future generations. The vast inequalities in income in Cape Town make this task even more challenging because the needs basis is so wide and thus multiple solutions are needed. City departments responsible for planning and development have the duty not only to sustain provision of current facilities and services, but also to create innovative policies and solutions to address new challenges and to help accommodate and provide for the vast number of people that are living in abject conditions in urban settings. The combination of existing urban challenges that have not yet been addressed and the urban challenges related to environmental change, are referred to in this paper as sustainable urban planning challenges. Examples of sustainable urban planning challenges that pertain to Cape Town include issues such as water resource management, high concentrations of air pollution, densification in the central city, high levels of unemployment, sustainable agriculture and engineering, sustainable development, environmental restoration, sea level rise, storms, and urban flooding, particularly in informal settlements (Batie, 2008; Pieterse, 2013; Whyte & Thompson, 2012).

Both city practitioners and academic researchers in Cape Town acknowledge that one knowledge base is not sufficient to attempt to address sustainable urban planning challenges; “City officials recognise the complexity of sustainability challenges, but are often caught up in the day to day of service delivery in a context of significant back-logs and informality, and are often unable to take the time to consider and incorporate relevant academic knowledge in their work, [and] similarly, academics and researchers have recognised the need to ensure that their work is relevant and responsive to the local context, and can fill key knowledge gaps in local government” (Lawhon et al., 2012:1).

Universities and local municipalities are both knowledge institutions and yet there is a surprising lack of literature on engaged scholarship and knowledge collaboration between academics and local government

practitioners. Traditionally, engaged scholarship for knowledge production has focused on either relationships between businesses and non-government organisations (Dentoni & Bitzer, 2014), organisations and researchers (Mohrman & Lawler, 2012), education faculty members and communities (Brown-Luthango, 2012), and so forth. However there is potential for synergy between academics and practitioners to collaborate on knowledge generation for solutions to sustainable urban planning challenges.

This study explores that synergy by applying the concept of engaged scholarship between universities and cities with the particular focus on knowledge co-production and how it can help to rethink sustainable development transition pathways. This is done by examining the case of a partnership programme between The City of Cape Town Metropolitan Municipality (CCT) and the University of Cape Town's African Centre for Cities (ACC) called the Knowledge Transfer Programme (KTP), which "explicitly addresses academic and practitioner calls for engaged scholarship and policy development" (Mistra Urban Futures [MUF], 2014:28). The KTP was launched in 2012 with the aim of expanding and deepening engagement between City officials, political leaders and University of Cape Town (UCT) researchers (Lawhon et al., 2012), and "generating knowledge that is both policy relevant and provides alternate theoretical perspectives grown out of local experiences and evidence [by means of] an exchange programme between city officials and researchers who spend periods of time at each other's work places" (MUF, 2014:7). The KTP focused on a range of issues in the areas of policy development and research, these being green economy, climate change adaptation, the space economy, and energy governance. This study focuses on co-production and intermediaries by looking at the two areas of energy governance and the space economy.

## **1.2 Background**

Mistra Urban Futures is an international programme for research and practice on sustainable urban development financed by the research foundations Mistra, the Swedish Foundation for Strategic Environmental Research, and Chalmers University of Technology. Five local interaction platforms (LIPs) were set up in Cape Town, Gothenburg, Greater Manchester, Kisumu and Shanghai, each with its own context of research, challenges and practice in urban development and sustainability (MUF, 2014). SIDA, the Swedish International Development Cooperation Agency, contributed additional funding to the Cape Town LIP.

Cape Town was selected as one of the five cities in order to provide, in collaboration with the ACC, both practical and academic insights and facilitate critical urban research and policy discourses concerning the dynamics of unsustainable urbanisation processes both locally and at a regional level and context (MUF, 2014). The City of Cape Town Metropolitan Municipality (CCT), one of nine in South Africa, is governed

by a comparatively well-functioning municipal government and has the size and competence to develop policies and plans to respond strategically to the needs and challenges of the city as well as transition the city to a more equitable, efficient and sustainable future (Hamann & April, 2013). Like the rest of South Africa, Cape Town is vulnerable to energy insecurity, and the structural elements that define Cape Town are also the factors that contribute to its inequality and unsustainability (Lawhon et al., 2012).

The premise for the establishment of the ACC stems from the understanding for the need for academic knowledge to be pooled with other forms of practice-based knowledge by exposing academics to the problems faced by local government and city practitioners so that more effective and relevant contributions for urban development processes could be produced (Anderson et al., 2013; Patel et al., 2015; Pieterse, 2013; Watson, 2009). The ACC was established in order to create an applied university-based interdisciplinary centre that can undertake research on complex urban issues in specifically the City of Cape Town, but also in the global South in general (Patel et al., 2015; Pieterse, 2013).

One of the pilot projects of the Cape Town MUF platform is the Knowledge Transfer Programme (KTP), which is the partnership programme between the ACC and CCT. Previous occasional interactions between UCT and CCT have been ad-hoc and mostly one-way partnerships (Patel et al., 2015), whereas Lawhon et al. (2012:2) recognise that, “both the City and the ACC recognise the need to work together to help officials to develop more substantiated policy frameworks for decision-making as well as to help researchers engage in more useful, locally-relevant and applicable knowledge production”. The aim of the KTP was to create knowledge platforms that straddle the researcher-practitioner divide and are thus better positioned to co-produce defensible and legitimate responses to policy challenges (MUF, 2014:28). This partnership provides the opportunity for deeper engagement and ‘triangulation’ in learning about issues that confront Cape Town (Patel et al., 2015). The research objective of the KTP is “How is sustainable development understood and implemented in the City of Cape Town?”, and the methodology used to explore this objective is an experiment in knowledge co-production (MUF, 2014:78). The Knowledge Transfer Programme (KTP) is fully funded through Mistra Urban Futures (MUF, 2014).

The KTP was implemented by means of two programmes: the Embedded Researcher Programme and the City Official Exchange Programme. The Embedded Researcher Programme involved four academic researchers from the ACC embedded in relevant urban sustainability departments in CCT to work on specified policy areas, which were jointly selected by the ACC and CCT as urban sustainability priorities in the city that could benefit from new knowledge. The policy areas selected by the ACC and CCT were climate adaptation planning, designing a green economy, space economy, and energy governance. “The researchers are simultaneously supporting policy development by contributing content relevant knowledge, developing strategic partnerships with stakeholders both within and outside local government,

and documenting the process of policy development so as to make urban development policy and decision making processes more transparent and legible. The work being conducted at the City is central to doctoral research being conducted by each of the researchers” (African Centre for Cities [ACC], 2014).

In the City Official Exchange Programme, city practitioners involved in urban sustainability policy development in CCT spent up to two months as part of a practitioner fellowship at UCT, hosted by the ACC, where they received guidance and support in writing and publishing their account of policy development on their respective focus areas; “thus contributing towards the goal of making policy more legible and disseminating practical experiences and lessons. In these ways, knowledge is shared and co-produced, creating a new platform for meaningful interaction between academics and practitioners” (ACC, 2014).

Due to the scope of this minor dissertation, this case study focused on the Embedded Researcher Programme of the Cape Town KTP, and of the four policy areas in which the researchers were engaging, the two areas selected for review for this study were the space economy and energy governance. These policy areas were selected because firstly, they are located in two different CCT departments, the Spatial Planning and Urban Design department, and the Environmental Resource Management department respectively, whereas the climate adaptation planning and the green economy areas are both located in the Environmental Resource Management department. Thus, by selecting a policy area from different departments a broader analysis could be performed. Secondly, energy governance is a traditional line function of local government, whereas Cape Town’s inefficient, fragmented spatial structure inherited from the apartheid period, makes spatial planning a contested area. Lastly, both of these policy areas are grappling with challenges that are referred to as “wicked problems”; the area of energy governance involves value conflicts among different stakeholders, which is a defining characteristic of a “wicked problem” (Dentoni & Bitzer, 2014), and wicked problems, such as structural poverty and urban sprawl, are compounding spatial planning policy challenges (Anderson et al., 2013). Thus, the selection of policy areas located in different departments and facing quite different types of challenges allows for a broader assessment of the researcher-practitioner interaction.

### 1.3 Research Question, Aim, and Objectives

The focus of this case study is directed by the research question:

To what extent does the facilitation of engaged scholarship and knowledge co-production between the ACC and CCT by a formal programme, such as the KTP, generate the kind of knowledge required to address sustainable urban planning challenges?

The aim of this case study is to understand the extent to which the facilitation of an engaged scholarship interaction between academics and practitioners by a formal programme, such as the KTP, was beneficial for fostering the co-production of knowledge for addressing sustainable urban planning challenges.

Thus the aim of the research is to

- determine the role of the KTP in the engaged scholarship and knowledge co-production interaction between the ACC and CCT,
- deduce the value of the knowledge produced in the course of the partnership, and
- ascertain any implications for other interactions of this kind.

To meet this aim the objectives of this study were as follows:

- **Objective 1:** To explore the nature of engaged scholarship and knowledge co-production between the ACC and CCT
- **Objective 2:** To explore the value of engaged scholarship and knowledge co-production for addressing sustainable urban planning challenges; and
- **Objective 3:** To explore the partnership's impact on the institutions, and implications for interactions between academic researchers and city practitioners.

This study seeks to add to the engaged scholarship and knowledge collaboration literature between academics and city practitioners by providing insight into the nature of the interaction between these two groups, the value of an engaged scholarship interaction for knowledge co-production, and implications and lessons for future interactions between academics and city practitioners. This type of partnership is relatively novel and “exactly what it is, is really only known when what it was, or has been, is ‘seen’” (Soal, 2014:17).

### 1.4 Chapter Outline

Chapter One has introduced the context of the case study and the foundation of the research focus by outlining the research question, aim, and objectives of this study. Chapter Two presents the concept of

wicked problems and introduces the concept of sustainable urban planning challenges and the need for new and effective forms of urban knowledge to provide innovative solutions to these challenges. The concepts of engaged scholarship and knowledge collaboration are explored and the role of knowledge intermediaries in facilitating effective engagement of different stakeholders is reviewed. The research approach and methodology employed in the study are detailed in Chapter Three. Chapters Four, Five and Six present the key findings of the case study that were gleaned from the semi-structured interviews (see Appendix 1 for interview schedule, identifiers and interview questions), as well as the Mistra Urban Futures progress report (2014) and a mid-term evaluation report of the KTP by Soal (2014). Chapter Four deals with the nature of the partnership and the conditions that facilitated it, Chapter Five details the value of the partnership for knowledge, institutions, and products and policy, and Chapter Six presents the impact and implications of the partnership. Chapter Seven is an analysis of the findings against the literature review and Chapter Eight concludes the case study by drawing together the key research findings and offering implications and recommendations for future interactions of this nature.

## CHAPTER 2: A REVIEW OF THE LITERATURE

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### 2.1 Introduction

The review of literature was guided by the aim to understand the extent to which the facilitation of a formal engaged scholarship interaction between academics and practitioners was beneficial for fostering the co-production of knowledge to address sustainable urban planning challenges. Thus the selected literature focuses on the current discussions around sustainable urban planning challenges, engaged scholarship and knowledge collaboration and co-production. Chapter Two presents literature pertaining to the concept of sustainable urban planning challenges and the reason for it being termed a “wicked problem”. The debates around engaged scholarship and knowledge collaboration and co-production are introduced, and then expanded upon with specific regard to academics and practitioners. The chapter concludes with a review of the literature on intermediary facilitation of engagement and collaboration particularly between different disciplines.

### 2.2 Wicked Problems and Sustainable Urban Planning Challenges

The current geological epoch in which we live, the Anthropocene, is one in which environmental changes are dominated by humans (Crutzen, 2002; Rockström et al., 2009). There is no way to deny the burgeoning evidence of the pace and threat of global environmental change, and the large degree of insecurity and uncertainty that accompanies environmental change makes it a complicated problem to address (Lazarus, 2009); the challenge of conducting climate compatible and sustainable urban development is becoming increasingly urgent (Taylor & Peter, 2014; Agudelo-Vera et al., 2011).

To tackle the urban challenges associated with environmental problems van den Bergh et al. (2011) call for fundamental changes in social aims, institutions, industrial structure and demand, and Lawhon and Patel (2013) highlight the need for new policy initiatives, new partnerships, and new spaces for engagement. Incorporating provision for the effects of environmental change requires urban transitions toward sustainable development (Hamann & April, 2013); however, Schaap et al. (2014) and Levin et al. (2012) assert that traditional forms of urban governance are inadequately prepared to address the multi-faceted issues that accompany sustainable urban planning challenges.

The challenging nature of sustainable development has led to it being termed a “wicked problem” because of its complex, ill-structured, and elusive nature and the intractability of sustainable development due to various dynamic influencing factors and interdependencies (Batie, 2008; Lazarus, 2009; Reed et al., 2014a; Whyte & Thompson, 2012). Other issues identified as wicked problems, which are pertinent to Cape Town, include poverty, crime, healthcare, AIDS, water resource management, fire management,

natural resource management, and climate change (Batie, 2008; Lazarus, 2009; Whyte & Thompson, 2012).

Sustainable urban planning challenges, as previously mentioned, encompass both existing urban challenges that have not yet been addressed, as well as uncertain future urban challenges expected to accompany environmental change. Wicked problems such as structural poverty and urban sprawl are examples of existing urban issues that need to be addressed in Cape Town, while environmental vulnerability to flooding, climate change impacts, and food insecurity are a few examples of wicked problems that pertain to future uncertainties (Pieterse, 2013).

