



Re-envisioning Higher Education's Public Mission

Global Perspectives

Edited by
Antigoni Papadimitriou · Marius Boboc

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Antigoni Papadimitriou
School of Education
Johns Hopkins University
Baltimore, MD, USA

Marius Boboc
Cleveland State University
Cleveland, OH, USA

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> *This collection of chapters, most of which are based on presentations at the 15th International Conference on Higher Education Reform - “Reinventing the Public Mission of Higher Education: Policies and Practice”—at Johns Hopkins University in Fall 2018, is dedicated to all colleagues and community members around the globe who embrace public mission initiatives in higher education*

>

>

> *In memory*

>

> *This book is also dedicated to Paul Benneworth for his work related to community engagement*

CONTENTS

- 1 Introduction: Examining Higher Education Institutions
Public Mission Initiatives Through the Lens of
Organizational Perspective** 1
Antigoni Papadimitriou and Marius Boboc
- 2 Recharging Higher Education’s Social Responsibility via
Anchor Institutions** 15
Marius Boboc
- 3 Public-Public Partnerships: Expanding Higher Education
Capacity Through Economic Redevelopment** 35
Michael W. Klein
- 4 Revitalizing Northwood: Morgan State University’s Role
in Economic and Community Development** 59
Sean Robinson
- 5 Developing Faculty Identity as a Community Engaged
Scholar: An Unexamined Barrier to Promoting the Public
Mission** 77
Carey Borkoski and Sherri K. Prosser

| | | |
|-----------|---|------------|
| 6 | University-Engagement Research: Application of a Mixed Method Design of Community-Based Participatory Research for Communities' Well-Being | 97 |
| | Antigoni Papadimitriou, Rosalyn W. Stewart, and Constantine Frangakis | |
| 7 | The “Community” in Community College: Lorain County Community College’s Strategic Visioning Model | 119 |
| | Marcia Ballinger | |
| 8 | Exploring University Engagement Through an International Lens: The Case of <i>Extensión Universitaria</i> in Panama | 141 |
| | Mariana León | |
| 9 | Higher Education and the Commitment to Its Public Mission: The Case of Extension Projects in a Brazilian University | 169 |
| | Ana Ivenicki | |
| 10 | Piloting the TEFCE Community Engagement Toolbox at the University of Twente | 187 |
| | Thomas Farnell, Anete Veidemane, and Don Westerheijden | |
| 11 | Public Engagement, Children, and the Pleasure of Knowledge: The Experience of Kidsuniversity Verona, Italy | 205 |
| | Marta Ugolini, Fabio Cassia, and Nicola Cobelli | |
| 12 | Social Responsibility in Higher Education: The Case of Ethiopia | 229 |
| | Leon Cremonini and Abebaw Yirga Adamu | |

| | | |
|-----------|---|------------|
| 13 | Global Trend and Institutional Practices of Knowledge Exchange Activities in Universities: The Changing Academic Profession in Hong Kong | 251 |
| | Hei-hang Hayes Tang | |
| 14 | Conclusion: Re-Imagining Higher Education Institutions Public Mission Initiatives Through the Lens of Organizational Perspective | 275 |
| | Antigoni Papadimitriou and Marius Boboc | |
| | Correction to: Piloting the TEFCE Community Engagement Toolbox at the University of Twente | C1 |
| | Thomas Farnell, Anete Veidemane, and Don Westerheijden | |
| | Index | 291 |

NOTES ON CONTRIBUTORS

Abebaw Yirga Adamu is Associate Professor of Education at Addis Ababa University (AAU), Ethiopia. He holds a PhD in Education and Society—University of Tampere, Finland, a master degree in Lifelong Learning Policy and Management—University of Aarhus, Denmark, and a master degree in Multicultural and Multilingual Education—AAU. Dr. Abebaw has been the Director of Ethiopian Institute for Higher Education, AAU, and Director of Quality Assurance at the Ethiopian Institute of Architecture, Building Construction and City Development, AAU. He is NAFSA Global Dialogue Fellow (2019–2021), UASP/IREX Research Management Fellow—2019, and advisory board member of the *Ethiopian Journal of Social Sciences*. Dr. Abebaw’s research on higher education focuses on diversity, quality, internationalization, harmonization, and lifelong learning.

Marcia Ballinger PhD, has over 30 years in community college leadership roles advancing student success, workforce and economic development, strategic planning, and advancement. She holds a PhD in Community College Leadership from Walden University, an MBA from Kent State University, and a BA in Journalism from Indiana University of Pennsylvania. She serves as Lorain County Community College’s fifth President and previously held positions as Provost, Vice President for Strategic Development, and Vice President LCCC’s Foundation. She is an inaugural member of the Aspen Institute’s Presidential Fellowship. Under her leadership, LCCC garnered the top two national honors for excellence in student success by the

American Association of Community Colleges and Achieving the Dream.

Marius Boboc is Professor of Education at Cleveland State University in Cleveland, Ohio, US. He is a Vice Provost for Academic Planning. With a background in English Education, Teacher Leadership, and Curriculum and Instruction, his teaching includes undergraduate courses in general instructional methods and assessment, graduate classes in curriculum planning, classroom management, and conflict resolution education as well as doctoral-level courses in urban education theory and organizational leadership and change. His published research—peer-reviewed books, book chapters, journal articles, and conference proceedings—gravitates toward postmodern education, online instruction, K-12 curriculum, anchor institutions and community development, leadership and planning in higher education, and urban education reform.

Carey Borkoski is an assistant professor at Johns Hopkins University where she teaches research methods and advises doctoral students in their online EdD. Her research explores the role of communities, bridging media, and storytelling in facilitating student onboarding, cultivate belonging, and students' scholarly identity. She has written about strategies to cultivate belonging in our learning communities, conditions to support identity formation, and the positive relationship between social presence and student experiences. Dr. Borkoski is collecting data to articulate first-year, online doctoral students' identity development. She has disseminated her work in a variety of publications, presented at national conferences, and shared her own journey to belonging as well as her research and teaching with teacher, student, and leader groups.

Fabio Cassia PhD in Marketing, is Associate Professor of Management at the University of Verona (Italy), where he is in charge for the Quality Assurance of a Master's degree. His main research interests include service quality and marketing, hospitality and tourism management, business-to-business marketing and branding, and international business development. He is member of the Editorial Committee of *Sinergie Italian Journal of Management*, of the Editorial Review Board of *The TQM Journal*, and of the *Review of International Business and Strategy*. His works have been published in several international journals

including *Current Issues in Tourism*, *International Journal of Contemporary Hospitality Management*, *Journal of Business & Industrial Marketing*, *Journal of Vacation Marketing*, *Management Decision*, *Total Quality Management & Business Excellence*, and *TQM Journal*.

Nicola Cobelli PhD in Business Administration, is Assistant Professor of Business Management at the Department of Business Administration, University of Verona (Italy). He is a member of the Italian Society of Management, of the Italian Academy of Business Administration, and of the Italian Society of Marketing. He is member of the Editorial Committee of *Sinergie Italian Journal of Management*. His main research areas are in the field of Enterprise 4.0; Retail Management; Destination Management; Servitization e Value Co-Creation in B2B and B2C. His main publications are in international journals, such as *Journal of Business & Industrial Marketing*, *International Journal of Physical Distribution & Logistics Management*, *International Journal of Quality and Service Sciences*, *TQM Journal*, *World Review of Entrepreneurship, Management, and Sustainable Development*.

Leon Cremonini is a senior policy officer at the University of Twente (UT), The Netherlands. He has been the Managing Director of the Ethiopian Institute for Higher Education, Addis Ababa University, Ethiopia. Leon is a former researcher at the UT's Center for Higher Education Policy Studies. He has worked on higher education policy reform in Europe, the United States, the Middle East, and Africa and has been a researcher on several European Union-sponsored projects. He has been a consultant on the development of the national strategy for higher education in Ethiopia. Leon has written on issues of excellence policies, internationalization, quality assessment, university and program rankings, and equity and access to higher education, particularly for historically disadvantaged populations and refugees.

Thomas Farnell works as a higher education policy expert at the Institute for the Development of Education, Croatia. His primary areas of interest are how higher education responds to societal needs, both through addressing educational inequalities and through broader engagement with society. He is coordinating the EU-funded project 'Towards a European Framework for Community Engagement in Higher Education'. He is a member of the European Commission's Network of Experts on the Social Dimension of Education (NESET), for

whom he is developing a study on international trends, policies, and practices in community engagement in higher education.

Constantine Frangakis is a professor at Johns Hopkins Bloomberg School of Public Health. His research is in developing designs and methods for evaluating programs and treatments in public health and medicine. Since 2002, he has been the Principal Investigator (PI) of three National Institutes of Health Research Project Grant (NIH R01) projects. These works have been extensively cited and used in academia, by the Government, and other institutions. Dr. Frangakis was an invited co-author with the National Academy panel that issued the report on “The Prevention and Treatment of Missing Data in Clinical Trials” (The National Academy Press, 2010, and 2012, also NEJM). He has also been the statistical collaborator in a number of grants of colleagues in public health.

Ana Ivenicki holds a PhD in Education from the University of Glasgow. She is Emeritus Professor in Education at the Federal University of Rio de Janeiro (UFRJ), Brazil. She is a researcher at the Brazilian National Research Council (CNPq). She has been a speaker in international conferences and her works have been published in various Brazilian and international journals in Education, as well as chapters and books. Her research interests include multicultural teacher education, comparative education, university social mission, and lifelong learning. In 2013, she received the Cora Coralina prize from the Brazilian Association of Post-Graduate Studies and Research (ANPEd) and from the National Secretary for Inclusion and Diversity (SECADI) for her scholarly work toward diversity and inclusion in Education.

Michael W. Klein is a Richard P. Nathan Public Policy Fellow at the Rockefeller Institute of Government at SUNY and an associate member of the faculty in Rutgers University’s PhD Program in Higher Education. His teaching and research focus on higher education in law, finance, and policy. For 19 years, Klein served the New Jersey Association of State Colleges and Universities, first as director of government and legal affairs, and then as executive director. He has held several positions in state government, including assistant counsel to New Jersey Governor Christine Todd Whitman. Klein received a BA in history *cum laude* from Princeton University, a Juris Doctor (JD) from Boston College Law School, and a PhD in Higher Education Administration from New York University.

Mariana León is academic vice president and member of the Board of Directors at Quality Leadership University in Panama City, Panama. She holds a Doctorate in Education (Ed.D.) from Johns Hopkins University and an MBA from Florida International University. She has written on transformational leadership in higher education in Panama and on multicultural identity perceptions of high school students. She is a member of Global Shapers, a youth leadership initiative of the World Economic Forum. She has also served as President of the Free Enterprise Commission of the *Asociación Panameña de Ejecutivos de Empresa (APEDE)* and as the Chair of the Education Committee for the American Chamber of Commerce (AMCHAM) in Panama.

Antigoni Papadimitriou is Associate Professor of Organizational Leadership in the College of Education and Behavioral Sciences at Western Kentucky University, USA. She also holds a courtesy appointment at Johns Hopkins University, USA, to complete two internal grants focused on university-community engaged research and social change.

Sherri K. Prosser is an assistant professor and the Doctoral Coordinator in Educational Leadership at Austin Peay State University in Tennessee (USA). She holds a PhD in Curriculum and Instruction from the University of Florida and is also a senior educational adviser at Johns Hopkins University. Her research interests include professional and institutional identity, professional development, online teaching and learning, and practitioner research. Prosser has 9 peer-reviewed publications and 21 conference presentations to her credit and has worked as a K12 public school teacher for 14 years.

Sean Robinson is Professor of Higher Education Leadership & Policy and serves as the program director for graduate programs in higher education and student affairs at Morgan State University, in Baltimore, MD. Sean has over 25 years' experience on university campuses in both academic affairs and student affairs. His teaching interests include higher education administration, policy, and legal issues; organizational behavior and theory; student development theory; and qualitative research methodology. His primary research interest is related to identity development and sexual orientation/gender expression within educational environments, with a particular interest in the ways in which culture and climate impact identity. His secondary

research relates to the mentoring and socialization experiences of minority graduate students.

Rosalyn W. Stewart MD, MS, MBA, associate professor at Johns Hopkins School of Medicine, is board certified in both internal medicine and pediatrics. She has appointments in the Departments of Internal Medicine and Pediatrics, School of Nursing and Bloomberg School of Public Health. Dr. Stewart is a leader in the development, improvement, and delivery of care for individuals with health disparities. She coordinates quality improvement efforts geared toward refining health care services and improving the health status of populations. Her innovations focus on improving the health of populations by coupling excellent medical care with programs that target root causes of leading differences in incidence, prevalence, mortality, and burden of diseases.

Hei-hang Hayes Tang is an assistant professor in the Department of Education Policy and Leadership at the Education University of Hong Kong. He serves as the Managing Editor of the *Journal of Comparative and International Higher Education* (the official journal of Comparative and International Education Society's Higher Education Special Interest Group), Associate Editor (Sociology and Education) of *Humanities & Social Sciences Communications* and on the Editorial Board of *Chinese Education & Society* (Taylor & Francis). He conducts institutional analysis on academic entrepreneurialism, academic profession, and academic life in reinventing the public mission of higher education.

Marta Ugolini PhD in Business Administration, is Full Professor of Management at the University of Verona (Italy), where she has served as the Rector's Delegate for Communication, as Pro-Dean and as Head of the Teaching Board of Foreign Languages and Literatures. She teaches tourism marketing and management of heritage organizations. Her research interests focus on marketing (relationships with customers, brand), tourist destination management, service management, especially in tourism, cultural and health services, higher education institutions. She has written more than 100 scientific works. She is Editor of *Sinergie Italian Journal of Management*. She is member of the Italian National Scientific Qualification (ASN) board, in charge of the procedure for the University Professor position recruitment, area of management studies.

Anete Veidemane (MSc) works as a researcher at the Center for Higher Education Policy Studies (CHEPS) of the University of Twente since 2018. Before joining CHEPS, she worked as a consultant in the data analytics team for several years and interned at the OECD and the UN. At CHEPS, Anete has actively taken part in multiple European projects such as U-Multirank (an international ranking and transparency tool), TEFCE (Towards A European Framework for Community Engagement), a review on social inclusion policies in Europe and mapping of graduate tracking measures in EU-28 countries. Anete is working on new indicator development on social inclusion and sustainability for HEIs under the U-Multirank project.

Don Westerheijden is senior research associate at the Center for Higher Education Policy Studies (CHEPS) of the University of Twente, the Netherlands. Don mostly studies quality assurance and accreditation in higher education, its impacts, as well as university rankings. He edited and contributed to books on quality assessment in higher education and (co-) authored a large number of articles on the topic. Evaluation of higher education policies is another of his research interests. He has been involved in post-experience training and consultancy across Europe, Asia, the United States, and Southern Africa. He is a member of the editorial board of the journal *Quality in Higher Education* and serves on international boards of quality assurance agencies in Portugal and Hong Kong.

LIST OF FIGURES

| | | |
|-----------|---|-----|
| Fig. 2.1 | Anchor institution strategic planning. (Source: Author) | 26 |
| Fig. 8.1 | Code landscaping of university engagement conceptualizations present in mission, vision, and values statement | 157 |
| Fig. 12.1 | Views of university social responsibility. (Source: Authors) | 233 |

LIST OF TABLES

| | | |
|------------|---|-----|
| Table 6.1 | Health disparities | 101 |
| Table 6.2 | Analysis plan | 108 |
| Table 8.1 | Components and indicators that measure university engagement in Panamanian accreditation policies | 150 |
| Table 8.2 | Summary of criteria to obtain Carnegie classification for community engagement | 154 |
| Table 10.1 | Example of form for describing sub-dimensions (I.1 Teaching & Learning, courses for social needs) | 196 |
| Table 10.2 | 'Heatmap' approach to analyzing sub-dimensions in later TEFCE pilots | 200 |
| Table 11.1 | Quantitative evolution of Kidsuniversity's activities and participants | 213 |
| Table 14.1 | Breakdown external environmental elements and HEIs characteristics per chapter | 286 |



CHAPTER 1

Introduction: Examining Higher Education Institutions Public Mission Initiatives Through the Lens of Organizational Perspective

Antigoni Papadimitriou and Marius Boboc

Public and non-profit higher education institutions (HEIs) across the globe have an enormous capacity to produce changes and contribute to the public good. An analytical overview of common trends and emerging patterns of their public mission initiatives worldwide is needed. The editors acknowledge that under the “public mission” umbrella, there are differences between activities usually called “knowledge transfer” or “economic development” and those traditionally pursued as “community engagement”. Consequently, this book covers such differences as derived

A. Papadimitriou (✉)
School of Education, Johns Hopkins University,
Baltimore, MD, USA
e-mail: antigoni.papadimitriou1@gmail.com

M. Boboc
Cleveland State University, Cleveland, OH, USA
e-mail: m.boboc@csuohio.edu

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from the various “case studies” from different countries. Colleges and universities, as organizations, do not exist in a vacuum, as they are live organizations that interact with their external and internal environments. Thus, in order to develop a better understanding of various public mission initiatives across the globe and why these were adopted by HEIs, the editors use a theoretical framework that emerges from organizational theory. Specifically, they analyze these “case studies” by using external environmental elements namely political, economic, socio-cultural, and technological as well as internal college/university characteristics, such as mission, vision, leadership, and governance (Papadimitriou 2020). Another feature of this book is related to a practical emphasis on the public mission initiatives described, their implementation and challenges throughout the chapters, with the intent to prompt readers to consider appropriate ways in which to adapt some of the lessons learned by the contributing authors.

THE PUBLIC MISSION OF HIGHER EDUCATION INSTITUTIONS

The three conventional ways in which colleges and universities are defined focus on an integrated approach to knowledge discovery, production, and dissemination across various academic disciplines, connecting undergraduate and graduate education, and advancing knowledge through research, scholarship, and teaching (Calhoun 2011). A different angle of analysis relates to the mission of HEIs, based on which teaching, knowledge production, and community engagement are intertwined. While the former two are more easily implemented and quantified, the latter could lead to varying degrees of complexity and scope when it comes to impact on community (Papadimitriou 2020). Community engagement relies on a range of structures, agents, and procedures by which communities at local, national, regional, and international levels are involved in partnerships and networks (Jacob et al. 2015). Benneworth et al. (2018, p. 17) define community engagement as a “process whereby universities engage with community stakeholders to undertake joint activities that can be mutually beneficial even if each side benefits in a different way”. As the public mission of colleges and universities derives from the definition of their work in the public domain (Calhoun 2011), the various types of related activities encompass economic development, technology transfer, community engagement, and community partnerships. The importance of the various

ways in which institutions of higher education represent and connect to the communities they serve is supported by the fact that most of the economic impact of colleges and universities is felt at the local level (Lane 2012). At the same time, given the increasingly relevant research profile of colleges and universities in the twenty-first century, political stakeholders expect higher education to support economic development by way of commercialization of intellectual property through technology transfer (Siegel and Phan 2005). As an integral component of the repertoire of services offered by higher education to society, community engagement has increased in relevance in terms of solving civic issues. Given the current loss of financial capability by local, state, and/or national government(s) to sponsor programs and initiatives aimed at improving the wellbeing and livelihood of its citizens, colleges and universities have to step in to fill the void. Working with community partners could lead to greater positive influence of such actions onto creating and sustaining policies and practices intended to solve societal problems (Fisher et al. 2004).

Concurrent with increasing accountability requirements and public scrutiny, colleges and universities worldwide have been asked to become more actively involved in solving social issues either on the local, regional, national, or international level. The first mission of HEIs was focused on the transmission of knowledge through teaching, while the second mission dealt with the creation of knowledge through research (Cooper 2017). What emerged as a public or the third mission of higher education proposed relevance and social impact as parameters by which core activities would re-engage communities (Pinheiro et al. 2015) by applying the knowledge output through commodification and financialization (Addie 2017). The resulting institutionalized knowledge transfer encouraged academic entrepreneurialism (Shore and McLauchlan 2012) that was also spurred on by the gradual diminishing of state support for higher education. From the first time the phrase “third mission” was coined by Etzkowitz and Leydesdorff (2000), the concept gained traction in various ways, ranging from economic and social impact of college/university initiatives involving communities to all such activities focused on environments external to institutions of higher education (Glasser et al. 2014). Under these circumstances, HEIs has gone through a series of structural changes to curricula to place a greater emphasis on employability and marketability of graduates whose academic preparation aligns with the requirements and needs of the labor market. As an example, a focus on science, technology, and mathematics (STEM) education is based on guidelines

from various state and federal organizations that underscore the need for the US to maintain its global competitive edge via appropriate college preparation (Green 2014). College campus communities engage in program prioritization exercises as a way to cope with the growing public scrutiny dealing with the cost of attending college and its correlation to student debt, in addition to calls for accountability in terms of productivity and ability to contribute to the greater public good (Fannin and Saran 2017). In terms that go beyond the American context, colleges and universities became entrepreneurial as a way to maintain or elevate their regional competitiveness. In this light, formal and informal interactions with agencies at the local, state, and/or regional levels through a mix of curricular innovations, technology transfer, and research-driven incubators are expected to benefit society at large (Guerrero et al. 2016).

ORGANIZATIONAL PERSPECTIVE

Papadimitriou (2011) underscores that open systems theory has convincingly argued that in order to understand organizational change, one must observe an organization as an open system because organizations do not exist in a vacuum. Open systems theory emphasizes the importance of the environment in which organizations exist and it focuses on the inputs, outputs, and transformation of organizations insisting on the importance of the environment, emphasizing its impact on the organization.

The editors argue in this book that the constantly changing environment exerts pressure on HEIs to adapt. Organizational theorists (Katz and Kahn 1978; Morgan 1998; Scott 1995) discuss how open systems theory has generated many new concepts of thinking about organizations. Open systems theory was chosen as a starting point for the theoretical considerations when addressing universities in a changing environment.

Scott (1981, p. 22) stresses that “organizations are not closed systems, sealed [off from] their environments, but open to and dependent on flows of personnel and resources from outside their own systems”. Organizations, as open systems, exchange ideas with and give feedback to their external environment. Morgan (1998, pp. 40–41) states that “the systems approach builds on the principle that organizations, like organisms, are ‘open’ to their environment and must achieve an appropriate relation with that environment if they are to survive”. In a similar vein, Scott (2003, p. 91) states that from an open system perspective, “there is a close connection between the condition of the environment and the characteristics of the system

within it: a complex system could not maintain its complexity in a simple environment". Researchers describe HEIs as organizations with unique characteristics (Baldrige et al. 1977; Baldrige and Deal 1983; Papadimitriou 2011). Some distinguishing characteristics that affect a HEIs' decision processes regarding adaptation to change (i.e. adopt public mission initiatives) are goal ambiguity, client service, task complexity, professionalism, and environmental vulnerability.

Enders (2004, p. 362) represents universities as "multi-purpose or multi-product" organizations and states that "universities are institutions that, in all societies, have performed basic functions which result from the particular combination of cultural and ideological, social and economic, educational and scientific roles that have been assigned to them".

The argument that an organization does not and cannot exist in a vacuum also implies that organizations interact with their environments to achieve basic objectives (Gornitzka 1999). "The prevalence of an open-systems approach in organization theory has meant a focus on the relationship between the individual organization and the environment" (Rhoades 1992, p. 1886). Organizations' external environment includes a variety of elements including technological, legal, political, economic, demographic, ecological, and cultural elements (Hall 1999; Scott 1995). Hall (1999, p. 208) maintains that "organizations do not respond to technological change through simple absorption. Instead, the organization's political process operates through the advocacy of change or stability". He observes that "since the rate of technological and all other environmental changes is not constant for all organizations, the degree to which organizations must develop response mechanisms varies" (p. 208). Sporn (1999) emphasizes that the new environmental demands triggered internal responses from universities around restructuring, retrenchment, re-engineering, (total) quality management, strategic planning, financial accounting, and technology transferred. Internationalization, globalization, regionalization, and de-nationalization are the changes in universities' environment (Enders 2004).

Against this backdrop, the overarching critical points that the editors considered in their analysis of the contributing chapters and underscore the following factors faced by HEIs when attempting to adopt third mission initiatives:

- (a) Political (with potential legislative/legal undertones)
- (b) Economic (featuring funding constraints)

- (c) Socio-cultural
- (d) Technological
- (e) HEIs characteristics (mission, vision, leadership, and governance)

OVERVIEW OF BOOK CONTENTS

Beyond this introduction, the collection of chapters in this book highlights various public mission initiatives from the US, South America, Europe, Africa, and Asia. While the parameters within which these cases are constructed differ, every chapter creates a rich picture (conceptual and/or empirical) of how HEIs attempt to serve the public good. Structures, processes, stakeholder groups involved in the collective work are detailed, based on which there is an overview of challenges and recommendations. The editors conclude the book by applying the organizational perspective based on the analysis of the environmental factors that applies almost to all case studies included in this volume. The synthesis prompts the editors to focus on lessons learned for each case, from which lines of future research are derived.

US PERSPECTIVES

Marius Boboc discusses several ways in which colleges and universities, as anchor institutions, could recharge their social responsibility, thus promoting their third mission to the public they serve. By using a descriptive case study focused on a public, mid-sized, research university in the American Midwest, processes and procedures are outlined as they inform the alignment of mission-driven efforts across campus with public involvement as an anchor institution in its geographic location. Connections to functional areas of a university demonstrate how to coalesce decision-making bodies and stakeholder groups that could chart its strategic direction. Moving forward, this case study intends to contribute to the national/global conversations on how to promote institutions of higher education as anchor institutions in urban areas perceived as places of promise and opportunity. All along, components of a theoretical framework proposed for anchor institution planning emphasize established practices that inform higher education management/governance.

Michael W. Klein explores public-public partnerships (PuPs) between public institutions of higher education and their local municipalities that

expand institutional capacity, while simultaneously revitalizing urban centers during this time of shrinking public funding. Using a theoretical framework of resource dependency, this study shows how public-public partnerships (PuPs) allow public universities and local governments to combine resources for their mutual benefit. Examples in the study include Arizona State University's Downtown Phoenix campus, the University of California Davis' Aggie Square, and California State University Chico's South Campus Neighborhood Project. Building on literature from public water projects around the world and a highway project in Texas, this study suggests the advantages of PuPs for higher education and how they may become a new funding model for public higher education infrastructure and urban redevelopment. The key elements are committed champions, strategically planned projects, and collaboration between an institution's academic experts and local civic leaders to identify and address community concerns, with a critical eye toward economic risk, particularly involving real-estate development.

Sean Robinson presents Morgan State University's role in revitalizing its community targeting economic and business development. Recognizing that building and maintaining significant university-community partnerships is a complex process, the purpose of this chapter is to discuss the role of an urban university in the redevelopment process of its surrounding community, drawing upon the current Morgan State University-Northwood Commons project as a frame of reference. In keeping with its mission, and with its position as Baltimore's anchor urban research institution, Morgan State University is uniquely positioned to contribute its community's business and economic development. This case study is especially unique in that as a Historically Black University, Morgan State has a particular opportunity to directly impact its neighborhood, which is made up almost exclusively of African Americans, and which has suffered from severe economic inequality over the past 50 years.

Carey Borkoski and Sherri K. Prosser elaborate on the issue of faculty identity with respect to community engagement and the extent to which faculty-institution compatibility influences decisions to engage in the institution's public mission. Incongruence, or incompatibility, of faculty values and beliefs with stated or perceived institutional mission and norms increases the likelihood that innovations in support of the public mission will ultimately fail. Faculty at research universities frequently enter academia with the professional identity as a researcher, not a teacher, which is reinforced by the structures and rewards of institutions. Even

when faculty or staff value and report an interest in participating in community engagement, organization-level factors such as structure, leadership, and rewards can serve as “engagement demotivators” to community service. Institutions have a responsibility, therefore, to cultivate community engagement efforts that promote their public service mission. Campus leaders can create the leverage needed to move research institutions toward engagement with communities and informal practices within a department can have just as much influence as formal policies in shaping faculty perceptions about what is valued. This chapter focuses on research universities in North America and explores faculty identity with respect to community engagement and the extent to which faculty–institution compatibility influences decisions to engage in the public mission. The chapter concludes with recommendations for institutions, including the role of faculty belonging in being fully committed to community engagement, the promotion structure in community engagement, and professional learning programs in promoting the community engagement and the public mission.

Antigoni Papadimitriou, Rosalyn W. Stewart, and Constantine Frangakis argue that university-engagement research benefits the communities as well as HEIs; however, such research, and especially the process of community engagement, has been less frequently described in the literature. Recognizing the variation within community-based participatory research (CBPR) practices and processes, as well as that research has employed cross-disciplinary mixed methods (MM) designs to create outcomes that are meaningful to communities, the purpose of their chapter is to report on a cross-disciplinary collaborative university-engagement MM research of the character of CBPR for healthier and safer communities in Baltimore, Maryland, funded by Johns Hopkins University. The authors, first, familiarize readers with CBPR, then provide details about the project’s backdrop, MM design, and conclude with lessons learned and suggestions for future research to improve collaboration within scholars in different academic departments (social science, public health, and medicine) as well as with community leaders and residents. This chapter is written from the perspective of sharing academic empirical knowledge in order to apply the fruits of scholarships to pressing well-being community issues beyond the walls of academia.

Marcia Ballinger elaborates on the case study of Lorain County Community College’s (LCCC) community engagement and strategic planning process which demonstrates the community college’s evolution

throughout the past three decades to its current Vision Network model that engaged more than 1600 external and internal stakeholders. It presents a background on community college evolution and mission as the US's unique form of higher education founded on open access that guaranteed new opportunities for all. This chapter discusses the historic transformation of this Midwestern community college's vision, mission, values, and strategic priorities that are grounded in the four pillars of education, economy, culture, and community. LCCC's most recent planning process, which is based on creating a preferred future and shared vision for the community, is detailed to provide practitioners with a conceptual model for planning and engagement. It incorporates strategic foresight in recognition of the volatility, uncertainty, complexity, and ambiguity facing higher education institutions today, with particular emphasis on community colleges that are aligned to local stakeholder needs. Among the topics and questions that explored are (1) the creation of a shared, preferred future for a community; (2) the global drivers and megatrends that are affecting our future and their probability of impacting a community and college; (3) where should the college lead, collaborate, and partner.

GLOBAL PERSPECTIVES

South America (Panama and Brazil)

Mariana León explores how university engagement—or *extension universitaria*—is shaped within the context of Panama. A brief introduction to the Panamanian higher education system is provided, as well how the legal framework that regulates higher education in Panama impacts the conceptualization and standards against which university engagement is measured. The resulting conceptualization is then compared against existing international benchmarks. The chapter also analyzes how Panamanian universities orient their engagement, through a study that is qualitative in nature and uses content coding to extract meaning from the mission and vision statements of 22 Panamanian universities. The results reveal that most universities frame their university engagement around four areas: (1) training and education of students to become a professional human resource, (2) the contribution of these students to the sustainable development of the country or region, (3) the practice of values related to engagement, such as equity, solidarity, tolerance, and social commitment, and (4) an outward projection toward society that generates recognition.

Ana Ivenicki posits that higher education extension projects should be considered a relevant dimension of university public commitment based on a multicultural theoretical approach within a higher education collaborative engagement paradigm. In that sense, the present study aims to discuss the public mission of higher education based on a case study of extension multicultural educational projects developed by a federal university in Brazil in partnership with local educational authorities in Brazilian municipalities. The projects referred to joint construction of municipal curriculum guidelines geared towards cultural diversity, equity, and social justice. Results show that the mentioned interlinkage not only developed an increased awareness of multicultural issues in educational actors from both schools and university, but also allowed for their experiences to be delved into and problematized.

Europe (The Netherlands and Italy)

Thomas Farnell, Anete Veidemane, and Don Westerheijden focus on a new community engagement review tool developed in an EU context, part of the TEFCE project (*Towards a European Framework for Community Engagement in Higher Education*). This chapter details the design principles of its methodology, in comparison to previous tools such as the Carnegie Foundation's Elective Classification for Community Engagement, and it illustrates its use on one of the four pilot reviews undertaken to date, at the University of Twente (the Netherlands). The seven dimensions of the TEFCE tool proved to be effective to analyze all aspects of community engagement, focusing on narratives of initiatives. The narrative approach's flexibility proved effective to allow attention to unique elements in community engagement initiatives. The chapter ends in lessons drawn for further development of the tool and for those interested in using TEFCE or similar approaches.

Marta Ugolini, Fabio Cassia, and Nicola Cobelli present the case study of the University of Verona's community engagement through an event called Kidsuniversity Verona. The authors frame community engagement initiatives in the context of the Italian academic system, where the third mission has been enforced by the national agency for university research evaluation only in 2015. Kidsuniversity represents a bridge between academic research and local families through the involvement of children, teenagers, and their parents and teachers in initiatives of scientific dissemination. The authors explain the aim and the format of the event

and identify the internal and external networks activated to create an attractive program each year. The authors also reflect on the success of Kidsuniversity, its sustainability, and its replicability.

Africa (Ethiopia)

Leon Cremoni and Abebaw Yirga Adamu discuss the social responsibility of universities in Ethiopia. University social responsibility is a crucial task of universities worldwide. As the primary organizations charged with studying social issues, universities are responsible for addressing society's practical problems. This is, perhaps, even more true in a context such as Ethiopia's, characterized by impressive growth, strong economic development, and ethnic federalism. However, in the Ethiopian university community, the notion of university social responsibility is still rather nebulous. The chapter's objective is to improve our understanding of social responsibility as part of the public mission of higher education by comparing how this is interpreted and executed in universities operating in Ethiopia. The chapter is based on interviews conducted at six Ethiopian universities and a review of strategy and policy documents. Data show that Ethiopian universities engage in social responsibility without a clear stated focus, policy, or strategy. Among other issues at play, this situation has led society to lose trust in universities' capacity to tackle its problems. What are needed are robust policy and strategy frameworks and a stronger involvement of society in defining what is a "socially responsible university".

Asia (Hong Kong)

Hei-hang Hayes Tang examines the engagement patterns of knowledge exchange (KE) in Hong Kong's public universities. Using "institutional logics" as the conceptual theme, it investigates the academic responses to the global trend of KE policies and the extent to which there is a tendency of convergence or divergence of institutional practices of KE engagement. Through the qualitative methods of documentary research and textual analysis of government and institutional documents related to KE, this chapter found a converging trend among most Hong Kong's public universities that they have been expanding and upscaling their KE initiatives and activities. Since 2009, when the government launched the KE policies and delivered the KE funding, the universities have accumulated experiences from institutionalizing KE, and have been building up capacities to

encompass a more diverse framework for KE. However, there is not a singular dominant logic but diverse competing institutional logics in response to the global trend of KE policies. Despite the converging trend of many institutional practices in higher education governance globally, academic and institutional responses to KE appear dynamic and diverse.