Wicked problems, specifically those that relate to sustainable urban planning challenges, are characterised by several features such as:

- wicked problems become increasingly more difficult to address as time passes (Lazarus, 2009; Levin et al., 2012);
- the outcomes, as well as the causes and effects underlying the problems are uncertain (Batie, 2008; Whyte & Thompson, 2012);
- classifying a wicked problem as of a particular nature leads to implications for the type of response that will be proposed (Horn & Weber, 2007; Reed et al., 2014a; Whyte & Thompson, 2012); and,
- there is no known foreseeable point at which the wicked problem will be resolved (Horn & Weber, 2007; Whyte & Thompson, 2012).

Furthermore, Horn and Weber (2007) present a characteristic of wicked problems that is possibly the most discouraging for urban planners; planners are liable for the consequences of the actions they propose and thus have “no right to be wrong” (Horn & Weber, 2007:5).

Additionally, wicked problems occur in a social context and thus can be understood differently by different stakeholders, and there are multiple solutions that will have different impacts for different stakeholders (Reed et al., 2014a; Whyte & Thompson, 2012; Batie, 2008). Thus, identifying solutions to wicked problems is as much social and political as it is scientific (Kreuter et al., 2004), and there is no single group, public or private, that has the requirements or capacity to fully grasp or address such complex, dynamic and diversified problems (MUF, 2014; Schaap et al., 2014; Watson, 2009). MUF (2014:34) believe that “today’s cities are typically managed within traditional organisational structures, but contemporary urban challenges go beyond the capacities of separate departments of policy-making, planning, administration and academic knowledge production”. Exploring innovative solutions to sustainable urban planning challenges requires new and effective forms of urban knowledge from the various groups of society outside the repertoire of conventional management approaches (Hodson &

Marvin, 2010; Koelble & Siddle, 2013; Mohrman & Lawler, 2012; Morse, 2008; MUF, 2014; Reed et al., 2014a; Zilahy & Huisingsh., 2009); “the serious environmental, social and economic challenges faced by societies worldwide cannot be addressed by public authorities alone” (Aarhus Convention Strategic Plan in Zilahy & Huisingsh, 2009:1057). In a rapidly changing environment, the most useful knowledge for local government city planners, decision-makers and managers, herein referred to as city practitioners, is knowledge that can facilitate swift change and adaptation to perform effectively (Mohrman & Lawler, 2012). “Partnerships are necessary precisely because in many areas solutions are not obvious, but require pooled knowledge, collaborative learning and joint initiatives” (Meadowcroft, 2005 in Hamman & April, 2013:14).

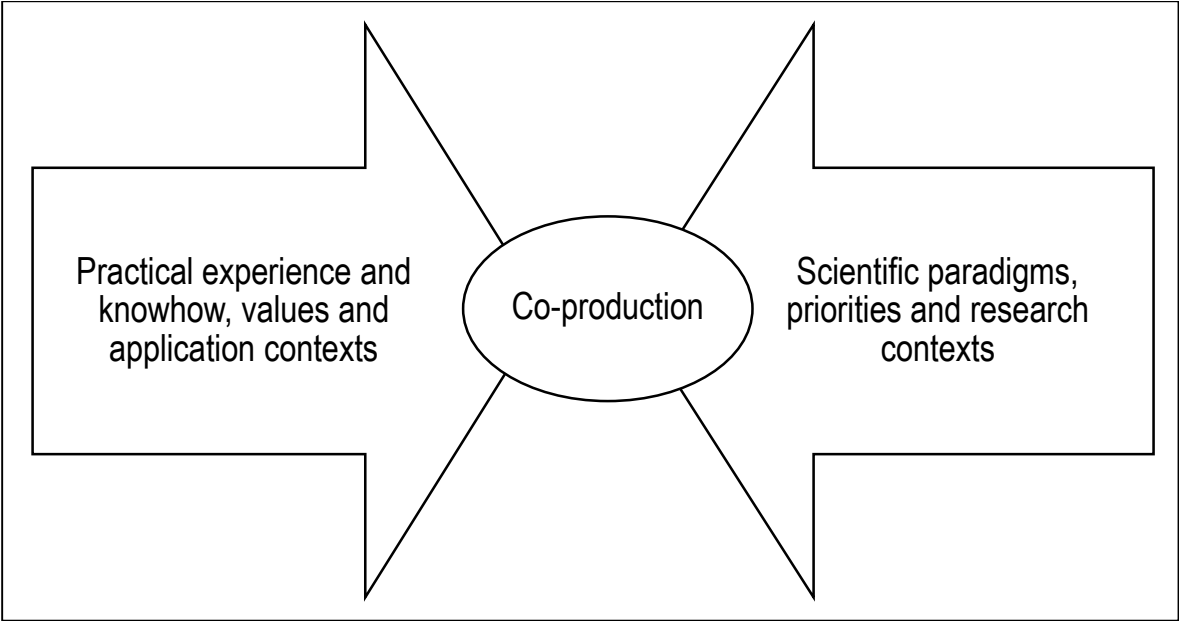
### **2.3 Engaged Scholarship and Knowledge Collaboration**

Academia and research institutions are particularly important stakeholder groups for innovative solutions in that the research outputs from these institutions provide city practitioners with the knowledge to respond to sustainable urban planning challenges (Bansal et al., 2012; Buizer et al., 2011; May, 2011; Mohrman & Lawler, 2012; Zilahy & Huisingsh, 2009). In recent years there has been an increased recognition that “considerable expertise sits outside of universities, that universities should show a greater degree of responsiveness to societal problems, and that understanding and addressing these real-life complex problems requires meaningful application and effort from diverse disciplines and multiple knowledge bases” (Anderson et al., 2013:1). However, the changing and uncertain nature of challenges faced by city practitioners requires a much more involved, partnership-type interaction with academic researchers in order for more relevant and effective knowledge to be produced to address these wicked problems (Dentoni & Bitzer, 2014; Van de Ven & Johnson, 2006). One of the challenges of applied scholarship is that the available knowledge of urban and planning theory is ill-suited to the complex and changing nature of the urban problems and challenges faced by a city like Cape Town (Pieterse, 2013; Watson, 2009). Reed et al. (2014b: 337) maintain that “simply creating and accumulating more knowledge does not necessarily translate into better practice. The extent to which knowledge generated through research is likely to inform policy and practice depends on its relevance, legitimacy and accessibility”.

Van de Ven and Johnson (2006) propose a theory of “engaged scholarship” to address knowledge production problems; they define engaged scholarship as “a collaborative form of inquiry in which academics and practitioners leverage their different perspectives and competencies to co-produce knowledge about a complex problem or phenomenon that exists under conditions of uncertainty found in the world” (Van de Ven & Johnson, 2006:803). Through engaged scholarship, different sources of knowledge are combined to create, or co-produce, new knowledge to “increase the social relevance of the knowledge produced for policy/practice action and for new academic practices” (MUF, 2014: 35). It is

important not to down-play the relevance of the knowledge that city practitioners possess, but rather to promote an engagement of their knowledge from practice with academics' theoretical knowledge to be able to thus create more valuable solutions for sustainable urban planning challenges (Van de Ven & Johnson, 2006). This knowledge co-production approach demonstrated by MUF (2014), of engaging practical and academic knowledge, is simplified in Figure 1: Knowledge co-production.

**Figure 1: Knowledge co-production (MUF, 2014:38)**



**2.4 Engaged Scholarship and Knowledge Collaboration between Academics and Practitioners**

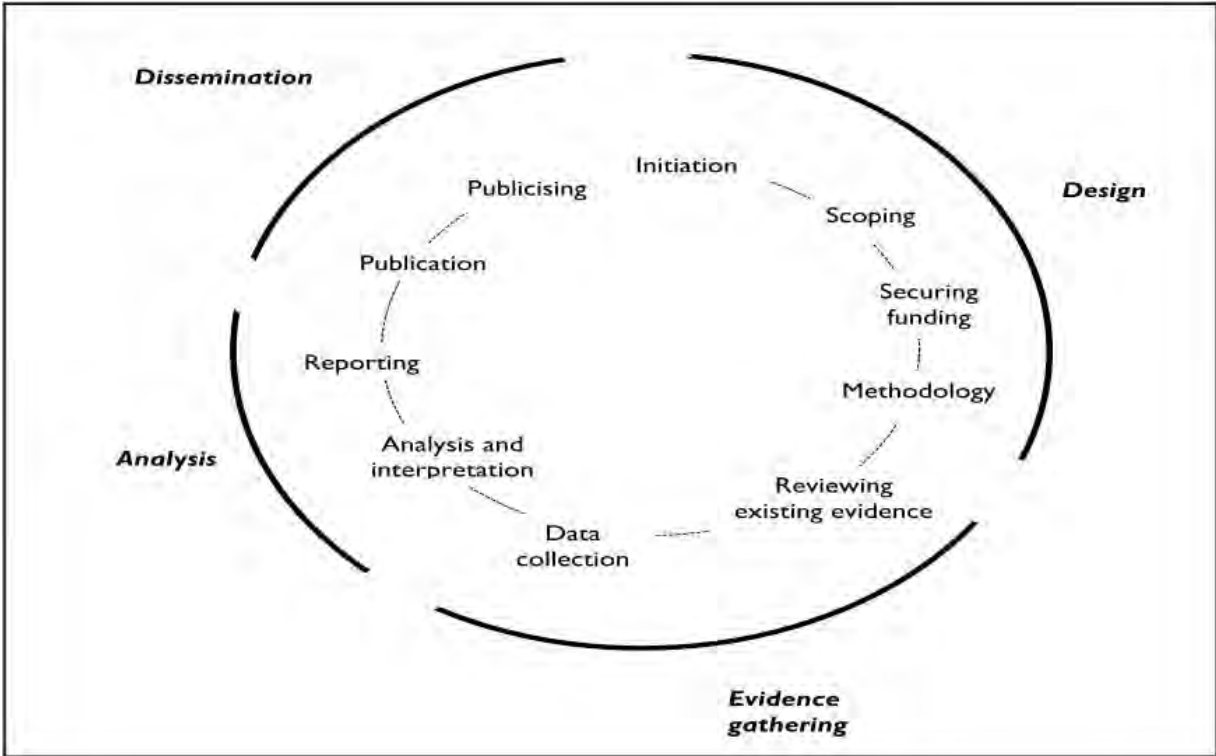
Engaged scholarship literature, and similarly knowledge collaboration and co-production literature, investigates interactions between practitioners and academics in the field of management (Van de Ven & Johnson, 2006), between multiple stakeholder groups ranging from representatives of vulnerable groups to provincial ministries (Reed et al., 2013), between organisations and non-profits (Austin, 2000), between organisations and researchers (Mohrman & Lawler, 2012), and, most relevant to this study, the interactions between researchers and practitioners (Anderson et al., 2013; Bansal et al., 2012; Van de Ven, 2007). However, there is a surprising dearth of engaged scholarship and knowledge collaboration literature that considers the interaction between academics and city practitioners.

Collaborative effort and partnerships have been emphasised as crucial to effective sustainable social and people-centred development solutions (May, 2011; Meadowcroft, 2005; Mohrman & Lawler, 2012; Morse, 2008), with universities at the core due to their contribution of new knowledge, their engagement in knowledge transfer activities, and their involvement in industrial processes or services (May, 2011). Mohrman and Lawler (2012) argue that for researchers to generate knowledge and contribute solutions that will be relevant and helpful to practitioners, researchers must commit to working collaboratively with

practitioners and must spend time in the practitioners' organisation to be able to work with and learn from practitioners because only then will researchers fully understand the problems practitioners are faced with and the operating realities that constrain them. In addition, "as planning and politics are inextricably linked, a more effective approach to strategic planning could therefore result from an improved understanding of the political dynamics through which decisions are taken and policies made" (McKay et al., 2011:108).

Reed et al. (2014b:338) feel that "those who wish to use research, often express frustration at the barriers they face, for example poor communication and dissemination of research, lack of technical expertise to interpret and apply research findings to their decision-making context, and the mismatch in timescales between research and policy cycles". There is an apparent link between the perceived relevance and plausibility of research and the level of user involvement in it, and thus it has been argued that the users and producers of research should interact throughout the research process to ensure that the knowledge produced focuses on the issues with which the research users are grappling (Dentoni & Bitzer, 2014; Martin, 2010). A variety of practitioners and researchers are involved in the different stages of the knowledge co-production process, including dissemination (MUF, 2014). Martin (2010) presents the key elements of the research process (see Figure 2) and identifies five different types of practitioner engagement that span the spectrum of being involved in just one or two of the elements of the research process, to being fully engaged from inception right through to dissemination; "Type 1 co-production involves practitioners only as informants. Type 2 involves them at the end of the research process as recipients of findings. Type 3 research is endorsed by practitioners at the outset. Type 4 is commissioned and overseen by practitioners. And type 5 involves practitioners at every stage in the research process" (Martin, 2010:214).

Figure 2: Key elements of the research process (Martin, 2010:213)



The appropriate strategy for practitioner engagement will depend on the practitioners and researchers as each type involves different kinds of trade-offs: “The practitioner as informant or recipient model allows researchers to maintain a high degree of relational distance which has the advantage of safeguarding academic freedom but may mean that findings are not utilised. Conversely, the practitioner as commissioner model improves the chances that a study will have an impact but also increases the risk that it will be politicised” (Martin, 2010:214). The practical realities of bringing practitioners and researchers together will also determine the degree of engagement that can take place (Boyko et al., 2014).

**2.5 Intermediary Facilitation of Engaged Scholarship and Knowledge Collaboration**

While it has been determined that a more engaged relationship between practitioners and academics is essential for creating relevant knowledge to address sustainable urban planning challenges, there are certain challenges in bringing together people from different disciplines; “Academics and non-academics speak different professional and technical languages, share disparate paradigmatic worldviews and possess dissimilar skill sets. These differences may lead to, among other things, frustration and dissatisfaction with the project and team members, and a loss of motivation to continue undertaking research” (Boyko et al., 2014). To facilitate effective engagement of stakeholders in the process of addressing sustainable urban planning challenges, various authors have emphasised the need for a bridging organisation to link the different institutions (Bansal et al., 2012; Batie, 2008; Crona & Parker,

2012). Intermediary organisations, in the context of innovation and sustainability transitions, provide the connection between diverse stakeholders in order to facilitate a platform for deliberation and collaboration that supports the innovation process (Hamann & April, 2013; Hodson & Marvin, 2010; Howells, 2006).

A number of different organisations can fulfil the position of intermediary depending on the specific functions or roles required (Hodson & Marvin, 2010). Intermediaries can take on just a single role or function during the course of the intermediated interaction, or they might provide multiple roles simultaneously throughout the interaction, or take on different roles at different stages in the interaction. Intermediary organisations can take on a number of various roles, including, but not limited to, the role of initiator, convenor, facilitator, transaction broker, supporter, transformer of ideas and knowledge, outcome evaluator, selector and mediator (Bansal et al., 2012; Bessant & Rush, 1995 in Howells, 2006; Hamann & April, 2013; Hodson & Marvin, 2010). Intermediary organisations assist in addressing “the conflicting and competing priorities of researchers and practitioners, and can transcend the inherent paradoxes to simultaneously elevate both research and practice through practice-based research and research-based practice” (Bansal et al., 2012:89).

Bansal et al. (2012) specifically highlight the roles of facilitator, convenor and supporter as being the skills for intermediaries that serve as the foundation for the activities that help to bridge the gap between researchers and practitioners. Activities include identifying new research questions together; producing new research or systematically reviewing existing research; translating research for practice; creating new knowledge that is shareable across different problem solving contexts; and disseminating and mobilising knowledge widely.

## **2.6 Conclusion**

This chapter has outlined the debates around engaged scholarship and knowledge collaboration and co-production. The different themes gleaned from the literature, and followed throughout this dissertation, are the sustainable urban planning challenges that CCT is facing and the challenges of attempting to address these wicked problems, the importance of engaged scholarship and co-production of knowledge for generating relevant, legitimate and accessible solutions for these problems, the importance of this interaction especially between researchers and practitioners, and the role of intermediaries in facilitating these interactions.

## **CHAPTER 3: METHODOLOGY**

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### **3.1 Introduction**

Chapter Three outlines the research approach and methods employed to explore the extent to which the facilitation of an engaged scholarship interaction between academics from UCT and practitioners from CCT, by a formal programme such as the KTP, was beneficial for fostering the co-production of knowledge for addressing sustainable urban planning challenges. Specifically, this chapter details the rationale for the choice of research approach and design, the forms of data collection undertaken, and the approach followed in the analysis of the data. Validity and reliability of qualitative data is discussed, and the chapter concludes with an acknowledgment of the study limitations.

### **3.2 Research Approach**

This study employed a qualitative research approach; the issues being explored concern context and experiences and require interpretation rather than quantification (Kohlbacher, 2006). The exploratory nature of qualitative research is thus applicable to the objectives of this study because they are concerned with exploring views, experiences and opinions (Creswell, 2003). The need for a more qualitative exploratory approach was also highlighted in one of the KTP evaluation reports that was drawn on for this study (see section 3.3.1): “Whilst the depth and reach of the KTP can be measured through the numbers of publications (12 journal articles and 3 book chapters), events such as conference and workshop presentations and seminars (33), op-eds (3), news items (30) and blogs (9) produced – the experience of the KTP has revealed that these traditional measures of impact are insufficient to capture the full impact of the programme” (Soal, 2014:2).

### **3.3 Research Design**

This research followed a case study design to explore the value of engaged scholarship and co-production for generating knowledge to address sustainable urban planning challenges. Case studies most commonly follow a qualitative approach and allow for a complex programme, activity, or process to be explored in depth within its real-life setting or context (Creswell, 2003; Kitchin & Tate, 2000; Kohlbacher, 2006). Case studies can be used to test, generate, or generalise theory, and are the most preferred method when research is directed towards “how” or “why” questions (Eisenhardt, 1989; Kohlbacher, 2006). A case study design was thus appropriate for this study because the objectives require an in depth exploratory analysis of the KTP.

### **3.4 Methods of Data Collection**

The specific methods of data collection were determined by both the research design and the type of data required for this study. Case studies most commonly use a combination of data generation methods such as interviews, questionnaires, and observations, as well as some secondary data which could include archives, summary statistics, or historical accounts (Eisenhardt, 1989; Creswell, 2003; Kitchin & Tate, 2000). The data collection methods for this case study combined document research from 'grey' literature and semi-structured interviews. One of the advantages of using multiple methods of data collection is that of triangulation: "the use of a series of complementary methods in order to gain deeper insight on a research problem" (Hoggart et al., 2002:67), which can enhance interpretation, provide stronger substantiation of constructs and hypotheses, and thus strengthen the confidence in conclusions by providing multiple routes to the same result" (Eisenhardt, 1989; Hoggart et al., 2002:67). Triangulation does not mean having different data sources as such, but using complementary sources (Hoggart et al., 2002).

#### **3.4.1 Grey literature**

Grey literature is defined by Benzies et al. (2006:56) as "publicly available, foreign or domestic, open source information that is usually available only through special channels and may not enter normal channels or systems of publication, distribution, bibliographic control, or acquisition by book sellers or subscription agents". Essentially grey literature is unpublished research, of which there is quite a large volume on the subject of the KTP. Primary documentary material produced by the embedded researchers was disseminated using a range of methods and platforms, of which the following were used for this study to gain a more comprehensive understanding of the KTP and the impacts: conference papers, journal articles, reports, magazine articles, unpublished manuscripts, and City of Cape Town media channels. Two reports that were generated during 2014 and drawn on for this study are a comprehensive Progress Report written by the Mistra Urban Futures Centre outlining the achievements of MUF during the period from 2010 to 2014 in preparation for the mid-term evaluation of MUF in 2015, and an unpublished mid-term evaluation report, 'Collecting the Stories', prepared specifically for the KTP by Soal (2014), an organisation development and social process consultant.

A particular advantage of using grey literature is that researchers may be able to gain access to issues that might be difficult or impossible to research through direct, personal contact (Hoggart et al., 2002). "Including grey literature overcomes the typical critique of research-based reviews, where strictly defined inclusion criteria limit the understanding of contextual aspects of individual studies" (Benzies et al., 2006:58). Grey literature documents are heterogeneous and can be very large and one of the downsides of grey literature is that, unlike academic journals, there is no page limit or presentation format so often

the relevance of the documents is unclear until a substantial portion of the document has been reviewed (Benzies et al., 2006). Access to grey literature is also often a challenge, however the struggle to retrieve grey literature was thankfully not endured due to the assistance of a MUF Researcher and the KTP coordinator at the ACC, as well as the thoughtfulness of a number of respondents who emailed articles or documents that they felt might be of relevance.

### **3.4.2 Interviews**

The interview is a suitable method of data collection when the objectives of the study require in-depth understanding because an interview allows for the communication of experiences, attitudes, feelings, opinions, detailed examples, or rich narratives that are not entirely possible through closed questions or surveys (Hoggart et al., 2002; Kitchin & Tate, 2000). Semi-structured interviews allow for the exploration of more complicated research questions such as finding out a reason for a hypothesis rather than a specific answer; “finding out ‘Why’ rather than ‘How many’ or ‘How much’” (Fylan, 2005:66), and although the conversation is directed by the interviewer, there is flexibility for the respondent to clarify understanding or the meaning of a question, or for the interviewer to pursue or explore any points of interest or issues that are raised by the respondent (Arksey & Knight, 1999; Kitchin & Tate, 2000).

The purpose of conducting semi-structured interviews for this study was to explore the opinions, views, and experiences of the researchers and practitioners involved in two policy areas of the KTP. Respondents were contacted by email requesting an interview, which was then conducted in person and before each interview the purpose of the research was explained to the respondent and permission was sought for the interviews to be recorded. By recording the interviews the interviewer can concentrate on the discussion rather than trying to balance listening, conversing and responding, and note-taking (Flick, 2007; Kitchin & Tate, 2000). The interview questions were directed by the research question and objectives, and were generated using categories identified in the literature reviewed and points of interest observed while attending a MUF-KTP workshop at CCT in June 2014 that was conducted by Soal (2014) in order to gain feedback for the KTP mid-term evaluation report.

### **3.4.3 Sampling**

The two policy areas of the Embedded Researcher Programme that were examined for this study were space economy and energy governance. This case study made use of purposive sampling when selecting respondents; this is “the deliberate choice of an informant due to the qualities the informant possesses” (Tongco, 2007:147). Respondents were selected on the basis of their role in the two policy areas of the Embedded Researcher Programme. Semi-structured interviews were conducted with seven respondents: the embedded researchers and city practitioners in the two policy areas, as well as a department director

at CCT, the KTP coordinator at CCT, and a MUF researcher at ACC. This study was approved by the Faculty of Science Research Ethics Committee at the University of Cape Town. None of the respondents explicitly requested confidentiality or anonymity, however pseudonyms have been used where specific respondents have been referred to and a sample interview schedule can be found in Appendix 1.

The researcher working on reconfiguring the spatial distribution of the space economy was embedded in the Spatial Planning and Urban Design department and his role was to support the department in the creation of evidence based policy, “especially as it relates to creation of an economic platform on which planning can happen” (Soal, 2014), and to work in tandem with a city practitioner on the Economic Areas Management Programme (ECAMP), which was initiated to provide knowledge and evidence for future key policies and strategies for densification and spatial development (Lawhon et al., 2012). The ECAMP city practitioner who was interviewed was “appointed specifically to draw up a methodology to assess Cape Town’s space economy and to build up a database around space economy” (ECAMPER, 24/11/2014).

The researcher working on energy governance was embedded in the Energy and Climate Change unit at CCT and his areas of research involved expanding the legal and regulatory system with regard to electricity and energy, building a basic revenue model to gauge the expected income and potential loss of increased energy efficiency, increased behaviour change, and increased distributed energy, assessing the kind of best practice used in other jurisdictions for revenue protection which still get the energy efficiency and renewable energy gains, and then commenting on a large amount of national regulations and the impacts on the objectives of the city in terms of climate change energy efficiency and renewable energy. For the energy governance city practitioner perspective on the KTP, the city practitioner that heads up the Energy and Climate Change unit at CCT was interviewed on 8th December 2014, and her roles include driving an initiative called the Energy and Climate Action Plan, which was described by the embedded researcher in that department as “a plan that’s made up of a whole lot of different projects into different objectives that are aligned with targets [including] citywide electricity consumption reduction, renewable energy, energy efficiency and council operations. [The objective is to develop a baseline and reduce council operations’ electricity consumption by ten percent]” (EGER, 17/11/2014), as well as a coordinating and project management role and also creating the institutional structures to allow different departments to work together.

Both the embedded researchers who were interviewed have completed their periods of embedded research and at the time of being interviewed were in the process of writing their PhDs.

### **3.5 Methods of Data Analysis**

All of the recorded interviews were transcribed and then analysed for emerging themes identified through the categories in the literature, including the need for the partnership, the role played by the KTP, the value of collaboration of multiple knowledges, amongst others. Eisenhardt (1989) found that overlapping data analysis with data collection is beneficial as it allows researchers to take advantage of the flexible nature of semi-structured interviews by making adjustments during the data collection process, and thus analysis of some of the interviews was initiated before all of the interviews had been conducted. At the time of data collection the second phase of the KTP was nearing conclusion and undergoing review and thus this study triangulated the interview findings with main themes emerging from the documents generated in the review process, such as written reports from the academics and practitioners involved, evaluation documents, interviews conducted by an independent researcher, and meetings and workshops that have been conducted during the programme.

### **3.6 Trustworthiness and Authenticity**

Trustworthiness and authenticity are enhanced by the use of predominantly primary data supplemented with secondary data. "Unless published accounts are seriously supplemented with wider information searches, in general they lead to inferior research and raise serious issues about the validity of results" (Hoggart et al., 2002:129). This study applied the techniques advised by Arksey and Knight (1999) to enhance validity, which included interviewing a relevant sample of seven participants of the KTP, drawing questions from the literature and asking questions that fully cover the issues raised by the research question, using prompts to encourage respondents to illustrate, expand and clarify their responses and provide further detail, and allowing adequate time for the interview so that neither the interviewer nor the respondent is pressed for time and can fully explain any issues or concepts.

### **3.7 Limitations**

All research methods have limitations and thus the use of both interviews and grey literature can help to address the biases of each other (Creswell, 2003). Additionally, the range of interviews with both city practitioners and the academics in the two policy areas was intended to make the research more trustworthy and authentic by not only getting the perspectives of people from one institution.

## CHAPTER 4: THE PARTNERSHIP

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### 4.1 Introduction

Chapter Four presents the findings that relate to the aspects of the partnership, specifically, why there was a need for a partnership between academia and practitioners, what role the partnership played in the engaged scholarship and knowledge co-production, the conditions that facilitated the partnership, and the benefits that resulted from the specific nature of the partnership.

### 4.2 The Need for the Partnership

Prior to the KTP, the relationship between UCT and CCT was described by the majority of respondents as 'disconnected' and that what was being produced at UCT was a long way off from what was actually needed in practice and on the ground in the local government area. The lack of interaction, highlighted by a MUF researcher, the programme coordinator at CCT, and the department director at CCT, illustrates the need for closer interaction that this partnership was fulfilling: "we're both institutions that generate a lot of knowledge, that generate a lot of content, and that do a lot of work that's really relevant to the other but with very little interaction" (PCC, 8/12/2014).