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CHAPTER 2

Recharging Higher Education's Social Responsibility via Anchor Institutions

Marius Boboc

INTRODUCTION

As the name suggests it, higher education could be seen as the combination of learning opportunities designed to equip students with knowledge, skills, and dispositions that open up new experiential horizons. Debates over the role of American public education as a great equalizer have grown over time (Grove and Montgomery 2003). On the one hand, there are arguments placing colleges and universities at the core of the process of discovering, creating, and disseminating knowledge (Guarasci 2018) by which society can ensure that it can rely on an informed, active, and responsible citizenry (Thomas and Levine 2011). In this light, sustaining society as a system implies the application of democratic principles in school settings and communities. In terms of educational settings, that means promoting skills based on which students could become “democratic, creative, caring, constructive citizens of a democratic society” (Harkavy 2006, p. 5). By engaging in teaching, research/scholarship/

M. Boboc (✉)
Cleveland State University, Cleveland, OH, USA
e-mail: m.boboc@csuohio.edu

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creative output, and service, higher education's public good leads to social change based on the development of knowledge, skills, and dispositions, thus emphasizing the human capital behind economic development (Chunoo and Osteen 2016). On the other hand, particularly over the past few decades featuring a heavier focus on accountability, higher education is increasingly tied to student learning outcomes and marketability upon graduation (Chunoo and Osteen 2016). A college education continues to represent a viable path toward economic gain through employment based on academic credentials (Horowitz 2018). The increasingly competitive labor market led to greater pressure on institutions of higher education to produce graduates ready to join its ranks upon graduation from college. Moreover, the constant rate of changes in technological advances spurred new levels of complexity that add to the pressure on colleges and universities to change (Maguad 2018).

This chapter connects previous scholarship on urban universities that have had to revise their commitment to the public good with a particular focus on one urban research university in the American Midwest. The latter has pursued various community engagement initiatives over the past decade. There are three examples described in this chapter as a way to elaborate on how such community outreach programming could support the “anchor institution” designation by way of reframing the university mission and vision statements. Concurrently, two community engagement initiatives—Public Sphere Pedagogy and Civic Engagement—reiterate the university's social responsibility. In order to reach a level of sustainability across campus, an anchor institution strategic planning framework is being proposed in an attempt to bring together in a non-normative manner the various components of a college's or university's complex functions and supporting structures. The three examples of community involvement are then used as applications of the new framework, which allows for lessons learned from the three initiatives to inform future uses of the strategic planning process for anchor institutions as well as future lines of research.

“ANCHOR INSTITUTION” AS A CONCEPT BEHIND EMERGING PRACTICES

Following the economic downturn in 2008–2009, population mobility enhanced an existing trend of suburban flight, or outward expansion, that exacerbated the inadequacy of public policy governing fiscal allocations,

support for public schools, city governance, and race and class divisions (Brookings Institution's Metropolitan Policy Program 2010). In this context, institutions of higher education have had use their "anchored" presence in a given milieu to increase their involvement in solving local community issues related to economic and community development as well as public education (Harris III and Pickron-Davis 2013). Under these circumstances, redefining the public university becomes focused on inserting itself as a partner whose responsibilities to the communities served should become strategic by aligning them with agendas aimed at improving public policy and practices for a wide range of constituents.

There are different markers of social and economic impact colleges and universities have on the communities they serve. For example, regional comprehensive universities have been responsible for meeting various demands and needs of local communities by constantly striving to strike a balance between economic and civic engagement initiatives while facing diminishing public support (Orphan 2018). Research universities, irrespective of their geographic location, promote scholarship, creative activities, teaching, and service to solve current issues and investigate solutions to future problems, thus meeting the demands of the greater public good perceived as the overall being of society (Owen-Smith 2018). As a subset, urban research universities have had a long history of placing service at the core of their mission going back to the late nineteenth century (Harkavy 2006). In this light, an engaged campus became the public space that provides strategic and programmatic support via community partnerships (Nicotera et al. 2012), thus emphasizing how a college or university is an integral part of the urban fabric. Renewed interest prompted by global urbanism led to calls for reframing the twenty-first-century urban universities to be more efficient and inclusive in their contributions to the knowledge economy, given their role as hubs of local development and economic activity (Addie 2017). In sum, community engagement has permeated how colleges and universities define and (re)present themselves to the world, thus calibrating their brand name and the associated marketing and advancement campaigns, along with a whole slew of outreach programming (Weerts and Hudson 2009).

Mutually beneficial strategic engagements with communities should lead to relevant, deliberate inclusions in curricula, pedagogy, and research to benefit students who have the city as a lab for applications of their learning (Cantor et al. 2013). There are various strategies that endorse the mutual beneficial characteristic of strategic partnerships by constantly

ensuring a balanced perspective between colleges/universities and the communities they serve (Holton et al. 2015). Building on Dewey's participatory democracy, urban universities have a role to play as the vehicle or strategic agency (Harkavy 2006) by which social responsibility connects them to the fabric of communities, grounding them organically in their representation. As a critical, strategic partner, colleges and universities as anchor institutions can measure their relevance and social impact by being involved in initiatives dealing with education, academic research, public engagement and service, economic development and commercialization, and sustainability (Hayter and Cahoy 2018). As validation of the importance of such highly collaborative work, there are numerous organizations that support the reframing of higher education institutions in service of the greater public good, such as the Anchor Institutions Task Force, Campus Compact, the Coalition for Urban and Metropolitan Universities, Imagining America, the American Democracy Project, and so on (Guarasci 2018).

THE CASE OF CLEVELAND STATE UNIVERSITY: CONVERGING LINES OF ACTION TOWARD (RE)DEFINING ITS PUBLIC MISSION

As an urban research university, Cleveland State University (CSU) in Cleveland, Ohio has evolved over the years since its early beginning in 1964, following the tradition set by Fenn College of Engineering, founded as a private institution of higher learning in 1929 (Cleveland State University n.d.-a). Over the past ten years, investments of more than 500 million US dollars allowed the campus to be modernized and to expand in a way that strengthened its critical importance in downtown Cleveland. The impact the institution has on the region follows a pattern of concentric circles, starting with the fact that it has become the largest landowner in the downtown area (Anglin et al. 2018). The same report also reveals that the university has a great positive effect on the communities it serves in Northeast Ohio, ranging from 6739 jobs in employment impact, to 308 million US dollars in labor income impact, to close to half a billion dollars in value-added impact, to 679 million US dollars in output impact, and to 67 million US dollars in tax impact (Clouse et al. 2014). As a public institution of higher education, CSU subscribes to the meaning of the notion of "public" based on the convergence of state government

ownership and provision of non-rivalrous and non-excludable goods and services, thus serving the public interest, while being accountable to the communities served (Fischman et al. 2011).

Building on previous reports on the impact CSU has on its community, a taskforce was assembled in Fall of 2016 to investigate how the university's structures, policies, and practices align with the requirements and characteristics of an anchor institution. At that time, several strategic partnerships supported such a designation, as follows: (a) close ties with the Cleveland Clinic, MetroHealth, NEOMED, University Hospitals, and St. Vincent's Hospital; (b) very well established relationships with the Cleveland Metropolitan School District; (c) legal education training, law clinics, and incubator space for business-oriented initiatives; (d) community development programming in the Campus District and Central neighborhoods; (e) reports and research studies supporting public policy at the city and county levels; and so on. These examples underscore the institutional anchor strategy that allows CSU to engage in community outreach and development programming that takes advantage of the economic power of the university to impact the surrounding communities (Bennett et al. 2017). Ultimately, CSU as an anchor institution would enact upon a professed mission to tackle community challenges by demonstrating the capacity and campus culture needed to sustain strategic partnerships (Dubb et al. 2013). The Engaged Anchor Study Group established several principles that governed its collaborative work across campus and beyond. By extending the definition of an anchor institution beyond its permanent location to promote inclusive economic opportunity and community development, the designation capitalizes on democratic values and knowledge creation that supports several operational values proposed by the working group. To that end, an anchor institution does not exist in a void. Therefore, it uses flexible structures and processes to develop, sustain, and promote strategic partnerships that are mutually beneficial (Anglin et al. 2018). The working group involved stakeholder groups—faculty, students, and community members—in a survey-based research project that generated a baseline for the university to determine both the range of partnerships actively in place as well as future directions to enhance them and assign them to the anchor institution designation. Recommendations generated by the group emphasized the need to take stock of current initiatives, while establishing a framework to support the infrastructure necessary to elevate the partnerships that define the

university strategic social responsibility to apply its mission to deliver public value (Anglin et al. 2018; Hayter and Cahoy 2018).

By using a descriptive case study methodology to capture the rich context of a contemporary phenomenon (Yin 2014), the analysis of the various initiatives pursued by CSU is conducted in the latter's regional context, thus revealing connections to the communities surrounding the institution. In this light, there are several projects that point to some of the components of a Strategic Social Responsibility model (Hayter and Cahoy 2018), which would be further refined to substantiate or complement the aforementioned recommendations from the internal Engaged Anchor Study Group. Below are several initiatives pursued at different times in the recent history of the university. Each one of the initiatives has clear connections to and justification in community engagement. Collectively, they point to CSU's capacity for scaling up of such efforts by synchronizing them within a larger, hybrid infrastructure that emphasizes benefits to the communities served by the university, while endorsing the latter's strategic social responsibility. Balancing challenges and opportunities based on a thorough analysis of mission-driven policies and resources needed to implement them should lead to a nuanced understanding of how to navigate challenges and opportunities by comparing levels of institutional capability to provide public value (Hayter and Cahoy 2018).

Mission and Vision Statements + Core Values

Starting in summer of 2016, a team of CSU administrators identified a process by which the mission and vision statements could be updated based on feedback sought from various constituent groups across campus. Through an iterative process that involved a workshop with the senior leadership group, the focus was on identifying instances when CSU was at its best, based on which to tell a story about what the institution is all about. The exercise was replicated to involve faculty, staff, and students from across campus in focus group interviews. Typically, university mission captures its current capacity to fulfill the purpose of its programming, research, and outreach processes, while its vision positions it into the future based on potentiality. In this light, the resulting updates recast the mission and vision statements along the lines of contextual challenges and facilitating factors that had to be taken into account in strategic planning procedures, as follows:

Mission: Empowering students. Creating knowledge. Engaging communities. Shaping our world.

Vision: We will be a nationally recognized and student-focused public research institution that provides accessible, affordable, and Engaged Learning opportunities for all. We will be both:

- An anchor institution for Northeast Ohio, recognized for cutting-edge research, creative activity, and innovative collaborations that drive economic development and enrich the lives of our students and citizens, and;
- A beacon institution whose vitality attracts diverse and talented students, faculty, and staff from within and outside the region, thereby enhancing our distinctive and inclusive living, learning, and working environments. (Cleveland State University [n.d.-b](#))

Additionally, for the first time in the history of the university, a set of core values emerged from the conversations with different stakeholders. Set within the larger global milieu, the social responsibilities of colleges and universities (Hayter and Cahoy 2018) gives the concept of “anchor institutions” new meaning that emphasizes community outreach and sustained involvement that rely on shared value (Initiative for a Competitive Inner City 2016). Upon further analysis, these values seemed to indicate the distinct drivers behind various aspects of how the mission and vision statements would be expected to come to life, as follows:

Relevance: Providing our students with the resources they need to persist and succeed in their career pathways, the community with active citizens, and the region with enriching scholarship and creative activity.

Community engagement: Connecting the university to the larger community through meaningful, mutually beneficial partnerships.

Accessibility and affordability: Providing high-quality, accessible, and affordable educational experiences to a wide spectrum of students.

Inclusive excellence: Ensuring that we are a diverse institution where the collaboration and involvement of all are encouraged, all voices are heard, and all are treated with dignity and respect.

Fiscal responsibility and responsiveness: Being good stewards of public and university resources and anticipating the best ways to deploy them.

Accountability: Being responsible for our words, our actions, and for their consequences.

Freedom of expression: Protecting and championing the right to freely communicate ideas without censorship and to study material as it is written, produced, or stated. (Cleveland State University [n.d.-b](#))

The process described above outlines yet another example of a bottom-up approach to involving stakeholders in reframing what the university stands for and how that comes to life. The set of mission and vision statements, relying on core values that embody them, permeate institutional space and culture, which, in turn, support the campus-wide negotiation of strategy to ensure that the college or university fulfills its social responsibility (Fugazzotto 2009).

Public Sphere Pedagogy

Public sphere pedagogy brings to life teaching of various academic disciplines by emphasizing a civic dimension that encapsulates learning opportunities that connect classrooms and life outside campus. In this light, students take on challenging issues faced by communities that could benefit from solutions proposed to them during town hall meetings and great debates, as signature events associated with public sphere pedagogy (Rhem 2016). One relevant initiative promoted by the Office of Civic Engagement at Cleveland State University focused on involving faculty in critical conversations aimed at identifying ways in which students could apply knowledge, refine skills, and develop professional dispositions in real-world circumstances that could benefit communities beyond campus. Therefore, faculty could analyze their instructional strategies to enhance student learning by capitalizing on how learning could translate into community-facing actions and behaviors. Consequently, students engage community members in a public sphere. While public space is anchored by physicality, public sphere brings together various expressions of human agency (Mayr 2011) in a way that supports freedom as foundational practice guiding interactions and negotiations (Arendt, as cited in Biesta 2012).

Developed as an exploratory initiative pursued by faculty who formed a dedicated committee in Fall 2013, public sphere pedagogy at Cleveland State University implied conversations with California State University—Chico faculty and staff who had been instrumental in launching a similar project on their campus. A pilot in a Communication course focused on four topics of interest to the public in 2016, as follows: (a) Arts and Culture levy; (b) charter versus traditional public schools; (c) marijuana legalization; and (d) food. The following academic year dealt with two new topics, lead (for Fall 2016) and the legacy of Carl and Louise Stokes (for Spring 2017) (Public Sphere Pedagogy n.d.). Two faculty in particular, one in Communication, the other in English, took the lead in terms of

implementing the practice in their classroom. The former structured his curriculum along the lines of guiding principles that bring public spaces into the learning of students by promoting them to initiate dialogue with members of the campus community and beyond, thus refining a sense of civic involvement and social responsibility (Horowitz 2016). The other instructor created bridges between students and a dedicated librarian by the use of critical pedagogy to design project-based learning experiences promoting public arena issues (Gosselin and Goodsett 2019). While these examples are grounded in particular academic disciplines, they indicate how bottom-up approaches to faculty development and student engagement could contribute to a college's or university's larger, more comprehensive plan to serve the public good via a multitude of programs intended to benefit communities.

Civic Engagement

Part of the foundation for the campus-wide work on defining and implementing civic engagement at Cleveland State University is provided by the phrase “engaged learning” that emerged during the 2008–2009 academic year. Consequently, various initiatives were pursued in different academic units across campus. That flurry of activity was eventually monitored and promoted centrally, which led to the awarding of the Community Engagement classification by the Carnegie Foundation for the Advancement of Teaching in 2015. Consequently, the concept and practice of “engaged learning” were conceived of as having a critical component focused deliberately and specifically on communities served by the university. The main characteristic of such community-engaged learning was the beneficial exchange of knowledge and resources in a context of partnership and reciprocity. The primary benefit to students, faculty, and community members involved in this range of learning opportunities would be derived from ensuring that students would be(come) engaged citizens, faculty would demonstrate enriched, civically-focused scholarship, while community members would have equal partners in solving social and economic issues affecting them. In preparation for the submission of the application for the Community Engagement classification, \$16.1 million (7 percent of CSU's total budget) in internal allocations were dedicated to support institutional engagement, while \$2.37 million were secured from additional external funding sources. The centralized coordinating effort led to the identification of 659 courses (13 percent of

all courses taught at CSU at that time) as having a community engagement component. These classes were taught by 321 faculty, representing 23 percent of all CSU faculty. Some examples of planning activities that were spurred by the institutional investment in community engagement initiatives include the following: (a) grants for faculty and students to engage in community-facing research projects; (b) Civic Fellowships within various department in city as well as county government offices; (c) volunteer opportunities; (d) Central Neighborhood Alliance; (e) an urban health program called Cleveland Neighborhood Model; and so on. The culmination of the extremely collaborative work was the distilling of the various projects and programs that represented an ad-hoc mix of mostly bottom-up and a few top-down initiatives into a preliminary formal definition of “engaged learning.” According to it, the underlying concept and set of practices invite students to partake in a wide range of interactions within and outside the campus community, enforcing the value of experiential learning (2020 Project Charter Report 2016).

Building on the momentum represented by the awarding of the Community Engagement classification, a group of faculty formed a working group aimed at connecting engaged learning with engaged scholarship, both in terms of challenges and structural, formal recognition. The combination provides a theoretical model that connects engaged learning (with its two subsets, one focused on communities outside the university, while the other deals with campus-based activities) and engaged scholarship, both of them guided and informed by the mission of Cleveland State University (Abate et al. 2016).

Less than two years later, one of the members of the faculty working group was selected to lead the Civic Engagement project as a Faculty Fellow. Appointed in Spring of 2018, this individual worked with colleagues across campus to formalize a previous initiative focused on adding Civic Engagement as a new skill area to the General Education program, in light of all the work on engaged learning in the context of community engagement. Through constant contact with faculty in various academic departments serving the General Education program, courses in English, Education, Communication, World Languages, Literature, and Cultures, Theatre and Dance, Urban Affairs, and Nursing were identified as having curricular components that qualify them for inclusion in the new skill area. The criteria used to recommend a particular course for inclusion relate to student work, primarily collaborative, that serves the common good, while being mutually beneficial to students, faculty, staff, organization partners,

and/or members of the larger community. Such projects could be completed by engaging in a wide spectrum of experiential learning opportunities built on collaboration, respect, trust, and the effective application of civic skills, thus bridging education, work, and personal development (Kolb 2015).

The current state of the initiative is moving into formalizing a certificate in Civic Engagement, which would represent a value-added to undergraduate students interested in this particular skill area. By choosing additional courses with community-based work, students would be able to refine their knowledge, skills, and dispositions that support a civically minded contributor to the wellbeing of their respective community. The bottom-up approach to involving faculty in analyzing their curricula and its relevance to the students served by the university is essential in forging consensus and a mutual understanding on how to engage communities at large through experiential learning. Strategic partnerships should be based on a constant investigation of what it meant by “campus” and “community” to determine points of convergence that could lead to enhanced, dynamic, and mutually beneficial relationships between the two (Bringle et al. 2009).

WORKING FRAMEWORK FOR URBAN UNIVERSITIES AS ANCHOR INSTITUTIONS AND PUBLIC PARTNERS TO COMMUNITIES THEY SERVE

During the campus-wide work on identifying how CSU could (re)present itself as an anchor institution in Northeast Ohio, the Engaged Anchor Study Group grounded its analysis of the feedback collected from the various stakeholders involved in the process in the determination that such an institution would contribute to the stability and sustainability of a democratic society by investing in initiatives related to: (a) cultural and artistic expression; (b) intellectual inquiry; and (c) community and leadership development (Anglin et al. 2018).

An earlier framework places at the center of the mission of an anchor institution the commitment to use its context-specific economic power as well as human and intellectual resources to impact positively the conditions of the communities served. In this light, the framework is designed to help institutions realize the values added to benefit communities. The four main components are as follows:

- (a) Economic development, ranging from equitable hiring practices to affordable housing principles, artistic and cultural development, community investment, and so on.
- (b) Community building, encompassing supporting stable local partners and financially secure households.
- (c) Education, focused on high school graduation rates, access to post-high school programs, either academic or vocational.
- (d) Health, safety, and environment (Dubb et al. 2013).

While taking into account the previous lines of inquiry and practice, the proposed model casts a light on the institutional planning processes and structures that bring into view various items of interest that define an institution of higher education or connect it to surrounding communities, in a fixed location, through a wide spectrum of deliberate programming made possible by strategic investments of resources/capital (see Fig. 2.1).

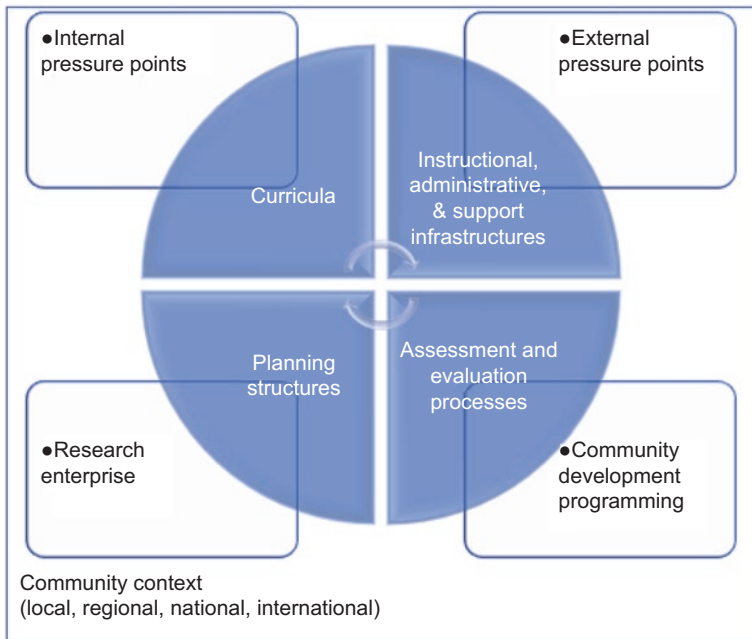


Fig. 2.1 Anchor institution strategic planning. (Source: Author)

While the community context, albeit fixed, could be interpreted as local, regional, national, or international, depending on how wide an individual college or university wants to cast its area of impact, based on the comparative analysis between institutional capacity and potential for quantifiable expected outcomes. Given a college's or university's mission and vision statements, the profile of the students served, the scope of community outreach initiatives, research productivity, and so on, the context could be gradually increased or purposefully stable over time.

One operational categorization of external environmental pressure points focuses on four dimensions: (1) political; (2) economic; (3) socio-cultural; and (4) technological (Papadimitriou 2011). Along the same lines, internal pressure points relate to the following: (a) financial stability; (b) leadership style; (c) shared governance; (d) decisional structures and practices; (e) governing policies; and (f) campus culture and climate. Financial stability determines the degree to which a given college or university has the capacity to fulfill its mission. There is circularity among these internal parameters that ensure that an institution's proper functioning relies both on each of these components working as expected and their entire ensemble working well in tandem. Differently put, governing policies are enacted upon by way of decisional structures and practices, most of which are subjected to varying degrees of shared governance. The leadership style, be it top-down or bottom-up, ensures that the mission of the college or university informs policies as well as shared governance participants in a manner that leads to positive, constructive, and collaborative campus culture and climate. In turn, fiscal stability in the context of a democratic, transparent leadership style that engages shared governance based on effective structures to support guiding policies can only lead to trust and productivity.

At the core of an anchor institution there are curricula constantly brought to life by way of instructional, administrative, and support structures. While academic disciplines rely on sets of knowledge bases, supporting skills, and associated dispositions whose mastery is expected to be demonstrated by students as a requirement to graduation, the interplay among them across a college or university campus provides richness to the overall experiential learning opportunities students have. The balance between curricular and co-curricular areas leads to stronger bridges connecting classroom learning and applications of knowledge and skills to real-world situations. In the examples of Civic Engagement and Public Sphere Pedagogy provided earlier, the faculty-driven curricula involved

negotiations of meaning, existing curricular and instructional capacity, and criteria for the evaluation of relevant student work. The use of shared governance by having a Faculty Fellow for Civic Engagement take the lead in engaging with fellow faculty across campus brought to fruition the bottom-up approach to planning. Meanwhile, built-in mechanisms to determine the feasibility of the new skill area in the General Education program at CSU were grounded in the institutional assessment and evaluation processes. In the case of the aforementioned anchor institution-focused work, a previous planning process tied to determining the strategic direction of the university outlined several parameters that CSU demonstrated in its investigation of the feasibility of assuming an anchor institution designation. The wide range of partnerships in place at the time pointed to a mix of provisions related to research, teaching, and service via community engagement that the university had to offer. Connections to curricula, instructional, administrative, and support infrastructure became apparent in the analysis of the feedback from constituent groups involved in the survey-based research study. Finding suggested strengthening planning structures and processes to elevate the importance of such strategic partnerships to the ways in which the university fulfills its mission.

Interfacing closely with curricula, the research capacity of a college or university allows it to offer community development programming that identifies solutions to current problems. Whether it is an action research project undertaken by a pre-service teacher or a life science capstone experience or an invention that could be commercialized to disseminate scientific findings to the world, the research arm of a college or university has organic ties to curricula as a means by which to lead to knowledge transfer and academic entrepreneurialism (Shore and McLauchlan 2012). As an illustration, the Engaged Anchor Study Group mentioned earlier derived a particular recommendation to the university community based on the feedback collected from faculty, students, and community members. In this case, focused on the notion of “collective impact” as driver of efforts to build and sustain strategic partnerships, investing resources in the areas of Education and Health would validate the needs of the communities in Northeast Ohio, while validating the local economy. In terms of the former, the Cleveland Metropolitan School District is the larger employer of graduates of teaching licensure programs, while the various hospital systems in the area play a critical role in structuring healthcare education at CSU (Anglin et al. 2018).

Upon a dynamic analysis of the theoretical model proposed, there is a certain degree of polyvalence that permeates it. In other words, irrespective of the entry point into the model, the other components come to the fore to indicate interplay/interdependence. In terms of the applicability of the model, while future research would refine it by collecting data from various settings willing to implement it, the current configuration is by design generic to a degree that renders it flexible in its use. Whether or not a college or university has a well-established infrastructure by which to point to concrete ways in which it meets its social responsibility as an anchor institution, the proposed model provided the foundational components that could be brought to the fore in work related to revisioning of mission statements or prioritization of funding allocation to fulfill a mission statement.

LESSONS LEARNED AND SUGGESTIONS

There are several ways in which the traditional structure of the strategic planning process could dovetail with the equivalent sequence proposed for anchor institutions that aim to recharge their mission to support social responsibility. All three phases of design, implementation, and monitoring/evaluation translate easily to the proposed model. Based on best practices and benchmarking that guides the field of strategic planning, identifying, negotiating, and selecting goals, objectives, and action steps should rely on broad-based support from and involvement of stakeholders who have knowledge of the institution, its history, and mission to the community. Prioritizing strategies and initiatives should attempt to balance enhancing student success, while maximizing the various ways in which the college or university adds value to its context, be it local, regional, national, or international, thus promoting the brand name (Hanover Research 2013). Overall, the thorough analysis of an institutional context in terms of local/regional parameters against the backdrop provided by trends in the national/international higher education sector would support scenario-planning focused on comparisons to actual and aspirational peers, thus outlining facilitators and obstacles that could impact any efforts to increase a college's or university's competitive advantage.

Previous work focused on anchor institutions and the various ways in which they apply social responsibility to developing and sustaining community partnerships indicates several findings that could inform future

planning. On the one hand, defining, monitoring, and evaluating partnerships should take into account alignment to the university mission and strategic goals that make use of resources to benefit communities in a particular area (Holton et al. 2015). On the other hand, community asset mapping should provide the foundation for university-led work that bears actual marks of mutual benefit to all stakeholders involved in community work. Operating from a stance of “equal partners” in solving real problems takes advantage of social capital that brings together the anchor institution and the communities it serves (Cantor et al. 2013).

The examples provided in this chapter related to Public Sphere Pedagogy, Civic Engagement as a new skill area in the General Education program, and the revised mission and vision statements lead to the identification of several lessons that could be used to extrapolate findings to the level of the larger higher education sector:

- (a) Findings indicate the wide range of initiatives/projects that have varying degrees of community involvement/impact.
- (b) Awareness of terminology varies from one academic unit to another.
- (c) Sustainability of such level of community outreach requires prioritization and investment.
- (d) Connections to specifics of the NE Ohio metropolitan area could represent a logical step toward formalizing the “anchor institution” designation.
- (e) Concurrently, constant communication across campus and the various communities served would recalibrate the initial meaning assigned to the concept and related practices.

Moreover, there are several ways in which to connect these examples of initiatives pursued at CSU with social responsibility in mind while cultivating/promoting community partnerships to the proposed theoretical model for anchor institution strategic planning. First, monitoring internal and external pressure points and how they interplay could require scenario-planning that could outline the university’s capacity to respond quickly and effectively to a sudden shift in any of these parameters, internal and/or external. Second, making good use of planning processes and shared governance, in the context of a democratic leadership style, to review and revise curricula and the associated co-curricular areas could lead to an ability to invest justly in strategic partnerships that inform and benefit from such internal change. Third, supporting the research enterprise, coupled

with a clear and community-friendly structure by which to engage in outreach initiatives would promote the university's commitment to social responsibility. Overall, democratic civic engagement should lead to constructive conversations across and beyond campus that deal with how knowledge is defined and co-constructed, in alignment with the mission and purpose of the university (Hartley and Saltmarsh 2011).

Fulfilling the strategic social responsibilities of higher education should be part of an institutional process that relies on dynamic capabilities through articulation and prioritization (Hayter and Cahoy 2018). Sustained dialogue should be used as a strategy to engage communities on and beyond campus in a way that supports the efforts by cities to become inclusive and safe hubs of economic development, rendering them as "places of promise," as outlined by Ruble in his remarks at the CUMU annual meeting following the United Nations' Habitat III meeting and its New Urban Agenda (Ruble 2016). Future research should investigate the various ways in which colleges and universities institutionalize engagement to enact upon their strategic social responsibility by bridging resources and supporting policies to deliver mission-driven public value (Hayter and Cahoy 2018). Additionally, applying the proposed framework for anchor institution strategic planning should lead to several lines of inquiry related to how the context of a given college or university, coupled with a wide range of internal and external factors could support the sustainability of partnerships that are mutually beneficial in today's era of uncertainty and fiscal restraint.

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Public-Public Partnerships: Expanding Higher Education Capacity Through Economic Redevelopment

Michael W. Klein

INTRODUCTION

Institutions of higher education and the communities in which they are located have become increasingly interconnected since the 1800s (Brockliss 2000). In urban centers where research institutions have large campuses and strong political influence, “the historical transformations of university and city since the mid twentieth century have been closely intertwined and interdependent” (O’Mara 2012, p. 235). Universities are often among the largest employers in their metropolitan area, as well as one of the largest owners of land and buildings (Perry and Wiewel 2005, p. 5). One integral relationship is “between universities and the elected leadership of the cities, towns, and counties in which they are located” (O’Mara 2012, p. 236).

M. W. Klein (✉)

Rockefeller Institute of Government, SUNY, Albany, NY, USA

e-mail: Michael.klein@rock.suny.edu

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Under these “town-gown” relationships in the twenty-first century, institutions can have “a positive economic development impact, directly and indirectly, on the community and for the residents” (Kemp 2013, p. 1). In fact, universities “now feel compelled to foster conditions for generating regional wealth” (Geiger 2004, p. 181).

The Great Recession of 2007–2009 battered resources for public universities and their surrounding communities, making economic partnerships between them more important than ever. Declines in the national economy between December 2007 and June 2009 caused state tax collections to fall sharply, reducing aggregate state general fund revenue by 10.3 percent, from \$680 billion to \$610 billion, between fiscal years 2008 and 2010 (National Association of State Budget Officers [NASBO] 2013, Fig. 11). Over the two-year period of fiscal years 2009 and 2010, states slashed general fund expenditures by \$64 billion, and while they raised \$39.7 billion over this same time—in part by raising tax rates, reducing tax credits and deductions, and expanding tax bases—the net result “was budget cuts were greater than enacted revenue increases, and more states cut budgets in response to the recession than increased taxes” (NASBO 2013, p. 8). States cut their budgets in several ways, including “employee layoffs, furloughs, agency consolidation, reduced local aid, decreased state employee benefits and scaled down services” (NASBO 2013, p. 7). Budget cuts “were disproportionate across spending categories” during the Great Recession, and “areas like public assistance, higher education and aid to local governments” were hit the hardest (NASBO 2013, p. 8).

Over ten years later, higher education was still suffering from the effects of the budget cuts during the Great Recession. Educational appropriations per public college student dropped 24.4 percent from 2008 levels over four straight years to \$6689 in 2012, fueled by 13 percent enrollment growth and “a lack of proportional funding increases” (State Higher Education Executive Officers Association [SHEEO] 2019, p. 19). Although appropriations rebounded for five straight years between 2013 and 2017, states appropriated almost \$2000 less per student in 2018 than in 2001, and \$1000 less than before the Great Recession, meaning “**that ten years after the start of the Great Recession, state funding for higher education has only halfway recovered** [emphasis in original]” (SHEEO 2019, p. 19).

For municipalities, the “deep and sustained” decrease in housing prices during the Great Recession caused local property tax revenues to drop, albeit with a lag of about three years (Dadayan 2012, pp. 6, 8). The

property tax is the principal source of funding for K-12 education, police, fire protection, parks, and other public services provided by local governments. Adjusting for inflation, local property tax collections declined 2.8 percent in the first quarter of 2012 compared to the same quarter of 2011, “marking the sixth consecutive quarterly decline in real revenues” (Dadayan 2012, p. 6). Property tax collections continued to fall for two more years: between 2009 and 2014, real per capita property tax revenue on average fell by over 12 percent in 90 of the largest US cities (Chernick et al. 2017). The decline in property tax revenue drained municipal and school budgets, causing cuts in personnel and straining safety-net services just as demand for assistance increased (Dadayan 2012).

To recover from the Great Recession, universities and their host communities formed stronger bonds to help each other. In James Fallows’ (2016) “Eleven Signs a City Will Succeed,” he ranked at no. 6: “They are near a research university.” “Research universities have become the modern counterparts to a natural harbor or a location at a river confluence” because of the economic benefits they provide through students and researchers. Using “boundary-spanners,” which connect external constituents with the internal organization (Scott 1998), universities and their municipalities can build trust and share power through “flexible governance structures and porous structures that enable meaningful university-community exchanges to take place” (Weerts and Sandmann 2008, p. 82).

One such boundary-spanning organization is a “complex adaptive coalition,” through which “business, labor, educators, philanthropists, social entrepreneurs and mayors are all working together to build more adaptive local citizens and companies” (Friedman 2018a). *New York Times* columnist Tom Friedman, who coined this phrase, (2018b) has noted: “All successful complex adaptive coalitions have some kind of college or university in their town.”