This point really give an idea of the lack of usability and relevance of the knowledge produced due to the mismatch in effort and target of the institutions. The following observation by the programme coordinator at CCT describes the gap that the partnership was attempting to close by bringing the two institutions together for a deeper, more engaged and collaborative relationship in order to generate more useful and relevant knowledge to address the challenges of CCT:

"there's always been a feeling by the city that there's so much produced by the university that could be of benefit to the city but then we've got no way of accessing it or influencing what it is so people [at UCT] tend to do research on things that's interesting because it's interesting or it fills an academic gap or academic need but that isn't applicable to [CCT's] work. That frustration from the city side was that the university seems to kind of be doing its own thing and not really producing work that's relevant for us and I think for the university there was also that gap in that people were doing all this work and doing all this research and we're not using it, so it was about bringing those two things together to make it useful for both parties" (PCC, 8/12/2014).

The need for a partnership due to the lack of relevance of the knowledge being produced was not only a perception of individuals from outside of academia but was also acknowledged by individuals in academia, as is evidenced in the following comments by an embedded researcher and a MUF researcher, respectively:

“I think that a lot of the issues that the city is facing ... are what they call wicked problems. With wicked problems there’s a level of complexity to them... you’ve got to be able to define the problem and you’ve got to be able to design the brief if you’re going to get any decent response back from the consultants you appoint so this is where co-production of knowledge comes in: knowledge about what the problem is, how do you define the problem, what is the source of the problem, what are the causes of the problem, what are those issues, what are the linkages between various problems, etc. and that is very difficult to define when you are sitting in one entity – by definition one perspective on a complex problem is likely to fall short so what you actually need is multiple perspectives onto that problem” (ECAMPER, 24/11/2014);

“What was nice about this for me was that we were going to be working together around certain things to find solutions that work on both sides [and] bring two knowledges together - we don’t know everything, they don’t know everything, we can’t do everything, they can’t do everything. It’s about trying to generate knowledge that is helpful to everyone and I think we all have useful knowledge that can really grow together” (MUFR, 10/9/2014).

Additionally, the ECAMP city practitioner highlighted the necessity of such an interaction due to the uncertainty and complex nature of the problems that the city is facing:

“things are so uncertain at present: it’s uncertain in the sense of technology, it’s uncertain in the sense of the sheer amount of data becoming available on an annual basis, economically, it’s uncertain socially, demographically, the level of complexity that planners have to face now and policy makers is by magnitude of ten more difficult to engage with than ten years ago or twenty years ago or thirty years ago” (ECAMPCP, 4/12/2014).

As the observations indicate, the necessity of the partnership was mutually agreed by the ACC and CCT, both for the relevance and usefulness of knowledge, and for the purpose of acquiring multiple perspectives and knowledges to attempt to define, and essentially address, the wicked problems being faced by CCT.

#### **4.3 The Role of the Partnership**

Prior to the KTP there had been interactions between UCT and CCT, but, as previously shown, the interactions were antagonistic, disconnected and more on a traditional consulting basis, and there was not any real engagement between UCT and CCT (DDC, 11/12/2014; MUFR, 10/9/2014; PCC, 8/12/2014). In particular, the formalisation of the partnership through the KTP provided for a more engaged and collaborative interaction, as is described by the ECAMP embedded researcher:

“I think [the strengths of the partnership are] the formal arrangements to create that partnership, that exchange programme, we would have carried on interacting with the city - I would have carried on interacting with the city - even if this process hadn't taken place, but there's no ways that that interaction would have looked the same or been nearly as intense or focused” (ECAMPER, 24/11/2014).

The KTP was felt to have created the space or provided a platform for this kind of an engaged interaction to happen, which is raised by the programme coordinator at CCT and was also a key finding of Soal (2014) of the role that the KTP played in the interaction:

“it opens up the possibility for similar other programmes to come through in the future, for this programme to expand or continue or for other similar working kinds of relationships to come out of this... I think it's created the framework, the space, and also the mind-set” (PCC, 8/12/2014);

“[the KTP] has opened a unique and unprecedented space for interaction and exchange between the City of Cape Town and the University of Cape Town around the sustainability agenda, how best to support a city's transitions within it, and how best to make knowledge about that” (Soal, 2014:19).

This finding by Soal (2014) alludes to the fact that the space for this interaction was created for a specific agenda. Both the programme coordinator at CCT and the energy governance embedded researcher pointed out that not only was there this space for the interaction but also this space for important issues to be discussed:

“I think that space was really useful in creating that dialogue around specific issues” (PCC, 8/12/2014),

“It creates a space to discuss this and I think I definitely saw people were discussing it more and more and more” (EGER, 17/11/2014).

However, as much as the KTP provided the formal process for people to have the hours in the day to start looking at the issues, the ECAMP embedded researcher emphasised that this facilitating role of the KTP was not necessarily around facilitating the awareness or discussion of the issues but specifically facilitating a more engaged interaction:

“Believe me, [CCT] know what the picture is, they know what a lot of the issues are, they've actually been engaging with [the issues]for a lot longer time period than a lot of us [academics] so it's not so much initiating the thinking its more facilitating the development of that thinking” (ECAMPER, 24/11/2014).

In addition to facilitating this interaction between UCT and CCT, the KTP also provided a platform for engagement between different departments in the city, as well as within UCT between the ACC and other departments that might not have previously had a relationship or worked together before. In this way, the KTP is the intermediary facilitating engagement between both the institutions and within departments in each institution. The programme coordinator at CCT used the term 'linkages' to describe the connections the KTP has facilitated:

"I think it's been an intermediary in a number of different ways: it's been around between the city and those academics and between the ACC and those other departments in the university that maybe they didn't really previously have a relationship ... so I think it has created a lot of linkages" (PCC, 8/12/2014).

The KTP thus played the role of formalising the partnership and facilitating engagement between the ACC and CCT, which created the space for dialogue around the important issues and challenges being faced by CCT.

#### **4.4 The Conditions that Facilitated the Partnership**

The fact that there was an identified need for the partnership was not necessarily going to mean it would be successful; there were many features and conditions that respondents attributed to the success of this interaction. A MUF researcher argued that there were many factors that just happened to be right at the right time (MUF, 10/9/2014); funding allowed the programme to be initiated, and the framework, fit, and interests of the institutions enabled it to transpire. Conditions that facilitated the success of the programme were that there were specific individuals to drive the programme agenda and champion it, the history between the institutions, and the timing of the programme.

##### **4.4.1 Funding**

The funding was deemed, by respondents from both institutions, to be a crucial factor for initiating the programme and providing the means for the programme to materialise. The KTP is fully funded through MUF and receives significant in-kind contributions from the City of Cape Town (MUF, 2014). From the perspective of CCT, the programme coordinator at CCT emphasised how crucial the funding was for enabling the partnership to happen:

"Having the costs largely covered by the programme - for the first phase - I think was very beneficial because it was a very low risk commitment by the city [because] then, you know, if it didn't work then we hadn't committed millions of Rands to it you know it's not the end of the world.." (PCC, 8/12/2014);

The practitioner also highlighted the climate of economic austerity within which the city and university currently operate. Whereas from a UCT perspective, the ECAMP embedded researcher (ECAMPER, 24/11/2014) affirmed that had there not been the money to fund someone, for example to cover his absence from lecturing time, his department would not have been convinced no matter how good in principle they felt the programme was.

#### **4.4.2 Framework for engagement**

The second reason, for such an engaged relationship of this kind to take place, is that the institutions need to be open to participating in this kind of programme. Both the ECAMP embedded researcher and the energy governance embedded researcher felt that this was a significant factor that allowed the KTP to transpire; the ECAMP embedded researcher drew attention to the institutional structure required, whilst the energy governance embedded researcher raised the similarity in institutions and their innovativeness and receptiveness to new methods:

“You need two institutions whose broader structure and policies are receptive to the idea; there must be within the two institutions a framework that would allow for something like this to take place” (ECAMPER, 24/11/2014).

“I think a lot of city officials are interested in theory and the knowledge behind a specific programme or project or policy and likewise I think the ACC is very policy driven, that’s what its role is, and I think that that’s why there is this interaction. I don’t think [the interaction] would be possible in a more kind of conventional municipality” (EGER, 17/11/2014).

Both of these views provide evidence of the importance of institutional cultures that are open to this kind of deep engaged interaction.

#### **4.4.3 Fitting interests and individuals**

Another factor that enabled the KTP to materialise was the interest of both institutions in interacting with one another and the fit between them; “It comes to matching the right kind of people and getting the right topic that gets everyone excited” (DDC, 11/12/2014).

Firstly, it helps to have practitioners who are interested in knowledge and evidence and who have a general willingness to get better at what they do. And then equally as important as the interest of the practitioners is the interest of the researchers in the policy areas that the city needs work on. This match in interest was described by the programme coordinator at CCT:

“It wouldn’t work if there was somebody who had an area of research they were interested in that wasn’t something that the city was interested in because for it to work for the city there really has to be a need. I mean in each of these cases there was such a need for the work and that is why there was dedication and enthusiasm from the city’s side about getting it done and working with this unusual situation; if it had been the case of the city needing to make space for somebody and needing to facilitate someone’s work they weren’t really interested in, that would have not worked at all” (PCC, 8/12/2014).

As a department director at CCT pointed out, the actual interest of the individuals to participate in this kind of programme is also important: “Finding a good match of people to what you want to research and who would want to be here and embedded and work with staff” (DDC, 11/12/2014).

The idea of this kind of engagement can be great in theory but if there are no individuals interested in taking part or who have an interest in the areas of policy development and research, then it is not going to be anything but a ‘nice idea’.

Similar to the importance of a match in interests is the importance of having a good fit of the researchers into the city departments, as well as a good match between the practitioners and the researchers as individuals that can work together. “The co-production of knowledge is only successful if the fit is right—individuals are as important as contexts and institutions” (MUF, 2014:106).

This finding of MUF (2014) was emphasised by the ECAMP city practitioner who felt that the embedding of a researcher in the ECAMP worked because of how well-matched they were:

“You need the right kind of counterpart; because the work that I do is very research based I could give [the ECAMP embedded researcher] enough space to do what he wants to do while I benefit from the work that he does, but not telling him what he needs to do on a day-to-day basis” (ECAMP/CP, 4/12/2014).

The interests and aspirations of both institutions were well suited to engage in this partnership and thus the good fit between them, as well as the individuals involved, allowed the programme to happen in the way that it did.

#### **4.4.4 The role of key individuals**

In addition to the factors that enabled the KTP, respondents raised three conditions that facilitated the KTP, one of which is the type of individuals. One of the main conditions, felt by the researchers, to have contributed to the realisation of the KTP was that there were certain individuals who were around to

conceptualise and drive the idea and make it happen. This point is illustrated by the ECAMP embedded researcher and corroborated by a finding of MUF (2014):

“There’s no doubt about it without the key individuals this thing would not have taken place” (ECAMPER, 24/11/2014);

“We have learned that a programme such as this one is built on the individuals who take part in it” (MUF, 2014:66).

The need for “champion” individuals to drive the programme was identified by the city practitioner heading up energy governance as well as the ECAMP embedded researcher. The evidence shows that this concept of champions is important because for a programme like this to actually take off in the first place, there have to be the kind of people in the organisations who are committed to participating.

“You need the right people in charge; you need the kind of individuals and the champions within that space to do something with that and actually drive it” (ECAMPER, 24/11/2014).

Additionally, the city practitioner who heads up energy governance felt that specifically inside CCT there should be a person in a strategic position, who can drive things and make things happen and whose role is to facilitate knowledge production and who is dedicated to exploring knowledge:

“I think having [a Pro Vice Chancellor] kind of a person in the City would be a good thing – I think at the City it needs to be somebody’s recognised key performance area but it needs to be somebody who is in a kind of a strategy position as well as then having all the high level back-up to make it work; you can’t have functionaries running the programme and I think in some ways the City has been happy to leave it up to a sort of administrative function which I do not agree; I really think you need to have people who are motivated by changing things” (EGCP, 8/12/2014).

The energy governance embedded researcher felt that both of the institutions in this programme had those important individuals, which was definitely significant to the KTP’s facilitation:

“There are some very capable and experienced managers [in CCT] who see the benefit of this type of programme and who are willing to put significant time into setting it up and nurturing it and maintaining a kind of relationship. ...there are certain nodes in the City of Cape Town that are very innovative, that want to make change, that want to do things differently, that are interested in evidence and rigour and framing change in terms of knowledge and evidence. In both of the organisations there are people who want to change its approach, the people in UCT want to make knowledge more relevant and richer in evidence base” (EGER, 17/11/2014).

As demonstrated by the respondents' views, the champions need to be individuals in positions of power, the kind of high level managers who can actually implement changes and ensure the programme is capitalised upon and the benefits are fully taken advantage of.

#### **4.4.5 History of engagement**

The fact that there was also a history of engagement between the ACC and CCT was felt to be very beneficial to the success of the KTP. Many of the respondents already had informal working relationships with the people and departments in the partner institution, for example with some city practitioners lecturing for masters courses at UCT and some having attended UCT as students. Having that history between the two institutions and between some of the individuals made this partnership less foreign and uncertain. A MUF researcher felt that the programme worked well because the researchers were appealing to CCT:

“Finding four researchers like these there currently, [who] have had years of experience [and] are already in many ways known to the City so they have a track record there, they have a track record at ACC, they have clout, you know, the City wanted to partner with them” (MUFR, 10/9/2014).