Since the Great Recession, public-public partnerships (PuPs) represent these kinds of complex adaptive coalitions, helping public universities and their local communities to share scarce resources. As this chapter’s examples from Arizona State University, the University of California Davis, and California State University Chico demonstrate, PuPs help finance critical infrastructure and drive economic development. PuPs are a powerful financing model that other universities and their surrounding communities can readily replicate for their mutual benefit.

THEORETICAL FRAMEWORK: RESOURCE DEPENDENCY THEORY

This study uses “resource dependency theory” as its theoretical framework. Resource dependency theory posits that organizations are not “self-directed, autonomous actors pursuing their own ends” but are instead “other-directed, involved in a constant struggle for autonomy and discretion, confronted with constraint and external control” (Pfeffer and Salancik 1978, p. 257).

Resource dependency theory indicates that organizations look for ways to increase their autonomy “by making their environment more predictable and favorable,” such as forming coalitions “to gain greater influence” (Bolman and Deal 2003, p. 235). Public-public partnerships are one such coalition.

LITERATURE REVIEW

Universities and Economic Development

Scholars have broadly examined the role of universities in economic development. Higher education “is now a major economic driver, and colleges and universities are critical components of national and regional workforce-development strategies and innovation systems” (Zimpher 2012, p. xiv). Colleges and universities serve as “anchor institutions”—with their large size and deep roots in the community—and help spur economic development because they provide an array of jobs, from faculty to administration to support staff; they serve as incubators for entrepreneurial ideas to create new industries; and they prepare the workforce of the future (Zimpher 2012, pp. xiv–xv).

Case studies of the economic impact of specific institutions have been published since at least the early 1970s (Goldstein and Renault 2004). For example, economic-development case studies have been written about Stanford University (Rogers and Larsen 1984), the Massachusetts Institute of Technology (Rosegrant and Lampe 1985), the institutions within the Research Triangle in North Carolina (Link 1995), Yale and the University of Cambridge (Breznitz 2014), Johns Hopkins University (Feldman and Desrochers 2003), and European institutions (European Union 2011).

University Real Estate Development

Wiewel and Perry (2005)—in a series of case studies involving institutions such as the University of Pittsburgh, Columbia University, and DePaul University in Chicago—analyzed university real estate development as “a new area of academic and applied inquiry” (p. 300). In summary, “university real estate development has come to be perceived as an important part of the community development process,” involving adjacent neighborhoods, the development of the urban core or downtown business district, and larger development projects requiring university-city real estate collaboration (Perry and Wiewel 2005, p. 6). A central theme of the case studies is that “university real estate development is a political process. Without a good understanding of local politics and what it requires, development will be far more difficult if not impossible to carry forward” (p. 13).

Academic Capitalism and “Propinquity”

An influential theory explaining higher education’s role in the economy is *academic capitalism* (Slaughter and Leslie 1997; Slaughter and Rhoades 2004). Defined to mean “the pursuit of market and marketlike activities to generate external revenues” (Slaughter and Rhoades 2004, p. 9), academic capitalism directs “attention to networks of actors that link universities to each other, to corporations, and to various state agencies” (Slaughter and Rhoades 2004, p. 8). The emergence of global markets and cuts to government support for higher education “precipitated campus reactions of a resource-dependent nature,” meaning “faculty and institutions began to compete or increased their competition for external funds” (Slaughter and Leslie 1997, p. 209).

An analysis of the history of research parks (Geiger 2004) provides a helpful lens through which to view public-public partnerships. The principal motivation behind research parks “is that the juxtaposition of university and industry will produce interaction – particularly involvement with faculty – for the mutual benefit of the university, firm, and local economy” (p. 205). The operating principle for research parks has been called “*propinquity* – spatial proximity will cause these fruitful interactions to occur” (Geiger 2004, p. 205).

Partnerships, and Public-Private Partnerships (P3s)

Partnerships have been defined as a “pooling or sharing of resources among two or more stakeholders to solve a problem or create an opportunity that neither can address individually” (Selin and Chavez 1995, p. 260). One type of partnership is a public-private partnership (P3), which is a long-term contractual agreement between a public-sector body and a private-sector entity “for the construction or management of public sector infrastructure facilities by the private sector entity, or the provision of services . . . by the private sector entity to the community on behalf of a public sector entity” (Grimsey and Lewis 2002, p. 108).

In the higher-education context, P3s started as research agreements between businesses and universities, “with an applied orientation” (Kysiak 1986, p. 48). Over time, universities served businesses “as a real estate anchor, and as a growing source of applied research and technical professionals,” which eventually attracted “the public sector to revitalize its local communities,” leading to “tripartite partnerships” (Kysiak 1986, p. 48).

Public-Public Partnerships

Public agencies have increasingly recognized the need to partner with other public agencies to share resources to address issues that neither entity alone can tackle. Public-public partnerships are a strategic response to resource dependency, allowing individual agencies to combine technical, managerial, and financial resources to reduce risks and transaction costs while entering major projects (Greasley et al. 2008).

Simply put, public-public partnerships are “partnerships between public authorities (government) and any part or member of the general public,” such as communities, NGOs, and other government actors (Hall et al. 2005, p. 4). Unlike public-private partnerships—which are entered between local authorities and a private entity “motivated by commercial gain”—public-public partnerships are based on “a peer relationship forged around common values and objectives, which exclude profit-seeking” (Lobina and Hall 2006).

This study borrows from the literature of public water works and highway projects. A study of over 130 PuPs for water operations in about 70 countries over a period of over 20 years (Hall et al. 2009) reported several advantages over other partnerships that are based on commercial objectives. The benefits included mutual understanding of public-sector

objectives; local control over objectives and methods; a non-commercial relationship, with low risk; transparency and accountability; low transaction costs; long-term gain in capacity-building; and the possibility of engaging the local civil society and workforce.

A study of toll roads in Texas (Battaglio and Khankarli 2008) indicated the advantages of PuPs over public-private partnerships (P3s). P3s have potential problems over accountability and legitimacy, including concerns over transparency of transactions, the use of public resources to benefit private businesses, and the degree of government control over contractors; and the inability of citizens to determine the responsible party for specific services.

RESEARCH FINDINGS: HIGHER EDUCATION EXAMPLES OF PUBLIC-PUBLIC PARTNERSHIPS

Over less than a 15-year span, between 2006 and 2019, three public universities in the US prominently partnered with their local communities to maximize public funding and mutually meet each other's needs. They are Arizona State University, the University of California Davis, and California State University Chico.

Arizona State University, Downtown Phoenix, and "The Central Idea"

Arizona State University (ASU) enrolls over 42,000 undergraduates, the sixth highest in the US (Kowarski 2018). Based in the city of Tempe and with two other branch campuses, the university partnered with the City of Phoenix, about ten miles west of Tempe, to create a fourth ASU campus to revitalize downtown Phoenix and provide more facilities to enable ASU to serve Arizona's growing population (Fischer 2006). Arizona State University president Michael Crow, who arrived in 2002, "brought with him a vision of an urban campus for ASU in the region's downtown," and he found "a ready partner" in Phoenix Mayor Phil Gordon (Leinberger and Loh 2018, p. 44). Together they signed an intergovernmental agreement in 2005 under which the city would develop a campus, including land acquisition and buildings, and ASU would develop academic programming and maintain the campus.

Funding Sources On March 14, 2006, Phoenix voters by a 2-1 margin approved seven bond issues totaling \$878.5 million for citywide projects, which included \$223 million to develop ASU's Downtown Phoenix campus (Fischer 2006; Hardesty 2006–2007). The city paid for campus construction through the bonds, and the university will own the buildings after the 25-year bonds are paid off (Reagor et al. 2018).

ASU's investment was reflected in its commitment to relocate to the new downtown campus its academic programs and schools that the university considered would benefit most from an urban setting. The first, in 2006, included the College of Nursing, the College of Public Programs, and University College, and later the School of Global Health and Medicine, the Walter Cronkite School of Journalism and Mass Communication, the Thunderbird School of Global Management, and the Sandra Day O'Connor School of Law. Campus enrollment was planned at 15,000 students.

Location: "The Central Idea" In addition to ASU's aspirations, the City of Phoenix needed to redevelop. "Having a relatively empty urban core in the fifth-largest city in the United States was not helpful in the attraction of new companies or research talent. Accordingly, both parties were motivated to fix the problem," said Wellington "Duke" Reiter, executive director of ASU's University City Exchange and senior advisor to the president (Walker 2018).

The solution to the problem was The Central Idea, focused on the potential of Central Avenue, the "fundamental organizing boulevard" of Phoenix (Reiter 2017, p. 11). As Reiter explained:

By deliberately concentrating meaningful investments—public, corporate, and philanthropic—this singular spine can provide an authoritative narrative tailored to this place, and become a center of gravity for a region asserting itself on the national stage. In the process, we imagine the emergence of an extraordinary urban vernacular which is responsive to our climate, an elevated role for arts and culture, and a population fully representative of our diverse heritage. (p. 11)

The City of Phoenix placed its public investments in new police and fire stations, improved parks, expanded libraries, upgraded streets and sewers,

and the Valley Metro light-rail system, which connects Mesa to northwest Phoenix by way of downtown and was funded with a voter-approved 0.4 percent increase in the sales tax in 2000 (Reagor et al. 2018). The opening of the Phoenix campus in August 2006 combined with the light rail to catalyze redevelopment. Private sector development on parcels within a short distance of the campus and rail line since 2008—the year “the trains starting rolling through downtown” (Reagor et al. 2018)—has totaled \$8.2 billion, and the rail line is planned to extend 66 more miles by 2034 (Reiter 2017).

Scholarly Solutions to Local Issues Like the “propinquity” of a research park (Geiger 2004, p. 205), where faculty join with local industries, faculty are partnering with city officials in Phoenix to address local issues. For example, the Phoenix Urban Research Laboratory, the Phoenix campus’ arm of the College of Design in Tempe, conducted a study with the city, METRO light rail, and the Camelback Corridor’s residents and business owners to examine the impact of the incoming light rail on the character of the neighborhood and community (Friedman 2009, p. 96). As another example, university researchers and practitioners from the city’s Street Transportation Department serve together on the Phoenix Urban Heat Island Task Force to reduce heat reflected off asphalt and protect populations vulnerable to excessive heat (Friedman 2009).

ASU also established several new centers to address major constituencies within the population of Phoenix. They include the Office of Latino Projects in the School of Social Work, and the Hartford Center for Geriatric Nursing, to help the region’s senior citizens (Friedman 2009).

University of California Davis’ “Aggie Square”

The University of California Davis, 15 miles from the state capitol building in Sacramento in northern California, enrolls over 37,000 students, including 30,000 undergraduates. Its largest graduate programs are in Health Professions and Related Programs, including Medicine (located in Sacramento) and Veterinary Medicine.

The idea for UC Davis and the city of Sacramento to collaborate began in Atlanta. In June 2017, Sacramento Mayor Darrell Steinberg led a delegation to Atlanta to visit Georgia Tech’s Dean of Engineering Gary May—who had been appointed chancellor of UC Davis in February

2017—and tour Tech Square, an economic development hub featuring startup accelerators, research labs, and corporate innovation centers. Dean May took up his new post as chancellor of UC Davis in August 2017. In his first major address in September 2017, Chancellor May proposed a stronger partnership between UC Davis and the greater Sacramento region, and suggested an innovation hub named “Aggie Square” (Sacramento and UC Davis Working Group 2018).

Location: “The Heart of Sacramento” A working group comprising representatives from the Mayor’s Office in Sacramento and the UC Davis Chancellor’s Office described Aggie Square as an opportunity “to align university strengths and ambitions with the needs of the market, allowing Sacramento leaders to better support the university, sector growth and job creation, in turn creating solutions for greater prosperity across the region” (Sacramento and UC Davis Working Group 2018, p. 3). The UC Davis Health Campus in Oak Park was one of four areas within Sacramento identified as a suitable site for Aggie Square, because of its location “in the heart of Sacramento,” and existing transportation, residential, retail, and hospitality infrastructure around the site (Sacramento and UC Davis Working Group 2018, p. 20).

On April 12, 2018, the City of Sacramento and UC Davis announced they would build a technology and innovation campus called Aggie Square on 25 acres set aside by the university on its Health Campus for a research and innovation district (Lillis 2018a). The university gained a research center and teaching space, while the city anticipated an employment generator that could produce 10,000 jobs (Lillis 2018a; Pena 2020). Sacramento Mayor Darrell Steinberg said, “The direction is clear and cannot be repeated enough: as we grow a dynamic economy and take advantage of all of our institutions and assets, that growth must be tied to our neighborhoods, our communities, especially our communities of color” (Lillis 2018a).

Health care and other STEM research topped the list of projects at Aggie Square. Aggie Square’s first project was a \$60 million, 40-bed rehabilitation hospital for stroke and brain trauma patients (Lillis 2018b). The request for qualifications for the development of Aggie Square called for 500,000 square feet of science, technology, and engineering space; 250,000 square feet of classroom, office and co-working space; 200 housing units for undergraduate, graduate, and professional students; 30,000

square feet of “community-serving” ground-floor space; and a market plaza and pavilion connecting Aggie Square with the community (Wescott 2019a). Phase 1 construction is scheduled to begin in mid-2021.

Beyond the early focus on life sciences programs, Aggie Square may span several disciplines. Kristin Lagattuta, chair of the Academic Senate at UC Davis, said, “The ultimate vision should be much more inclusive. You could easily see the whole enterprise being related to health, but I think there is room for other disciplines such as social sciences, engineering, the arts and education” (Wescott 2019b). As evidence, anchor tenants joining UC Davis Health included Continuing and Professional Education, the Sacramento Part-Time MBA Program of the Graduate School of Management, and the Office of Public Scholarship and Engagement (Wescott 2019a).

Funding Sources Funding for Aggie Square came from several public sources. From the state, California’s FY2019 budget included \$2.8 million for community engagement and outreach, internal planning staff, external consultants, technical experts, and legal experts (Topousis 2018). UC Davis Chancellor Gary May indicated that the university would raise money for the project (Lillis 2018a). The Sacramento Municipal Utility District, along with nine community partners, contributed a minimum of \$750,000 to projects in Sacramento’s Promise Zone neighborhoods, which include Aggie Square (Darden 2019).

Assemblyman Kevin McCarty, who represents Sacramento and sponsored the \$2.8 million planning grant in the state budget, described Aggie Square as “a quadruple win” for the State of California, UC Davis, the City of Sacramento, and the Stockton Boulevard Corridor. “The partnership will allow the University of California to accommodate more students, support small businesses in our community and foster economic development throughout the Sacramento region,” McCarty said (Topousis 2018).

Scholarly Solutions to Local Issues On January 16, 2020, UC Davis unveiled a new anchor tenant for Aggie Square: the Alice Waters Institute for Edible Education, which will offer courses related to food consumption and production, and will work with UC Davis’ School of Education to address food-related issues, such as water use and nutritional illiteracy (Egel 2020). At the announcement about the Waters Institute, Sacramento Vice Mayor

Eric Guerra said, “Food insecurity that is happening around the Stockton/Broadway corridor is a real thing, and the fact that this is going to be the location, the epicenter of changing that, is a humongous move for Sacramento and humongous move for the kids here” (Egel 2020).

Cal State Chico and the “South Campus Neighborhood Project”

Some public-public partnerships aim to improve “the appearance, safety, and socioeconomic status of adjacent neighborhoods,” which can result in benefits including rehabilitated housing, new community facilities, learning opportunities for students, and services provided to local residents (Wiewel and Perry 2005, p. 302). These benefits well describe the Resilient Cities Initiative at California State University (CSU), Chico.

In 2016, the Institute for Sustainable Development at CSU Chico launched the Resilient Cities Initiative (RCI), which connects expert faculty and students with municipalities and communities across the university’s service region on sustainability and resilience projects identified and funded by partner agencies (Alexander and Pushnik 2017). The project co-directors and co-principal investigators were James Pushnik, the executive director of RCI; and Fletcher Alexander, associate director of RCI. The RCI first collaborated with the City of Chico in a two-phase study of the South Campus Neighborhood, which focused on a 42-square-block residential area immediately adjacent to the university and downtown Chico, with the goal of helping to develop a Neighborhood Improvement Plan (Alexander and Pushnik 2017).

The city’s initial priority was transportation and public-right-of-way issues in the South Campus Neighborhood. After a car struck and killed a man walking across a local street in March 2015 (Pincus 2015), nearly 1200 students signed a petition to address safety in the South Campus Neighborhood (Ottoboni 2019).

Funding Sources CSU Chico’s public-public partnership reflects two distinct contributions of funding: dollars, and donated talent. The City of Chico dedicated \$50,000 to Phase I of the South Campus Neighborhood Plan, with the City of Chico Director of Public Works-Engineering Brendan Ottoboni managing the project. Ultimately, the city intended to use the South Campus Neighborhood Plan to apply for grant funds for the final design and construction costs. The city also planned to ask CSU Chico to partner on potential match funds, “as it directly affects the safety

and accessibility of their students adjacent to the university campus” (Ottoboni 2019, p. 2).

Scholarly Solutions to Local Issues CSU Chico provided the talent of its faculty and students across a variety of academic disciplines. Nine faculty members from seven departments and over 400 students—from first-year students to graduate students—in 16 university classes participated in data collection, analysis, and conceptual designs (Alexander and Pushnik 2017; Ottoboni 2019). For example:

- history and anthropology students researched historical records of the neighborhood and conducted walking audits and neighborhood surveys;
- biology and environmental sciences students developed a street tree inventory protocol and collected data on species type, tree health, and areas of interference with streetlights or powerlines on over 1000 street trees throughout the neighborhood;
- students in geography and planning courses audited and mapped transportation infrastructure, used pedestrian and cyclist counting equipment to track circulation patterns, and took over 2000 data points to map lighting levels on every one-block section of the neighborhood; and
- students in health and community services collaborated with the police department to analyze five years of criminal activity to identify trends and problem areas (Alexander and Pushnik 2017).

The City of Chico quickly implemented improvements based on the studies. It installed stop signs at two high-traffic intersections; replaced old streetlights with brighter, high-efficiency LED lights; planted street trees on blocks in the neighborhood adjacent to the university; and added buffered bike lanes on both sides of Ivy Street, one of the busiest north-south streets in the neighborhood (Alexander and Pushnik 2017). The city ultimately aimed “to develop a neighborhood that is safe, well-designed, well-maintained, clean, healthy, appreciated, and engaged” (Alexander and Pushnik 2017, p. 320).

IMPLEMENTATION

The PuPs examined in this study have several characteristics in common. Their shared traits mirror several of the keys to success in Wiewel and Perry's (2005) case studies of university real-estate development, which identified the importance of "very strong and committed leadership," perseverance along the "long and winding road" from determining the development concept to implementing it, and accommodating neighborhood concerns (p. 302).

Champions on Both Sides of the Partnership

Each PuP in this study had champions on both sides of the partnerships. When Arizona State University President Michael Crow and Phoenix Mayor Phil Gordon first met, shortly after Gordon was initially elected in 2003, they sketched out on the back of a napkin "a grand vision for an ASU campus," leading Gordon to joke later: "(Our staffs) said they'd never let us meet alone again" (Reagor et al. 2018). Before he was installed as chancellor at UC Davis, Gary May met Sacramento Mayor Darrell Steinberg to tour Georgia Tech's Tech Square, which became the inspiration for Aggie Square. At CSU Chico, the co-directors and co-principal investigators of the Resilient Cities Initiative, James Pushnik and Fletcher Alexander, partnered with Chico Director of Public Works Brendan Ottoboni to manage the project.

Location, Location, Location

The placement for the construction projects composing the PuPs was thoughtfully and strategically selected. The Central Idea, focusing development along Central Avenue in Phoenix from the downtown core to the Phoenix Art Museum and Heard Museum, has attracted restaurants, retail, civic events, and green space. The Aggie Square working group identified the UC Davis Health Campus in Oak Park as an ideal site because it was central to Sacramento and was surrounded by highways, and residential, retail, and hospitality infrastructure. Chico's South Campus Neighborhood needed traffic-safety and public-right-of-way improvements.

Doctors Within Borders

Each PuP played to the strength of the institution's academic programs and faculty expertise in offering research and support to address specific community concerns. ASU's researchers and professionals investigated ways to reduce the heat reflected from asphalt, assist the elderly, and support the Latino community. UC Davis attracted experts to Aggie Square to improve the nutrition of children in Sacramento, offer continuing education to adult learners, and provide brand-new medical services through its hospital. At CSU Chico, an interdisciplinary approach—across history, biology, geography and planning, and public health and health services—provided the data and analysis city leaders needed to make a neighborhood's streets safer and better designed. Leveraging institutional resources that creates more impact in this way—"connecting university classrooms to real-world problems" across a city and over a year—has been called "Catalytic Learning" (Schlossberg et al. 2018, p. 255).

Research and academic initiatives connected to community engagement have been found to strengthen an institution's reputation (Weerts and Sandmann 2008). Institutions "were motivated to become engaged with communities when such engagement contributed to their brand and enhanced the physical surroundings of the campus" (Weerts and Sandmann 2008, p. 95). One urban research university dean said, "We want the public, private, and nonprofit sectors in this state to think of us as their personal think tank on key policy issues of the day" (Weerts and Sandmann 2008, p. 95).

Dollars and Other Resources

The financial resources for the partnerships were almost exclusively public, from either a municipal or a state government. The magnitude of the financial support varied widely, however, from the City of Phoenix's \$223 million bond issue to the State of California's \$2.8 million grant to the City of Chico's investment of \$50,000. Advocacy was a key to securing the funds at all three levels: a campaign for a bond referendum that won 66 percent of the vote (Fischer 2006); a legislator with influence during budget negotiations; and a modest investment in the first phase of a neighborhood plan.

The CSU Chico project on the South Campus Neighborhood highlights the broad nature of resources that can be shared. Beyond dollars,

other resources can be knowledge- and expertise-based, from academic experts, students and long-term residents, community leaders, business owners, and nonprofits; social and relational, such as trusted organizations and leaders in the community; and cultural and historical, including historical landmarks and “culture keepers” (Yates and Accardi 2019, p. 52).

An international organization can help other universities undertake a project like CSU Chico’s South Campus Neighborhood. CSU Chico is a member of the Educational Partnerships for Innovation in Communities-Network (EPIC-N) (n.d.), an international association of over 35 institutions around the world. It provides a framework based around a single or multiyear partnership between a university and a local government partner, using existing courses and “focusing on partner-identified real-world quality-of-life projects” (Alexander and Pushnik 2017, p. 316).

Challenges Regarding Implementation

Economic development projects can be risky, since real estate “is the most cyclical industry in the economy, typified by depressions (at least 20 percent reduction in economic output, or far worse) every 6 to 8 years” (Leinberger and Loh 2018, p. 19). In other words: “[T]he wildcard in economic development strategies is the economy. As universities commit themselves to economic development and harness their activities to particular industries, they expose themselves to increasing risk from the vagaries of the economy” (Geiger 2004, p. 212).

The effects from the Great Recession continue to reverberate for cities in this study. While the downtown area of Phoenix outperformed the region during the Great Recession (Reagor et al. 2018), the Sacramento metropolitan statistical area (MSA) ranked in the bottom-third of the 100 largest metro areas between 2006 and 2016 in composite rankings that measure improvements in growth, prosperity, and inclusion. Moreover, 34 percent of the Sacramento region’s residents—and 47 percent of black residents and 42 percent of Hispanic residents—live in struggling families, meaning their households do not earn enough to cover their basic household expenses (Parilla et al. 2018).

Climate change poses long-term risk for economic development. Average global temperatures are the highest on record, causing deadly heat waves, devastating tropical cyclones, and unprecedented wildfires (Science Advisory Group of the UN Climate Action Summit 2019). Wildfires are a significant risk in California. While many of California’s

ecosystems have “evolved to burn frequently,” the size and strength of the fires across the state have increased: 15 of the 20 largest fires in California history occurred between 2000 and 2019, and since the 1970s, the amount of area burned in the state increased by a factor of five (Borunda 2019).

Chico experienced the burden of becoming a boomtown during a historic nearby wildfire. In January 2019, Chico was the number one “refuge for survivors of November [2018]’s Camp Fire,” and the city was “adapting to a new normal of traffic jams, overflowing hotels, crowded restaurants and a housing crunch so extreme Chico . . . was named the hottest real estate market in America” (Rainey 2019).

In the end, a public-public partnership in economic development is an investment in the future. As a Brookings Institution report (Leinberger and Loh 2018) said about the Arizona State campus in Phoenix:

The economic impact of bringing university education to downtown Phoenix will ultimately not be measured in job or real estate dollars, but in the generational impact of increasing higher education rates and training a diverse and talented workforce for a knowledge-driven, rather than consumption-driven, Arizona economy. (p. 45)

CONCLUSION AND RECOMMENDATIONS

In this time of scarce public resources, public universities and their host municipalities mutually benefit from public-public partnerships (PuPs). Universities gain new facilities that might not otherwise be built, such as classrooms and research centers. Municipalities, after an initial investment of public dollars, see long-term benefits in economic development and improved public safety. Expanded downtown businesses and campus-based business incubators create jobs. Improvements to transportation infrastructure and traffic patterns attract more businesses, generating a virtuous cycle of investment from corporate and philanthropic partners, which helps to expand venues for arts and culture.

With “some general warning signs” pointing to the next recession (*The Economist* 2020), this study offers an important blueprint for public institutions of higher education and their surrounding communities. Institutions can replicate this model by:

- identifying champions on both sides of the partnership who will vigilantly oversee the project from start to finish,
- strategically selecting projects, with an eye toward a centralized geographic location where business can flourish alongside the new infrastructure, and
- connecting the institution's academic experts with local leaders to zero in on a community's policy concerns that the partnership can help address.

The elements listed above do not guarantee that PuPs can succeed. Securing public funds requires persistent advocacy, particularly when voter approval or state negotiations are involved. Even with the funding in place, universities and their public partners need to take the long view to see success. Real estate ventures are particularly vulnerable to the business cycle. As CSU Chico's South Campus Neighborhood Project showed, an initiative can be implemented in stages to help measure incremental success and build toward a larger project.

While Shakespeare (Folger Shakespeare Library [n.d.](#)) may have considered pups to be a rather frivolous concern ("Talks as familiarly of roaring lions/As maids of thirteen do of puppy-dogs!"), PuPs may become an increasingly important approach toward funding for public higher education and municipal development. With state and local governments projected to face challenges such as "ongoing revenue volatility, continued demands for infrastructure investment, and projected slower economic growth" in the years ahead (Bohner 2019), public universities and their local communities remain dogged by economic uncertainty.

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Revitalizing Northwood: Morgan State University's Role in Economic and Community Development

Sean Robinson

INTRODUCTION

A recent study by Econsult (2018), an independent economic consulting firm, shows that Morgan State University (Baltimore, Maryland) is a valuable economic engine, making an annual \$990 million financial impact on Maryland and \$574 million within Baltimore City. In addition, Morgan State University supports more than 6500 jobs statewide, nearly 4000 of which are located in the City. As part of its commitment to business development, community engagement, and economic justice, on November 1, 2018, the University broke ground on a major neighborhood redevelopment project, Northwood Commons, in the historic Northwood Plaza shopping center. This \$50 million project will contain 20,000 square feet of office space for Morgan State and approximately 100,000 square feet of retail and restaurant space, including Barnes and Noble College Bookstore, Starbucks, and Lidl, a German-based grocery store (Bailey 2018).

S. Robinson (✉)
Morgan State University, Baltimore, MD, USA

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Recognizing that building and maintaining significant university-community partnerships is a complex process (Strier 2011), the purpose of this chapter is to discuss the role of an urban university in the redevelopment process of its surrounding community, drawing upon the current Morgan State University-Northwood Commons project as a frame of reference. This case study draws on interviews from university leaders, community partners, and relevant documents in highlighting the process, challenges, and opportunities in such economic and community development projects. In keeping with its mission, and with its position as Baltimore's anchor urban research institution, Morgan State University is uniquely positioned to contribute its community's business and economic development. This case study is especially unique in that as a Historically Black University, Morgan State has a particular opportunity to directly impact its neighborhood, which is made up almost exclusively of African Americans, and has suffered from severe economic inequality over the past 50 years.

BALTIMORE, NORTHWOOD PLAZA, AND MORGAN STATE: HISTORY IN THE MAKING

The relationship between Morgan State University and Northwood Plaza goes back 65 years, when civil rights efforts began in earnest across the country in 1955. The desegregation battle at Northwood Plaza began in the early 1950s with several students staging a sit-in at the local diner. By then, however, hundreds of Morgan students had engaged in the cause of equal rights with sit-ins and other protests across Maryland for more than a decade.

In 1955, Baltimore, Maryland, was the sixth largest US city, occupying an area of the state that was both conservative and liberal, depending on who and where you were. African American residents found themselves discriminated against in one moment, and accommodated in the next. For most Black Americans, shopping for clothes, going to the theatre, visiting a pharmacy, going out for lunch or dinner, or even getting a cup of coffee at the neighborhood drug-store counter often meant navigating around or through numerous laws or regulations—either explicit or tacit—that could vary from store to store and from one neighborhood to another. Ironically, unlike in cities and towns in the deep south, on Baltimore buses and streetcars, folks could sit anywhere they wished. Additionally, the

1954 *Brown v. Board of Education* decision required the desegregation of city public schools, in theory at least.

It was in January 1955, on a cold blustery day, while waiting for a bus to campus, that a group of Morgan State students decided to go into Read's Drugstore in central Baltimore. As the story goes, when the store's black employees saw Morgan students entering and making their way to the lunch counter, in order to avoid being associated with them, most of them ran into the kitchen to hide. Other employees managed to ignore the group of students until a manager stormed in, yelling at them, demanding they leave, and calling them names. The group of students held their ground, although for less than 30 minutes.

Several days later, on January 22, 1955, a front-page article, titled *Now Serve All* appeared in the national edition of *The Afro-American* newspaper. According to the article, Read's Drugstores had suddenly decided to desegregate all 39 area stores in the Baltimore area. The policy change was ascribed to a sit-in protest the day before at its biggest store located downtown. A more detailed article referencing other, coordinated lunch-counter protest efforts at numerous Read's by Morgan students and community activists appeared inside as well; these protests were not only downtown but at the Northwood Shopping Center Read's near Morgan State ("37 Baltimore Drugstores Open" 1955). Similar stories appeared in Baltimore's magazine *Afro-American* throughout the week describing the students' lunch counter protests and the drugstore's subsequent change in policy.

The Read's Drugstore protests and sit-ins were a foreshadowing for what was to happen elsewhere in the South, and with greater visibility. These demonstrations and similar civil-rights protests by Morgan students in the 1950s and 1960s are generally unknown outside of Morgan and its surrounding neighborhood. In fact, most folks learn about the sit-ins through Morgan's own Civil Rights exhibit, which has some of the original stools and counter of Read's, along with a series of photographs and other artifacts.

The 1950s sit-ins at Read's were also a foreshadow of what was to come at the Northwood Plaza shopping center. According to newspaper accounts, three Morgan State students were arrested on March 26, 1960 in a protest at the Hecht-May Co. department store in the Northwood Shopping Center, including Manuel Deese, Herman Richard, and Walter Dean, who later became a Maryland State Delegate ("Negores Ask Jury Trial" 1960). By the early 1960s, the Rooftop Restaurant and Northwood

Theatre were having their own large-scale demonstrations, protests, and picketing by Morgan Students; both the restaurant and the theatre continued their segregation policies despite other businesses at the shopping center ending theirs. Ongoing peaceful, “stand-in” demonstrations at the theater over a six-day period during the winter of 1963 led to a huge number of arrests. Then, in early March that year, with over 350 Morgan students having been jailed and with ongoing bad publicity, the Northwood Theatre owners finally relented and reversed their racist policy.

Over the past several decades, the shopping center has been in a steady decline. Morgan’s expanded presence in Northwood brings to a positive conclusion what was started so many decades ago. The current owners of Northwood Plaza acquired the shopping center in the 1970s, and are part of the driving force to redevelop the shopping center, in partnership with Morgan State University, the City of Baltimore, and the Hillen Road Community Improvement Association, which represents the neighborhood and its residents.

A TIME FOR REDEVELOPMENT—SAVING THE SACRED

Despite its role in desegregation and place in the history books of Baltimore, Northwood Shopping center began to decline in the late 1960 and early 1970s as white families moved out of the neighborhood and black families moved in. The theatre eventually closed in 1981, and patronage of the shopping steadily dropped as large suburban malls became the place to shop and eat in the 1980s and 1990s. Today, the shopping plaza is considered by many in the community as an eyesore with little to offer the community. Early in his tenure at Morgan State, Dr. David Wilson, President since 2010, saw the possibility and necessity of redeveloping the shopping center to serve both Morgan’s students, staff and faculty, as well as the community in which it is located.

One of President Wilson’s numerous priorities was to work with the community and Morgan’s neighbors in an effort to help spur growth, economic development, and community well-being. The redevelopment of Northwood Shopping Center was a central component of his \$50 million project which has an anticipated completion of summer 2023. After negotiating for over four years with developers, a new grocery, the German chain Lidl, will operate a store in the shopping center. Lidl will ultimately serve as an anchor store in the shopping plaza, which will also include a new Barnes & Noble college bookstore for both the university and the

community, a university public safety building, and several “sit-down” restaurants. The new Northwood Commons will serve not just students, faculty, and staff, but will meet many needs of the larger community.

President Wilson also lobbied in with state legislators to secure funding for the parcel of land in the shopping center that Morgan State controlled, erecting two new state-of-the-art buildings on the eastern edge of the shopping center that now houses the school of business and the social and behavioral sciences. Morgan’s leadership team worked with the property’s owners and developers to design a creative plan for the remainder of the shopping center. When completed in 2023, the developed shopping plaza is expected to not only create new jobs for students and community residents, but will also bring new tax dollars into the area. According to leaders involved in the redevelopment, this isn’t just about real estate development; it is a way to revitalize a community that has needed important services and retail as well as integrating the university into the community.

At the groundbreaking of what will be known as Northwood Commons, President Wilson remarked that the location has a prominent place and “special significance for Morgan. Our students, in the spirit of challenging injustices and fighting for racial equality at the time, risked everything...and they weren’t going to stop until something significant happened”. One can say that Northwood Commons will be a place of significance both in the past, and in the future. The university-plaza collaboration may ultimately serve as a model community whereby an anchor institution such as Morgan State plays a significant role in community engagement, revitalization, and development.

Sidney Evans, Vice President of Finance and Administration at Morgan State, contends that the collaboration surrounding Northwood Commons is the epitome of a public-private partnership that promises to benefit all parties (personal communication, Nov. 11, 2019). The full slate of partners includes not only Morgan State and the private developers, but also the land owners, City of Baltimore, the State of Maryland, and local community-based organizations like neighborhood associations. This is the type of support, engagement, and involvement that is truly needed for economic and community development in an urban setting.

It is important to reiterate that Morgan State University is a historically Black University, located in northeast Baltimore, where 2017 city data shows that out of the 128,409 residents in this area, only 18% of residents (25,595) are White (city-data.com 2017). Morgan State University is

classified as an R2 research university, with a total enrollment of just under 8000 students and 460 faculty (fall 2018 data; Institutional Research Fact Book [n.d.](#)). Given the demographics of the university and its location in the city, the role that Morgan State plays in economic development and community revitalization holds an even greater significance.

THE URBAN UNIVERSITY AS REAL ESTATE AND ECONOMIC DEVELOPER

The role of the urban university is an important and complex one, mixing the demands of both the institution and the city in which it is located. Nowhere is the complex, often conflicted nature of the university as an urban institution more evident than in real estate and economic development practices (Initiative for a Competitive Inner City [ICIC] [2002](#); Haar [2011](#); Pinck [1993](#); Rodin [2007](#); VerMeulen [1980](#)). The political, economic, intellectual, and ethical elements that make up the challenges and opportunities of real estate and economic development comprise important areas of institutional practice for a university. The time, energy, and human capital that have gone into the planning and resourcing of Northwood Commons over an almost ten-year period illuminate just how complex an endeavor such an undertaking is.

As a factor of economic and community development, real estate development serves as a key strategy to make a university better able to “attract and retain faculty and students, advance educational program in research programs, energize fund raising appeals, demonstrate environmental concepts and ethics, and strengthen the campus as a community design asset” (Dober [2000](#), p. xviii). The redevelopment of Northwood Commons will serve not only as a community resource with shops and eateries, but has the power to draw individuals to campus. A national grocery store, a Barnes & Noble bookstore, several restaurants, and a state-of-the-art public safety headquarters can all serve to attract and retain more students and faculty alike.

Increasingly, real estate development projects such as Northwood Commons tend to be mixed use in nature, often blurring the edges of the campus with that of the community. University development projects today are often ones of both community and city redevelopment, as well as projects that serve the institution. As a result, it is not uncommon for planning, design, and development desires of the neighborhood to become

infused into university development plans. The low-end nature of the previous retail and service stores in Northwood Shopping Center created an opportunity for the university to come together with developers, owners, the neighborhood association, and city planners to co-create a vision for new shops, restaurants, and services that not only meet the growing needs of the university community but also bring a new shopping experience to the neighborhood. As Rodin (2007) suggests in her discussion of the relationship between the University of Pennsylvania and West Philadelphia, the health of an urban university—safety, cleanliness, opportunity, and sometimes survival—is inextricably bound to the health of its surrounding community. Morgan State University clearly understands that as an urban research institution, its mission requires it to support and lift up the surrounding community just as the University of Pennsylvania did. The redevelopment of Northwood Commons is one physical manifestation of this mission and vision.

There are a number of common issues that impact acquisition and development practices regarding real estate. The motivations behind development, the physical needs of the university, various policies and politics that govern the university, and leadership styles of university administrators and officials are important to understanding real estate acquisition and economic development processes (Austrian and Norton 2005). A prime motivation for physical expansion is student enrollment, which creates a need to stand out and compete for students. According to the National Student Clearinghouse Research Center, in the fall of 2019, overall postsecondary enrollments decreased 1.3% from the previous fall; this is the eighth consecutive year of enrollment declines. Yet, despite the national trend, Morgan State University has seen steady enrollment growth from a low of 6438 total students in the fall of 2005 to 7763 students in the fall of 2019, an increase of 20%. Furthermore, one of the strategic goals presented by the current President of Morgan State is a total enrollment of 10,000 students by 2025. Similarly, the number of full-time faculty has grown over this same period from 388 in 2005 to 478 in 2018 to meet the needs of increasing enrollments (Morgan State University Fact Book 2019). Given the prior growth trends at Morgan State, and the vision of continued growth, it is imperative that the university itself grow and expand. The redevelopment of Northwood Commons is part of the longer-term strategy for such expansion, bringing much needed retail and services not only to the university, but also to the surrounding community.

The need for new facilities, buildings, and amenities to attract and retain faculty and students is another driver for real estate and economic development by universities (Austrian and Norton 2005). This is true for institutions that have had a strong research focus as well as for those that want to build their research capacity or transform themselves from commuter schools to having a more residential focus, such as Morgan State University. Morgan State currently has approximately 40% of its undergraduate base in on-campus housing facilities. The university is beginning the process of building additional on-campus housing units with the goal to increase that to over 50% within the next five years (FAQs about Living on Campus *n.d.*). As more students live on campus, they will demand services and amenities nearby. Northwood Commons will serve these students through new retail shops and services that are currently not in close proximity to campus.

While some universities engage in real estate development to accommodate or facilitate growth, others are motivated by a concern about student recruitment and retention that stems from problems and surrounding neighborhoods (Austrian and Norton 2005). Some institutions, such as Morgan State University, were once part of vibrant neighborhoods that have seen their area decline and are now surrounded by urban decay, often brought on by the loss of economic drivers and opportunities. University leaders often respond to neighborhood decline by constructing buildings or walls around the campus to create a buffer between themselves and the deteriorating or problematic conditions outside of the academic community; oftentimes this is a direct response to the prevalence of violent crimes in the surrounding community, including robbery, burglary, assault, rape, and murder (Austrian and Norton 2005). The inclusion of a public safety and police headquarters in Northwood Commons, which is at the edge of campus, will provide the neighborhood and university communities a visible resource aimed at protecting students, faculty, and staff. The inclusion of the public safety building in the Northwood Commons property goes hand-in-hand with the goal to increase the number of students living on campus. The university needs to create a mechanism that will allow these students to be safe—growth and expansion can only occur when safety and security are factored in.

A community may appreciate a neighboring university for the amenities they bring such as cultural and sporting events and community outreach services; likewise, the presence of a university in a residential neighborhood can also create tensions, often centered by a perceived

us-versus-them mindset. When a university is in “growth mode”, the anxiety felt by neighborhood residents might increase if residents believe their houses or their quality of life might be impeded upon by campus expansion, or if the university tries to assume sole authority over community needs. Opposition by community residents can impact the development process in numerous ways, depending on how the university chooses to respond and whether residents have political power to fight or collaborate with the university (Austrian and Norton 2005). This was the case with the original plans for Northwood Commons. According to Sidney Evans (personal communication, Nov. 21, 2019), the plan originally called for a number of low-rise “podium” style buildings to be erected on the property, which would have retail space on the ground floor and house students on the upper floors. The community objected to having students so close to their houses and wouldn’t allow the plan to move forward. In addition, the owners of the property wanted the university to foot the bill for the housing, which the university could not do. Once the plan was re-presented without student housing, and with additional retail spaces, the community and property owners were on board with the project. In this way, everyone has a stake in the project, and everyone has their voice heard. In this way, true town-gown partnerships and university-community relationships are strengthened.

The actual real estate and economic development processes and activities that support the mission and goals of a university have an important impact on university-community relationships. There is often a need, if not an expectation, that universities work for the betterment of the surrounding community and that they should be active community partners. In most cases, universities do make important contributions to the larger community, as in the case of the University of Pennsylvania (Rodin 2007) and the University of Chicago (Haar 2011). However, it is possible that a university’s real estate development activities might create conflicts that offset those contributions. A university’s motivation for development, and the leadership style of top university administrators, is critical in this context (Austrian and Norton 2005). One should not underestimate the importance of leadership in shaping university-community relationships; leaders must be understand and be empathetic to the needs of the neighborhood at large and be willing to take a collaborative stance.

As mentioned above, although there was no widespread community opposition that caused Morgan State University to significantly change its overall development goals of Northwood Commons, some specific aspects

were blocked and concessions were made to satisfy community stakeholders and residents, such as not creating student housing on the property itself. The university's president and top officials worked with the developers to craft a plan that met the needs of everyone, and ultimately allowed each group of stakeholders to have some "skin in the game". Collaboration is by definition cooperative in nature and based on a set of common goals; in general, it should allow for the creation of specific solutions to the issues or concerns enumerated by each side (Silka 1999). Research shows that there are benefits in university-community partnerships, such as that involved with Morgan State (Bolin and Stanford 1998; Farquhar and Dobson 2005); the hope is that the Northwood Commons project will indeed lead to long-lasting benefits for Morgan State and the surrounding community. Such partnerships as those established by Morgan State surrounding this particular real estate redevelopment project present many opportunities for all parties at the table. It is clear that the success, thus far, of the Morgan State University-Community partnership is due to a number of characteristics that Silka (1999) contends influence the effectiveness of such partnerships: trust; respect for a community's self-defined and prioritized needs and goals; continuous flexibility; the ability to compromise based on feedback; strengthening of community capacity; the joint and equitable allocation of resources; the sustainable nature of the project; and community ownership and funding issues.

HISTORICALLY BLACK COLLEGES AND UNIVERSITIES (HBCUs) AS COMMUNITY DEVELOPMENT PARTNERS

According to Jones (1998), the missions of Historically Black Colleges and Universities (HBCUs) traditionally have spoken to university-community partnerships more than their PWI (Predominantly White Institution) counterparts. Rowley Hurtado, Ponjuan, and Mawila (2003) noted that HBCUs typically fund public service activities at a higher level than other types of institutions. Furthermore, according to the authors, HBCUs create and engage in university-community partnerships at similar levels of PWIs. It seems that HBCUs are in a particularly tenuous position as they seek to hold on their imbedded traditions of community service and engagement, oftentimes with limited financial or human resources. The typical university-community partnership model assumes that institutions pursue university-community partnerships and activities

because of altruistic motivations, and have full resources for such activities. Yet, for many HBCUs, community partnerships are often tied to the historical mission of those institutions. For example, the mission of Morgan State University is to:

Serve the community, region, state, nation, and world as an intellectual and creative resource by supporting, empowering and preparing high-quality, diverse graduates to lead the world. The University offers innovative, inclusive, and distinctive educational experiences to a broad cross section of the population in a comprehensive range of disciplines at the baccalaureate, master's, doctoral, and professional degree levels. Through collaborative pursuits, scholarly research, creative endeavors, and dedicated public service, the University gives significant priority to addressing societal problems, particularly those prevalent in urban communities.

While not all HBCUs have an identical mission, all share common historical origins based on racial discrimination and segregation in the U.S. As with Morgan State, the primary mission of most HBCUs is to offer educational opportunities and access not only to African Americans, but for anyone. A particular tenet at Morgan State is the focus on urban-based social issues within the community-at-large, including those related to health, housing, education, general welfare, and of course, economic development.

The communities where HBCUs are located tend to reflect the communities from which students come; these communities are the very ones at the heart of their mission and vision. Therefore, for HBCUs, the need to provide educational opportunities and access while working directly within their communities requires a relationship with its community that is qualitatively different than what might be thought of as a typical model of university-community partnership in which an outsider comes in to solve someone else's problems or address their issues, then leaves, with little at stake for the institution. The idea that a university is separate from its community makes more sense when a traditional research university, usually a PWI, is located near to a community that is deteriorating or on the verge of collapse. Institutions such as the University of Pennsylvania fit this model (Rodin 2007).

Because the health of an HBCU is inherently linked to that of its community, the two are more likely to be integrated and symbiotic, and are often based on mutual needs rather than on authoritarian or altruistic

leadership. Any partnership between a university and its community based on differences in power and resources is antithetical to the mission of HBCUs and their need to serve their communities. Both students and employees at HBCUs are typically more representative of residents in the community-at-large than they are different. In such a collaborative model, the primary reinforcing structure is based on a relationship that is mutually beneficial, where the goals include strengthening and uplifting both the institution and its neighboring community. This is certainly the case with the development of the Northwood Commons project. Once complete, the new development will benefit both residents in the community, as well as faculty, staff, and students at Morgan State.

It is important to take stock of the manner in which HBCUs have supported and participated in the economic development of the community-at-large. According to Constantine (1999), HBCUs serve two roles in the economic development of African American communities: (a) graduates' experiences in the labor market and (b) how HBCUs are connected to their neighboring communities. HBCU alumni experience both cultural and psychological benefits through their attendance at an HBCU, and these institutions are graduating students at all levels, from associate up through doctoral and professional degrees. Furthermore, because many HBCUs are located in predominately Black neighborhoods within urban areas, such as Morgan State University in northeast Baltimore, they provide necessary services and activities that empower African Americans and their communities. Given their mission, HBCUs have and will continue to be in a unique position to address the social and economic needs of those who fail to be adequately served by many of the larger systems in place. According to Davis (1998):

These institutions, without doubt, not only occupy significant space in diversifying the nation's higher educational landscape but also play a critical role in the cultural lives of their students and within African American communities that benefit culturally and economically from their presence. (p. 144)

IMPLICATIONS AND CONCLUSION

Although the jury is still out for another few years until Northwood Commons officially opens and the fruits of everyone's labor come to be, there are several take-aways and implications that can be drawn from this

case study, most notable being the role that leadership plays and the creation of partnerships in forging a new community development project. The development of Northwood Commons required a viable, consistent vision and necessitated strong leadership from within the university. While the differing leadership styles of both the former and current Presidents (Dr. Earl Richardson the former; Dr. David Wilson the latter) who were part of this process is important to acknowledge, what is more telling is the consistent commitment to the completion of the project. The former President began conversations almost 20 years ago, which waxed and waned throughout the years; the current President, Dr. Wilson, made it a part of his vision when he took the helm at Morgan State in 2010 for both the community and the University to view the plaza redeveloped into something that benefited all stakeholders (S. Evans, personal communication, Nov. 21, 2019).

Dr. Wilson and his senior leadership team maintained a close working relationship with all of the stakeholders. Strong leadership and a well-articulated vision were paramount to gaining buy-in and moving the project forward. Conveying how the project fit into the mission of Morgan State University, with its urban research focus, was equally as important. Aligning the project with its service, research, and teaching capacities was also key in gaining the trust and commitment from the various partnerships that were necessary for such a large venture. High-level attention and a steady commitment were also necessary to dealing with inevitable obstacles, such as the requirement that no housing be built on the property, which was part of the original plan.

The cultivation and maintenance of key relationships and partnerships has also been instrumental in the realization of the Northwood Commons project. The University leadership team included the President, Vice President of Finance and Administration, the Associate Vice President, Facilities, Design and Construction Management, and several other key senior officials; together these leaders partnered with a number of outside entities including the family that owned the property, the developers, potential retail establishment, the community association, the City of Baltimore, the State of Maryland, among others. The ability to develop and sustain key partnerships over time was dependent upon the leadership capabilities, as well as the internal structures of the university designed to support such a community development project. Access to key decision makers and the larger political community required the forging of relationships predicated on trust and mutual goals. Large-scale real estate

ventures such as Northwood Commons take time, and learning is key for those involved; it was necessary that each party could learn from the others about important needs, values, and objectives, and come to mutually beneficial terms of the project. That could only occur because the relationships were strong and each was responsive to the other. The manner in which the Northwood Commons project evolved in short looks something like this: the university wished to acquire and redevelop the shopping plaza to serve both the shopping center and the community; the university developed initial plans; the community and other stakeholders registered concerns; the university created a process and structure to negotiate and work with its partners; the plan was modified; more negotiations occurred; the plan was implemented. This is an ideal scenario that could have stalled out or been cancelled if the requisite leadership was lacking. Thus, it can be said that the history of the shopping center, the reputation and image of the university within the local and state communities, local and city politics, and the strength of the processes to move forward were all key in the final plan approval.

Considering the Northwood Commons redevelopment project, there are several lessons and recommendations for consideration for future such projects.

1. Successful projects need to be designed so as to address the needs of all stakeholders, and depend upon the knowledge, skills, and political/social capital of everyone involved;
2. Community development projects take time. In the case of Morgan State, the discussions were several decades in the making before the project began. This is predicated on, and produces, long-lasting relationships;
3. Each stakeholder group needs some working knowledge of the systems and processes of the other's organization(s) so that decisions and potential obstacles can be dealt with effectively and efficiently;
4. Trust is necessary, if not essential, to the forward momentum needed to bring the project to fruition;
5. Collaborations and partnerships are not either a "top-down" or "bottom-up" management approach, but are both, often happening simultaneously through visionary leadership;
6. The ultimate success of a project is not dependent upon with whom the project or particular aspects of the project originated, nor in who

takes the lead, but it does require buy-in from everyone, and continued conversations about the end goals of the project; and,

7. The sharing of financial resources and know-how is necessary in such a community development project where collaboration and partnerships are necessary so that everyone has a stake, and everyone benefits from the project.

All institutions can benefit and succeed by recognizing these lessons, while also understanding that there is not a singular approach to community development and engagement.

Morgan State is located in an urban area, similar to other HBCUs, and as the communities in which they are located continue to be underserved, the sustainability of HBCUs is necessarily connected to the revitalization of those urban communities. Thus, HBCUs are in a prime position to contribute to urban development; two notable ways are through real estate development and economic development. As an HBCU located in an African American community, Morgan State is in an optimal position to have a direct impact on the development and revitalization of its own community. The Morgan State University-Community partnership aimed at redeveloping the Northwood Commons Plaza has galvanized the resources of the institution, the neighborhood, the city, the state, and private partners to improve the physical, social, economic, and environmental conditions that lie next to campus. Like others before it, Morgan State is the true embodiment of how a major university can contribute in numerous ways to a community revitalization process, including that of economic development (Bok 1982; Gilderbloom and Mullins 1995; Haar 2011; Rodin 2007). HBCUs such as Morgan State bring to community-based relationships a rich history of engaging with urban neighborhoods to address challenges and problems facing Black, poor communities and their residents. University-community partnerships like the one described here may serve as one important means for continuing the history of social justice and social change; in short, the mission of HBCUs call upon these institutions to commit deeply to community partnerships so that all may not just survive, but thrive.

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Developing Faculty Identity as a Community Engaged Scholar: An Unexamined Barrier to Promoting the Public Mission

Carey Borkoski and Sherri K. Prosser

The incongruence between faculty professional identity and the stated or perceived institutional norms or values may represent a significant and often overlooked barrier to faculty decisions to engage with the work of the public mission, such as community engagement. Boyer (1996) suggested that while higher education mission statements include elements of research, teaching, and service, many institutions have reduced their commitment to the public mission including the scholarship of engagement. Jacoby (2008) pointed to the definition of an intellectual in the twenty-first century as a possible explanation for this decline. He noted that being an academic in a tenure-track role, typically means writing in a particular

C. Borkoski (✉)
Johns Hopkins University, Baltimore, MD, USA
e-mail: cborkoski@jhu.edu

S. K. Prosser
Austin Peay State University, Clarksville, TN, USA
e-mail: prossers@apsu.edu

way for an academic audience and spending less time on endeavors that are service- and application-oriented. In fact, more practical and applied research projects are often seen as penalizing one's chances for acquiring tenure in many academic settings. For this and other reasons, higher education institutions have, on the whole, neglected the service portion of their institutional mission and, consequently, leaders, faculty, and students have few opportunities to participate in community engagement activities.

The Kellogg Commission (2000, 2001) issued reports encouraging higher education institutions to engage with outside stakeholders and collaborative partnerships rather than with experts who have preconceived notions about a problem or issue. The Carnegie Foundation for the Advancement of Teaching defines community engagement as "the collaboration between institutions of higher education and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in the context of partnership and reciprocity" (Driscoll 2008, p. 39). If faculty who work in community engagement do not put voice to these issues and concerns, Goodhue (2017) posits that research universities will define engagement as translational research that can be sold and distributed.

Extant literature suggests that barriers to increasing community engagement and other activities related to a university's public mission include institutional culture, structures, and policies (Doberneck et al. 2017). These barriers are deeply ingrained and long standing, as the culture related to graduate student training and higher education promotion and tenure policies privilege research projects and scholarship over other faculty roles such as teaching and service (Austin 2002; Fairweather 1997). Graduate students learn the research culture and work to conform by focusing on their traditional research skills and pursuing opportunities to publish to the detriment of other important activities such as community engagement. Stanton and Wagner (2010) said that "segregation between civic engagement and graduate education diminishes the vitality of graduate education itself and marks a problematic and glaring gap in the research university's social contract" (p. 419).

It has been acknowledged that faculty change is not effortless. Brownell and Tanner (2012) highlighted many institution-based factors that impede faculty change, including inadequate professional learning related to teaching, inadequate time for faculty to invest in change, as well as the previously mentioned incentives and rewards for the investment in time and effort to implement these changes. Interestingly enough, these

authors also suggested that there is another important “unacknowledged and unexamined barrier” (Brownell and Tanner 2012, p. 339): a faculty member’s professional identity and its role as a potential impediment to community engagement. The authors suggest that, at least in the case of faculty changes related to pedagogical strategies, even if institutions successfully addressed barriers to training, time, and recognition, the expectations and characteristics embedded in faculty professional identity serve as an additional barrier to change. We contend that this same logic may apply to faculty pursuit of activities related to community engagement and efforts to serve the public mission of their higher education institution.

In this chapter, we discuss the ways in which faculty professional identity prevent or reduce the likelihood that faculty (and students) will engage (or not) in activities deemed community engagement, strategies identified in the literature that may help address these impediments, and three cases presented in the literature that describe ongoing projects aimed at elevating the interest and activities related to community engagement in higher education institutions. The chapter concludes with implications from the findings in the included cases and recommendations for increasing student and faculty training and participation in community engagement scholarship and other related activities. We contend that intentional efforts to (a) reimagine graduate student training to incorporate principles of community engaged research and scholarship, (b) develop certificates and programs that intentionally infuse identified community engaged scholarship (CES) competencies, and (c) support early- and mid-career faculty in their interests in pursuing community engagement. For scholarship to be considered “community engaged,” it should reflect true integration of university and community knowledge, shared responsibility and recognition for all stakeholders, and mutual gain (Doberneck et al. 2017). As such, a renewed focus and commitment by institutions of higher education on their public mission may be beneficial in recognizing the efforts and activities of faculty and staff. Reaffirming this commitment to the public mission may also contribute to a new generation of researchers and practitioners in the approaches and strategies relevant to designing, implementing, and disseminating CES and research.

BACKGROUND

Historically, the public and higher education institutions have had a social charter in which colleges and universities contributed to the public good by developing research to train leaders for public service, educate citizens to be good stewards of the government, improve society, and contribute to and strengthen the economy (Kezar et al. 2015). Early colonial colleges prepared civic leaders, such as when Rensselaer Polytechnic Institute was founded in 1824, in part, to build railroads and when President Lincoln signed the Land-Grant College Act of 1862 (i.e., Morrill Act) to create colleges and universities to support agricultural communities and technology (Boyer 1996). The Morrill Act represented efforts to use discovery and knowledge generation as a means to support economic development and the education of citizens. By the 1920s, higher education institution faculty desired more autonomy and academic freedom. This also resulted in a narrowing of focus on disciplinary knowledge.

By the end of World War II, attention moved to an investment in well-defined disciplinary units, an almost “artificial construct dividing the world in a way that prevented holistic inquiry” (p. 7) to address societal needs (Roper and Hirth 2005). By the end of the twentieth century, Boyer (1996) and others suggested that higher education had veered too far from teaching and service toward research and disciplinary expertise (Fitzgerald et al. 2012). Adding to the challenge of the high value placed on research over all other activities, service activities (e.g., community engagement) have been defined as nebulous or insignificant (Neumann and Terosky 2007). Service is often defined as either consulting and outreach or internal governance and committee service rather than true community engagement such as partnering with the local community and relevant stakeholders outside of the institution.

Similar barriers can be found within institutions of higher education outside of the United States. Barreno, Elliott, Madueke, and Sarney (2013) reviewed Canadian practices on community engagement scholarship and faculty assessment and noted that terms related to community engagement do not appear explicitly in collective agreements or faculty assessment policies. Moreover, they posit that there seems to be some fractured understanding of the core concepts across different institutions across Canada. For example, one faculty member described community engagement as public involvement; another faculty member noted the privilege of contributing to shaping solutions to identified problems, while

another described it as merely sharing the research findings with the community. Leadership and faculty also often conflate CES with volunteerism.

On a positive note, a review of the on-the-ground practices revealed that there is a long history of CES among current faculty regardless of policy and mission language at universities. And although Canadian faculty do struggle for institutional recognition, they do enjoy some positive experiences as a result of their work in community engagement. For example, one faculty member reported having an opportunity to develop new educational material on pain management as a result of working with community members, while another faculty said in his work on land-claim questions with a Native American community he learned that “elders provided valuable information not found in books” (Barreno et al. 2013, p. 50). This report suggested that these lived experiences may represent a foundation to develop sound policies to promote CES but may also threaten the organic benefits currently experienced by faculty who engage in CES work.

The conception of *institution-identity*, or the degree to which people perceive their position as a “calling” or an imposition, determine whether one becomes “deeply socialized as a representative” of that position (Gee 2001). Institution-identity, therefore, can help us understand how authority-imposed constraints and understandings of CES can influence how faculty integrate—or do not integrate—work related to the public mission into their professional identities.

THEORETICAL FRAMEWORK AND LITERATURE REVIEW

Teacher professional identity . . . provides a framework for teachers to construct their own ideas of ‘how to be’, ‘how to act’ and ‘how to understand’ their work and their place in society. Importantly, teacher identity is not something that is fixed nor is it imposed; rather it is negotiated through experience and the sense that is made of that experience. (Sachs 2005, p. 15)

According to Cruess, Cruess, and Steinert (2019), professional identity formation is integrated with the normal developmental process. Early adulthood, when individuals often enter college, represents a time of uncertainty but also opportunities to contribute and understand who we are as individuals. Monrouxe (2010) identified power factors including role models, mentors, and experiential learning opportunities as critical to

identity development. Moreover, literature suggests that reflection may also contribute to the process of identity formation. Consequently, it is not surprising that one's academic, or professional, identity emerges, in part, from learning the rules of academia, the values of their academic discipline, and the institutional culture and practices.

This developmental path and the social environment contribute to faculty external professional actions and decisions. Indeed, faculty believe their department heads view service learning as an extracurricular activity and, thus, irrelevant to tenure and promotion (Jameson et al. 2012). Gee (2001) explains that, with institution-identity, authority figures (e.g., deans, department chairs) dictate and enact the principles and rules of that institution (e.g., tenure requirements), and individuals (e.g., faculty) must determine how actively or passively to fulfill the duties required of their positions; when a position is perceived as a calling instead of an imposition, and individuals willingly accept a role, the institution-identity is sustained and supported.

Continuing the idea of one's agency in identity development, Burke (1991) suggests that the identity process can be described as a control system in which an individual applies a "set of meanings" to the self. According to Scheier and Carver (1981), this set of meanings represents standards of who we are as individuals. Identity theorists suggest that this process includes several components: a set of meanings; environmental inputs; our reaction, or output, to the social situation or context; and a comparison of these inputs and outputs (Burke 1991; Burke and Tully 1977). Within this identity process, individuals attempt to align the inputs and outputs to affirm, strengthen, or adapt their identity. When there are disruptions to these processes, individuals experience stress and the ability of the individual and the environment to respond to this stress determines how identity development proceeds (Burke 1991).

Graduate students inherently exist in a physical and intellectual space to support a shift in professional identity as they become enculturated into academia. Traditional doctoral training cultivates a research identity, for example, and often represents a "playground" for graduate students to learn the culture of being a faculty in a higher education institution (Austin 2002). Graduate student mentors and advisors also do not usually promote the value of teaching or other non-research-related activities (Wulff and Austin 2004). A researcher's professional identity also inculcates a fear of "coming out" as something other than a researcher (Connolly 2010) and often lowers the status of non-research activities relative to

publications and other research activities (Fairweather 1997). Moreover, although Ebert-May et al. (2015) include pedagogical training as important to the profession, any efforts to develop this teaching identity are often deemed as voluntary and less important than other skills and knowledge related to conducting research.

Research universities, in particular, tend to favor the scholarship of discovery over that of engagement (Boyer 1996) and may perpetuate a culture where faculty are unprepared or uninterested in engaging in activities related to community engagement. Additionally, given the long-standing focus on research over teaching and service in many institutions, faculty may be unprepared to support their graduate students who are motivated to enter these spaces. To that end, it is also reasonable to expect that faculty who are public service-minded may find little institutional support for their and their students work in these areas (Goodhue 2017; O'Meara 2003). It may also be true that, while some students in medicine and other professional degree programs may have some opportunities for potentially-required community engagement, it is likely that students in other majors such as chemistry, English, or history will not. According to Golde and Walker (2006), the Carnegie Initiative on the Doctorate refers to degree programs with opportunities for community engagement as “stewards of the discipline” (p. 3), in which students and faculty generate new knowledge.

Graduate students spend most of their time on their college campus rather than in the community participating in the public mission, and sources of their identity development include previously mentioned faculty advisors, disciplinary-specific conferences, and the general culture of the department in which they work. After graduating and developing their professional identity, these new faculty then perpetuate this traditional view of professional identity that favors research and typical scholarship. Even when faculty who design and lead academic programs are more focused on teaching or the public service mission, they often find that they are part of a system that does not value this work (O'Meara and Jaeger 2016).

The literature on identity development and the research that examines how students and faculty develop these academic identities highlight several opportunities to disrupt this traditional professional identity development to include an increased focus on the public service mission of our higher education institutions or, at least, offer the possibility that graduate student training and faculty development could integrate a more balanced

view of research, teaching, and service. We suggest that intentional attention to the goal of elevating the public mission and related activities will contribute to increased efforts of faculty and graduate students to engage in this work. Our academic professional identities do not need to be an either-or proposition where faculty have to choose between research and other roles. Instead, our academic professional identities can be an and-both consideration where faculty are valued for training and engaging in a mixture of these professional roles including public service. The following section presents three cases of how higher education institutions might have elevated and enacted the values and activities related to their public service mission.

EVIDENCE-INFORMED INTERVENTIONS TO PROMOTE COMMUNITY ENGAGEMENT

A recommitment to higher education's public mission requires intentional authentic changes. The literature suggests that to contribute to a shift toward valuing community engaged activities and scholarship to the same degree as research, higher education institutions need to address features of post-secondary life that include: integrating CES into existing research-focused graduate courses, creating and formalizing a "home" for community engagement activities through certification and other types of training, and supporting senior faculty with learning and developing a professional identity that includes public-mission related research, projects, and course offerings. Next, we report on literature that describes (1) how faculty implemented a course to train graduate students in CES, (2) one university's efforts to design and implement a competency-based community engagement certification, and (3) a review of one institution's efforts to offer community-engaged professional learning for their faculty. Together, these cases show institutions are working to elevate the public mission of institutions of higher education.

COMMUNITY-ENGAGED SCHOLAR IDENTITY DEVELOPMENT

As previously discussed, traditional graduate student training and mentorship tends to focus on research activities including research design, data analysis, publications, and pursuit of grant funding. In our first case, Warren, Park, and Tieken (2016) share how graduate student faculty

designed a counterculture approach to research training. The Harvard Graduate School of Education piloted a project that included two faculty members and 15 doctoral students in which faculty and graduate students collaboratively engaged in a research project to examine community organizing and school reform through a CES approach to research.

The faculty suggested that traditional doctoral programs impart particular knowledge, skills, and dispositions that are different from those required for community engagement work and that, to work with community partners like schools, families, teachers, and other stakeholders, students must adopt dispositions that give particular attention to working with communities and listening to stakeholders while acknowledging their own privilege. Specifically, faculty sought to teach students to (a) respect and cultivate mutually beneficial relationships, (b) address historical divides, (c) value knowledge based on lived experiences or stories, (d) and attend to their own positionality. Faculty believed that traditional doctoral programs do not focus on these types of skills nor offer opportunities to develop an identity as community-engaged scholars. In this project, researchers asked students to work with community members and collect data to understand efforts at education reform as organizational change. One noteworthy finding was that students in this project did not want to work in isolation but, rather, wanted to work on specific opportunities or critical experiences to develop the aforementioned skills. By explicitly teaching students about respect, addressing historical inequities, valuing lived experiences, and their own position and privilege, the faculty provided opportunities for graduate students to integrate their whole selves and all aspects of their identity into their work.

COMPETENCY-BASED GRADUATE CERTIFICATE IN COMMUNITY ENGAGEMENT

Leaders have been advocating for more than additive and episodic approaches to community engagement-oriented professional learning toward programs and “academic homes” (p. 122) for CES (Sandmann et al. 2008). In our second case, Doberneck et al. (2017) describe one response to what this professional learning might resemble and include with respect to objectives, competencies, and curricula: a graduate certificate in community engagement at Michigan State University that represents a university-wide effort to train master’s and doctoral students.

Implementing this graduate certificate required identifying and refining a group of relevant community engagement competencies for these students. Starting in 2008, staff in the university's Office of Outreach and Engagement developed this certificate which required participants to attend a series of workshops, participate in a mentored engagement project, and present a written portfolio articulating their experiences and personal and professional development.

This certificate includes a competency-based curriculum originally based on seven core areas including topics such as history and foundation of community engagement, scholarship, sustaining partnerships, and participatory research. By 2014, the advisory committee formalized the concept of CES to translate the definition of this work into practice and, by the end of 2015, had added an additional six core competencies to the curriculum including community-engaged teaching and learning, critical reflections on identity and culture, and others such as communicating with public audiences. The faculty and advisory committee, after some additional qualitative work with faculty and participants, settled on eight dimensions and 20 community engagement competency areas. The additional competencies were primarily faculty-facing competencies that included knowledge of the principles of CES, methods of planning, implementation, and evaluation.

FACULTY DEVELOPMENT IN COMMUNITY-ENGAGED SCHOLARSHIP

More, new faculty express an interest and capacity for CES but learning how to design, implement, and evaluate this work takes additional skills that are not taught in graduate school. Once faculty are in their professional roles within institutions of higher education, professional learning represents one possible way to impart CES knowledge, skills, and dispositions. In our third case, Jameson et al. (2012) explain the efforts of North Carolina State University to build community engagement scholarship through a competency-based faculty development program. The 12-month program had 16 participants and sought to build capacity for learning through reflection and improve measurement of faculty learning and activities related to CES competencies.