There is also an established level of trust in place if you've once worked with someone or an institution before, that helps a second interaction commence that much more smoothly. This was highlighted by the ECAMP embedded researcher:

“There was already a degree of established trust there and it probably took us another six months to just cement that and that's just people seeing that you weren't looking over their shoulder, your objective was not to go there and criticise them, it was about building a working relationship to help to solve a particular problem, and so where it was facilitated was that the counterparts in the city responded in a particularly open and trustful way” (ECAMPER, 24/11/2014).

A department director at CCT (DDC, 11/12/2014) felt that the success of another Cape Town LIP project which preceded the KTP, had already opened the door for an interaction like this to take place. This was echoed by the programme coordinator at CCT:

“I think all of the previous relationships worked towards making sure this happened because we were already people who trusted each other so it makes sense - we already knew how the other organisations operated and there was already a basis to go further into a stronger partnership. I think if it had been an institution we had never worked with before it would have been very scary for both organisations” (PCC, 8/12/2014).

History alone, however, does not necessarily guarantee success; as evidenced in the views of the respondents, the type of relationships or partnerships and the individuals who were part of them are integral to the trust and openness that accompanies this history.

#### **4.4.6 Timing of the programme**

The timing of the programme was a noteworthy condition that aided the implementation of the programme. The ECAMP city practitioner highlighted that the conditions within the departments involved need to be right, and a MUF researcher pointed out that at the time this was the case in CCT: “The City was not in a period of flux; I think it was just post an electoral cycle or something like that so that was probably significant” (MUFR, 10/9/2014).

The six conditions that were present for the KTP, namely funding, framework, fitting interests and individuals, the role of key individuals, the history of engagement, and the timing of the programme, are not necessarily conditions that can be replicated anywhere. Without these enabling factors and conditions would the KTP have happened in the way it did? Soal (2014) found that:

“There is no model coming out of this experience that can or should be advocated as a replicable template for change. At best, it might be said that ‘no-model’ is the model, and that any subsequent attempts to work in this way, whether in Cape Town or elsewhere, should be done with the same degree of responsivity and paying of attention to goals, relationships and process as has been evident in this KTP” (Soal, 2014:3).

The recognition of the particular conditions that facilitated the KTP can serve as a guide for other institutions when considering this kind of engaged partnership.

#### **4.5 Value of the Partnership**

This kind of knowledge exchange partnership is new and unprecedented for both UCT and CCT. Thus by identifying benefits that are attributable to the particular nature of this partnership, the institutions can see the value in further engaged and collaborative interaction. The benefits discussed below are the neutral position of the academics, the increased capacity in the CCT, the support for the researchers and officials, the broadened network, the affordability of the partnership and the access it provided.

##### **4.5.1 Neutral position of academics**

One of the benefits of the partnership that helped to foster new insights was that the researchers had a neutral position in CCT and had quite a lot of freedom by being neither staff nor consultants for the City, which allowed them to say things that staff or consultants may be constrained from saying. The

programme coordinator at CCT felt it allowed the researchers to challenge ideas and existing policies or entrenched beliefs (PCC, 8/12/2014), which the ECAMP embedded researcher explained was because of the academic reasoning that could back the researchers' position:

“It is seen as being a non-provocative way of doing it because if you couch it with an academic argument you don't have the politicians or the political party or whoever it is seeing it as a direct affront on their particular policy, it's seen as more kind of neutral academic position that's being put forward” (ECAMPER, 24/11/2014).

Having the status of 'researcher' also allowed the researchers to get on with the task of knowledge seeking rather than being drawn into politics or practitioner responsibilities. The status of 'researcher' allowed them to be free of line management responsibilities and ensured their knowledge-seeking role was a legitimate function of their daily work, a finding which Soal (2014) implies to be quite beneficial:

“For many contributors, their identity as researchers and presence is acknowledged to have contributed a questioning, conceptual and theoretically informed presence – in meetings, in the corridors, in collegial exchanges and inside of specific projects” (Soal, 2014:5).

The ECAMP city practitioner reiterated this point by explaining that the ECAMP embedded researcher, “had the freedom to interact with agencies and people without having the 'hat of the public officials' so it gave us great reflexivity in terms of who do we want to approach and what kind of questions can we ask them” (ECAMP/CP, 4/12/2014).

These opinions show that a benefit of embedded researchers in an institution is their position in being able to provide an external opinion of work and policies in the institution in which they are embedded. In addition, a researcher that is doing work for the institution but is external to the politics and intricacies of the institution can actually, in some instances, advance further than individuals from the institution.

#### **4.5.2 Increased capacity in the CCT**

A benefit specific to CCT is that the embedded researchers increased the CCT's capacity to do the specific projects were doing. The embedded researchers had the time to work consistently on projects within very strategic areas and concentrate on the essence of the issues at hand, which was valued by the programme coordinator at CCT and a MUF researcher, as is illustrated by their views:

“The knowledge and the research and the academic mind-set that [the embedded researchers] have brought to the processes has been extremely valuable and it is work that otherwise would not have been able to be done without having these people present” (PCC, 8/12/2014);

“[A city practitioner] said it has been amazing to have [the embedded researcher] working on a single project; that is not normally a luxury afforded to other City officials, to work on one project alone. So it has brought continuity in the sense that they have been there for three years working on a particular thing that that is their thing” (MUFR, 10/9/2014).

The energy governance city practitioner also felt that the value of having the added capacity of the researcher working on the policy areas was that the profile of the department was strengthened:

“We are seen to be able and have the capacity to properly comment and criticise and offer constructive input to national policy regulations, laws, all of that stuff” (EGCP, 8/12/2014).

The added capacity of individuals specifically focusing on these policy areas allowed the issues to be fully explored and grappled with, rather than being delegated to an overburdened practitioner who has to try and fit this task in amongst the multiple other responsibilities and functions that he has to perform.

#### **4.5.3 Support for researchers and officials**

Embedding the researchers in CCT was beneficial not only for CCT but also for the researchers because of the support that they received from being embedded. The programme coordinator at CCT explained:

“What has been different about this programme is it has not just been four researchers kind of on their own without any support, there has been this support function, there has been this drawing together of the research so they have not been drifting, they have been very much part of the structure” (PCC, 8/12/2014);

By being part of the structure of CCT, as opposed to researchers from outside who come and observe or interview staff, the embedded researchers are privy to the daily interactions and exchanges of the practitioners, and also experience the support of the CCT practitioners while they go about their research process:

“...they have had that sort of support both in terms of the academic perspective of exchanging ideas and exchanging literally down to the level of somebody saying ‘oh I read this paper the other day it would be really useful for your research you should read it’, to also just having that support from an institutional perspective that they have an institutional home where there is somebody they can come to if there is a problem” (PCC, 8/12/2014).

The city officials that went to spend time at UCT as part of the officials exchange programme also received this similar support function from the academics. The programme coordinator at CCT remarked that,

“Feedback from the officials was that the academics gave such a useful and important guidance around how to structure these things, how to think about it academically and how to engage with the literature” (PCC, 8/12/2014).

This support function in both institutions created a significant collaborative component to the work being produced, as is evident in the programme coordinator at CCT’s remarks above.

#### **4.5.4 Broadened network**

Another way in which this interaction was mutually beneficial for CCT and UCT was that the KTP has broadened the network that the ACC has within CCT and vice versa, as well as more personally between the individuals involved (MUFR, 10/9/2014). A stronger relationship can play itself out in many different ways, from internships and CCT being more likely to open up its data sources, to CCT calling on UCT for knowledge and data (ECAMPER, 24/11/2014). A department director at CCT remarked:

“For an academic institution to have a very close relationship with practitioners in the fields in which they are training people to study is quite important because that goodwill relationship means that they can draw on us to assist with giving input into lectures and courses and to bring practice and relevance” (DDC, 11/12/2014).

The close relationship between UCT and CCT can lead to UCT being perceived as a more attractive tertiary institution because of this network, as opposed to a university that does not necessarily have this connection with the city it is in;

“...as I understand it there is increasing expectation from students that there is a relationship between what they study and the reality of what is going on, so at a broad level of relationship building I think UCT has gained from this kind of goodwill that has been brought up through this” (DDC, 11/12/2014).

The cementing of the relationship between UCT and CCT through the is evidenced by the practicality of the institutions being able to appeal to each other for assistance, and to more easily be able to facilitate other types of collaboration in the future.

#### **4.5.5 Affordability of the partnership**

Another significant benefit of the partnership is the affordability of this partnership, which the ECAMP embedded researcher explained as being

“actually quite cheap-it would have been a lot more expensive doing this through a consultancy process, so in the greater scheme of things [we embedded researchers] are actually quite cheap to the City and the City in many respects is getting a whole lot of its stuff paid for by somebody else -

Mistra et al is paying for a whole lot of stuff [CCT] would ordinarily have to have paid for" (ECAMPER, 24/11/2014).

#### **4.5.6 Access provided by the partnership**

Additionally a benefit is the unprecedented access to data and knowledge and the inner workings of each institution that is not normally accessible to a conventional researcher or consultant. The energy governance embedded researcher stated:

"For me one of the real benefits has been access, getting access to really high level stakeholder meetings, I don't think that would have really been possible if you weren't directly involved or if you weren't a benefit to [CCT] so it is that kind of access and also just the kind of massive amount of data you can get if you are working on something day to day every day for three years" (EGER, 17/11/2014).

The ECAMP city practitioner found that being provided with access to UCT's electronic journals database, and all of the subsequent databases and platforms which UCT affiliates can access, was immensely valuable. This level of access to academic information and practitioner insights provided by the partnership resulted in benefits that were definitely deemed to outweigh the expense.

#### **4.6 Conclusion**

The aspects of the partnership that have been presented in this chapter demonstrate the necessity of this type of deep engagement in order to produce knowledge with more relevance and usefulness, and how the partnership played a role in providing the space for and facilitating engaged scholarship and knowledge collaboration between the academics and practitioners. Various conditions facilitated the interaction: the funding, the timing of the programme, the framework for engagement, the history of engagement between the ACC and CCT, the mutual interest between the institutions to work together as well as the right fit between the individuals involved, and the type of individuals involved. These conditions were quite specific to the KTP, however the derived benefits, such as the neutral position of the researchers in a different institution, the increased capacity due to the embedded researchers, and the broadened network between the institutions, could very easily be reproduced in similar collaborations between other institutions.

## CHAPTER 5: THE VALUE OF THE PARTNERSHIP FOR ADDRESSING SUSTAINABLE URBAN PLANNING CHALLENGES

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### 5.1 Introduction

Chapter Five addresses the second objective, the value of engaged scholarship and knowledge co-production for addressing sustainable urban planning challenges, by presenting the different types of knowledge brought to and generated during the programme, and the value of bringing these different knowledge types together. Firstly, the perceived difference in knowledge between the researchers and practitioners is analysed, and secondly, the value of the engagement of different knowledges is explored from an institutional standpoint, from a knowledge perspective, and from a policy and output point of view.

### 5.2 The Different Knowledges

One of the most valuable aspects of this programme is that it brings together the different knowledge types of the researchers and practitioners (MUFR, 10/9/2014; ECAMPER, 24/11/2014; EGER, 17/11/2014). The researchers bring a knowledge base that is more based in theory and literature and a kind of textbook approach to problems, as revealed in these descriptions by a MUF researcher and the energy governance embedded researcher, respectively:

“What [researchers] bring is a knowledge that has a lot of background in what we have read, often internationally, often quite up to date – you know that’s what we are paid to do is to keep up to date on latest literatures around certain topics and I think that that’s what we offer” (MUFR, 10/9/2014);

“Academic knowledge is based on theory, very much based on a specific method of finding things out, and that promotes rigour - that’s the form of knowledge that was meant to be instilled into the city policy processes essentially, so a rigour, a kind of a sticking to evidence based arguments and a whole lot of other things that come with that form of knowledge which is science, it is scientific knowledge” (EGER, 17/11/2014).

Compared to academic knowledge, the MUF researcher and the energy governance embedded researcher described the practitioners as providing a more technical and functional knowledge, and a tacit knowledge of how things have to be done and how to work around the obstacles to get there:

“[The practitioners] have knowledge about the tactical sort of things they have to work within whereas we have maybe quite a rose-tinted view of how things could be done - best scenario type of things - and they have quite different knowledge of how things have to get done, and how to work your way around these many obstacles and the road to getting there... But of course they also have functional knowledge of things behind the topics that they’re working on” (MUFR, 10/9/2014);

“I think practitioners have this, I suppose you could call it, local knowledge or it is just this kind of intense practitioner knowledge that’s based on years and years within a specific field, doing specific things and it’s very technical, it’s very kind of fine grained, it’s on the local level, it’s intertwined with the technical knowledge, it’s intertwined with kind of institutional knowledge, knowledge and relationships with different stakeholders across different scales and it’s a kind of very fluid form of knowing the world ... it is agenda based, it’s policy based, it’s not really concerned with the rigours of the scientific methods” (EGER, 17/11/2014).

The respondents commented on the collaboration of these two knowledges and the introduction of academic knowledge into CCT policy processes. The academics were viewed as bringing a theoretical basis to develop a better conceptual understanding, however this was not because of a lack of intellect by CCT practitioners:

“Not to say that the city counterparts didn’t have the theory or the conceptual understanding, quite the contrary, many of them did and a lot of the work is hugely reflective but [this bringing together of different knowledges] helped them to synthesise and to crystallise their own theoretical and conceptual thinking in this process” (ECAMPER, 24/11/2014).

The fact that the embedded researchers were PhD students was also found by Soal (2014) to be relatively valuable for CCT: “[the PhD students] carried a certain intellectual weight and authority which allowed the perspectives they were advancing around the sustainability agenda to gain access and be heard in a way that others – even senior employees and consultants – might not always manage” (Soal, 2014:7).