Jameson et al. (2012) focused on how refining an extant CES competencies scale and adding structured, guided reflections could improve the

measurement and assessment of faculty outcomes during and after a 12-month program to promote CES. The scale increased from 12 to 25 items and changed from pre- and posttest administration to a then- (i.e., retrospective pretest) and posttest administration. The guided reflections provided evidence of faculty learning and change, as well as adoption of a CES identity, which augmented their existing identity. The detailed reflections also suggested that faculty struggled with CES and their identity development and that the CES competencies scale results may have overstated the outcomes of the professional development. By shifting to a retrospective pretest, however, the researchers surmised that participants did not seem to underreport their learning gains on the CES competencies, as they did when completing the pretest. Noteworthy findings included that: participants “learned new language” (Jameson et al. 2012, p. 44) that was relevant to their work, CES had been integrated into their professional identity, and that participants’ views had been challenged or disrupted in surprising and new ways.

IMPLEMENTATION ISSUES: LOOKING ACROSS THE CASES

Implementation of CES-based programs represents a relatively nascent field of study. Our review of the literature, however, found some common supports and barriers to promoting the public mission of institutions of higher education. Doberneck et al. (2017), for example, acknowledge that professional learning related to community engagement for graduate students is in its early stages of development; the University of Georgia and the University of Louisville have created similar programs, but few long-term efforts have been completed or studied. There is still much to learn and know related to how to deploy these professional learning, given the diversity of students, disciplines, career choices, institution type and professional roles and goals. Moreover, is it appropriate to offer the same type of curriculum to both masters and doctoral students?

One barrier related to career choice is the incongruence of the core identity and institution-identity of prospective faculty and the perceived public mission of the institution during a job search. Faculty interested in CES may accept a tenure-track position based on an institution’s mission statement and information contained in the initial recruitment posting. According to empirical research in organizational psychology, applicants’ decisions in ultimately selecting a position can be categorized within one of three job choice theories: objective, subjective, or critical contact.

Objective job choices are made based on economic compensation or other job attributes (Behling et al. 1968) and subjective job choices are made based on the work environment and one's psychological needs (Tom 1971). Critical contact theory posits that candidates select jobs based on the expectations about the work itself, which is heavily influenced by the interviewer, recruiter, and initial job information (Behling et al. 1968; Young and Heneman 1986). Faculty who have experience in serving the public mission of a university through community engagement might self-select into one of the few institutions with an already-established CES program, leaving the remaining institutions without the institutional knowledge required to create and support such programs.

A long-standing and pervasive barrier is the institutional culture related to the value of research, particularly in the promotion and tenure process. Extant literature suggests that increasing community engagement activities requires changes in institutional culture and structure and that barriers to individual pursuit of activities related to a university's public mission include institutional culture, structures, and policies (Doberneck et al. 2017). Although it is not atypical for a public mission to mention some aspect of community service or engagement, it is more typical for institutional documents to be devoid of this language, as in the review of Canadian practices by Barreno et al. (2013). Without rectifying the oft-cited barriers to pedagogical change including time, incentives, and training (Brownell and Tanner 2012), it is unlikely that CES can become a focus, particularly for early- and mid-career faculty. Even when faculty acknowledge the benefits of community engagement, such as service-learning, and have an interest in engaging in community-based learning opportunities with their students, these practices are not seen as an inherent role in their tenure-track positions but are seen as an additional responsibility (Borkoski and Prosser 2019).

Additionally, the long-standing institutional culture related to the value of research can inhibit understanding about what is meant by "community engagement." For example, faculty engaged in professional learning related to the public mission, as in Jameson et al. (2012), rated themselves as being *intermediate* to *advanced* in community engagement competencies after completion of the yearlong program. To gain a deeper understanding of faculty learning outcomes, Jameson et al. suggest the use of course artifacts (e.g., syllabi, student work), dossiers, publications, and observations by multiple stakeholders. Given the importance of the data collected but the inconsistent completion rates, Jameson and colleagues

also posit that the role of reflection be established as an integral part of the learning process. The reflection prompts focused on content and metacognition, aligning with Mezirow's (1991) transformative learning theory, which incorporates changes in behavior as well as changes to one's beliefs and understanding oneself. We argue that similar prompts could be effective during professional learning related to CES and should incorporate much of the reflective and reciprocal work already being done with students and faculty engaged in service-learning and other, similarly focused community engagement.

CONCLUSIONS AND RECOMMENDATIONS

The next generation of researchers is more diverse, open about sharing their identities, and developing new ways of approaching research and community engagement (Post et al. 2016). These future researchers are committed to social justice and the public mission of higher education, but often face barriers (e.g., institutional structures, policies, and practices) that devalue their approaches and perspectives and lead them to pursue activities that reside outside of their selected program or degree (Doberneck et al. 2017). Strengthening and expanding the public mission of higher education institutions requires that leadership, faculty, and staff, together, address the barriers discussed within this chapter.

Professional learning for faculty must be reimagined to make space for exploring and nurturing faculty professional identities, providing long-term, cohesive learning opportunities to develop new programs anchored in CES principles. Moreover, institutions must design and offer programs similar to the one at North Carolina State University to build early career faculty and support mid-career faculty interests and ability to participate in community-engaged scholarship. Institutions must acknowledge the diversity of faculty professional interests and recognize and reward the unique contributions of each member of the faculty even when they may run counter to the traditional research and publication career track.

Naming and intentionally attending to faculty identity requires professional learning with facilitators who can guide, teach, and cultivate collaboration among faculty. Community-engaged faculty want to pursue these kinds of activities individually and with their students and research assistants. Faculty should have the support to design and carry out robust and rigorous scholarly activities and courses to pursue and that align with their personal and professional goals. To help us think about how to

cultivate these activities, consider how Mezirow (1981, 1991) explains the need for a *disorienting dilemma* to serve as a catalyst for transformative learning. Disorienting dilemmas are expected anomalies in adult development that can be “resolved only by becoming critically conscious of how and why our habits of perception, thought and action have distorted the way we have defined the problem and ourselves in relationship to it” (Mezirow 1981, p. 7).

In our case, these anomalies occur when we become cognizant of how, in part, the existing institutional norms have constrained how we can enact the CES principles in our professional lives. As such, graduate students and early-career faculty need to be presented with disorienting dilemmas to hone their professional identities and actively develop an institution-identity that aligns with the public mission and fulfills the expected duties of their positions. This institution-identity could be supported by engaging in activities that explicitly state and reflect on the transformative experiences that led them to identify as someone who is interested in community engagement, such as service-learning.

Specific to professional learning to cultivate these professional identities, higher education leadership should offer faculty programs in the form of professional learning communities, or communities of practice, in which different CES programs, courses, and competencies can emerge from work among a diversity of faculty teams. Finally, early career faculty interested in CES should be offered professional learning and year-long onboarding programming to leverage and further hone their interest and skills in CES. As in North Carolina State University, institutions could build further capacity for public mission work by training new faculty in CES, moving this work from theory to practice and thus making their commitment to the public mission explicit.

As institutions think about new initiatives to support the public mission, they may also consider quality indicators that align with the Carnegie Project on the Education Doctorate (2009) principles and are potentially applicable to supporting the public mission. CES should provide opportunities that include but are not limited to:

- “Envision[ing] solutions to significant problems within the symbiotic space between the university and the stakeholder community”;
- “Defin[ing] and reflect[ing] on personal and professional transformations that contribute to one’s identity as a change agent, and commitment to a larger community impact”;

- “Us[ing] data to understand the effects of innovation, and ability to gather, organize, judge, and analyze situations, literature, and data through a critical lens (Shulman 2005)”;
- Shaping a “perspective that views cultural and linguistic diversity as an asset”; and
- Engaging in “mentoring that engenders a sense of deep commitment to a research problem compelling for the individual and community or organization in which it occurs” (Kochar-Bryant 2017, pp. 12–13).

Finally, by using the principles of improvement science (Bryk et al. 2015) such as user-centered design (e.g., empathy, define the problem, ideate, prototype, and test; Brown 2009), faculty professional development programs can become “effective, efficient, responsive, centered on community, as well as faculty-centered and faculty-owned” (Edwards et al. 2015, p. 478). An effective professional development program is one that

(1) is content focused; (2) incorporates active learning utilizing adult learning theory; (3) supports collaboration, typically in job-embedded contexts; (4) uses models and modeling of effective practice; (5) provides coaching and expert support; (6) offers opportunities for feedback and reflection; and (6) is of sustained duration. (Darling-Hammond et al. 2017, p. 4)

Overall, it is evident that the work at Michigan State University and other institutions of higher education have sparked national efforts to formally identify competencies and relevant curricula. Although community engagement professional learning will continue to develop and change over time, Doberneck et al. (2017) hope that the next generation of students interested in community-oriented or community-engaged research and scholarship will find “homes” (p. 136) in academic settings and beyond. More broadly, we need to view faculty professional identity development not from an “institutional deficit model” but from a “discipline deficit model” (Brownell and Tanner 2012). Instead of focusing solely on what an institution lacks for reform—such as tenure incentives or dedicated time for service activities—we must also acknowledge that we function as a part of discipline-specific professional organizations that can leverage their efforts to create cultural shifts that may then influence the institutions (Brownell and Tanner 2012).

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University-Engagement Research: Application of a Mixed Method Design of Community-Based Participatory Research for Communities' Well-Being

*Antigoni Papadimitriou, Rosalyn W. Stewart,
and Constantine Frangakis*

INTRODUCTION

The wide range of activity incorporated in universities' and colleges' community engagement suggests that a precise definition of the public mission is difficult and that organizing and balancing external collaborative activities, university policies, and practices is a complex task (Papadimitriou 2020). University-community engagement received a special attention on

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many campuses as an activity related to the university's public mission. Maurrasse (2010, p. 223) states that university-community engagement is the "process that brings together groups of stakeholders from neighborhoods, city, or region (including individuals, organizations, business, and institutions) to build relationships and practical collaboration with a goal of improving the collective well-being of the area and its stakeholders." Other researchers (Burkardt et al. 2004; Pollack 2015) echo that university-community engagement has been more rhetorical (more like window dressing) rather than activities over the last 25 years. On the other hand, Block (2008) directly links quality to the nature of community partnerships and he explains that universities, "by encouraging faculty and students to work in partnership with communities, can enhance the scope and quality of research, provide better learning opportunities, and increase their social relevance and efficacy" (p. 1). Hall and Tandon (2014) also share the view that university community engagement may sometimes actually contribute to improvements in higher education institutions, especially to their teaching and research functions. Additionally, communities, funding agencies, and universities are increasingly involving community stakeholders as partners in research to provide direct knowledge and understanding of the community needs. Drahota et al. (2016) highlight that effective university community and stakeholder engagement supplements the accomplishment and importance of research by using the experience of those most connected to the community of interest and results in the development of more sustainable and adaptable interventions and research. In this sense, universities and colleges themselves can benefit from collaborative, equal partnerships with communities.

A. Papadimitriou (✉)
School of Education, Johns Hopkins University,
Baltimore, MD, USA
e-mail: antigoni.papadimitriou1@gmail.com

R. W. Stewart
Johns Hopkins School of Medicine, Baltimore, MD, USA
e-mail: rstewart@jhmi.edu

C. Frangakis
Johns Hopkins Bloomberg School of Public Health, Baltimore, MD, USA
e-mail: cfrangal@jhu.edu

University-engagement research benefits the communities as well as higher education institutions, however, such research, and especially the process of community engagement has been less frequently described in the literature (Groark and McCall 2008; Primavera 2004; Sandy and Holland 2006). Additionally, for over 20 years, community-based participatory research (CBPR) and other methods of community-engaged and collaborative research have employed interdisciplinary mixed and multi-method designs (Creswell and Plano Clark 2011) to create outcomes that are meaningful to communities (Israel et al. 2013; Trickett and Espino 2004; Wallerstein et al. 2008). From the mixed methods (MM) perspective, researchers noted that to expand the field of MM research, studies of how the methodology intersects with other research approach, like participatory and action research approaches (Hesse-Biber and Johnson 2013; Lucero et al. 2018; Plano Clark and Ivankova 2016) are needed. Other scholars, (DeJonckheere et al. 2018) underscored that “there is a need to understand the ways in which researchers are interesting in MMR with CBPR, identify the rationales for using this design, and describe current challenges in order to guide future researchers who use this advanced application” (p. 2). In this backdrop, the purpose of the current chapter is to report on a cross-disciplinary university-engagement MM research of the character of CBPR for healthier and safer communities in Baltimore, Maryland. Recognizing the variation within CBPR practices and processes, the authors developed an MM design to capture the characteristics of the community for the health and safety outcomes and to propose interventions for the community needs. The chapter, first, familiarizes readers with CBPR, then provides details about the project’s backdrop, mixed methods design, and finally, lessons learned and suggestions for future research to improve collaboration within scholars in different academic departments (social science, public health, and medicine) as well as with community leaders and residents. The chapter is written from the perspective of sharing academic empirical knowledge in order to apply the fruits of scholarships to pressing well-being community issues beyond the walls of academia.

COMMUNITY-BASED PARTICIPATORY RESEARCH (CBPR)

By definition, community-based research refers to the “process that brings researchers and community members together to collaboratively conduct research on a problem of concern to the community” (Radda et al. 2003, p. 204). As opposed to traditional forms of research, community-based

studies are unique in that the emphasis is placed on the egalitarian collaboration between researchers (university faculty members), community leaders and residents, and the shared quest to address a community issue (e.g., Harris 2006; Israel et al. 1998).

CBPR is an effective way to study health disparities and the social determinates of health. Health disparities are defined by the National Institutes of Health as the difference in the incidence, prevalence, mortality, and burden of diseases and other adverse health conditions that exist among specific population groups (Braveman 2006; Dehlendorf, et al. 2010). Examples of health disparities include health outcome differences between racial/ethnic groups, men and women, people with different educational levels and/or levels of income, and between neighborhoods. Health disparities arise from inequities that exist between groups of people and they are shaped by differences in living conditions as well as social structures and processes (Commission on Social Determinants of Health 2008). These social structures (location of grocery stores and liquor stores, for example) can be systematic and the result of policies, practices, and social norms that tolerate or promote unfair or inequitable distribution of and/or access to resources, wealth, and social power.

The World Health Organization (WHO) notes that health disparities arise from social determinants of health. The WHO defines social determinates of health as “the conditions in which people are born, grow, live, work and age” and “are shaped by the distribution of money, power and resources at global, national and local levels” (WHO 2020). Social determinants are “the unfair and avoidable differences in health status seen within and between countries” (WHO 2020).

The differences between health disparities or inequities and social determinants of health are:

- Health disparities: unjust and avoidable. Stemming from inequitable distribution of social, economic, environmental, and political resources, policies, and practices.
- Social Determinants of Health: revolve around resources and opportunities. Access to (healthy) food, safe housing, healthcare, safe neighborhoods, high quality education, employment opportunities, and public transportation.

It is the limited access to and control over components of social determinants of health by particular groups that result in health disparities.

Table 6.1 Health disparities

| <i>System factors</i> | <i>Patient factors</i> |
|---|------------------------------------|
| Access to healthcare | Competing priorities |
| Primary care/physician shortage | Mental illness |
| Lack of insurance or inadequate insurance | Urban violence risk |
| Affordability of medications | Substance abuse disorder |
| Clinic hours | Cultural issues |
| Access to specialty care | Distrust of the healthcare system. |

Source: authors

CBPR can be utilized to help recognize the existence of disparities that are amenable to intervention and for developing those interventions. The realities of social determinants are that there are both system factors and individual (people) factors that give rise to social determinants (Table 6.1).

Individualization of medicine and personal differences in care plans are the best approach to caring for individuals because they take into account social determinants. Sir William Osler¹ summed this concept very well with this statement, “it is much more important to know what sort a patient has a disease than what sort of a disease a patient has.” Knowing about individuals, their likes and dislikes, as well as their particular social determinants, allow for treatment and management plans to include their personal preferences as well as addressing social determinants giving rise to improved health outcomes.

Using CBPR methods to address social determinants and health inequities or disparities has an ultimate goal: to improve outcomes. Addressing disparities to improve outcomes can be completed using quality improvement methods. This can be illustrated by the six fundamental aims of high-quality health care (Ballard et al. 2004). The acronym coined by Baylor Health Care System, STEEEP (Ballard 2013), summarizes these aims:

Safe: avoids injuries from care that is intended to provide help

Timely: reducing wait times and care delays for both those receiving care and those giving care

¹The Canadian-born physician William Osler (1849–1919) was a renowned diagnostician and clinician. He was one of the pillars upon which the Johns Hopkins Hospital was constructed in 1888, where he later became professor of medicine at the medical school. Sir William Osler (2008) *The quotable Osler*, Philadelphia: American College of Physicians.

Effective: provide evidence-based medicine services and avoid services or practices that are not likely to be of benefit.

Efficient: avoiding wasteful practices, including wasting equipment and supplies or ideas, energy, and time.

Equitable: providing care with unvarying quality regardless of personal characteristics (for example, gender identity, race/ethnicity, geographic location, preferred language, or socioeconomic status).

Patient Centered: respectful and responsive to patient preferences, needs, and personal values.

CBPR as research method can help develop health care matters, such that a safer patient experience, that is, reliable, consistent, and responsive to individual patient needs. The resulting care is more integrated and available, providing required needs and services including preventive, primary, acute, and chronic care. Recipients of care benefit because care received is valuable and efficacious. Care delivery developed through CBPR processes generally address problems that are of concern to the community (Israel et al. 2005). Clinicians benefit from high-quality care with increased personal satisfaction, greater productivity, and by providing care that promotes improved health, increased longevity, decreased pain, and suffering.

CBPR can help inform healthcare systems about processes and can promote positive change (IOM 2001). The Institute of Medicine's book *Crossing the Quality Chasm* notes, "Quality problems occur typically not because of failure of goodwill, knowledge, effort or resources devoted to the health care, but because of fundamental shortcoming in the way healthcare is organized" (IOM 2001, p. 25). CBPR can inform health care systems how they need to change in order to better address the needs of their community. Thus, CBPR is a mechanism for healthcare quality improvement.

While healthcare nearly continually strives to improve, there are many different mechanisms for improvements. Some methods are internal to the healthcare system, and involve the community as research subjects. Universities who use these processes should be careful not to have their research subjects feel as if they are 'experiments.' Communities should not feel like they are part of an assessment without any direct benefit—evaluate and leave. There is a continuum of research involving community. Research can be performed on communities, in communities or with communities (NM Cares 2019). CBPR is research performed with the

community. CBPR is a partnership with communities and it promotes lasting engagement. The Kellogg Foundation defined CBPR as a collaborative approach to research that involves all partners equitably in every facet of the research process (Faridi et al. 2007). Fundamental to CBPR is the recognition that each partner has unique strengths that positively augment the research. CBPR in healthcare is where health system partners, with equal collaboration, with the healthcare institutions or universities and the community. CBPR can begin with a community concern or with a healthcare concern. Initial phases involve learning about individual lived experiences then progresses to use of mixed methods involving both qualitative and quantitative processes to tackle issues of inequity, inequality, injustice, and disparities. Key characteristics of CBPR include both:

Partnership: collaborative and equal in all aspects of research, including result dissemination, and

Mutual benefit: building on the strengths and resources of both the community and healthcare system.

The process in CBPR is equally important as the outcomes: co-learning with and from each other to lead to better results. The net effect is capacity building. Potter and Brough (2004) note that capacity building is the process by which community and organizations obtain and improve knowledge, attitudes, and skills, or develop tools, equipment, or other resources needed to deliver healthcare with the STEEEP aims. Capacity building allows healthcare systems to perform at a greater capacity (larger scale, increased efficiency, and/or greater impact). This is accomplished by focusing on problems of local relevance, mutually determined by both the community and the health care system. CBPR is a long-term commitment. The process itself is central to CBPR and involves a vested interest from both parties (Israel et al. 2005). This can be contrasted with research performed in the community (community-based research) or with symbolic inclusion (having a token member tangentially involved in research). CBPR is the process and not merely the research design. CBPR involves civil dialogue, open and bidirectional communication, transparent processes, full and shared accountability and above all, balanced participation. Communities and universities collaboratively develop the problem, hypothesis, research questions, methods, interpretation and analysis of results, and dissemination of results including publication (Shepard et al. 2002). CBPR also involves mutually agreed upon ethical standards;

institutions will have an institutional review board (IRB) and community will have an approval process. CBPR generally has a social change focus, affecting social determinants to diminish health disparities. Because of the partnerships that are developed through the CBPR process, outcomes are generally sustainable.

The next section provides the backdrop of the Johns Hopkins University's (JHU) university-community engagement project: "Building Community Engagement and Development in Greektown, Baltimore: A Data-based Approach" funded by JHU and designed to explore how public perception regarding quality of life (safety, community resilience, and health) in an inner-city neighborhood, can inform strategies of nongovernmental organizations in community engagement and development.

UNIVERSITY-COMMUNITY ENGAGEMENT RESEARCH AS AN APPLICATION OF CBPR AT JHU

University-community engagement research reflects applied research and not traditional for possible publications in tier one journals and might well be a (de)motivator for junior faculty and those on tenure track, especially in research intensive universities. Thus, faculty to get involved in such projects need encouragement from their respective universities (Borkoski & Prosser in this book). Inspiration for this project arose from one of the authors' course "Leadership and Community Development" assignments and discussions with her students at JHU. Students were diverse—adult return professionals in law enforcement—coming mostly from the inner cities of Baltimore and Washington D.C. Students had to prepare "a community development project" of a community of their choice. They had to develop an understanding about many community issues facing society today. Students as well as faculty as citizens and leaders/citizens have a responsibility to understand and engage with social issues in their communities. Thus, one of the foundational components of becoming an advocate/active citizen is to learn and understand a social issue in depth and how it is impacting the community. Students, in order to propose "a community development project," had to collect data and analyze issues related to housing, poverty, race, ethnicity, nativity, language, health issues, and public benefits, among other issues. Students were advised also to use other resources (i.e., newspapers, public data, personal information, etc.) to define the strengths and weaknesses of the selected neighborhood,

selected by zip code. The paper topic must be approved by the professor before students could start it.

However, moving from an innovative class project to a real university-engagement research project requires additional encouragement. This time a call for an internal university applied research seed grant was the “window of opportunity.” However, in order to submit a grant proposal, faculty had to follow the rules of the funder: the project would need to focus on community issues in Baltimore, demonstrate collaboration among different schools (cross-disciplinary) within JHU, and also had to include a city (community-based organization) partner. In this way, faculty interested in university-engagement research needed to be innovative and flexible. As a principal investigator, one of the authors had to create a team in order to submit a grant proposal. One paragraph with the request “collaborators are needed for a community development project in Baltimore focus on health issues and wellbeing” was sent to JHU’s School of Medicine director for internal distribution. In less than two hours, the author received replies from three faculty from the School of Medicine interested to meet and discuss further the project’s goals. After communication with the those three faculty finally one matched the response of the project and became the project’s Co-Principal Investigator. Then it was obvious that the proposal “cried” for a Statistician, and this time the best option was a faculty from the Bloomberg’s School of Public Health at JHU. One element was missing: a city partner. In such a case, we had to define a promising city partner (community-based organizations from Baltimore’s communities) able to help and support the entire project from the development to execution and dissemination of the knowledge. In university-community engagement projects, the partnerships are very important and crucial factors. As a team, we submitted a grant proposal, however, without success. For more than two years, and changing city-partners, the team revised (taking into consideration comments) their proposals and resubmitted for a possible grant. University-community engagement research needs to satisfy reviewers and provide details in a length requested by the funders. This exercise was a learning opportunity with a “happy end” as the team was awarded more than one grant for different social issues projects. This story suggests that faculty interested in university-community engagement research need to demonstrate resilience, flexibility, and willingness to adopt changes. Also, they need to be creative to define cross-disciplinary researchers as well as community partners and, most importantly, to examine social issues to improve

community needs. The guiding questions to considering in the design of this student project were: What is the social issue/s? What is our response as leaders/citizens? How do we get involved? Students' projects mostly capture safety issues focused on various communities within Baltimore, also were areas that suggested health issues and disparities "data talk."

PROJECT DESIGN PER GRANT APPLICATION

An increasing number of studies indicate that community engagement is a critical component of successful evidence-based interventions (Baker et al. 2012; Rice 1993; Viswanathan et al. 2004). Other authors have published research reporting the successful application of CBPR in health research (Baker et al. 2012; Berkley-Patton et al. 2010; Henderson 2010). Our project has taken one more step and coupled health with social (wellbeing) research. As efforts are now advancing to include a cross-disciplinary approach in working with communities in creating interventions targeting multiple aspects of the community, including both safety and health, for example. In this light, there is an ongoing trial designed to increase walking safety with the long-term aim of improved cardiovascular outcomes (Wilson et al. 2010; Wilson et al. 2013). Such an approach involves early interventions targeted at increasing the knowledge and engagement of community leaders, parents, and community members, particularly marginalized families. The lack of CBPR can, in essence, lead to societal issues such as physical illness, mental distress, or even educational obstacles (Toumbourou and Gregg 2002). Additionally, parents and guardians can be the cornerstone of efforts to foster systemic health and safety outcomes embedded with resilient factors for children at early ages.

The goal was to obtain characteristics of quality of life in Baltimore, specifically in Greektown, by working with a cross-disciplinary and community partnering team to propose interventions that may improve safety, resilience, and health in the community. The overarching research question that guides this research project was: To what extent do community leaders and residents shape actions and policies about quality of life in their communities (Greektown, Baltimore)? From the inception of the research purpose to the implications of the research endeavor, CBPR participants live up to the intent of mutual collaboration by actively working with researchers for social change. Because CBPR is nested in true-to-life environments, its results—discussions, critiques, and writings about methods, ethics, and outcomes—inform us not only about the health and illness

features, but also of the resiliencies and strengths of the natural and built environments where people live, work, and play. Knowing *what* to ideally expect of CBPR begs the question of *how* to do it.

The grant proposal designed for over the course of 12 months included four phases:

Phase 1 (Three Months) University-Community Engagement Research, Partnership, Survey Design In the beginning, the research team identified the city partner, then together invited mostly community leaders from faith-based organizations and other board members from other community organizations in Greektown to identify potential community leaders/experts from the Greektown community. In order to identify leaders, the team (academics and city partner) composed a master list of potential leaders, then we invited 15–20 members to participate in a collaborative meeting at St. Nicholas church facilities. The purpose of these meetings was mainly to discuss community issues in order to design an appropriate questionnaire with indicators targeting the desired qualitative information of the community leaders/experts and team members. These procedures also used to engage community members in the research process and develop a strong relationship and trust between JHU researchers and community members.

Phase 2 (Five Months) Data Collection Community questionnaires distributed and collected via community partners' effort identified during **Phase 1**. The team used a hard copy survey tool; provided an envelope; and leaders returned to the research team the completed questionnaires.

Phase 3 (Three Months) Data Analysis The data will be assumed to arise from a design with the following structure. First, each resident in the community will be assumed to be more closely accessible by one leader, say L , as shown in the Table 6.2. Second, because not all residents respond to the survey, each resident is assumed to have a probability, say $e_{L,i}$ of responding, which will be estimated from easily obtainable neighborhood and other factors. Third, for all residents accessible by leader L and with common sampling probability, those who responded will be assumed to have similar distribution of predictors and outcomes as those who did not respond.

Table 6.2 Analysis plan

| <i>Leader id</i> | <i>Resident id</i> | <i>Sampling probab</i> | <i>Predictors</i> | <i>Outcomes</i> |
|------------------|--------------------|------------------------|-------------------|-----------------|
| L | I | $e_{L,i}$ | $X_{L,i}$ | $Y_{L,i}$ |

Source: authors

Subgoals of the analysis will be to estimate how outcomes depend on predictors in the full community, namely, $E(Y_{L,j}|X_{L,I})$. To do this based on the above design and assumptions, we can regress the outcomes on the covariates of the responding residents, after weighting by the inverse of the sampling probability, and using a Generalized Estimation Equation (Liang and Zeger 1986), with leader as the cluster/stratum.

The questionnaire included also open-ended questions. The plan is to analyze qualitative. The team will look for themes about safety and wellbeing. This action can be considered as a more inductive approach which “seeks to discover and understand a phenomenon, a process or the perspectives and worldviews of the people involved” (Caelli et al. 2003, p. 3). Thematic analysis is a search for issues that emerge as being important to the description of the phenomenon (Daly et al. 1997). Boyatzis (1998, p. 161) defined a theme as, “a pattern in the information that at minimum describes and organizes the possible observations and at maximum interprets aspects of the phenomenon.” The process involves the identification of themes through “careful reading and re-reading of the data” (Rice and Ezzy 1999, p. 258), while Fereday and Muir-Cochrane (2006, p. 82) considered it “a form of pattern recognition within the data, where emerging themes become the categories for analysis.” The team will develop codes and then will analyze quantitatively.

Phase 4 (1 Month) Dissemination Shepard et al. (2002) suggest that the findings of CBPR can be successfully communicated to community residents, media, and policymakers. Such events can take place in the form of community meetings within the community organizations, local conferences, or workshops involving community partners. In this project, the research team will develop a report proposing specific, evidence-based intervention related to health issues and safety during meetings that will take place at St. Nicholas facilities. Those meetings will include also lectures about health issues and safety. The community leaders will decide how they will use the knowledge derived from the project.

MIXED METHODS DESIGN

“Building community engagement and development in Greektown, Baltimore” is a university-community engagement multistage sequential mixed methods (MM) study of CBPR (Papadimitriou et al. [in preparation](#)). Strand et al. (2003) underscore the rationale for using both qualitative and quantitative data in community-based studies. For those used to being quantitative or qualitative researchers, community-based research is both and neither. In the real world, philosophical differences over whether cold statistics or richly detailed stories provide better information are irrelevant. What matters is what information is needed to contribute to the social change effort, and this often calls for multiple methods of data collection. The project is not a static one, as each phase used a different approach that related to the aim and the mission of the project. This MM study begins with *Forming a CBPR partnership* stage, then involves a sequential qualitative exploratory design (Phase I University-community engagement, project partnership, survey design), and it leads to the *Dissemination* stage. This design suggests a connection of MM research with several of the Israel et al.’s (2013) core phases of CBPR, specifically:

1) *Forming a CBPR partnership*

This stage of the MM project was related to Israel et al.’s (2013) core phase *Forming a CBPR partnership*. As an initiative that embraces university-community engagement research to examine community social issues, defined by the university’s public mission, it intends to help community leaders to better understand the challenges faced by their community and design evidence-based interventions to address those needs. This assessment is done with the long-term aim of creating a cross-disciplinary and collaborative approach among scholars from various disciplines, such as organizational leadership (School of Education), healthcare professionals (School of Medicine), statisticians (Bloomberg School of Public Health), in cooperation with neighborhood (St. Nicholas, Greektown) community leaders to establish interventions geared toward improving safety and health outcomes.

2) *Designing and conducting research*

This stage of the MM study was a combination of Israel et al.’s (2013) core phases of CBPR such as *Assessing community strengths and dynamics*, *Identifying Priority Local Health Concerns and Research Questions*, *Designing and Conducting Etiologic, Intervention, and/or Policy Research*.

At this stage in the MM design and during the community meetings, the team used a concept mapping approach (Burke et al. 2005). The guiding questions to consider during the meeting with community leaders were: What is the social issue? What is the root cause(s) of this issue? Why is this an important issue to address? How does it impact our community? Community leaders and research team underscored areas relevant to their community (Greektown) as related to quality of life, transportation, neighborhood strengths and weaknesses, public safety, and satisfaction with local criminal justice agencies. For the health and resilience component, the team discussed with the community leaders surveys used in health care settings that measure homelessness/unstable housing, personal perceptions of health, depression, pain, drug, alcohol, and tobacco use; and interactions with the health care system. Community feedback helped to develop the survey tool. The team piloted the survey with the leaders and residents. Findings from this stage were used to build the final quantitative and open-ended survey that was distributed among Greektown residents with the help of the community leaders. The research project was approved by the Institutional Review Board at JHU. Paper-based survey executed until February 2020.

3) *Dissemination*

This stage of the MM study originally related to Israel et al.'s (2013) core phase of CBPR *Disseminating and Translating Research Findings*. This stage represents an ongoing process, as the team will suggest interventions to the community. The team will share finding also with the university. The nature of the university-community engagement research requires such actions. Moreover, the team will publish the results in an academic journal (Papadimitriou et al. *in preparation*), in addition to a report for the community faith-based organization. Sharing the findings of such study, the authors believe will influence future interventions and might will bring policy change. The community leaders will decide their future plans, however, the team is expected to support the leaders to decide what intervention strategy may be appropriate, help them to submit grant proposals for interventions, which is usually expensive, and also help with the selected interventions. Thus, the extension of the MM study will have to follow Israel et al.'s (2013) core phase of CBPR the *Designing and Conducting Etiologic, Intervention, and/or Policy Research*. The plan will be to use qualitative and quantitative data to develop community engagement and capacity building among university and community partners.

The overall MM design demonstrates the complexity in a university-community engagement research and suggests the importance of intersecting MM in CBPR for the community's wellbeing. Papadimitriou et al.'s (*in preparation*) multistage and sequential MM design supports Johnson and Onwuegbuzie's (2004, p. 20) statement of mixed methods being "an expansive and creative form of research."

LESSONS LEARNED AND SUGGESTIONS FOR FUTURE RESEARCH

In this chapter, the authors acknowledge that the methodology of a university-community engagement research needs to be shared. Thus, academics involved in such activities need to maximize the yield, that is the scientific knowledge gained from such studies. First, from the university-community engagement perspectives, and in order to develop studies that contribute to the university's public mission, universities and colleges need to define ways to motivate and engage their faculty in community projects. Literature reveals that engaging faculty in such projects is an enduring challenge at many higher education institutions (Shields 2015). At research intensive universities, promotion and tenure might suggest basic research outcomes instead of applied research (Kaplan 2015). This challenge is covered by Borkoski and Prosser's study (in this book). The project included in this chapter suggests that a "top-down" effort is an ingredient to support the recipe for a meaningful university-community engagement research. In this particular case, in order to make an impact on Baltimore's communities, JHU has developed seed grants focused on community development, organized workshops to match academics with city-partners, developed multidisciplinary (or cross-disciplinary or interdisciplinary) awards, and other university-community-engagement support actions (i.e., support to organize conferences, etc.).

University-community engagement research projects need also to satisfy requirements set forth by grant reviewers and provide details requested by funders. There is a need to explain in detail all aspects of a study in order to familiarize these reviewers who, in most cases, are university faculty and not necessarily knowledgeable about community engagement research. Thus, faculty's responsibility is to explain why such projects are important and should not be taken for granted, which means that such explanations should be included in the research narrative. Concurrently,

universities interested in university-community engagement research projects should promote the work of their faculty by providing administrative support, that is, grant writing feedback, budget development, help with Biosketches, and other relevant practices in order to help them with grant proposals and the completion of the sponsored programs.

The list for suggestions of a meaningful university-community engagement research is not an exhaustive one, as there is always room for improvement. However, one issue that is worth mentioning is that the sustainability of such research projects ends when the sponsoring grant ends. Universities might need to develop strategies in a way that projects can be sustained. In this enlighten, publications focus on practices related to how university-community engagement research demonstrate sustainability are needed once the grants end.

University-community engagement research is a complex phenomenon. CBPR is a form of collaborative university-community engagement and, as such, provides the community with information necessary to enact changes for community needs and/or wellbeing. The research team combined the extended community contact and depth of qualitative research with the breadth of quantitative work. It used a multiple perspective survey tool that combined quality of life, safety, community resiliency, and health components. However, developing trust, cooperation, and readiness to devote the time and energy for participation is a challenge that researchers need to take into consideration for a successful project. Community members may lack time, resources, or motivation. Constant and effortless communication is a challenge in itself, but this can be compounded by language proficiency gaps. Scientific or specialized language may not be understood by community partners, or the community could be non-English speaking. Additionally, there can be logistic challenges. Transportation to community from institution or to institution from the community may be difficult. The community may lack or have limited transportation, or parking at the institution may be prohibited, difficult, or expensive. Additionally, determining which social determinant to be addressed is complex. Many issues are interrelated, such as housing and unemployment. Lastly, balanced involvement of the community may require significant training of community members to promote meaningful and equitable participation. Building and maintaining trust both between the university and community as well as at times within community partners are a substantial challenge (Israel et al. 1998; Minkler 2005). The current project had overcome the challenges most often faced in

CBPR by following guiding principles such as: (a) collaboration, (b) validation of the knowledge of community members and the multiple ways of collecting and distributing information, and (c) “social action and social change for the purpose of achieving social justice” suggested by Strand et al. (2003, p. 8).

Success with CBPR can be obtained by listening to the community. The purpose of CBPR is represented by process improvement and positive outcomes. The goal is to add value and make a positive difference. In the current case, the meetings took place at St. Nicolas facilities. Faith-based organization facilities are essential for such meetings as community leaders and residents feel secure. Quality community partnership development takes time. Faculty need to develop trust and collaboration with communities not only for the purpose of the project. Recognizing the community as a unit of identity, CBPR builds on the strengths and the social capital of the community by emphasizing the crucial aspect of community-defined social and health problems. Researchers need to define the unit of analysis and take into consideration available data for their community of studies. In the current case, the team used national data related to the community characteristics as well as health issues related to the specific community. If projects involve multigeneration participants, it will be ideal for conversations to occur in two languages, as it is very important to use the local language and translations into English. In this study, the researchers used questionnaires in English. However, it is important to translate into local language. Researchers also need to take into consideration the technique of data collection. Questions approved by IRB in online questionnaires or in medical facilities might not be applicable for paper-based questionnaires that were collected via community leaders. In such a case, the review committee (IRB) might have to eliminate sensitive questions.

Another issue of consideration is unexpected events. In this case, the team was expected to complete data collection in March 2020. However, external pressures like the covid-19 pandemic stalled this project, and all projects dealing with human subject research. Researchers in such a situation need to define alternatives avenues to complete their projects in consultation with the funders and honest communication with community leaders. In the current case, the project was extended, by submitting an amendment to use multiple data collection techniques (online and possible focus groups) beyond paper-based survey. Until February 2020, the team collected 80 questionnaires and it expects to complete the data collection and analysis in the fall of 2020. In such a case, the research team

needs to provide an additional perspective by comparing the data collected pre covid-19 pandemic with the post pandemic period.

As the aim of CBPR is to have all contributors benefit from their involvement, participation in the research process and dissemination of its outcomes should be transformative for both community members and researchers (academics). This is a win-win situation where faculty from various academic departments engage with community members. Researchers and community members join in a process of co-learning and, under these circumstances, can enhance collective professional and personal development. In the current case, the research team expects the meetings for sharing the findings to take place in the fall of 2020, either in person or by using online meetings with the community and in consultation with St. Nicholas church.

It is also important for researchers to clearly articulate their research design and procedures, and be prepared to “educate” reviewers on mixing approaches as they relate to conclusions about their topic. In this way, it will help others to understand the research design as well as contribute to the MM of a CBPR literature (Papadimitriou et al. *in preparation*). There is an urgent need for effective methods to facilitate adoption, dissemination, and implementation of research findings to benefit the population’s health, safety, and well-being. Slow adoption rates and delays in translating evidence-based results to community action, call for better ways to bridge these gaps. Therefore, CBPR could reflect university-community engagement actions, and as such, aim to ensure universities achieve a public good and utilize their significant resources to help local, national, and also international problems and needs. Sharing challenges and methodological concerns of MM in CBPR are very useful resources.

Thus, this chapter is written to provide methodological issues and challenges with the hope that it will be useful to readers and suggests “beyond rhetoric” actions of a university-community engagement research.

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The “Community” in Community College: Lorain County Community College’s Strategic Visioning Model

Marcia Ballinger

COMMUNITY COLLEGE ORIGIN, EVOLUTION, AND MISSIONS

The role of America’s approximately 1,200 community colleges throughout their history has been one of expanding educational access to all citizens (Cohen and Brawer 2008; Parnell 1990). They have educated more than 100 million people over the last century and are at the forefront of moving individuals up the socioeconomic ladder in their local communities (Wyner 2014). Typically, these 1,200 two-year colleges serve the nation’s disproportionately low-income, first generation, and underrepresented populations. By their very nature, they were created and grew in response to the needs of their local communities throughout the twenty-first century.

From the 1947 Truman Commission that mandated equal opportunities for higher education as part of a national social justice agenda to twenty-first-century workforce development efforts, community colleges

M. Ballinger (✉)
Lorain County Community College, Elyria, OH, USA
e-mail: mballinger@lorainccc.edu

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are portals to opportunities (Cohen and Brawer 2008). Their missions throughout their history have expanded from traditional lower division transfer courses and vocational education to take on a more significant community role as a catalyst for change and problems solving (Boone 1997; Boone and Vaughan 1993).

Community colleges are America's unique form of higher education with their historic roots embedded in the junior college once referred to as the first two years of a four-year university education. Hittman (1994) acknowledged William Rainey Harper's "Academic College" concept created in 1892 of a junior college to deliver the thirteenth and fourteenth grades in preparation for the senior college experience known as the University of Chicago (p. 536). Harper is widely credited as giving birth to what later was to become the community college movement.

Junior colleges, the precursor to the comprehensive community college, began to more fully emerge at the turn of the twentieth century following the passage of the national 1862 Morrill Act that established the concept of education for all people (Baker 1994). Initially, these two-year colleges developed to eliminate barriers to accessible and affordable higher education that focused on the general education core. As one of the earliest advocates of the junior college movement, U.S. Commissioner of Education George Zook (1922) advocated for the reduction in the number of years of elementary and secondary education as a way to incorporate the one-year concept of junior college for those individuals considering a profession. The second generation of two-year colleges, characterized as junior colleges, tended to reduce the growing demand for public universities to serve more youthful students.

The second annual meeting of the American Association of Junior Colleges in 1922 defined the junior college as "an institution offering two years of instruction of strictly collegiate grade" (as cited in Bogue 1950, p. xvii). Three years later, the association broadened the junior college's meaning to reflect a more expansive vision that referenced curricular alignment with the community's civic and social needs, as well as industry demands (Bogue 1950, p. xvii). This early conception of the junior college, however, was more analogous to the European university tradition and did not reflect what would become the open-access community college mission founded on equality for all applicants.

In this backdrop, the purpose of this chapter is to provide practitioners with a model for community engagement and strategic planning based upon Lorain County Community College's three-decade evolution. The

chapter provides context about community colleges with a specific reference to the transformation of this Midwestern community college’s vision, mission, values, and strategic priorities that are grounded in the four pillars of education, economy, culture, and community. LCCC’s planning process is detailed to provide readers with a conceptual model for planning and engagement, and it incorporates strategic foresight in recognition of the volatility, uncertainty, complexity, and ambiguity facing higher education institutions today, with particular emphasis on community colleges that are aligned to local stakeholder needs.

SERVING A LARGER PURPOSE BY TRANSFORMING COMMUNITY COLLEGES

The broadening of the community college definition resulted from the expanded mission advocated by the 1947 Truman Commission report. Two years after the end of World War II, President Truman’s Commission on Higher Education recommended in 1947 that junior colleges should expand their mission to reflect the notion of a comprehensive community college. This Commission advocated that the title “community college” be used by those institutions that served local educational needs (Ratcliff 1994, p. 14). The Commission identified the following characteristics of a community college:

1. Since both the youth and adult populations will be served, community colleges should consider apprentice training and cooperative programs.
2. The community college must ensure that students are prepared to earn a living for a productive life, and to do so requires an integrated program that meets the needs of a general education as well as one that is vocational.
3. For those students who plan to pursue professional degrees, the community college must meet the needs through general education coursework.
4. Finally, the community college should create comprehensive adult education programs (President’s Commission 1947, vol. 3).

These recommendations garnered national prominence as President Truman called for people in the United States to have greater access to a

higher education that was “to be made available, tuition free, to all Americans able and willing to receive it, regardless of race, creed, color, sex, or economic and social status” (Ratcliff 1994, p. 19). The Truman Commission Report created a transformation in the progress of community colleges that ultimately led to the advancement of public higher education in the United States (as cited in Baker 1994). The Truman Commission Report further influenced the community college’s social justice role and the need for civic engagement through its recommendation that community colleges engage in community revitalization. The enactment of the 1963 Higher Education Facilities Act accelerated the development of community colleges as more than 500 two-year colleges were built throughout the United States. Additionally, the Truman Commission report further influenced the community colleges’ social justice role through its recommendation that community colleges drive community revitalization. Throughout their history, community colleges embraced community service as a component of their mission given the philosophical roots of this form of American higher education that reinforced Thomas Jefferson’s value that all citizens are equal (Boone 1997).

The community transformation most needed throughout industrial America at the time was being driven by employers. The community colleges’ engagement with local employers as envisioned with the ongoing assessment of needs for economic growth led to expansion of missions during the 1970s. While most community college mission statements include a focus on economic development, the extent to which institutions develop offerings is typically aligned to the unique needs of the local community and region (Pappas 1993). Initiatives developed to link private sector businesses with community colleges to upgrade the skills of workers through contracted training along with collaborative technology facilities. Deegan and Tillery (1985) attributed the shift in focus caused by this training in occupational education as part of the reason for an increase in career-oriented education (p. 25). Baker (1994) surmised that community colleges needed to understand the global marketplace and to align programs and services to adjust with new realities (p. 12).

Former American Association of Community Colleges (AACC) President Dale Parnell (1980) contended that a world-class economy was dependent on a world-class workforce that needed education and training beyond high school. AACC further advanced Parnell’s recommendation with its Future’s Commission report that linked economic needs to the role and mission of community colleges. Community colleges are

considered "a basic necessity of economic development" (Spence and Block 1993, p. 9).

By the beginning of the twenty-first century, the AACC concluded that community colleges should serve as that portal to education for the nation's workforce since the majority of jobs required more than a high school diploma but less than a baccalaureate degree (Vaughan 2000). Community college partnerships with business and industry have proven to create wins for employers and students alike (Baker 1994). The shifts in national priorities enhanced the economic development mission of community colleges during the mid-1990s with the authorization of the Workforce Investment Act (AACC 1998). This national legislation created funding priorities for dislocated workers, out-of-school youth, and disadvantaged adults. Thus, either community colleges expanded their existing economic development missions or they became more comprehensive to serve this broader array of stakeholders seeking entry or re-entry into the workforce.

Additional challenges are placed upon community colleges from external competitors in the marketplace. To effectively fulfill their economic development role, community college scholars have urged the two-year institutions to operate more like businesses with evaluation, customer service, and accountability demonstrated as standard values (Spence and Block 1993, p. 9).

Community college scholars have suggested that community colleges have reinvented themselves to become more entrepreneurial, creative, innovative, and flexible (Grubb et al. 1997). The twenty-first-century community college's flexibility combined with deep community roots has provided a competitive advantage in establishing entrepreneurial opportunities with other partners. Grubb et al. (1997) described workforce, economic, and community development as the three defining roles that will advance the entrepreneurial college (p. 3). Further, they asserted that the blending of these three emerging functions would create "a common purpose to improve the economic and social well-being of a community (p. 3)."

The workforce development mission of modern community colleges offers employers responsive, flexible solutions to train their employees and the capacity for a human development system. In other words, community colleges are required to provide access to a qualified talent pool of workers in a knowledge-based economy that requires workers to have postsecondary education beyond high school. Training for incumbent workers in

industry-specific courses offered at the workplace and in short-term increments has become a hallmark for entrepreneurial community colleges that understand that the traditional courses and scheduling are not effective in this context (Grubb et al. 1997). Entrepreneurial community colleges recognize the gap between what their traditional academic offerings provide and what employer demands mean, and they create alternative approaches such as flexible scheduling, contracted and customized education, and collaboration with public employers and private providers.

LORAIN COUNTY COMMUNITY COLLEGE: ROOTED IN COMMUNITY ENGAGEMENT AND STRATEGIC PLANNING

Lorain County Community College (LCCC), located in Elyria, Ohio, has a 60-year history of community engagement. True to the concept developed by the Truman Commission, Lorain County initially engaged its community in a planning process in 1961 shortly after the state passed legislation to permit the creation of community colleges. Community leaders, elected officials, employers, and residents joined together to ask the Lorain County Commissioners to support a resolution that could be referred to the Governor of Ohio. The Commissioners unanimously approved a resolution that established the Lorain County Community College District to ensure that residents had (1) access to affordable higher education and facilities near their homes; (2) technical training and retraining; and (3) general education for transfer to universities. Following this resolution, residents were surveyed to determine their interest in attending a community college, and the first Lorain County Community College Citizens Committee was formed to ensure that the community's needs would be considered (Lerner 1995).

The community survey along with the input of the Citizens Committee exemplified the initial civic engagement commitment envisioned by the Truman Commission when the national legislation authorizing community colleges was established. This community validation along with the Lorain County Commissioners' resolution led to Ohio Governor James Rhodes granting a charter to LCCC in July 1963. Four months later, Lorain County voters approved a ten-year operating levy as one-third of the funding for the college, with the remaining two-thirds to be generated by the state and students.

During its first two decades, LCCC launched into a comprehensive community college that offered a variety of technical degree programs along with general education courses leading to associate of arts and science degrees. However, when the economic downturn crippled this industrialized community in the early 1980s as unemployment rose above 25%, the community college was not prepared to collaborate with the community to chart a new future. The Board of Trustees recognized that LCCC’s mission needed to expand to address the challenges of the community so it officially incorporated economic development recognition of the community college’s role to help the community grow jobs and create linkages with talent development.

When LCCC’s Board of Trustees hired Roy Church as its new president in 1987, they suggested that the college had been coasting (VanWagoner 2018). Two years following his arrival, Dr. Church led LCCC on its first comprehensive strategic planning and visioning process in over two decades. At the time, 4000 students enrolled at the single campus institution. Adopted in 1990 and titled “Vision 2000,” this strategic plan engaged faculty and staff in the development of a revised mission and vision statement and delineated a set of strategic priorities.

After nearly a decade into the implementation of Vision 2000, LCCC created a new planning process called Vision 21. Recognizing the importance of civic engagement and external constituents, the College redefined its strategic planning process by adding external listening and learning sessions as part of the environmental scanning. Feedback from these external sessions was incorporated into the internal planning sessions at the college. The two-year planning and engagement process led to reaffirming the mission statement and creating six new six strategic priorities to guide its directional focus:

1. Raise the community’s technological competencies.
2. Develop the whole person.
3. Advance creative learning opportunities anytime, anywhere.
4. Stimulate workforce and economic development.
5. Promote community collaboration and growth.
6. Build the college’s infrastructure to accomplish these priorities (Vision 21 1998).

LCCC's Vision 21 planning process fully embraced the following action imperatives for learning organizations as described by Watkins and Marsick (1993), as reflected in the following goals:

1. Promoting inquiry and dialogue.
 2. Encouraging collaboration and team learning.
 3. Establishing system to capture and share learning.
 4. Empowering people toward a collective vision.
- (a) Connecting the organization to its external environment.
(Watkins and Marsick 1993, p. 11)

The external involvement from more than 30 constituency groups in the Vision 21 process created a new set of expectations and priorities that placed the community at the heart of LCCC's mission and priorities. This greater sense of accountability led to a refinement of LCCC's leadership structure to place greater value and priority on the external relationships and partnerships. That resulted in the creation of LCCC's third vice president's position, which had been held by this chapter's author from its inception in 2001 until 2011. This new organization unit called Strategic and Institutional Development included all external-focused aspects of LCCC's mission, including partnerships, workforce and economic development, cultural arts, conferencing, K-12 relations, student recruitment, marketing, Foundation, and advancement.

ACCELERATING THE PLANNING

While Vision 2000 and Vision 21 were designed as ten-year strategic plans, LCCC realized that the rate of change in the twenty-first century was too rapid for planning to remain tied to a decade planning cycle. The dynamic landscape of higher education priorities at a federal, state, and local level combined with technological changes and increased constituent expectations led LCCC to consider the creation of a new visioning process called Vision 2015 that would include the evaluation of the appropriateness of its mission in 2006. As part of this process, LCCC considered different models that offered perspectives on mission evaluation such as those articulated by Dougherty and Townsend (2006):

1. Public statements of mission that are determined by state legislation or an association, such as the American Association of Community Colleges (2004) that stated “Community colleges are centers of educational opportunity...inclusive institutions that welcome all who desire to learn, regardless of wealth, heritage, or previous academic experience (p. 1).”
2. Programmatic offerings as mission explore the college’s operations from its “programmatic offerings, enrollment patterns, and organizational procedures (p. 7).”
3. Effects of community colleges provide the opportunity to determine missions based on an institution’s effects or outcomes. This methodology is primarily utilized by critics who maintain “these effects are not accidental but pervasive” as a result of the college’s “role in maintaining social inequality as well as providing college opportunity (pp. 6–8).”

LCCC’s Vision 2015 was designed as a two-year process that included the phases of: (a) Listening and Learning, which occurred during 2006; (b) Building a Vision, that involved the creation of a Vision Council; and (c) Acting on a Vision, which is the current phase of sharing and acting on the strategic priorities. The Listening and Learning Phase was developed to identify the issues and needs of students, stakeholders, and employees. In total, this phase involved 360 internal participants in 45 roundtable dialogues, and it was complemented by 104 external listening sessions that engaged 1,435 participants from stakeholder groups that included representation from such groups as organized labor, employers, elected officials, non-profits, foundations, senior citizens, K-12 educators, and community groups. More than 1,200 building block ideas were offered by participants to provide LCCC with a sense of what was changing in their areas or fields, and how LCCC could help to address those needs.

This action-based research through the Listening and Learning phase was enhanced through an external literature review focusing on: (a) technology, (b) a transforming economy, (c) jobs and the workforce, (d) student achievement, (e) college affordability, and (f) accountability. The Vision 2015 Council composed of 100 stakeholders and internal LCCC representatives explored this research more thoroughly and developed from the Listening and Learning Phase what they believe the major needs were in the community and the potential initiatives LCCC could pursue in support of this priority.

The Vision 2015 Council then evaluated the existing Vision 21 mission and recommended revising it to: “Lorain County Community College, an innovative leader in education, economic, community, and cultural development, serves as a regional catalyst for change in a global environment through accessible and affordable academic and career-oriented education, lifelong learning, and community partnerships (Vision 2015 2008).” In addition, the Vision 2015 Council refined LCCC’s vision statement to declare it as “Building a world-class community through education, innovation, and collaboration (Vision 2015 2008).”

The following six strategic priorities emerged from the Vision 2015 Council:

1. Raise the community’s participation and attainment in higher education by 40% to reflect the state’s educational goals.
2. Prepare globally-competent talent to compete in the Innovation Economy.
3. Accelerate business and job growth to enhance regional competitiveness.
4. Connect Lorain County with regional priorities and partners.
5. Serve as a catalyst for enhanced community life.
6. Build LCCC’s resource capacity (Vision 2015 2008).

LCCC’s strategic planning and visioning processes that followed during the next decade from 2009 to 2019 occurred more frequently and with greater accountability measures. Within five years after the adoption of Vision 2015, LCCC’s Board of Trustees approved Vision 2.0, which offered a new strategic focus on student completion and success. While the planning phase was more condensed, it was more expansive by offering more external data to drive priorities and initiatives to improve student outcomes.

Shortly after the adoption of Vision 2.0, President Church announced his intention to retire in June 2016 after 29 years. Prior to launching a national presidential search, the College refreshed Vision 2.0 to have the most updated snapshot of community needs and vision for its new leader. A Vision 2020 Council, composed of faculty, students, staff, and external partners, was formed to review the existing mission, vision, and priorities in the context of rapid, fundamental change as a host of environmental changes affecting the community as well as higher education. Factors included education reform at the state and national level, economic

transformation with technology driving new industry sectors, and the shrinking of our world with globalization touching every facet of our work and personal lives. More than 100 community and campus representatives met four times in working sessions to review and update the strategic plan by considering changes and trends that impacted the community and LCCC as it prepared for a new leader. The Vision 2020 Council convened over several sessions and processed the feedback from community sessions and environmental literature scans. After four meetings, they reached consensus on a blueprint to present to the LCCC Board of Trustees for its consideration.

The Board adopted Vision 2020 (Lorain County Community College 2015) and utilized it as the foundation for the national search to ensure that the recruitment and hiring of the new president would align with the leadership characteristics needed to fulfill the vision, mission, and strategic priorities reflected in Vision 2020. This new plan declared LCCC’s core values as:

1. The community’s college
2. Trusted by the community to educate, lead, and inspire,
3. Committed to creating a better, more sustainable future for the community.

The vision was reframed and articulated to *“empower a thriving community where all students achieve academic and career success; industry talent needs are met and businesses start, locate, and grow; and where people prosper.”*

For this first time in the College’s history, student completion for academic and career success emerged as the top priority for the strategic plan. This was driven in large part by LCCC’s data that demonstrated low graduation rates, particularly among underrepresented population. LCCC committed to the following outcomes as part of Vision 2020: reduce time and cost to students’ degree completion, coach every student for success, improve college readiness and minimize the need for developmental education, develop guided pathways, engage more adult learners, and close achievement gaps particularly for underrepresented populations. This case study’s author was named LCCC’s fifth president in April 2016 and embraced the Vision 2020 as the catalyst to empower a thriving community through increased educational attainment.

IMAGINING THE PREFERRED FUTURE: DESIGNING WITH THE END IN MIND

Within two years of implementation of Vision 2020 in 2018, LCCC concluded that the plan needed to be redesigned with a greater end in mind by re-engaging the community to imagine a preferred future. As the community's college, LCCC invited partners throughout the region to assess and redefine its mission, vision, and strategic priorities. The community input gathered through interviews and listening and learning sessions clearly demonstrated that Lorain County is part of an evolving regional ecosystem and acknowledges this connection will enable the Northeast Ohio region to grow and its employers and residents to succeed.

The College designed and implemented a four-phase planning process that follows:

Phase One: Environmental Scanning, Drivers, and Megatrends

Lorain County Community College's environmental scan (Green 2018) of local, regional, national, and global trends, which included a literature review of more than 100 journal articles, provided content and context for community engagement sessions. This environmental scan led the College to define a list of drivers, or developments causing change and potential for shaping the future, as well as mega trends, or macro-economic forces affecting business, community, society, culture, and individuals in the future. LCCC's planning process focused on an initial set of eight drivers and megatrends:

1. The 3 A's-automation, artificial intelligence (AI), and augmented reality (AR): With the rapid acceleration of automation, the seven industries most likely to be transformed by (AI) and (AR) are: transportation with autonomous vehicles, advanced manufacturing, packaging and shipping through drone technology, customer service, finance, healthcare, and agriculture.
2. Digital transformation: the process of using digital technologies to either create new, or modify existing, business processes, culture, and customer experiences to meet changing business and market requirements. This is exemplified in emerging fields such as block chain, cloud computing, big data, and cyber security.

3. Internet of Things: this convergence creates a system of interconnectivity leveraging sensor technology impacting how we live and work by connecting any device to the internet.
4. Competition for digital workers and talent: The Northeast Ohio talent gap, expressed by employers in listening sessions, continues to rise post-2008 recession recovery, and CEOs express concern about the availability of key skills.
5. Future proof skills with a learning mindset: The talent crisis theme continued to emerge from employers with an emphasis on ensuring that LCCC and higher education prepares individuals with competencies that facilitate a learning mindset given the changing nature of careers during a lifetime. When LCCC began six decades ago, students pursuing technical degrees learned skills for a career. Now, the career is a journey of learning. In 1984, the half-life of a learned skill was considered 30 years. Today, people are working longer with careers spanning between six to seven decades and multiple jobs. However, the half-life of a learned skill is only five years.
6. Next generation and jobs: Beginning in 2020, five generations are now in the workforce spanning five generations beginning with traditionalists born until 1945 through generation 2020 born after 1997. The reality of having five generations working side by side who have been shaped by different cultures, experiences, and values creates new opportunities and challenges in the short term. However, by 2025, millennials, or those born between 1977 and 1997, are expected to comprise 75% of the workforce.
7. New economies—sharing, gig, and maker: Just as the workforce is shifting, the types of economies are also being shaped with the evolving megatrends as new economies evolve. The rise of the sharing economy, with businesses like Lyft, Uber, and Airbnb, and the gig economy where more people work for themselves as freelancers, taking on multiple gigs for an eclectic career, are upsetting traditional business models. Freelancers are predicted to outpace the U.S. workforce majority by 2027 according to Hathaway and Muro (2016).
8. Demographic shifts, increased diversity, and need for increased economic mobility: While Northeast Ohio experiences the talent gap, the increased diversity and lack of economic mobility have created challenges that need to be addressed. It is an unrealized opportunity

for improvements in the talent gap as well as moving individuals up the social economic ladder.

Externally, the College engaged with community leaders across a vast array of Lorain County organizations, including the arts, civic organizations, entrepreneurs, faith-based community, minority leadership, older adult/senior living organizations, health and human services, non-profits, community development, government, K-12 education, higher education, employers, organized labor, and philanthropic entities. LCCC hosted than 50 sessions across every community in the county and engaged more than 750 participants at 25 venues.

Concurrent with the external sessions, the College facilitated roundtable dialogues with full- and part-time faculty, staff, and students. Thirty sessions attracted over 500 internal participants who engaged in more than 40 hours of conversations across four campus locations—from the College’s main campus in Elyria to its outreach learning centers in Lorain, Wellington, and North Ridgeville.

Participants’ feedback regarding megatrends, drivers, and other insights were recorded from the external and internal sessions. This information was then synthesized and themed for the second phase of the planning process.

Phase Two: Designing the Plan with the Vision Network

More than 130 stakeholders joined together in four hosted work sessions from February through April 2019 to serve as the designers and recommenders of the new strategic plan. Individuals who participated in the internal and external community listening and learning sessions during phase one who expressed interest in serving on the Vision Network were invited to engage in this phase. Additionally, the College invited other constituents to ensure a diverse, cross section of the larger region.

Four two-and-a-half-hour evening sessions, which began with an informal dinner, formed the basis for the Vision Network’s convening. This study’s author facilitated all four Vision Network sessions, which were all designed to build off of each other and used a consensus-building model.

The objective of the first evening was to begin to create a shared, preferred future for the community and to gain an understanding about the global and regional drivers and megatrends that may help, challenge, or redirect the Vision Network in designing that future. A strategic foresight

framework was shared to demonstrate how volatility, uncertainty, complexity, and ambiguity influence the environment given the rapid rate of change. Participants were then taken through an interactive engagement exercise involving each of the aforementioned external drivers and megatrends. They voted electronically by answering four questions regarding each of the eight drivers and megatrends. The College gauged their opinions on the impact and relevance on the community and whether they would or should be part of the preferred future.

It was evident by the end of the first evening there was widespread belief that each of the identified drivers and megatrends had a high probability of happening in our community and a high probability of having an effect in the community. Vision Network members identified additional drivers and megatrends they thought should be considered in the planning effort, including climate change and its impact on food and water quality, social globalization, and technology changes and its impact on communities. A graphic recording served as a visual map of this first session thereby offering the group’s collective work to be better understood and shared with others (figure a). An online repository for participants provided ongoing access to Vision Network information and materials.

The Vision Network’s second convening began with a recap of reviewing session one’s product and continued with a deliberate focus on LCCC’s education cornerstone. Specifically, the Vision Network was asked to consider where LCCC should play a leadership role to help the community achieve a preferred future. The vibrant conversation that emerged from the Vision Network that evening concluded that the collective vision is for Lorain County to be recognized and valued as a talent oasis or talent destination with the following characteristics:

- Highly skilled, educated, and knowledgeable talent pool
- Workforce that has twenty-first-century core skills to communicate, collaborate, problem solve, imagine, and analyze
- A talent pool and workforce that is innovative, entrepreneurial, adaptive, and work ready
- Individuals who are thriving in jobs that pay meaningful, living wages and have equitable pathways out of poverty
- The elimination of the wage and education gap for all populations.

To create this preferred Lorain County future, the Vision Network offered ten potential goals to consider:

1. Raise the community's educational attainment and skills to fuel economic growth, including technical and newly defined core skills
2. Increase college completion rates including certificates and degrees
3. Increase participation of underrepresented individuals
4. Align workforce skills and education to regional high demand jobs
5. Improve successful connection of talent to jobs and employers
6. Increase community's overall educational attainment to bachelor's degrees
7. Increase the percentage of high school students earning college credit and/or industry credentials while in high school, particularly among first generation, low-income, and minority students
8. Increase percentage of high school students who pursue postsecondary education immediately after high school
9. Increase retraining and skill upgrades of adults who already have credentials or degree to reinvent themselves for new economies
10. Reduce college debt for families by continuing to make LCCC affordable and convenient

The Vision Network's third session revisited these ten goals from session two in roundtable formats. The feedback led to the drafting of one primary overarching goal: Graduate more individuals with the right education and skills to thrive in life and careers.

The participants then turned their attention to LCCC's economic cornerstone to discuss how its mission related to empower economies to grow through innovation. The consensus of the Vision Network was a goal to: Partner to improve economic prosperity. This could be accomplished via the following strategic priorities:

1. Expand workforce development and continuing education
2. Expand learn and earn models with employers, such as apprenticeships
3. Increase access to LCCC facilities and resources for employers to test and adopt new technologies and prototyping
4. Support entrepreneurs, makers, and inventors in the community
5. Partner to create opportunities in agriculture economy

Also, during the third session, the Vision Network provided feedback regarding LCCC’s remaining two mission cornerstones of community and culture, and drafted the goal that the College is a partner to enhance the quality of life in the community and will accomplish it by:

1. Partnering with the community to help address community-wide opportunities and challenges, such as drug addiction, transportation, digital connectivity, and health and wellness
2. Expanding personal enrichment opportunities for the entire community including, senior citizens, children, families, veterans, and professional groups
3. Enhancing cultural and art experiences
4. Leveraging LCCC’s campus facilities, amenities, and programs to expand arts, culture, and entertainment programming
5. Serving as the community’s epicenter for activities that enhance the community’s quality of life
6. Supporting the aging population through senior adult programming

The Vision Network convened for its fourth and final session within a three-month period to culminate its recommendations for LCCC’s new strategic plan in spring 2019. The session began by unveiling a visual depiction of one bold goal and five areas of focus that were generated from the first three sessions. Working with LCCC’s Institutional Research and Planning team, LCCC announced its commitment that by 2025, 10,000 more individuals will earn an LCCC degree or credential. This bold goal born out of the strategic plan developed by the Vision Network was groundbreaking in that it defined a clear metric of what the plan would achieve for the community, individuals, and families. The Vision Network was then asked to evaluate how this goal would impact individuals, families, economy, and community. The members reached consensus that this was the right goal to take LCCC and the community into a preferred future with five areas of focus:

1. Student Focus—Expand participation
2. Success Focus—Increase completion and academic success
3. Future Focus—Foster future success
4. Work Focus—Improve Economic competitiveness
5. Community Focus—Enhance quality of life

The Vision Network also modified the institution's mission statement to coalesce with the new areas of focus. Through its affirmation, the Vision Network helped discover the common, shared vision of Lorain County while helping to identify how its community college can best achieve that vision for a brighter and more vibrant future for the greater community.

Phase Three: Adopting 10,000 Degrees of Impact

After nine months of engaged planning, beginning with an environmental scan, 80 listening and learning sessions with campus and community groups that engaged more than 1,700 participants followed by the convening of a 130-member Vision Network, the final strategic plan was recommended to LCCC's District Board of Trustees. Titled 10,000 Degrees of Impact: Vision 2025, this plan was unanimously adopted by the Board at its April 2019 meeting and declared to be the most comprehensive and results-oriented strategic planning process the College had embarked on in its 56-year history. Vision Network members attended the Board meeting to reinforce their commitment to partner with LCCC to realize the vision articulated that creates "a vibrant community for all where all students achieve academic and career success; industry talent needs are met and businesses start, locate and grow; and people connect and prosper" (Vision 2025 2019).

Phase Four: Sharing and Acting on Vision 2025

Bringing Vision 2025 to life throughout the community to ensure that 10,000 individuals will earn an LCCC degree or credential by 2025 is the capstone phase of the planning process. Vision Network members committed to continuing their affiliation and expanding their sphere of influence to either connect the College to more opportunities or strengthen existing relationships and partnerships. This renewed emphasis on the collective impact of working toward a greater community goal in collaboration with partners has been reinforced through this ongoing networked approach.

SUMMARY

Since its founding in 1963, LCCC has emphasized a social agenda linking its education, workforce, economic, and civic needs of the community it serves. LCCC embraces a comprehensive mission as envisioned by the Truman Commission to include applied technical education, university transfer programs, workforce and economic development, and community service. Throughout the past three decades, LCCC’s comprehensive strategic planning and visioning processes have created increasing alignment with community needs and challenges by engagement with broad stakeholder representation in the process, both from the campus and external community.