The core difference of the two knowledge types can be summed up as theoretical versus practical knowledge, which when combined generates value in an array of different spectra.

### **5.3 The Value of Engaged Scholarship with Multiple Knowledges**

The value derived from the partnership by each of the institutions and by the individuals involved, was different; the value for UCT was not the same as the value for CCT, and the value of what the practitioners derived from the collaboration was not the same as that of the researchers.

#### **5.3.1 Value for institutions**

The value of this kind of engagement for UCT is firstly, that it enables UCT to provide its researchers with an opportunity to be engaged and be informed about the context in which they work and thus produce work which is more grounded and has some societal relevance and some impact (MUFR, 10/9/2014). And secondly, the ECAMP embedded researcher explained that through this engagement UCT has gained a more targeted, refined, focused, and relevant research agenda, which is important for UCT to

be able to contribute useful knowledge for addressing the sustainable urban planning challenges in Cape Town;

“Increasingly the university is trying to understand its role in broader society... [Trying to work out] what is [UCT’s] role in this bigger picture [and in] the various issues that are facing society? And I think ... these type of processes start to make the university a lot more relevant to that bigger picture and that is critical” (ECAMPER, 24/11/2014).

A significant value of the programme for CCT was that having researchers embedded in the departments provided the researchers with a deeper understanding of the problems and issues that CCT is facing and thus allowed them to provide a more insightful perspective for solutions. A department director at CCT added that this more insightful perspective benefits the practitioners that they are working with;

“having a different model where someone is embedded, they get to know the institution, they understand what could work and what would be relevant, they understand the political realities but they are not caught in those, they are still able to be your dedicated resource to work and think. They are doing it in partnership with practitioners so they are contributing to building the capacity of the practitioners which is a huge gain and benefit in comparison to outsourcing work” (DDC, 11/12/2014).

The ECAMP embedded researcher made a very interesting point, that the practitioners have often known what needs to be done, or the evidence suggests it but they do not have the time or the theoretical framework to make a case for it or just strengthen the argument, whereas this partnership provides the extra minds to do so. He raises the point that municipal officials are being pressurised from all directions. Firstly there is pressure from the public:

“[Municipal officials] are being hammered by the public: the public are demanding all kinds of things out of them and often those are quite competing because the public comes with a whole lot of different groups with vested interests and all kinds of things come at you” (ECAMPER, 24/11/2014).

Secondly, there is political pressure from the politicians who want to show that the municipality can deliver (ECAMPER, 24/11/2014). And lastly, there is the pressure of having to make decisions and actions that will be cost-effective:

“[Municipal officials] are being hammered from a fiscal point of view - there’s just not the money out there anymore to throw at a problem so everyone – national treasury and everyone – is saying we want bang for our buck: ‘what are we getting in return?’” (ECAMPER, 24/11/2014).

Thus, due to these pressures, the officials are having to raise the level of their argument and give reasons to support their decisions, which the ECAMP embedded researcher felt was now happening as a result of this programme:

“We are constantly now having to raise our argument and in my view you raise your argument in two ways: theoretically and conceptually, and with a much stronger evidence base... so that’s creating the knowledge of evidence, and the kind of conceptual thinking behind it but you don’t do that in a one-way process, that’s about a discussion and an engagement that you strengthen something conceptually and I think this knowledge transfer process creates the platform on which that can actually occur” (ECAMPER, 24/11/2014).

This platform for the strengthening of conceptual arguments is valuable for not only the institutions but is also valuable for the knowledge produced.

### **5.3.2 Value for knowledge**

In general, the knowledges produced in the course of the programme was felt to be more layered and have more depth:

“[The knowledge produced is] almost multifaceted in a way, they take into account many situations. ... we’re generating new knowledges but we’re also just learning more about other knowledges and we’re trying to cross pollinate in a way and get other knowledge published in academic domains and likewise academic knowledge in different formats that’s easily accessible for City officials” (MUFR, 10/9/2014);

The energy governance embedded researcher elaborates on the idea of this more multifaceted knowledge by explaining that the knowledge generated is more an amalgamation of different knowledges:

“I think the four of us [embedded researchers] have really tried to be as objective as we can – but you get pulled into this type of [consultancy] work so you become a kind of practitioner [and] I think that that blurred line does create a hybrid form of knowledge that is very local context based.. It still is agenda based but the lens or framework we use to analyse that is academic based, and we use conceptual frameworks in a specific way. I think the interaction creates different forms of knowledge products that can be tailored in different ways so from a policy briefing note to an academic journal - depends on the target audience” (EGER, 17/11/2014).

The ECAMP embedded researcher explained the value for academic knowledge as being a way of strengthening theory:

“When you’re dealing with [CCT] in a grounded pragmatic manner, it forces you to sharpen your argument, it forces you to strengthen your theoretical basis and what you’re actually saying. You can’t get away with being academically lazy: broad, sweeping statements about x and y – you’ve got to actually bring it down to the coal face etc. and the coal face holds up a mirror back at you to see whether this thing makes sense or not, and so I think we have sharpened a lot of what we’ve done because of our engagement.” (ECAMPER, 24/11/2014).

Being embedded also provides access to the kind of knowledge that one cannot necessarily obtain being an outsider, as an MUF researcher pointed out:

“It has certainly generated new knowledges that I wouldn’t have been able to get as a researcher going [in to the field]. I don’t think they would have ever opened up to me to the point where I’d have got that knowledge that say [the embedded researchers] have developed over three years of iterative interactions. You know learning over a long period of time that as a researcher you just don’t get going and doing an interview which is how I would have had to get that research had I not been on a programme like this” (MUF, 10/9/2014).

This quote shows the changing nature of the knowledge relationship between CCT and UCT and the new ways of doing research and interacting. The view of the MUF researcher was substantiated by insight from the embedded researchers, that by being embedded they started to develop a recognition of the role of politics on decision making and the context in which CCT practitioners are operating, which would not have been attainable in a less engaged research process (ECAMPER, 24/11/2014; EGER, 17/11/2014). This point is explained by the energy governance embedded researcher, and echoed by the ECAMP city practitioner:

“I think a recognition was developed around the role of the political decision making process - you start to understand what are the drivers behind the decision making, not that this person is economically or fiscally illiterate, by no stretch of the imagination, you just understand the context in which they’re operating or the power plays that may be happening between different departments etc.” (ECAMPER, 24/11/2014);

“If you sit outside the City as you do if you are in a university, you look at what’s happening and you think that the City is part of the problem and that’s not because of the City of Cape Town and UCT, that is just worldwide, that’s how it works, it’s because of a lack of information - all [academics] see is the big building over there and the newspapers and you know they don’t actually see it from the inside out, so I think to see how the City works from the inside has been a very powerful thing” (ECAMP, 4/12/2014).

The value of the programme for the knowledge of CCT practitioners came about in two ways: practitioners gained valuable knowledge from researchers embedded in their departments, and the practitioners who were part of the officials' exchange derived value from their experience, reflecting and grounding their practitioner knowledge in evidence. As was found by MUF (2014):

“Individual learning is similarly evident among the city officials – both those who have been counterparts to the embedded researchers and those who have been afforded time at the university. This learning is manifest in the uptake of concepts in their daily discourse, in presentations to political counterparts and in their publications” (MUF, 2014:8).

The embedded researchers were very valuable for enhancing practitioner knowledge because they could add some evidence and strengthening of arguments to the practitioners' knowledge;

“[The researchers could] bring some academic rigour to [the work of CCT practitioners] because we don't really have that much time to think and research so we have to work off the cuff quite a lot and there's danger in that because you can't necessarily defend or argue it particularly well or robustly and over a long period of time it doesn't have the kind of robustness and resilience that some planning arguments need to survive the successive changes in leadership and political emphases. So that was an opportunity to have someone who could think and bring in some academic rigour and do research into particular aspects or gaps in our work” (DDC, 11/12/2014).

The ECAMP embedded researcher described the engagement as providing CCT with a 'sparring partner' against which CCT could strengthen their theoretical and conceptual thinking and thus he felt that the engagement improved the theoretical and conceptual understanding of both parties (ECAMPER, 24/11/2014).

### **5.3.3 Value for the academic products and CCT policies**

A tangible value of the programme is the academic products, i.e., the PhDs and academic papers and articles, and the policies and work of CCT that have been drafted or worked on during the KTP. The value of the academic products for new knowledge and ideas is yet to be seen once the PhDs are completed and other journal articles begin to emerge in the scholarly community during 2015 (Soal, 2014).

For CCT, the energy governance and ECAMP policy areas definitely received added value due to the work of the embedded researchers and the more engaged interaction with UCT. The ECAMP city practitioner confirmed that the interaction resulted in new ideas and new insights and that the ECAMP model itself and its theoretical foundation was definitely strengthened (ECAMP/CP, 4/12/2014). The programme coordinator at CCT felt that

“the work that has happened there [ECAMP] and the knowledge and change in the way that people think about it in the department has been significant. So there’s been capacity building of the staff in the spatial planning department around the ECAMP, and I think it’s been an outcome that wouldn’t have been possible without [the ECAMP embedded researcher] being there to do that work and to play that role. Whether or not they may have still managed to bring him in without this programme I don’t know, but if they had it would have been more of a consultant relationship and I don’t think they would have had that chance to have that really deep interaction by bringing all the staff into it and really growing the knowledge in the department to the point now where when he leaves they’ll be able to work with it and really understand it and grow it and build on it without him needing to be there” (PCC, 8/12/2014).

The ECAMP city practitioner ascribed the value of the collaboration as providing evidence based policy making or evidence based planning: “It gives the politicians whose agenda is more aligned to logic an advantage over the councillors that don’t” (ECAMP/PCP, 4/12/2014).

Similarly, a department director at CCT felt that the academic enquiry and research that happened during the engagement increased the quality of the work and the thinking at CCT, which she felt should hopefully translate into work that is more sustainable (DDC, 11/12/2014). Soal (2014) however, found that

“the more concrete achievements in policy-making and practice out of the KTP are seen in light of the ideas behind them being relatively more familiar and more palatable to those in positions of influence. Seen in this way, the conditions for accomplishment of some kind of work are more amenable to such accomplishment than for work requiring acceptance of a more controversial, or less familiar, agenda” (Soal, 2014:8).

This finding is a concern, however the value for the different institutions, for knowledge, and for academic products and CCT policies that has been presented in the observations of the respondents indicates that the partnership has accomplished achievements in policy-making and practice, which are further explored in Chapter Six.

## **5.4 Conclusion**

This chapter has presented the perceived value of collaboration of different knowledges by exploring the value of this engagement from an institutional position, from a knowledge point of view, and from a policy and output perspective. Bringing together the different knowledge types of the institutions created value not only for the institutions, but allowed for a multifaceted and layered type of knowledge to be co-produced which can thus generate policies and products that are more relevant and applicable for attempting to address the sustainable urban planning challenges that the programme set out to do. The

following chapter further analyses the value of this engagement by exploring the impact the partnership has had on the institutions, and the implication for interactions between academic researchers and city practitioners.

## CHAPTER 6: THE IMPACT OF THE PARTNERSHIP AND THE IMPLICATIONS

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### 6.1 Introduction

This Chapter addresses the final objective, which was to explore the impact on the institutions, and implications for interactions between academic researchers and city practitioners. The findings that emerged relating to the partnership's impact, the degree to which the expectations of the partnership were met, the implications coming out of this partnership, and the lessons learned for other partnerships of this nature are presented here. From the perspective of the respondents interviewed, the partnership was deemed to have a more identifiable impact on CCT compared with UCT.

### 6.2 Impact

Expectations of this partnership were that it would have a positive long-term and sustained effect on ability, capacity and morale across CCT (Soal, 2014), and on policy process due to the generation of new insights and ideas as a result of the collaboration of the institutions' different knowledge bases and approaches to problem solving:

“The policy process should be much more evidence based with these two partnerships, it should be much more based on reality essentially not just kind of broad strategic intent... but at the same time it shouldn't be based on theory or conceptual frameworks that make it unpractical or unrealistic so it needs to kind of have a marriage of these two approaches” (EGER, 17/11/2014).

The impact of the partnership was considered by the extent to which these expectations were met, as well as the effect on the two institutions and how they have changed as a result of the programme.

#### **6.2.1 Impact of the programme on CCT**

A significant impact of the partnership was the realisation in CCT that there are benefits from engaging with academia and that the gap in knowledge between CCT and UCT needs to be addressed. The ECAMP city practitioner explained that,

“[the partnership] really brought to light the need for us as city officials to kind of proactively cultivate relationships with tertiary education and scientific institutions, research think tanks, etc. [and] the need to actually source in expertise from outside the City so that we can bridge the gap between the data which we have and the questions that we've got and actually how do we bridge that gap” (ECAMP, 4/12/2014).

The partnership also created a new way of operating for CCT, such as the experiment with the concept of embedded researchers, which has opened up the possibility for similar programmes or other similar kinds of working relationships to come through in the future (DDC, 11/12/2014; PCC, 8/12/2014). This is illustrated by both a department director at CCT and the programme coordinator at CCT, respectively:

“This concept of an embedded researcher has definitely proven to work and we’d want to replicate it” (DDC, 11/12/2014);

“[The city officials exchange] is such a different way of working for the city, it’s never been done before, particularly the aspect of having city officials go to the university to have paid time off to think about their work in a different way and to write it up and disseminate it into the academic world. It’s a complete first and I think it has paved the way for future changes to take place” (PCC, 8/12/2014).

A significant, but less tangible, impact on CCT is the change in thinking and the increased awareness about specific areas or issues. This comment of the ECAMP embedded researcher indicates that there was a definite impact on CCT’s thinking and approach to their responsibilities:

“When you look back you’re going to say, ‘from there to there, there was a completely different stream of thought that started to take place’. Now that didn’t just happen from one process or one thing, it is a cumulative thing that pushes it in that direction but I think that this programme would have played an enormous role in redirecting that thinking and helping to crystallise that thinking. ...Look the thought was already starting to change... but I think it has focused that change so it has become a lot more focused and it’s speeded up that change - those are the two things that happened” (ECAMPER, 24/11/2014).

Raising awareness and redirecting the thinking of CCT was also an impact that was reported by MUF (2014); the partnership impacted the local government budget allocations, which have been redirected towards more typically ‘green’ areas of work, and that due to the embedded researchers focusing on climate change adaptation, green economy, and so forth, there are now emerging discussions about creating a designated post in CCT with the specific mandate to focus on climate adaptation.

### **6.2.2 Impact of the programme on UCT**

The impact of this partnership on UCT is expected to take a lot longer to emerge than the impact on CCT due to the longer time frame of academic products and outcomes. Nonetheless, there have been some papers published and MUF (2014) found that “the insights gained by the respective researchers have been incorporated in lectures and other educational processes” (MUF, 2014:90).

There was some uncertainty from the CCT perspective about the extent to which UCT was impacted by this partnership due to UCT. The energy governance city practitioner explained:

“There was a lack of response or engagement by the University in the opportunities that were presented by having all these PhD students with senior management engaged within the City. Very few of us, if any, actually got asked to go and give lectures or give inputs in courses and, you know, there was a lack of opportunity taking” (EGCP, 8/12/2014).

Soal (2014) also found that it was not immediately apparent if UCT had been impacted or changed much by the partnership and that the extent to which academic practice been influenced is not clear.

### **6.3 Implications and Lessons Learned**

Various lessons and insights about this type of partnership emerged during the interviews and will be useful to take note of when considering future partnerships of this sort. All of the respondents indicated that they would like to see this kind of interaction continue and grow because of the great value for both UCT and CCT. This is evident in the opinions of the city practitioner who heads up energy governance, a MUF researcher, the programme coordinator at CCT, and the energy governance embedded researcher. Firstly, the city practitioner who heads up energy governance, felt that it must continue because it is not necessarily finished yet: “I think it must continue, I don’t think we can say that it’s done its job, it’s done phase one, I think it’s got to go on” (EGCP, 8/12/2014). An MUF researcher, explained that it should go on because there is still so much more to learn: “I think we could still learn more from what we’ve done now; I think in many ways we could delve so much deeper, we probably have only just scratched the surface, there probably is plenty more to understand” (MUFR, 10/9/2014).

The programme coordinator at CCT would like to see the programme endure and evolve, even if MISTRA is not involved:

“I would like to see the concept grow beyond this programme but I think it is still very early days and how that will happen and where that would sit in the organisation are all open questions. But I think ultimately the goal,...., at the end of this programme that it keeps going even without MISTRA being involved, even without the funding, that it sort of gets a life of its own and keeps going as a concept even if it might morph or be done differently in the future” (PCC, 8/12/2014);

Lastly, the energy governance embedded researcher feels it is important to continue with this kind of interaction and be open to the ways that it can change and develop:

“I think that it’s very important to carry on this type of process... Whether that relates into a different phase that is more researchers or less researchers, or a different approach, I think it’s just important to carry on experimenting in this type of approach ... I think that as long as there’s an openness to experimentation I think that that is the biggest value” (EGER, 17/11/2014).

The point raised about an openness to experimentation is important. Due to the fact that the programme is a long-term partnership and is not a finite project, the relationship needs to be ongoing for the benefits to truly materialise and this will require an evolution of the programme in implementing lessons learned as it continues. The point that it is still too early to fully see the benefits of the programme was raised by the city practitioner heading up energy governance, which is corroborated by MUF (2014): “I think the proof is still going to be in the pudding, I think it’s a bit early to say, I think it needs to go on quite a lot longer. The City’s system doesn’t change quite so fast” (EGCP, 8/12/2014); “It is too early to judge how the KTP has changed the City of Cape Town given the lead time for generating policy and the protracted process that constitutes institutional reform (MUF, 2014:90).

Thus, in going forward or planning for future partnerships the following implications should be considered: difference in institutional/ organisational culture, the importance of a manager role, and the importance of taking advantage of opportunities.

### **6.3.1 Difference in institutional/ organisational culture**

The difference in institutional/ organisational culture between CCT and UCT was raised by the majority of respondents as a significant point to consider for future partnerships of this sort. The difference in how each institution approaches an issue, the different method bases and timeframes, and the different perspectives and priorities and so forth, need to be laid out and prepared for the knowledge exchange programme. The concept of openness was raised previously by the energy governance embedded researcher, who additionally felt that as long as there is an openness and a willingness of each institution to see the perspective of the other side, the challenges of a difference in institutional or organisational culture can be overcome:

“There are major institutional differences so going forward the challenges need to be addressed: there needs to be a frank and honest discussion to say okay well you’ve got completely different priorities, ...and we have to frame it in a different way, and likewise I’m sure on the city side there’s expectations from UCT that weren’t fulfilled but I think it’s just about carrying on the debate and the discussion and trying to marry these two very different agendas” (EGER, 17/11/2014).

When asked how easy it was to navigate these differences between the institutions, the general consensus was that it was a challenge but it was manageable. A MUF researcher's description of her experiences with the difference between UCT and CCT were:

"I think at the City you need to present your work, you can't expect people to read a document, so that was something I learnt. I just assumed if you sent someone a document they'll read it and perhaps people don't have time to read it, they've got a hundred other things to do in their day – it's just another thing in their in-tray that they just don't quite get to so if [the KTP] has a workshop, 'okay we'll come and chat about it but you need to explain it first' and that was something I learnt" (MUFR, 10/9/2014).

The energy governance embedded researcher, although conceding that the difficulties he experienced could be specific to him and his sector intervention, found the integration process quite difficult due to the different perspectives, whereas the programme coordinator at CCT found the negotiation between the difference in perspective of the practical focus and the academic focus more of a transitional learning experience; these points are illustrated in their respective observations:

"You've got so many compromises, you've got so many different stakeholders with different values, with different ideas and you've got to try navigate this" (EGER, 17/11/2014),

"It is just sort of learning about the other organisations, how people interact, how people work and what are the different perspectives that we each bring to it" (PCC, 8/12/2014).

Navigating the different cultures and methods will most probably become easier as relationships grow and as the individuals gain more experience with the institutions.

### **6.3.2 The importance of a manager role**

The importance and value of having a dedicated manager role within the City for the programme was raised by several respondents who felt that going forward there should be a dedicated position for someone to manage the programme and deal with the administration side of things like setting up and coordinating workshops, reporting to portfolio committees, managing time; the kind of time consuming tasks that the people who have been doing it in these rounds have had to fit in around their other work (EGCP, 8/12/2014; EGER, 17/11/2014; MUFR, 10/9/2014; Soal, 2014). This perspective is described by a MUF researcher and the energy governance embedded researcher: someone who deals with the HR side of things, having someone who manages the programme who isn't required to do the writing output and that sort of thing" (MUFR, 10/9/2014);

"There are two different roles [required]: I think to have someone dedicated in the city that that's their role to facilitate knowledge production in the city in this type of arrangement, [which] could be other

knowledge interactions. [And then the other role] is the administrative role because there is a huge amount of administrative upkeep and maintenance that has to be done reporting to portfolio committees, creating, managing time, setting up workshops, catering, that type of admin stuff that's taxing on time. And I think for example [the programme coordinator at CCT], does so much work in the city already, she has got so much work to do, and she has done this amazingly, but I think at a cost to herself. I think there is value enough in this type of approach to get someone dedicated in the city so going forward I just don't think it's fair to expect these people to carry on doing so much work, and I think it does deserve someone dedicated to just exploring knowledge and just thinking about it and then someone dedicated just to administration" (EGER, 17/11/2014).

This coordination role was filled by, as mentioned, the programme coordinator at CCT, as well as a number of individuals in ACC, however this role had to fit in alongside their jobs, which is demanding on the individuals and could be detrimental to the programme if insufficient time is dedicated to these facilitation of knowledge and administrative roles.

### **6.3.3 The importance of taking advantage of opportunities**

The partnership has so many opportunities that stem from this engaged interaction and network creation that in order to get the best from it both institutions need to take full advantage of the opportunities available to them. The programme coordinator at CCT felt that there was a missed opportunity in synthesising the common issues that have come out of the research, as she explained,

"what are the common threads that are coming out about co-production, what are the common threads about working in a local government for an academic, what are the patterns we're seeing around sustainability issues in the city - just more of that would have been really useful" (PCC, 8/12/2014).

A department director at CCT also felt that CCT had not properly invested enough in using the knowledge generated from the papers written by practitioners during the city official exchange:

"To what extent the papers have generated value within the City is a big question for me partly because we haven't probably invested enough in thinking about how to do that so it means a lot to the colleagues who go and do it and then they do the papers and it goes into the academic space and they do the presentations but then, what then? So then the knowledge generated out of that is not really being harnessed in the City in a meaningful way, outside of those individuals and what they gained from it" (DDC, 11/12/2014).

Again, a dedicated management function within the City to drive dissemination would be able to address this deficit.

## **6.4 Conclusion**

This chapter has presented the differences in impact that the partnership had on UCT and CCT. These differences heighten awareness of the benefit of this type of engaged scholarship for triggering change, and for fostering the kind of environments to generate knowledge for addressing the wicked problems that are being faced by municipalities.

## CHAPTER 7: CRITICAL EXAMINATION OF THE FINDINGS AGAINST THE LITERATURE

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### 7.1 Introduction

This case study endorses the need of this engagement between UCT academics and CCT practitioners and illustrate the nature of engaged scholarship and knowledge production and the benefit of this programme for the facilitation of this engagement between the ACC and CCT. The value of this programme for engaged scholarship and co-production of knowledge was evident for not only knowledge and the academic products and CCT policies, but also for each institution. This chapter critically examines the findings presented in Chapter Four, Five and Six against the relevant literature on engaged scholarship, knowledge collaboration, sustainable urban planning challenges and intermediaries that was presented in Chapter Two.

### 7.2 The Partnership

The findings of this case study confirm observations presented in the literature that in order to generate knowledge that is more relevant and helpful to both institutions, there is a need for academics and practitioners to engage and work together. Prior to the KTP, CCT practitioners had no way of accessing or influencing what was being produced at UCT and thus the work coming out of UCT was interesting or it filled an academic gap or an academic need, but it was not always applicable to CCT's work. This corroborates the findings by Reed et al. (2014b) that the likelihood of research and knowledge having an influence on policy and practice depends on its relevance, legitimacy and accessibility. Both the literature (Mohrman & Lawler, 2012; Reed et al., 2014a; Reed et al., 2014b) and the findings indicate that a closer relationship between researchers and practitioners is required in order for researchers to fully understand complex problems and learn how policy-makers apply knowledge to make change and thus generate relevant and useful knowledge for the practitioners who are likely to use their findings.

The need for a more engaged relationship between academics and practitioners is evident, and as the problems being grappled with by CCT increase in complexity and the capacity of CCT is stretched, the need for multiple perspectives and disciplines to frame and interpret the problems and develop solutions becomes increasingly apparent (Reed et al., 2014a; Van de Ven, 2007). However, the evidence shows that there is a need for an environment in which this kind of exchange programme can take place, and this was provided by the KTP. The literature posits a number of different roles that intermediaries can play. Bansal et al. (2012) believe the main functions an intermediary organisation must provide in order to "help transcend the paradoxes between research and practice", are facilitating, convening, and supporting. It was established by this case study that the KTP fulfilled all three of these roles. The KTP convened the collaboration between the ACC and CCT by "creating a space for interested individuals or

organisations to become involved in solving a particular problem” (Bansal et al., 2012:89). According to Westley and Vredenburg (1991 in Bansal et al., 2012:89), “whereas conveners bring different parties to the table, facilitators help to keep them there”, and the KTP fulfilled this facilitation role by facilitating the engagement both between the ACC and CCT, and within departments at each institution. Such facilitators “create a safe space where business interests and academic interests can be jointly served without compromising the need for rigor by researchers and the pragmatic needs of business” (Bansal et al., 2012:89). And lastly, the supporting role was provided through the committees established and the people working in the KTP, not necessarily in an embedded researcher or officials’ exchange position, but in a support role to span the spectrum between the different skills and help the practitioners and researchers co-produce new knowledge and insights.

Consistent with findings by May (2011), the funding of the programme was a definite factor in the success of the KTP. The KTP was essentially an experiment which was not guaranteed to succeed and with Mistra Urban Futures providing the financial backing it made it less of a risky commitment or gamble for both of the institutions. Hodson and Marvin (2010) and Hamann and April (2014) found that secure long-term financial support provides security for the positions of the individuals involved and “reduces the risk of the priorities of the intermediary being dictated to by the reactive chasing of funding with the associated targets, objectives and commitments” (Hodson & Marvin, 2010:483).

Another condition for a successful interaction is that there must be a framework within the two institutions that allows for knowledge co-production to take place and whose broader structure and policies are receptive to the idea. This capability is described by Hamann and April (2013) as an ‘organisational culture’ that is conducive to learning and able to adapt to changing circumstances.

But additionally within the organisations there needs to be the individuals who will drive this kind of relationship and champion it and actually do something with it. A significant finding was that this type of programme is built on the individuals who take part in it, which corresponds with the finding by Hamann and April (2013:15) that, “partnerships rely on the individual capabilities of leaders within them”.