The most recent planning process, which was completed in 2019, engaged more than 1700 stakeholders to create a preferred future and shared vision for the community recognizing environmental complexities, volatility, uncertainty, and ambiguity. Among the contextual factors that were considered in this most recent iteration were the exponential rate of technological change that has occurred in the past decade along with the demand for digital workers and the shift in community college accountability and performance for student completion of credentials and degrees. A 130-member Vision Network, composed of community and campus representatives, developed the plan based upon input from listening and learning sessions and examining global and regional megatrends and drivers.

Given the rapid rate of change demonstrated by the megatrends and drivers examined in LCCC’s Vision 2025 planning process, it will be imperative for the college to proactively incorporate how the future of work and technology shifts impact its strategic priorities. The college’s planning processes must continually incorporate flexibility and agility and ensure that the voice of the partners, especially employers, is reflected in curriculum design, programs, services, and partnerships. Further, higher education strategic planning must accelerate to keep pace with technology acceleration in this age of artificial intelligence, automation, robotics, and the gig economy.

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CHAPTER 8

Exploring University Engagement Through an International Lens: The Case of *Extensión Universitaria* in Panama

Mariana León

INTRODUCTION

University engagement, along with teaching and research, are integral components of the educational mission of higher education institutions. These three missions must be present in the policies and strategies of universities, and mutually support and complement each other. This chapter discusses university engagement from an international perspective, specifically the case of Panama. The case will explore different factors within an international context that impact the conceptualization and development of university engagement, referred to in Latin America as *extensión universitaria*.

The initial conceptualizations of *extensión universitaria* in Latin America arose from pressures of the middle class to democratize higher education (Ortiz-Riaga and Morales-Rubiano 2011). These

M. León (✉)

Quality Leadership University, Panama City, Panama

e-mail: mariana.leon@qlu.pa

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conceptualizations were shaped to reaffirm the university's function of service to society through interdisciplinary efforts to analyze different problems (UNESCO 1998) and to promote social change (Serna 2007). Public policy is also part of the local context that guides the definition and scope of university engagement (Barker 2015). Since 2006, the higher education system in Panama has been party to substantial changes, through the enactment of laws that create a national system for evaluation and accreditation in Panama, in which university engagement is one of four factors that measures the quality of a university (CONEAUPA 2016).

University engagement occurs when the institution articulates a clear and unified culture in that direction (Philpott et al. 2011). To better understand institutional orientation toward the third mission, a qualitative content analysis of the mission, vision, and values statements of Panamanian universities is conducted. This chapter seeks to contribute to limited existing literature that contextualizes the university's third mission to Latin American countries.

HISTORICAL CONTEXT

At the beginning of the twentieth century, many Latin American universities were witness to movements that sought to democratize higher education. The most relevant was the Reforma de Cordoba in 1918, which took place in Argentina, and created a ripple effect across the region (Tünnermann 2000). One of the student organizations involved in the movement, the *Federación Universitaria de la Plata* (1919) referred to universities as “parasites” and expressed their vision of what universities should be like: “...the university of tomorrow will not have doors or walls, it will be open like space: big...”. Through these movements, middle class citizens sought to gain access to higher education, which until then, had been controlled by the oligarchy and the clergy. The reform movements integrated the social mission of university, as a facilitator of social change and democracy (Del Mazo 1941).

In addition to the aforementioned movements that framed *extensión universitaria* in Latin America, many of the countries in the region also faced political challenges in democracy during this period. This meant that the initial conceptualizations of extension included the role of universities as protectors of democracy and sovereignty of the country. Jephtha Duncan (1940), the University of Panama's second president, spoke to this matter:

The time of conflict that the world faces today, places on the shoulders of Universities, including ours, new obligations... Our educational institutions in America, without omitting universities, are called to prepare new generations to live in this time of conflict; and are called particularly to cooperate in the defense of ideals and principles that are the foundation for democratic regimes under which we live in the Republics of this hemisphere.

OVERVIEW OF HIGHER EDUCATION IN PANAMA

Panama's higher education system is relatively young, as is the country's time as an independent and sovereign nation (since 1903). The United States government set up the first university in Panamanian territory, The Panama Canal Junior College, in the Canal Zone in 1933 to serve the United States military and civilian staff who were managing the Panama Canal (Montoto 2013). In 1935, the University of Panama was established as Panama's first public university, quite late if compared to other Latin American countries (Montoto 2013). Thirty years later, the first private university in Panama, the Catholic University Santa Maria La Antigua (USMA), opened. The University of Panama and the USMA were the only two Panamanian universities until the 1980's, when more private and public universities arose. Similar to other countries in Latin America, the 1990s saw a plethora of private universities in Panama emerge (Montoto 2013).

Today, in 2020, Panama has five public universities, with University of Panama as the oldest and largest in student enrollment. There are 17 private universities that operate in Panama and that have been accredited by the National Council for University Evaluation and Accreditation of Panama (CONEAUPA). Additionally, there are 2 private universities in the process of accreditation, and 11 universities that have permission to operate in the country, but have yet to be accredited by the CONEAUPA. The last official enrollment numbers for public universities is for the year 2017, where the five universities enrolled a total of 115,878 students. Private universities last reported enrollment numbers in 2018, of 67,784, totaling approximately 183,662 students in the system (Instituto de Investigación de AUPPA 2019; Instituto Nacional de Estadística y Censo 2020).

LEGAL FRAMEWORK FOR HIGHER EDUCATION IN PANAMA

The Ministry of Education serves as the government entity that recognizes and approves initial operation of universities in Panama. Additionally, the University of Panama and the other four state universities provide curricular approval of academic programs for private universities, through their leadership of the Academic Development Technical Commission (CTDA), which conducts oversight and supervision of academic and administrative operations of private universities.

The higher education environment has experienced a drastic change in the last ten years, a product of the approval of higher education legislation. In 2006, the government passed a Law 30, which created the CONEAUPA. In 2010, the law was regulated, and the model and the process for accreditation were developed. In March of 2011, CONEAUPA presented its evaluation standards, and thus Panamanian universities entered their first national accreditation process. The evaluation standards matrix is composed of 185 indicators, divided into 4 factors of teaching, research, outreach, and administration.

Law 30 widely criticized by universities and other stakeholders, and in 2015, Law 52 was passed, which repealed and replaced Law 30, and created the National System of Evaluation and Accreditation for the improvement of the Quality of University Higher Education in Panama. This new Law 52 was regulated in 2018. These changes, coupled with political and government-related administrative challenges in higher education during this time have resulted in slow-paced advancements in the effective execution of public policy related to higher education.

RESEARCH IN PANAMA

Universities in Panama are more focused on instruction than research (Montoto 2013), and research productivity in Panama, as well as in Central America, is low in comparison to other regions (Secretaría Nacional de Ciencia y Tecnología 2016; Svenson 2013). Panama and Panamanian institutions rank very low in international university and research productivity rankings. Quacquarelli Symonds (QS) is a global higher education company that offers products and services for universities and students, and releases the most-widely read university rankings in the world, alongside independent regional rankings (QS 2020). In 2020, only seven Panamanian universities are included in the QS Latin American

University Rankings, with the Technological University holding the highest ranking for a Panamanian university, at number 126. University of Panama ranks 149.

Furthermore, both universities are classified by QS with a “low” in research output, where research output is defined as “the research intensity of the University, based on the number of papers output relative to the University’s size. University of Panama is also given a “low” classification in research output. QS also conducts a worldwide ranking, where *Universidad Tecnológica de Panamá* (UTP) is ranked 801–1000, and is the only Panamanian university to appear in the world ranking.

SCImago Journal and Country Rank is an online portal that ranks countries and territories using scientific indicators and outputs from information found in the Scopus database, by Elsevier (SCImago 2020). Panama ranks 106th out of 236 countries, nations, and territories that are listed in the ranking. If only Latin American countries are taken into consideration, Panama ranks 11th in Latin America and 2nd in Central America (after Costa Rica). One of the factors that drives low research productivity, is the almost “exclusive use of part-time faculty”, where the focus is on instruction rather than research. “The model is similar to that of community colleges, but with less pay and job security for instructors” (Montoto 2013, p. 29).

Svenson (2013) studied Central American research efforts to better understand how Panama stood among a regional context. Central America does not contribute significantly to global research and development, where North America, Asia, and Europe contribute most of the research with 35.1%, 34.4%, and 25.7%, respectively (Svenson 2013). Central America accounts for 0.025% of research globally, and is part of the wider Latin American region that accounts for 2.5% of global research. Comparatively, Panama has a productivity of 10.70 publications per 100,000 inhabitants and the United States produces 127.47 publications per 100,000 inhabitants.

There is limited data regarding research, productivity, and PhDs in general for Panama, and its collection has been inconsistent through time (SENACYT 2016). The National Secretariat for Science and Technology in Panama (SENACYT) reported that in 2011, there were 1031 professionals who had a full-time dedication to research and development. Only 5% of these professionals possessed a terminal degree. The majority of researchers were employed by the government, followed by universities, and then by non-governmental organizations, with a distribution of

66.7%, 30%, and 3.3%, respectively (SENACYT 2016). In terms of research productivity, there are 120 Panamanian journals in the Latindex journal catalog, of which 13 are indexed journals (Latindex 2020). To compare, Costa Rica, Panama's neighboring Central American country, has 403 journals in the Latindex journal catalog, of which 68 are indexed (Latindex 2020).

The discussion regarding Panama's low research productivity is relevant for university engagement for two reasons:

- Research, through the scientific exploration of solutions to pressing issues, is one of the avenues through which universities can contribute to social change. If productivity is low, there will also be resulting limitations in the mission of engagement.
- It is common for discussions in the United States to refer to engagement as the "third mission", alleging a "third place" in priority, after research and teaching. For the case of Panama, and probably other countries with low research productivity, research does not necessarily supersede engagement in development, priority, or capacity. This proposition is further discussed toward the end of this chapter.

PUBLIC POLICY, STANDARDS, AND BENCHMARKING OF UNIVERSITY ENGAGEMENT

The initial conceptualizations of the third mission in Latin America arose from pressures of the middle class to democratize higher education (Ortiz-Riaga and Morales-Rubiano 2011). These conceptualizations were shaped to reaffirm the university's function of service to society through interdisciplinary efforts to analyze different problems and to promote social change (Serna 2007). Public policy is also part of the local context that guides the definition and scope of university engagement (Barker 2015).

PUBLIC POLICY DEFINITIONS AND STANDARDS

Panamanian law requires all universities approved to operate and confer higher education academic degrees to perform *extensión universitaria*, or university engagement. Law 52 includes university engagement as part of the definition of the university:

Institution of university higher education, created through law or authorized through executive decree, which has as a mission to generate, spread, and apply knowledge through teaching, research, university engagement, and production, as well as to shape suitable professionals, that are entrepreneurial and innovative, as well as citizens who are committed to national identity and the human and sustainable development of the country. (CONEAUPA 2016)

The following sections will expand and explore the mission and vision of universities, and how these statements commit universities to engage with the community in different ways.

The National System of Evaluation and Accreditation for the Improvement of Quality of Higher Education in Panama defines *extensión* (university engagement) as “a substantive function of the university, which consists of the set of activities through which the institution projects its action towards the social environment, thus transmitting knowledge and culture” (CONEAUPA 2016). Campus Compact (CC) is a national coalition of colleges and universities in the United States that are committed to the public mission of higher education (Campus Compact 2020). As one of its main initiatives, CC created the Carnegie Community Engagement Classification, for colleges and universities who meet a list of criteria and indicators that reaffirm institutions’ commitment to engagement. Carnegie defines community engagement as “the collaboration between institutions of higher education and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity” (CC 2020).

The definitions held by both CONEAUPA and CC are similar in wording, but differ in scope. CONEAUPA’s definition focuses on how universities project and transmit outward the different products of a university. This conceptualization, although not erroneous, falls short compared to conceptualizations of university engagement held by other institutions around the world. While CONEAUPA focuses on the outward projection of university production, CC uses words like “collaborations”, “exchange”, and “reciprocity” to clarify that community engagement is a two-way relationship between the institution and the community.

CONEAUPA limits the relationship between institutions and communities to one that is one-directional. Seeing as these definitions shape the subsequent criteria and indicators that measure accreditation (in the case of Panama and CONEAUPA) and a community engagement classification

(in the case of the USA and CC), it is important to keep these definitions in mind as the criteria and indicators are analyzed.

It is also possible to draw comparisons in the importance given to university engagement as a part of the accreditation process in different countries. Panamanian law establishes the mandatory nature of university engagement as part of the mission of all universities, and requires for universities to abide by certain criteria and indicators within this factor, in order to obtain institutional accreditation. United States regional accreditation agencies that conduct institutional accreditations do not always require for universities to be engaged with their communities. For example, the Southern Association of Colleges and Schools (SACS) indicates that university missions must address “teaching and learning and, where applicable, research and public service” (SACSOC 2018, p. 13). SACS further explains this criterion:

SACSOC recognizes that some institutions may not include research and public service explicitly in their primary mission and that they may define research and public service in different ways. To the extent that the institution considers research and public service part of its mission, it should address those mission components appropriately in the statement and define them within the institutional context. (SACSOC 2018, p. 13)

It is also important to mention that the Political Constitution of the Republic of Panama makes community service mandatory for all students of the country, through the following article:

The students and graduates of educational institutions will offer temporary services to the community before they freely practice their profession or job, by reason of mandatory Civil Service instituted by the present Constitution. The law will regulate this matter. (1972, p. 99)

The mandatory nature of service to the community by university students gives all Panamanian universities an inherent responsibility to develop and execute programs that are committed to the service of society. It also ensures the involvement of an important stakeholder in the process of university engagement: the student. Community service is also required at a school level, in order for the student to obtain a high school diploma.

UNIVERSITY ENGAGEMENT ACCREDITATION STANDARDS IN PANAMA

There are other documents that also contribute to the operationalization of *extensión universitaria* in Panama. One is the evaluation matrix that is used by the CONEAUPA as the criteria and indicators that are required to achieve institutional accreditation. This document describes four different factors that are evaluated as part of the accreditation process: *docencia* (teaching), *investigación* (research), *extensión* (engagement), and *gestión* (management).

CONEAUPA's matrix expands on the glossary definition of university engagement:

Set of activities of the higher education institution through which it projects action toward the social environment and transmits knowledge and culture. Activities include, for example, the professional practice with a social service character, internships, development of social projects, volunteer work, among others. Also university engagement contributes to form in the university community, a critical constructivist conception of national reality, and it perceives social, cultural, and environmental change to promote the dynamic adaptation and contribute to the creation of a social conscience and continuous improvement. It advances and spreads extra-university cultural research to conserve and enrich the cultural collection of society. It publishes its production through science, philosophy, literature, art, forums, debates, continuous education, among others, and creates links with the different sectors of society.

Once again, CONEAUPA presents a definition of engagement that is one-sided, where the university projects itself outward, through different contributions through society. To further understand how engagement is measured in Panamanian universities, the main components and indicators are presented in Table 8.1.

Panamanian accreditation establishes that some of these indicators are "essential", meaning that it is an absolute requirement that the university comply with the standard, whereas other indicators are classified as "important", or "convenient", and allow flexibility in the reported level of compliance. With ten essential indicators each, the university engagement factor and the research factor have the lowest number of essential indicators, and teaching and management factors have approximately twice as many essential indicators each. This is an indication that although

Table 8.1 Components and indicators that measure university engagement in Panamanian accreditation policies

| <i>Component</i> | <i>Sub-component</i> | <i>Indicators</i> |
|--------------------------------|--|--|
| University engagement policies | Policies, organization, and planning of university engagement Plans, programs, projects, activities, and services | <p>Policies that promote and regulate university engagement</p> <p>Administrative unit responsible for university engagement</p> <p>Correspondence between programs and engagement activities with the mission, vision, values, and institutional plans</p> <p>University engagement policies are disseminated to the members of the university community</p> <p>Needs assessments for university engagement and services required for society</p> <p>University engagement programs offered to society, based on the results of the needs assessments</p> <p>Specific programs that promote the creation of new enterprises</p> <p>Communication to society of the engagement programs</p> <p>Perception of university community in relation to the image that the institution projects externally related to social responsibility</p> <p>Results of engagement projects</p> |
| Equal opportunity | Attention to social groups with low resources | <p>Assistance that the university provides to sectors or social groups with low resources</p> <p>Impact of assistance provided by the university to these groups</p> |

(continued)

Table 8.1 (continued)

| <i>Component</i> | <i>Sub-component</i> | <i>Indicators</i> |
|---|----------------------|---|
| Relations with external national and international institutions | Ties/links | <p>Policies for establishment of relations with national and international institutions</p> <p>Administrative unit responsible for the international relations or international cooperation of the university</p> <p>Institutional programs to promote internationalization of the university</p> <p>Follow-up to programs of internationalization of the institution and its programs</p> <p>Ties with companies, public or private institutions, professional and business organizations, centers of assistance or other organisms of proven quality and prestige at a national level and international level</p> <p>Exchange and mobility of faculty, students, and administrative staff at an international level</p> |
| Extracurricular activities and continuous education | Continuous education | <p>Policies that promote and regulate continuous education. Extracurricular activities and continuous education programs directed to the university community and to society</p> <p>Societal participation in general in the programs of continuous education</p> <p>Specific programs that promote the conservation of natural resources and the environment</p> |

(continued)

Table 8.1 (continued)

| <i>Component</i> | <i>Sub-component</i> | <i>Indicators</i> |
|------------------|---|--|
| Alumni | Ties between the university and alumni Alumni contributions to society | Policies that promote and regulate the ties of alumni with the university Activities directed to the ties of alumni and the university Established contact and communication channels with alumni Relation of numbers of alumni and numbers of enrolled students University contribution to the labor insertion of alumni Percentage of alumni who feel satisfied with the theoretic and practical education received at the university Percentage of alumni who are satisfied with the services that the university offers Alumni groups that are formally constituted Percentage of alumni that obtain a job the first year after they graduate Meaningful contributions of alumni at a national level Meaningful contributions of alumni at an international level Studies conducted by the university about perception and effectiveness in the education of alumni |

Source: Evaluation Matrix for Institutional Accreditation, Engagement Factor (English translation by the author)

engagement and research are required for all higher education institutions, there is an implicit expectation that these factors are not fully developed within universities in Panama.

Also, based on Table 8.1, we can conclude that the standard for university engagement in Panama is based on five main areas: internal university policy, equality, relationships with external institutions, extracurricular activities and continuous education, and alumni. Contributions to society and the community are expected to occur through the execution of the latter four areas.

BENCHMARKING UNIVERSITY ENGAGEMENT

Campus Compact (CC) also encourages universities to apply for a Carnegie Classification in Community Engagement, a classification for which institutions may voluntarily apply for, denoting their consolidated involvement and achievements in the area of university engagement. CC and Carnegie dictate certain indicators of engagement for community colleges can be applied to compare and benchmark CONEAUPA's current indicators and standards for university engagement. The 13 main areas evaluated to obtain a Carnegie Community Engagement Classification are summarized in Table 8.2.

CC introduces the execution of engagement as something that occurs across different aspects of university life. For example, several of the indicators are embedded within activities involving teaching, learning, academic disciplines, and faculty work; so, instead of keeping teaching, research, and engagement as separate activities, CC acknowledges that these interact among each other, and that this interaction is conducive to an environment that effectively embeds community-based work.

INSTITUTIONAL ORIENTATION OF *EXTENSIÓN*: THE PANAMA CASE

An engaged university demonstrates its commitment through an institutional mission and strategy, providing a direction for leadership and allocation of resources toward that commitment. Furthermore, an institutional mission drives the sense and orientation to the activities of the university. Organizations such as CC and CONEAUPA view university mission statements as a fundamental aspect that allows for university engagement to occur. For example, CC requires that “the institution’s mission statement explicitly articulates its commitment to the public purposes of higher education and is deliberate about educating students for lifelong participation in their communities” (CC 2019). Furthermore, CONEAUPA indicates that universities must demonstrate that they have correspondence between programs they offer and the engagement activities that are mentioned as part of mission, vision, values and institutional plans” (CONEAUPA 2016).

Table 8.2 Summary of criteria to obtain Carnegie classification for community engagement

| <i>Criterion</i> | <i>Description</i> |
|--|---|
| Mission and purpose | The mission of the institution explicitly states its commitment to engage with the community and to the public purpose of higher education |
| Academic and administrative leadership | Academic and administrative leaders of the institution support and play an important role in the strategy and support to make community engagement possible |
| Disciplines, departments, and interdisciplinary work | The institution ensures that community engagement is developed across different disciplines, and that enough opportunities exist for students to participate in structured initiatives for community-based work, or in solving community-based problems |
| Teaching and learning | The institution provides students with formal and meaningful learning opportunities, integrated in the curriculum, with a consideration of civic engagement, community expertise, and community-based work |
| Faculty development | The institution generates opportunities for faculty to learn about and develop community and service-learning based courses |
| Faculty roles and rewards | The faculty are rewarded and recognized for their contributions to engagement, and engagement is included as part of the institution's tenure and promotion guidelines |
| Support structures and resources | The institution has structures, resources, and procedures in place to properly support, inform, and document community-based work |
| Internal budget and resource allocations | The institution allocates proper financial resources to staff and supports community-based work |
| Community voice | The community is represented, has a voice, and plays an important role in the institution |
| External resource allocation | The institution makes available resources for community partners to enrich learning environments for community-building projects |
| Coordination of community-based activities | The institution effectively coordinates community-based activities and informs and provides access to relevant stakeholders regarding these activities |
| Forums for fostering public dialogue | The institution facilitates dialogue regarding relevant public topics and brings together stakeholders from the community |
| Student voice | Students participate and have a voice in important institutional committees, as well as are encouraged to advocate for issues that are important to them and their communities |

Source: Elaborated by the author with information from CC 2019

METHODOLOGY

This study applied qualitative methods, through content coding and an InVivo coding strategy, to provide an understanding of how Panamanian universities conceptualize university engagement through their mission and vision. Furthermore, results are analyzed using an inductive approach that allowed the findings to emerge from the “frequent, dominant, or significant themes inherent in the raw data, without restraints imposed by structured methodologies” (Thomas 2006, p. 238). The steps below provide an outline of how I collected and analyzed the data:

1. I created a list with all universities—public and private—that had obtained institutional accreditation from the CONEAUPA, and I checked online to ensure that the universities on this list had institutional websites, with public access to their mission, vision, and values statements. All accredited institutions had operational websites, and I was able to find their mission, vision, and values statements with relative ease. The study focuses on these 22 universities, because they have demonstrated compliance with the minimum required standard for university engagement. It is important to mention that additional to these 22 accredited universities, there are over 20 more private universities that operate in Panama, but have not undergone accreditation processes yet. These were excluded from the study sample.
2. I collected the texts related the mission, vision, and values statements for all public and private universities in Panama who are currently accredited by CONEAUPA. It is important to highlight that while all institutions ($n = 22$) had mission and vision statement, there was some variation with how institutional values were presented, where some universities simply stated what their values were, and others described or elaborated on each value. Furthermore, three universities did not provide their institutional values in their website, so for institutional values, the sample size was reduced to 19.
3. The data was translated to English and arranged in a spreadsheet that allowed for easy text searches, where each row was a university and the columns were university name, public or private category, mission, vision, and values.
4. I sought to identify emerging themes in the data, through the localization of texts that directly or indirectly referred to university

engagement in the mission, vision, and values statements. I used InVivo coding as a coding style, because it honors the voice and the original words of the institution (Saldaña 2009), and can help detect cultural nuances in the language being used by the institutions. During the first cycle of coding, codes were generated through recurrent phrases and key words found in the analyzed texts.

5. During a second cycle of coding, the codes were organized and assigned to four categories. These categories became a landscape of how universities visualize engagement, through a primary narrative within the mission, vision, and values statements. Figure 8.1 demonstrates the code landscaping that was generated as part of the qualitative analysis, using methods proposed by Miles, Huberman, and Saldaña (2018). In code landscaping, I manually organized the different codes into an outline format, assigning larger sized fonts to codes according to the frequency in which they appeared in the data (Miles et al. 2018). The purpose of this exercise was to portray in a more visual manner, the general importance of each theme, and how I arranged it into different categories.

LIMITATIONS

This study attempts to explain how universities shape their conceptualizations of engagement through their mission, vision, and value statements. The main limitation is that these statements tend to be quite general, and do not allow for a deep understanding of how engagement actually takes form within institutions. This limitation gives way to an opportunity for future studies that seek to confirm *if* and *how* universities do what they write they will do in their mission, vision, and value statements. Furthermore, the coding methods and analysis was conducted by one person, and does not allow for the calculation of inter-rater reliability to ensure the trustworthiness of the process. Furthermore, it is also relevant to disclaim that as a stakeholder in higher education in the context that was researched, I have subjective values, biases, and inclinations that may influence the way the data was coded and interpreted.

Universities shape:

Professional human resource

People who have an integral formation and
humanistic culture

Citizens who are patriotic

Who will:

Contribute to the sustainable development of
the country and region

Be of service to society

Furthermore, universities will honor the following institutional values:

Equity (Education as a public social right)

Solidarity

Diversity and Tolerance

Social commitment and responsibility

And seek to be:

Recognized nationally and internationally

Fig. 8.1 Code landscaping of university engagement conceptualizations present in mission, vision, and values statement

FINDINGS

This study accomplished the identification of different areas and themes that indicate how accredited universities in Panama conceptualize university engagement. The study also provides a better understanding of how universities define their role as institutions that are expected to contribute and maintain a relationship with society. Through the application of the aforementioned methods, this section will present and elaborate on the

main themes surrounding university engagement in Panama. I also provide examples of the texts that were obtained for this study, and how they are linked to each theme. Some of the examples also illustrate differences between how public and private universities express their commitments to engagement. The themes are presented below:

SUSTAINABLE DEVELOPMENT OF THE COUNTRY/REGION

Half of the universities in the sample ($n = 22$) framed engagement as their contribution to the development—sometimes referred to as sustainable development—of the country and/or region. All references of development in the text were found in the mission and vision statements, and in some cases, these were area specific, where universities focused on contributions to the development of the labor sector or the maritime sector, for example. Below are some examples of how universities integrate development as part of their institutional statements. The statements below came from private universities, indicating a clear commitment to this theme as part of a university engagement mission:

“...to actively contribute to the development of the region”.

“...to contribute to the progress of the country”.

“...committed to the sustainable and human development of the country”.

“...committed to the development of the country”.

One public university expressed:

“...To generate appropriate knowledge to contribute to sustainable development...”.

EQUITY

Equity is a concept mostly regarded as an institutional value by the universities that mention it. Equity is also linked to one of the fundamental notions surrounding university engagement, in which higher education institutions must serve a public mission. Furthermore, the frequency of appearance of equity as an institutional value, not only in the statements of both public and private universities, demonstrates broad recognition of their expected role in the democratization of higher education.

Ten institutions mentioned equity as part of their institutional values, or embedded equity within their mission and vision statements. Four of

the five public institutions include equity in their values (the fifth public university does not have institutional values published in its website), and six private universities mention equity. Furthermore, two institutions (one public and one private) mentioned the public mission of higher education. Although the public mission of higher education tends to have more relevance in other contexts, in Panama, this theme was not mentioned with enough frequency to warrant its own section

Below are some examples of how universities write about equity:

“...climate of well-being and equity”.

“...social and environmental equity”.

“...for the transformation of an inclusive and equitable society”.

“...within a framework of responsible accessibility that is equitable and just”.

NATIONALISM AND CIVIC EDUCATION

One of the drivers of the Cordoba Reform and its ripples across Latin America was the importance of university engagement for the objective of protection and promotion of democracy and democratic values. Early conceptualizations of university engagement in Panama, dating back to the 1940s, focused on this aspect, as evidenced through University of Panama’s role as a protector and defender of the country’s sovereignty and democracy (Duncan 1940).

The University of Panama maintains its mission to shape “citizens and professionals... with national critical conscience”, and it is accompanied by six private universities that commit to a role in shaping citizens with a sense of patriotism and nationalism. Some mentions of this mission are featured below:

“The university...as a space of encounter and reflection for the country”

“...willing to defend, promote, and perpetuate history and conscience of the national and future projection of Panama”.

“Patriotism: Highlights love for the country and all that it represents as a cultural and historically grounded nation”.

SOLIDARITY

Solidarity, like equity, was one of the most frequent occurring institutional values, with mentions across seven institutions. This value is considered part of an institutional conceptualization of engagement, because some of the definitions integrate the community as the receiving party of the action. For example, one institution defined solidarity as “support and collaborate with our community when it requires help, without expecting something in exchange”.

PROFESSIONAL HUMAN RESOURCE

The most predominant mention of engagement in university mission, vision, and value statements is the training of future professionals, and the expected impact and contributions that these professionals will have in the development of the country. Although the codes “shaping of future professionals” and “contribution to the development of the country” were analyzed separately, they are inextricably linked, and universities tended to establish the relationship between one and the other.

This code makes different appearances in institutional mission and vision statements, and also evidences the clear focus of Panamanian universities as teaching universities. Although some universities express their teaching missions as a path for individual self-improvement, most express their teaching mission with an external perspective, formalizing the expectation that the education this person receives will be put to the service of society.

Below are some examples of how Panama universities articulate their mission of shaping professionalized human resource:

“...development of professional and leadership talent for companies and organizations of the region”.

“...shaping of suitable professionals with command of technology and modern and efficient tools”.

“...with actions of quality, ethics, leadership, entrepreneurship, and innovation”.

“...education of human talent with a business mentality”.

“...to shape competitive professionals”.

“...to offer highly qualified professionals to society”.

“...with professionals excellence and specialized human resource”.

It is relevant to mention that most universities mention entrepreneurship and innovation across the board—in their mission, vision, and value statements—as main competencies that they seek to generate in their students and that these institutions, in part, contribute to the formation of human resource required by businesses and the country, through these competencies. Although there is an argument to be made that education of professionals is part of the teaching mission and not university engagement, it is important to mention these institutional priorities because they become a mechanism through which the university projects itself to society, and shapes how its external contributions look like. This trend is also a potential area of research in higher education in Panama, because it is relevant to continue to study how universities implement and interpret their role in shaping students that are innovative and entrepreneurial.

DIVERSITY AND TOLERANCE

Panamanian universities consider diversity and tolerance as institutional values within engagement. Other terms are also used to refer to these values, such as multi-culturality and fraternity, but all share similar descriptions. Below are some examples and definitions used by universities to refer to these values:

“Tolerance: We promote respect toward each other’s ideas, practices, and beliefs”.

“Fraternity: Sense of family and belonging”.

“Multiculturality: Appreciation of cultural diversity as a fundamental base of respect and equity”.

“Attention to diversity” and “Respect for diversity”.

SERVICE TO SOCIETY

Institutions view service to society as a result of the education they provide. Universities expect that their graduates will place the knowledge and competencies they have gained through their higher education degrees at the disposal of society’s more pressing needs. Examples of mentions of this area of engagement are:

“characterized by ethical, scientific, social, entrepreneurial leadership at the service of society”.

“...with purpose to contribute to necessary social change”.

“...responsible for their role towards society to which they owe themselves to and from which they nurture their projects”.

“To develop an environment that has integrity and is ethical, vital to achieve a more just society”.

SOCIAL COMMITMENT AND RESPONSIBILITY

While “service to society” became a recurrent theme embedded in university mission and vision statements, “social commitment and responsibility” was mentioned almost exclusively as an institutional value, and universities provided definitions of interest for separate analysis. Eleven universities (four public and five private) mentioned social commitment in their values statements. The frequency of both of these themes clearly indicates that service to society and social commitment is one of the main components of university engagement in Panama. Some of the definitions for social commitment as an institutional value are mentioned below:

“Social commitment: Committed to society in shaping of its members”.

“Commitment: Provide answers to the needs of the current world”.

Social responsibility: Calling, commitment, and capacity with which the university tends to the needs of the environment and the university community”.

INTEGRAL FORMATION AND HUMANISTIC CULTURE

Ten institutions mentioned that they seek to shape people who are integral in their formation, referring to the importance of multi-disciplinary education, as well as humanistic education as an educational approach. Humanistic education “teaches a variety of skills needed for functioning in today’s world”, and helps students achieve self-confidence, self-respect, and respect for others (Kirschenbaum 1982). It also uses skills such as communication, problem solving, decision-making, and critical thinking to expand and enhance teaching strategies (Kirschenbaum 1982). Some institutions include human values as part of the wording included in this code, to strengthen the argument that universities are not only responsible for training professionals with specific skills that the job market requires, but are also responsible for the generation of citizens that have human values and skills that will be a positive influence in the community and

society. Some examples of integral formation and humanistic education are:

- “...promotion of an integral culture”.
- “...people who are integral and humanists”.
- “...with integral formation”.
- “...quality in the integral formation of human resources”.
- “...within the framework of human values”.
- “...with a humanistic approach”.
- “...pillars of humanistic development”.

NATIONAL AND INTERNATIONAL RECOGNITION OF THE INSTITUTION

Eight institutions broadly include national and international recognition as a part of their institutional mission or vision. While this aspect of university engagement may not seem equally relevant as other public missions that generate meaningful contributions to society, this code is relevant to the discussion because it is linked to expectations that are established by university accreditation, through the accreditation indicators (See Table 8.1). Panamanian accreditation recognizes external recognition within its conceptualization. One of the components of the accreditation matrix indicates “relations with external national and international institutions”. Universities are then measured by the amount of agreements, contracts, or projects they present with external institutions, and the accomplishments that are achieved as a result of these collaborations. Universities conceive recognition through the following phrases:

- “...recognizes nationally and internationally”.
- “...recognized for its quality”.
- “...recognized as a leader in integral formation”.

DISCUSSION AND REFLECTIONS

The case of Panama and university engagement should generate certain reflections regarding relevant challenges in engagement that other contexts may also be facing. First, we find how public policy in higher education can limit the direction and scope in which universities can focus their engagement efforts. For example, we explore how definitions of engagement

contained within national laws may be generating a one-sided relationship with communities, society, and the business sector. Furthermore, one of the limitations of this study exposes another relevant challenge of implementation. Panama does not currently have a systematic method that can facilitate the measurement of university engagement, much less, a method that can help verify the impact that university engagement has on society.

Earlier in this chapter, we presented Panama's weak performance in international research indicators, such as SCImago and QS rankings. We introduced the argument that there are currently no universities in Panama that are research universities. After the analysis of university engagement conceptualizations in university mission, vision, and value statements, we find that it is possible that for some universities in Panama, university engagement occupies second place of relevance of university mission, after teaching. We also theorize that the ideal scenario, according to Panama's institutional accreditation policies, is that research and engagement should both occupy equal relevance within a university.