Consistent with Reed et al. (2014b), the case study highlighted the importance of making sure the right people are chosen for the engagement. Finding the right fit between the researchers and practitioners is crucial to the success of the partnership. Reed et al. (2014b:342) found that, “the extent to which new information generated through research about environmental management becomes embodied in policy or practice is often more dependent upon the quality of the relationships that researchers have with policymakers and practitioners and their social context, than it is upon the quality of the research itself”.

The KTP's success was also made possible because the topic of sustainable urban planning challenges was relevant and of interest to both parties. Hamann and April (2013) found that stakeholders were more likely to participate when they had a "direct, visceral relationship with the area under consideration" (Hamman & April 2013:14), while Patel et al. (2015) found that developing a common vision is a critical part of the success of a partnership. "Perhaps the most challenging aspect of research collaborations is defining research questions in ways that address the interests of both the world of practice and the world of theory" (Mohrman & Lawler, 2012:45).

Interestingly, the case study introduced two factors beneficial to the success of the KTP that were not indicated in the literature; a history of engagement between the researchers and practitioners, and the quality of the university in the city where this kind of programme takes place. Because of the history between CCT and UCT, and personally between some of the individuals, an established level of trust was already present. Interpersonal trust, and trust between organisations, has been found to play an important role in facilitating effective communication and co-production of knowledge (Patel et al., 2015; Reed et al. 2014b). Without a prior relationship trust needs to be built up over time and through interactions, which indicates that prior history between organisations or institutions is significantly beneficial for initiating, and having a successful, partnership.

### **7.3 The Value of Engaged Scholarship and Co-production of Knowledge**

Consistent with May's (2011:144) statement "'Partnership' is a generic term for a range of structured or unstructured interactions between organisations for mutual gain", this case study found that the collaboration of the different types of knowledge of researchers and practitioners resulted in mutual gain from this partnership programme for both UCT and CCT. UCT gained by developing a more targeted, refined, focused, and relevant research agenda, and CCT gained by developing more academically sound policies and plans, and receiving more insightful solutions for the challenges they are facing. Rydin (2006, in Patel et al., 2015:8) proposed that both scientific and procedural knowledge are required for urban sustainable development; "scientific or technical expertise helps to explain the nature of the problem, but defining solutions requires procedural knowledge of the regulatory decision making environment". This programme facilitated the engagement of the scientific and technical knowledge of the researchers with the procedural knowledge of the city practitioners to co-produce a more relevant, multifaceted, and academically sound knowledge for the sustainable urban planning challenges that CCT needs to address.

Reed et al. (2014b:337) found that the relevance, legitimacy, and accessibility of knowledge generated through research is dependent on "how knowledge is produced, shared with and between those who might use it, translated and/or transformed as it is shared, and the social context in which people learn about new knowledge". In accordance with Reed et al. (2014b) this case study confirmed that by having

an engaged relationship in which knowledge was co-produced by both researchers and practitioners, the knowledge produced was more relevant for informing policy and practice. Additionally, for research findings to be relevant and usable, Martin (2010) found that research findings need to be timely and focus on the issues which confront practitioners, and this study showed that, by being embedded in CCT, the researchers could focus on the issues practitioners were facing, and the quicker timescales at CCT allowed the research and knowledge produced to be accessible without the delay of having to go through the academic publishing process.

Interestingly, of the five types of practitioner engagement identified by Martin (2010), practitioners from different policy areas within the KTP identified with different types of engagement. The city practitioner who oversaw the embedded researcher working on energy governance, identifies with Martin's (2010) type three co-production in which research is endorsed by practitioners at the outset but the academic is allowed to get on with their priorities and in this way the tension between safeguarding academic freedom and increasing the utilisation of research is reconciled. The ECAMP city practitioner however, worked in tandem with the ECAMP embedded researcher on ECAMP research and the methodology to assess Cape Town's space economy, and thus relates more to the type five engagement where practitioners are co-researchers and work alongside the researcher/ researchers at almost all stages of the engagement. Martin (2010) found that this mode of research is likely to be just an interesting and useful adjunct to other forms of co-production, rather than replacing them, however the findings relating to the ECAMP policy area prove that practitioners as co-researchers can be the stand alone co-production method for an area of research.

#### **7.4 The Implications for Engaged Scholarship and Co-production of Knowledge Partnerships**

Partnership literature is prolific in describing the types of partnerships, the indicators for success and the implications and lessons for parties engaging in partnerships. However, the KTP is a relatively new form of partnership and thus literature pertaining to impact and implications of this kind of partnership is limited.

One indicator of the success of a partnership, established by Hamann and April (2013), is the effectiveness of a partnership, which is measured by whether partnerships achieve their objectives of long-term, systemic change towards sustainability. This case study determined that the policy areas of energy governance and spatial economy in CCT do appear to have made a transition towards more sustainability focused agendas, but whether this is due to the partnership itself or just a general path of change is difficult to ascertain. Similarly, whether UCT has changed or been impacted by the partnership is still too early to evaluate due to the slower timescales of knowledge production in academia.

The lessons learned during the KTP are not similar to lessons from other engaged scholarship or knowledge co-production literature, but this may be due to the novelty of this type of interaction between academic researchers and city practitioners. Navigating the different institutional cultures provided new understanding and appreciation. Martin (2010:211) provided some reasons as to why this occurs: “Practitioners grapple with complex social and economic issues on behalf of citizens and service users. Their actions are subject to public scrutiny and their decisions are influenced by a host of factors, often including intense political pressures. By contrast, academics enjoy an unusual degree of autonomy and many have no interest in addressing ‘real world’ problems. Not surprisingly, the two communities therefore often hold contrasting views about what constitutes good research. Most practitioners want studies that provide ‘answers’, while many academics prize theory-driven research which may have no obvious practical application”. This is supported by the intermediary literature which posits that having an intermediary can help to negotiate the differences between the institutions.

The importance of having a dedicated manager position is particularly relevant to the partnership in this case study, due to the contractual obligations of ACC to report on project outcomes to MUF. Additionally, having researchers other than PhD students in the future are important concerns for future sorts of interactions due to the embedded PhD student being a completely new concept, at least for CCT.

## **7.5 Conclusion**

Situating the findings of this case study within the relevant literature confirms the necessity of more engaged relationships for addressing the wicked problems confronting local government practitioners, and proves that there is benefit in this type of partnership and that a more engaged interaction is valuable for the production of relevant, legitimate and accessible knowledge for both academia and CCT policies. It is still quite early to determine the extent of the impact of this kind of partnership on actually changing the institutions, however the inferences deduced thus far are useful for this type of interaction between academic researchers and city practitioners to address wicked problems.

## CHAPTER 8: CONCLUSIONS

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The focus of this case study was directed by the research question: to what extent does the facilitation of engaged scholarship and knowledge co-production between the ACC and CCT by a formal programme, such as the KTP, generate the kind of knowledge required to address sustainable urban planning challenges? Qualitative research, by means of interviews with the practitioners and researchers within the Cape Town KTP, was undertaken to attempt to answer the research question.

Through interviews with researchers and practitioners involved in the energy governance and ECAMP policy areas of the KTP, this case study has verified the importance of engaged scholarship and knowledge co-production for generating more relevant and useful knowledge for addressing the wicked problems associated with sustainable urban planning.

The findings that there were certain conditions that facilitated the partnership revealed that the outcome of this programme was dependent on the context and factors in place at the time and, most importantly, that the history of prior relationships and prior projects provides the institutions with a level of trust and thus a greater willingness to engage in an experimental relationship. Furthermore the interest, fit and type of individuals are significantly important to the success of the partnership. This seems to suggest that the nature of an engaged scholarship and knowledge production partnership between an academic institution and a local government municipality is based on the specific features of the relationship, and the context in which the interaction is situated with regard to the existing relationship between the institutions.

A major benefit for CCT was having the academics embedded in the departments as they could provide a neutral position on policy and issues, and also add to the capacity of the departments by having the time to spend on projects and research, whereas practitioners are not necessarily afforded this time. The findings of this case study indicate that the benefits of this kind of programme can far outweigh the outlays due to the broad network that can be created between the two institutions and thus potentially exploited for future working interactions even after the official programme has come to an end. The facilitating, convening, and supporting role played by the KTP also highlights the importance of an intermediary function to provide a platform for engagement and collaboration.

The collaboration of the two different knowledges resulted in new insights and understanding for both researchers and practitioners, and both the energy governance policy area and the ECAMP model benefitted from the knowledge generated during the engagement, thus demonstrating the value of engaged scholarship and knowledge co-production for developing solutions to address the wicked problems pertaining to sustainable urban planning.

Additionally, the value for each institution and their specific products or policies also substantiates the benefit of engaged scholarship and knowledge collaboration or co-production interaction between universities and local government.

The programme was found to have impacted both institutions in a positive way, however there is reluctance to attribute the observed changes as a result of the KTP alone. Both institutions realise the need for change and want to change, so whether the KTP just sped up a process that was already happening is uncertain.

An important conclusion that can be drawn from this partnership is that there is not a single clear cut method to facilitating all partnerships of this kind. The context and factors specific to these institutions, and the individuals involved, will not necessarily pertain to other institutions or individuals, or even be necessary for other partnerships of this kind. Regardless of the context and factors, consideration should be given to the lessons learned and the implications deduced from the KTP, such as the importance of having dedicated managers and champions to take full advantage of the opportunities of this kind of relationship, when planning future engaged scholarship or knowledge co-production partnerships between academics and practitioners.

Most importantly, institutions should be open and willing to learn and adapt because, similar to Darwin's speculation that the survival of species is dependent on their responsiveness to change, institutions that are the most responsive to the changing environment that they find themselves in will be the ones that are able to overcome the wicked problems they tackle, and thus be sustainable and resilient in the long term.

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## APPENDIX 1: Interviews

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### Appendix 1.1 Interviews conducted and Identifiers

Mistra Urban Futures Researcher, ACC	(MUFR 2014)	10 September 2014
KTP Coordinator, CCT	(PCC 2014)	8 December 2014
Department Director, CCT	(DDC 2014)	11 December 2014
Embedded Researcher, Energy Governance	(EGER 2014)	17 November 2014
City Practitioner, Energy Governance	(EGCP 2014)	8 December 2014
Embedded Researcher, ECAMP	(ECAMPER 2014)	24 November 2014
City Practitioner, ECAMP	(ECAMPCP 2014)	4 December 2014

### Appendix 1.2 Interview Questions

1. Please describe the area or urban challenges that you've been involved in and your role in the interaction between ACC and the City of Cape Town?
2. What do you see as the issue or gap that this partnership between the ACC and the City of Cape Town is attempting to respond to? I.e. what brought about the need to work together?
  - > Do you feel that this partnership is necessary?
3. What do you think are the strengths of this partnership between the ACC and the City of Cape Town?
4. Do you think any specific opportunities or conditions allowed this partnership to emerge?
5. Did you notice any differences between the way the ACC approaches an issue or task and the approach of the City?
6. What do you see as the different types of knowledge brought to the interaction by each partner?
7. Do you think the interaction stimulated the production of new knowledge and ideas?
8. Are there other forms of this kind of partnership or engagement that the City/ UCT has been involved in? [I.e. with a community or business?]
  - > "Yes": What are the opportunities or constraints around these other engagements? How is this interaction between the ACC and the City different to the other interaction?
  - > "No": What obstacles would you say prevented an interaction from taking place previously?
9. What do you feel was the predominant role of this partnership between the ACC and the City? [Examples: initiating conversation, facilitating engagement...]
10. Do you feel the interaction provided an effective platform for engagement between the academics and the City officials?
  - > How could this possibly have been improved?
11. Did you feel the interaction between the ACC and City was collaborative?

- > “Yes”: how was this facilitated?
  - > “No”: how could this have been made better?
12. For Researcher: How did you find the experience of working on specified policy areas in the city?
    - > “valuable”: What were the most valuable aspects of the engagement/ interaction
    - > “not valuable”: How do you think the engagement/ interaction could be improved
  13. For Researcher: How did you feel about being in a different environment to that which you are used to working in? I.e. Working out of your comfort zone
  14. For Researcher: What might you have done differently had you been doing the exact same work but in your usual environment? I.e. Working in an office in the ACC department
  15. Do you think being in a different setting/ environment affected the output (i.e. the knowledge generated around specified policy areas)
  16. For Researcher: Did you feel that there were greater opportunities available to you by being in the relevant urban sustainability departments in the City of Cape Town to work on specified policy areas?
  17. Do you feel like you have gained new insight into why the ACC/ City does things the way they do?
    - > How is the policy process different when you’ve got two different knowledge partners?
    - > What are the different things that people bring to the process?
    - > How easy is it to integrate the different types of knowledge of the different parties? /Are there any difficulties in terms of bringing the different types of knowledge together?
  18. Do you feel that this interaction between the ACC and City is beneficial for addressing sustainable urban planning challenges?
    - > If there hadn’t been this interaction arrangement do you think the process of attempting to address sustainable urban planning challenges would have been different?
    - > Would you have anticipated a different outcome had this interaction not been facilitated?
  19. What do you feel to be the main triumphs of the relationship between ACC and the City?
  20. What do you think have been the main benefits to the City of having this kind of interaction with the ACC? And what do you think the benefits were for the ACC?
  21. And what do you feel to be the main challenges of the relationship between ACC and the City?
  22. Do you feel anything should change should this interaction continue for further rounds?
  23. Do you feel this interaction has made a difference to policy process?
    - > What would the process have been without the partnership?
    - > How is the process different with the partnership?
    - > Are the outcomes different because of the partnership?
  24. Would you want this interaction to occur again?