Using an inductive approach to explore and find meaning to the different codes that were generated in the process, we can generalize how accredited universities in Panama frame university engagement.

1. Universities shape, train, and educate their students to become a professional human resource, with an integral formation and humanistic culture, as well as citizens who are patriotic.
2. These students will then contribute to the sustainable development of the country/region, and be of service to society.
3. Universities practice values of equity, solidarity, diversity and tolerance, and social commitment and responsibility, as part of their institutional commitment to engage with society.
4. Universities will project themselves toward society in a way that will help them obtain national and international recognition.

These conclusions can be visualized through a code landscape image, which summarizes how engagement is embedded within university mission, vision, and values statements.

There is an array of laws and definitions that are a part of public policy surrounding higher education and expected contributions to society as part of the university mission. These are somewhat limited in scope and

one-directional, when compared with other definitions, conceptualizations, and criteria of evaluation. Although public policy does not establish prioritization of university missions, Panama's current accreditation matrix suggests that teaching is the university's first mission, and research and engagement both have the same level of priority. This conclusion is made based on a number of "essential" indicators assigned to the research and engagement factors of accreditation, and twice the number of essential factors in the teaching factor.

Campus Compact's orientation documents for universities that seek Carnegie Classification in Community Engagement suggest that university engagement is most effective when embedded into everything a university does, placing a special emphasis on university policy and resource allocation, as well as engagement within the teaching and learning process. This institution also emphasizes the reciprocal relationship that should exist between universities and society, with ample opportunities for both to be in contact with each other, with the joint objective of facilitating positive societal change.

Universities are expected to "transcend weak notions of reciprocity and pursue principled collaborations" that allow them to truly serve their communities (Dolgon et al. 2016, p. xix). These authors also question the emphasis placed on indicators and variables that measure engagement, and favor methods that will measure more serious impacts and proofs of social change. This chapter presented different factors, such as history, policy, and institutional missions that shape the context in which university engagement occurs in Panama. It also opens the door for future studies that delve deeper into the execution of university engagement missions, and how these come to life within the curricula, student life, ties with the community, accomplishments, and measurable contributions to society. Future studies could expand the scope beyond coding and analysis of text, and explore how universities execute and implement what they write in their statements. For example, some universities in Panama include in their statements that they promote nationalism and civic education. Future studies could explore how these universities integrate these values into student learning experiences, and to what level universities follow through with that they write in their mission, vision, and value statements.

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Higher Education and the Commitment to Its Public Mission: The Case of Extension Projects in a Brazilian University

Ana Ivenicki

INTRODUCTION

Brazilian federal universities show a commitment to what is called the “extension dimension”, implying the social responsibility role of the university in promoting professional development and social projects in general, geared towards society at large, such as promoting continual teacher education, constructing local curricula, and acting in adult and lifelong learning education

Based on a multicultural theoretical approach within a higher education collaborative engagement paradigm (Dolgon et al. 2017; Post et al. 2016; Saltmarsh and Johnson 2018), the study posits that higher education extension projects in such a perspective should be considered a relevant dimension of university public commitment for society at large. In that sense, the study aims to discuss the public mission of higher education based on a case study of extension multicultural educational projects

A. Ivenicki (✉)

Federal University of Rio de Janeiro (UFRJ), Rio de Janeiro, Brazil

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developed by a federal university in Brazil in partnership with local educational authorities in Brazilian municipalities. The projects referred to joint construction of municipal curriculum guidelines geared towards cultural diversity, equity, and social justice in three Brazilian municipalities, to be adopted by all the local municipal schools, as the result of the University extension perspective towards public commitment.

The methodology was that of case studies, within an action research approach, with a discourse analysis of the perspective that informed both the course and the curricular construction, as well as on the challenges and potentials involved in their development. The relevance of the study comes insofar as the extension projects not only illustrate a multicultural, public commitment approach, but also evidence the increased potential of the interlinkage between extension and research perspectives in a multicultural perspective, which imbued the referred projects.

The central role of inclusionary approaches to service learning and community engagement in universities has been pointed by Dolgon et al. (2017), who posit that such an endeavour should involve actors at all types of higher education institutions so as to legitimize education as a practice for democracy and freedom. As contended by Caravelis (2019), that means to boost and increase the reciprocity between universities, their community partners, and the communities they serve.

In that sense, the relevance of the study comes insofar as it clarifies not only the multicultural perspective embraced by the university, but also the implementation issues for public mission work, with its challenges and potentials. Results of the study show that the mentioned interlinkage not only developed an increased awareness of multicultural issues in educational actors from both schools and the university, but also allowed for their experiences to be delved into and problematized. That means that educational actors themselves have become action researchers on their own right, discussing cultural institutional and personal diversity, and producing new academic knowledge, a process that is arguably a relevant part of the university public social commitment as well.

INTRODUCTION: DISCUSSING MULTI/INTERCULTURALISM WITHIN A COLLABORATIVE ENGAGEMENT HIGHER EDUCATION PARADIGM

The terms multiculturalism and interculturalism have been used in different contexts, the first one is more common in European and Latin American literature and the second one in Anglo-Saxon texts. Even though some discussions concerning differences between them have been in place, the present chapter has opted to use the term inter/multiculturalism so as to avoid getting into metalinguistic discussions and focus on what seems to be a general perspective underlying that thinking. In fact, generally speaking, multiculturalism or interculturalism have been two terms to refer to a set of theoretical and political answers to cultural diversity, including the array of paradigms, efforts, and reflections about ways of ensuring non-discriminatory and inclusive perspectives within the diverse social practices, including the educational ones.

As posited by Ng, Eddy, and Bloemroad (2015), multi/interculturalism has strengths, inasmuch as it fosters national identity, promotes cultural tolerance, and assists with the incorporation of cultural minorities. However, the referred authors also point that its weaknesses come insofar as it may create “faultlines” along cultural and religious groups; could promote separate and parallel lives; and could pose a challenge to equality in liberal societies. According to them, sometimes multiculturalism could even be perceived as a threat, as incompatible with Western, liberal values, burdening the state welfare and challenging existing identities. Nevertheless, it could be seen as providing opportunities, since multi/interculturalism could be seen as having potentials to be used as a tool for attracting talents, a source of competitive advantage for nations, and even a discourse for politicians to score political gains.

It is important to note that Ng, Eddy, and Bloemroad (2015) contend that much of the rhetoric and debates surrounding multi/interculturalism can be attributed to how it is understood and implemented, and whether it is successful in achieving its explicit or implicit objectives. In fact, I argue that even though a general meaning can be attributed to multi/interculturalism, it does get more blurred when getting to different interpretations that underpin diverse policies and practices.

As argued elsewhere (Canen 2005, 2009, 2012; Ivenicki 2015; Ivenicki and Xavier 2015; Ivenicki 2018), that diversity is generally perceived as moving within a continuum from more liberal, folkloric approaches (in

which multiculturalism is understood as the valuing of cultural diversity that tends to emphasize holidays, black consciousness days, and recipes and rituals from diverse cultures, for instance), up to more critical perspectives (those that stress the need for interrogating prejudices and unfair power relations that marginalize identities on the lines of race, gender, social class, religion, culture, language, and other markers of identity).

More than mere rhetoric, such differences in meanings arguably get different implications when talking about educational policies and practices. It seems to be clear that reducing multiculturalism to scattered events that essentialize identities on the lines of festivities and rituals could not be the same as fighting within everyday teaching practices in gearing educational practices and curriculum towards questioning unfair relationships that marginalize blacks, indigenous people, women, and other identities, so as to challenge stereotypes and discriminatory practices.

Based on a multi/intercultural theoretical framework (Banks 2004; Hall 2003; Ivenicki 2015; Ivenicki and Xavier 2015; Warren and Canen 2012), I argue that university extension projects in a multi/intercultural perspective could contribute to a more equity-oriented process of schooling and boost university public commitment for society at large, inasmuch as it offers possible ways towards promoting the inclusion of marginalised groups, in addition to the education of new generations that challenge stereotypes and discriminations. I also contend that a *critical, postcolonial multicultural perspective* in curriculum and in teacher continuing education may have a positive impact in shaping new outlooks and avenues in order to combat prejudices and transform universities into more inclusive, plural, and equity-oriented sites. Such a perspective should arguably highlight the provisionary and fluid nature of identity construction, as well work out the relevance of unsettling hegemonic discourses that ideologically construct the very concept of otherness (Banks 2004; Ivenicki 2018; Warren and Canen 2012), imbuing university with an equity and social justice-oriented approach.

Such a multicultural perspective seems to go hand-in-hand with recent scholarship related to what authors such as Post et al. (2016) and Saltmarsh and Johnson (2018) call as *the collaborative/community engagement paradigm* in higher education of the twenty-first century. Saltmarsh and Johnson (2018) define community/collaborative engagement paradigm as the collaboration between higher education institutions and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a partnership perspective.

The interlinkage between multi/interculturalism and the collaborative engagement paradigm means that diversity of actors in the partnerships developed are to be considered as active members who are engaged in the process of research and action. In that sense, according to Post et al. (2016), such a paradigm means that university is considered as part of an ecosystem of knowledge production geared towards the valuing of feminist, indigenous, and other minority activism, so as to promote institutional change towards a more inclusive society—which are arguably the tenets of multi/intercultural perspectives. As contended by the referred authors, the twenty-first century’s Higher Education scenario challenges institutions of higher education to address diversity and inclusion in the substance of organizational culture.

In that sense, higher education faculty, students, and new scholars are to be engaged in promoting teaching and researching in a collaborative way with the community at large, acting as multicultural actors by valuing diversity and inclusion. They represent knowledge producers, rather than knowledge consumers.

Based on that, the next sections will contextualise *multi/interculturalism* and the *collaborative engagement paradigm* in the Brazilian context, by discussing case studies of partnerships between the University and three educational municipal authorities in Brazil in order to build multicultural curricular guidelines for the Brazilian schools in those Rio de Janeiro municipalities. I argue that the process of collectively discussing and building multicultural curricular guidelines is in itself a multicultural experience in continuing teacher education and in university equity-oriented public mission, as it allows educational actors from the university and those from schools to interact and grow, within *the collaborative engagement paradigm* defended by authors such as Post et al. (2016).

The study suggests those Brazilian experiences can be relevant comparatively, in that they construct multicultural curricular guidelines and therefore go beyond abstract discussions (Grimmett and Halvorson 2010), contributing to reflections about implementation issues for public university mission work. In that sense, the study shows challenges and potentials of multi/interculturalism in curriculum development in the context of an increasingly multicultural world, in which movements of migration in global proportions have called for new ways of educating for respect, tolerance, and the valuing of diversity.

INTER/MULTICULTURALISM IN BRAZIL: CONTEXT

Brazil is a federal republic, a democracy since the end of military dictatorship in 1988, when the National Constitution was established. Brazil can be considered a multicultural country. Its population is 207.8 million people, in a territory that is the biggest in Latin America, making Brazil the largest country in terms of space and population. As explained elsewhere (Canen 2011), Brazil has witnessed some waves of immigration into its territory throughout certain periods of its history.

Having been conquered by Portugal in 1500, indigenous populations were affected by colonialism, but many of them managed to survive up to these days, with different languages and singular cultures being in place. At present, Brazil has 800,000 Indigenous people, in around 200 ethnicities. In the nineteenth century, forced immigration of African peoples was undertaken for slavery purposes, which ended by 1888, leaving most Blacks in poverty. Apart from those, European and Japanese populations, with different creeds and languages (including Jews, Arabs and others) came to Brazil in the twentieth century, some searching for new economic opportunities, others fleeing from the world wars as well as ethnic and political conflicts and upheavals that affected Europe and Japan.

In the last century, Brazil did not perceive itself as an immigrant country anymore, the populations having mostly been absorbed into Brazilian culture and ways of life. However, in the beginning of this twenty-first century, the world economic crisis and the wars and persecutions have been factors that have recently attracted a new wave of immigrants, particularly from other countries of South America, Africa, and China. Brazil has also been absorbing refugees from countries such as Syria and the Congo, with little information about numbers so far. Brazilian population has been counted in terms of race and ethnicity from the self-declarations of the subjects, with the following results: 43.1% of miscigenised people; 47.7% of whites; 7.6% of Blacks; 0.4% of indigenous people; 1.1% of yellows; 0.1% foreigners in general.

Even though Brazil has been perceived as a peaceful country, racism, homophobia, and other prejudices against identities perceived as “different” have been pointed out as pervasive in Brazilian society, affecting schooling of those marginalized groups and reinforcing the need for education in a multi/intercultural perspective.

The present study was undertaken in 2010, 2012, and 2016, respectively, with the municipalities of Niteroi, Macaé, and Mesquita, in the state

of Rio de Janeiro. The aim was to produce local municipal curricular guidelines underlined by multicultural concerns, so as to incorporate equity and minority education perspectives. Such an approach has meant that the action research was an appropriate methodology, so as to promote curriculum construction in a multicultural perspective with all the educational actors involved. Given the fact that the relations between local, national, and international/global dimensions are relevant in the analysis of multi/interculturalism and its inroads in educational policies and practices, the ways in which multi/intercultural sensitivities were translated in municipal initiatives in Brazil can illustrate potentials and challenges of those endeavours—to be commented on next.

TRANSLATING INTER/MULTICULTURALISM
IN THE COLLABORATIVE ENGAGEMENT PARADIGM:
IMPLEMENTATION ISSUES FOR UNIVERSITY PUBLIC MISSION
WORK IN THE BRAZILIAN EXPERIENCE

The construction of a multicultural curriculum should arguably be a process in which university researchers and school actors should be involved as partners, within the university public mission implementation efforts. As discussed in the previous sections, such a collaborative paradigm allows university and school actors to become producers of knowledge towards multicultural, inclusive and democratic societies (Dolgon et al. 2017; Post et al. 2016; Saltmarsh and Johnson 2018).

At this point, a glimpse of the public educational system in Brazil should be useful, in order to contextualize the university partnership described in the study.

Brazilian municipalities are responsible for primary education, both for children and for young and adults beyond 16 years old that either are illiterate or dropped off the system by evasion or repetition of years; states are responsible for secondary and state higher education, and the federal sphere is responsible for federal higher education and for public federal schools, as well as for delineating central educational policies to be adapted by the other federative spheres.

Brazilian educational system consists of child education (compulsory from three years old to five years old); basic education (comprising nine primary years and secondary three years) and higher education institutions, among which Universities are devoted to teaching, researching, and

extension. That last dimension is the one in which universities get in touch with the society at large, particularly with public schooling, so as to develop partnerships for teacher continuing education and other projects related to Brazilian universities public mission. It should be noted that such an extension dimension was the space in which the present study has been developed, and it arguably should be interlinked to the others, since extension actions have the potential of representing action research initiatives.

Based on that, the methodology that underpinned the present study was developed on the lines of design-based research (Anderson and Shattuck 2012), which has a practical nature similar to the action-research, but in which the presence of a partnership between researchers and the educational actors involved has been a prerequisite. The dynamics of the design-based research was mainly based on scheduled meetings between the researchers and the committees, as well as talks to representatives of teachers, school directors, and school actors, many of which with the presence of local authorities' representatives; also, online and other virtual contacts were central, providing an ongoing exchange of ideas concerning drafts and opinions related to the documents being produced then. Those data were both used for the action undertaken and as evidences for the data analysis inherent to the process of research.

Such a methodology is cited by authors such as Post et al. (2016) and Dolgon et al. (2017) as central for higher education community engagement inasmuch as it fosters students, faculty, school, and other community actors as knowledge producers. Saltmarsh and Johnson (2018) framework of community engagement seems to be important at this point. They suggest that community engagement develop on three major areas, namely foundational indicators (institutional commitment and institutional identity and culture); curricular engagement, and outreach and partnerships. The present study may arguably be perceived as focusing on the two last dimensions, by focusing both on a curricular engagement process and in the partnership with schools in municipalities for curricular joint construction, in an action research methodological approach.

In fact, extension university programs in multi/intercultural perspectives may represent relevant opportunities within a collaborative/community engagement paradigm. This is due to the fact that such a multi/intercultural collaborative/community engagement paradigm views service learning and community engagement as potentially providing ways in which engaged teaching and scholarship can effect social change, by valuing diversity of identities and inclusionary perspectives.

It should be pointed out that identity was key to the municipal guidelines, so that the multicultural perspective would go beyond a mere celebration of cultures and indeed allow for the interrogation of racism and the challenge of essentialized identity construction, so as to promote what Sleeter (2010) calls as the decolonization of the curriculum. Municipal school actors not only recognized cultural diversity in the municipalities, but pinpointed issues related to discrimination and low performance of groups of pupils, leading them to embrace a multicultural approach and indeed suggest ways in which the curriculum could help build transformational identities. That way, a set of positive expectations had been made and the research design-based research was successful in the three cases.

Focusing on the contents of the curricular documents produced, some observations can be made. In all the cases, the option was to have a document in which the introduction dealt with the history of the municipality, its cultural diversity, and the rationale for the multicultural approach to curriculum, explicating some theoretical concepts related to it. Also, there was a common trend in specifying some multicultural axes or dimensions that should underpin all areas of the curriculum.

In fact, the curriculum was developed and implemented around two dimensions in the Niterói municipality: one was related to the curriculum themes, according to the areas of knowledge; the other comprised abilities that should underlie those contents and give them coherence in terms of citizenship in a multicultural perspective, namely: value ethnic, cultural, racial, gender, religion, linguistic, sexual orientation, and other plural identities, pinpointing their contributions to society at a local, national, and global levels; challenge prejudices, discriminations, bullying and any form of intolerance and violence against the others, trying to recognize their origins and denounce its manifestations; recognize and value the history and cultures of the communities of the municipality of Niterói, emphasizing their dialogues with other Brazilian cultures, in a multicultural context; understand the construction of knowledge as historically and culturally situated, being directly linked to the research practices and the problem resolutions, linking curricular contents to the everyday activities; critically and creatively develop the relationship with the technologies, using them as resources for the advancement of knowledge, research, and the adaptation to a contemporary and plural world; participate in activities that stimulate ethical, cooperative, respectful, and empathic attitudes towards the other. That process resulted in the issuing of the Niterói, Curricular Guidelines (2011).

It is important to note that such dimensions represented the result of the implementation of a collaborative engagement paradigm in a multi/intercultural approach, because they were the fruit of the work developed by the university with the municipal authorities as well as with the teachers' representatives of all areas of schools in that municipality, towards valuing the diversity of identities and challenging all sorts of prejudices, which resulted in the Niterói Municipal Guidelines (Niterói 2011).

Relatedly, the collaborative engagement paradigm in a multi/intercultural perspective was developed in the other two municipalities, and its implementation meant that municipal curricular guidelines were constructed which involved university as well as school actors towards linking contents to abilities related to respecting and valuing cultural diversity and challenging stereotypes.

In the municipality of Macaé, integrating multicultural dimensions of the curriculum were also elaborated in the workshops developed during the process of collaborative engagement in a multi/intercultural perspective between university and the educational municipal authorities and the teachers' representatives. Together, all those actors elaborated lists of behaviours and abilities that should be developed in the curriculum, namely: value diversity and sustainability; proactively and reactively work towards the challenge of prejudices; value the culture of the municipality of Macaé and of other localities, so as to promote personal and collective growth; develop critical and autonomous positioning related to knowledge building; articulate and integrate the curricular contents among themselves, including the technological ones; perceive ethical implications of attitudes in everyday schooling; understand the construction of knowledge as historically and culturally situated. The document resulted in the Macaé, Pedagogical Proposal (2012).

Likewise, the multi/intercultural collaborative engagement paradigm was translated into the context of the partnership between the university and the municipality of Mesquita. The representatives of schools were engaged in workshops in which the construction of multicultural curricular guidelines was the main focus. Five principles were elaborated in the context of that partnership, which related to diversity, citizenship, ethics, ecology and sustainability, science and technology. The multicultural, citizenship perspective was translated as the need to work towards education for cultural diversity that challenges prejudices, stereotypes, discriminations, silences and social exclusions; as well as understand that there is no homogeneity of identities, in a critical post-colonial multiculturalism.

The produced curriculum emphasized that pedagogical actions should include and guarantee the presence of themes related to gender, gender identity, race, ethnicity, religion, sexual orientation, mental and physical disabilities, family diversity, as well as all forms of discrimination and violation of rights. The actors of that municipality also made sure that the written document stressed that curriculum implementation should include cultural and educational projects geared towards challenging all forms of discrimination". Such written directives resulted in the production of the *Mesquita, Curricular Guidelines (2016)*.

The analysis of the curriculum documents that were produced in the context of the collaborative engagement paradigm in a multi/intercultural perspective evidenced a few aspects, among which: the presence of a mix of folkloric, critical, and post-colonial multi/intercultural perspectives, which seems to reinforce the idea that multi/interculturalism can be developed in the curriculum in many perspectives, even though they should not be limited to harmonic approaches that tend to fail to provide the challenge of fighting against discrimination and prejudices.

Also, in terms of the structure of the three proposals, it should be pointed out that the level of detailing and prescription was kept to the minimum, so as to allow for cultural diversity in the municipalities to flourish in the actual everyday implementation of the curriculum. Even in the Niteroi curriculum, in which a detailed presentation of tables referring to the different areas of the curriculum and possible linkage of their contents to a multi/intercultural perspective was presented, such a presentation was offered as possible suggestions and not as a final proposal to be worked out in schools. In the case of Macaé and Mesquita, the way the multi/intercultural principles could be linked to the curricular contents was presented in a more discrete way, as illustrations of possibilities of translating intentions into actual curricular areas.

In that sense, the representatives of teachers of Sciences built written ideas that were included in the Niteroi curricular written guidelines, which related to how those contents should be thought of in multi/intercultural approaches. They suggested ideas for the implementation processes, such as linking the themes of origin of life, biodiversity, and ecology in a way that should make students recognize the diverse discourses by which the origin of life has been interpreted by plural religions, cultures, and world visions, challenging prejudices. Also, they suggested that the implementation process should allow students to discuss and position themselves in relation to ethical aspects involved in issues of science and technology, as

well as understand that systems of biological classification have been attempts to understand diversity in a controlled way, and therefore should not be interpreted as universal truths, but rather as linked to cultural views.

The groups of Mathematics teachers in Macaé and Mesquita also wrote suggestions for the implementation of multi/intercultural curricular guidelines referring to Maths. For example, in the view of the school actors in Mesquita, the content knowledge referring to numerical sets could be implemented in multicultural perspectives inasmuch as teachers could foster students to identify similarities and differences in the diverse numerical sets by gender, ethnicity, culture, social class, and other identity markers, so as to value diversity and allow for the interaction among children from different cultural groups.

Content knowledge of Mathematics for Primary education referring to percentage was also perceived as having the potential for being implemented in a multicultural perspective by the Macaé school actors. They suggested that such a content could be linked to learning objectives such as fostering students to identify the percentage of illiteracy in Brazil, and more specifically, in the municipality of Macaé.

At this point, it should be clarified that the partnership in the multi/intercultural collaborative engagement paradigm between the university and the three educational municipal authorities referred to the implementation of the construction process of municipal curricular guidelines. It did not include evaluating the implementation process of the written curriculum documents in the everyday lives of the schools in those communities. The multicultural collaborative engagement paradigm was developed by focusing on the ideas teachers had for ways in which the implementation of those guidelines could be thought of the ways they incorporated such ideas in the written curricular guidelines that were produced in the context of the multicultural collaborative engagement paradigm that underpinned the research undertaken.

Even though the focus of the study has been on the way multi/intercultural sensitivities have been translated into municipal curricular contents within the collaborative engagement paradigm, some cursory look at informal opinions of educational actors that took part in the process showed the importance of a multi/intercultural perspective in curriculum initiatives, as can be noted below:

It is good that we helped build and adopt a curriculum that should be based on the valuing of the dialogue among the differences; that should be

democratic; and that should challenge that view of the modernity related to science being the only valid knowledge. The curriculum should recognize the many forms of knowledge and value them (from a teacher, as a written answer to a question asking how they felt about the process of collectively building municipal curricular guidelines, Mesquita 2016).

I will conclude, by turning to the political potentials and the challenges faced by multi-/intercultural education and by implementation issues for the university public mission within the Brazilian educational contemporary scenario.

CONCLUDING REMARKS: CONQUESTS AND CHALLENGES THAT LIE AHEAD IN BRAZILIAN EDUCATIONAL POLICIES— INTERNATIONAL CHALLENGES FOR UNIVERSITY PUBLIC MISSION

The present study delved into the need for multi-/intercultural education within a collaborative community engagement paradigm (Dolgon et al. 2017; Post et al. 2016; Saltmarsh and Johnson 2018) in the context of multicultural contexts as Brazil. It showed case studies that represented partnerships between researchers of Federal University of Rio de Janeiro and three educational authorities in municipalities of Rio de Janeiro that wished to develop curricular guidelines in multi-/intercultural perspectives. It argued that curriculum is a terrain in which universities' public mission can represent an added dimension for schools, boosting higher education community and collaborative engagement paradigm (Dolgon et al. 2017; Post et al. 2016; Saltmarsh and Johnson 2018).

The chapter highlighted how a multicultural collaborative engagement paradigm underpinned the implementation of a partnership between a university and three municipalities in the construction of multicultural municipal curricular guidelines.

A first critical analysis of the process refers to the fact that local initiatives such as the ones discussed in the present chapter can be emblematic so as to promote, in a comparative perspective, articulations to national, international, and global perspectives.

At this point, we can present other critical views and recommendations. First of all, we argue that at the local, municipal level, the study showed that it is possible to develop multicultural curricula that articulate the

inter/multicultural perspectives into more traditional school contents, so as to prepare future generations in the values of tolerance and challenge of stereotypes and prejudices, that are central in our contemporary world, within a publicly engaged scholars' perspective as suggested by Post et al. (2016).

Also, it is important to note that Elbaz-Luwisch (2010) calls attention to the pitfalls of qualitative research methodologies that involve partnership between researchers and school actors, among which: teachers lead busy and complex lives and participation in research may not be perceived as serving their purposes; in different settings, researchers may be more or less welcome in schools, and more or less able to form productive research relationships. In the present study, a critical analysis shows that even though those factors were present, the multicultural collaborative engagement paradigm allowed for the predominance of active participation of university and municipal education actors in the implementation of the construction of the three written documents. In fact, they were formally approved at the legislative instances of the municipalities and have been informing schools in the three municipalities ever since.

Another set of critical views refer to the broader context of national educational policies in Brazil, which have been increasingly taking multicultural issues into account. I highlight the fact that Brazil has been making efforts to develop educational policies geared towards valuing diversity. The Law that defines the Foundations of National Education (Brazil, Lei de Diretrizes e Bases da Educação Nacional, Law N. 9.394/1996) defines in title II that deals with the principles and aims of Brazilian education, in its article 3, that schooling should be based on pluralism of ideas and pedagogical approaches; and the respect of liberty and tolerance. Also, as pointed by Ivenicki (2015, 2018), the National Plan of Education (Brazil, PNE, 2014–2024), which delineates educational goals for the ten-year period of time, are imbued by critical multicultural sensitivities in its intentions, presenting aims related to the need to develop differentiated paths for indigenous groups' education, respecting their cultures and ways of life, as well as in those goals related to expanding school education for rural and black populations, besides targets referring to the need for higher education to expand its courses to night periods so as to promote inclusion of working class groups.

Likewise, as claimed by Canen (2012), measures, some of them polemic, have been in place, such as the program PROUNI (Programa University for All), which aims to place academically qualified low-income students

into private tertiary education institutions with scholarships that will be deduced from the institutions' income declaration. In the same vein, the program of quotas for blacks, indigenous, and poor students who attend public secondary schooling is in place in federal and state universities, and a new measure geared towards ensuring university entrance quotas also for disabled candidates is under final discussions. A law designed to include the history of Africa and of Brazilian-African descendants and Indigenous peoples as a compulsory discipline in school curricular has also been in place.

Related to the research focused in the present article, a further critical view of the process relates to the fact that those national, federal general multi/intercultural directives were arguably the prompts that may have boosted municipal authorities to embrace the multicultural collaborative engagement paradigm that imbued the construction of the multicultural curricular guidelines.

Recommendations should be on the lines of making sure those national laws and municipal multicultural curricular guidelines should be both boosted and periodically reviewed for their continual improvement. Likewise, it should be important that municipalities and universities could develop further partnerships within the multicultural collaborative engagement paradigm so as to evaluate the implementation process of those multicultural curriculum guidelines in the everyday lives of the municipal schools. Such recommendations are justified in that such partnerships could arguably help university and school actors actively promote teacher continuing education and in service training in multicultural perspectives, so as to increase the potential of the written produced documents for inclusionary perspectives and for social change.

Political changes in Brazil with differentiated political trends in power since 2018 have meant that new projects have been in discussion within the public and the academic world. In those, it is expected that monocultural moves do not prevent the multicultural potentials to go on flourishing.

Considering the innovative laws described before and all the interest of municipalities in developing multi/interculturalism in their schooling processes, there is hope that Brazil can go on being a paradigm in critically analysing prejudices and valuing diversity, which can be a fruitful lesson for other countries.

Given that the educational field has witnessed the pressing need to respond to plural identities in the line of gender, sexual orientation, race, gender, as well as those generated by increased movements of immigration

and flight from persecution and civil wars towards Europe, the Brazilian cases of University extension projects can contribute to a comparative and international perspective in addressing possible ways in which higher education can reinvent its public mission and become increasingly collaboratively, publicly and multiculturally engaged.

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Piloting the TEFCE Community Engagement Toolbox at the University of Twente

Thomas Farnell, Anete Veidemane, and Don Westerheijden

INTRODUCTION: CONTEXT

The University of Twente (UT) is an almost 60-years old, mostly engineering-oriented, university in a regional location in the Netherlands. From the outset, it had the mission to connect to the regional economy and when that slumped after the 1970s breakdown of textile manufacturing in Europe, to revitalize the regional economy. Since the 1980s, the UT acquired fame as one of the prime entrepreneurial universities worldwide (Clark 1998). It has upheld that profile ever since and prides itself

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T. Farnell

Institute for the Development of Education, Zagreb, Croatia
e-mail: tfarnell@iro.hr

A. Veidemane • D. Westerheijden (✉)

University of Twente, Enschede, The Netherlands
e-mail: a.veidemane@utwente.nl; d.f.westerheijden@utwente.nl

on, for instance, having spawned over a thousand spin-offs, the largest number of all universities in the country, notwithstanding its relatively small size (11,000 students in 2019) and peripheral location. However, the UT is moving on and influenced by, among other developments, the UN's Sustainable Development Goals (SDG). In its strategic plan 2020–2030, it aims to become ‘the ultimate people-first university of technology’ (University of Twente 2019, p. 5), where the keywords will be entrepreneurial, inclusive and open.

Strategy documents are notorious for being paper tigers that do not affect reality; what is the reality concerning entrepreneurialism, inclusivity and openness at the UT at the outset of its new strategic period? How can that be established, or even measured? Incidentally, an Erasmus+ project, TEFCE (*Towards a European Framework for Community Engagement in Higher Education*, www.tefce.eu)¹ aimed to develop a multi-dimensional, qualitative tool to gauge community engagement in higher education, and some UT researchers were involved in its theoretical and methodological development. Undertaking a pilot with the TEFCE methodology at the UT was beneficial to all.

The need for universities² to develop community engagement is on the rise due to increasing recognition internationally of the crucial role that universities play in delivering public benefits. This is reflected, for instance, in the current debates on the roles of universities in meeting the UN's 2030 Agenda for Sustainable Development, debates on the importance of Responsible Research and Innovation, and in the European context, by the Renewed EU Agenda for Higher Education, which, next to top-level skills, demands of universities to work against ‘[p]ersistent and growing social divisions’ by engaging ‘more actively with the communities around them and promote social inclusion and mobility’ (European Commission 2017, pp. 3, 2). Yet, ‘[a]lthough the demand on universities to become

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²For brevity, we call *all* higher education institutions ‘universities’ in this chapter.

more community-engaged can clearly be attributed to achieving positive social outcomes, this demand stems from the same source that imposes the pressure on them to drive welfare growth' (Benneworth et al. 2018, p. 11). For other pressures on universities remain, in particular to deliver ever more graduates to the labor market and (in research universities) to publish ever more, which leads to mission overload (Enders and de Boer 2009). In that context, 'community engagement has traditionally been regarded as an activity suitable for inferior kinds of universities' (Benneworth et al. 2018, p. 91)—it is a peripheral mission, confronting pride and prejudice. In North-American universities' personnel decisions, too, it hardly plays a role in comparison with research publications and grants (Alperin et al. 2019).

The status of community engagement has not been helped by the fact that it is completely context-dependent and therefore was not amenable to the relatively simple kind of measurement and indicators that exist for the research function (journal publications and citations collected in world-wide databases). How those indicators and the rankings based on them, are rightfully criticized is not of interest here—the point is that for community engagement it is even more difficult, even though '[t]here have been many attempts to introduce different kinds of performance tools to address universities' relationships with society and indeed to stimulate universities to give greater priority to engaging with societal partners' (Benneworth et al. 2018, p. 88). As we will explain in the next section, those attempts often model themselves too much on the global (research) rankings, while a customized approach is needed. The TEFCE project aimed to develop such a tool.

This chapter will describe the TEFCE tool and its relation to other community engagement approaches, and report on the way in which it has been piloted in 2019. TEFCE draws attention to institutional strategy and management as well as including narratives of exemplary cases of community engagement across the institution and across its major activities. It endeavors to balance university efforts with feedback from stakeholders in the region on the impact of community engagement efforts.

Based on the pilot experience in applying the tool in the UT, the chapter will conclude with intermediate lessons for the TEFCE methodology on how to highlight community engagement in higher education institutions as well as a few suggestions to those interested in using TEFCE or similar tools.

THEORETICAL AND METHODOLOGICAL CONSIDERATIONS: HOW TEFCE BUILDS UPON CARNEGIE AND THE REST

What constitutes community engagement remains a matter of debate in the literature. It is agreed that it is part of the ‘third mission’ of universities, that is, the use of the core processes of education and (applied or pure) research for external stakeholders rather than for purely academic purposes, as well as making university resources available to external stakeholders. After a review of relevant literature, our team chose to define community engagement as the ‘process whereby universities engage with community stakeholders to undertake joint activities that can be mutually beneficial even if each side benefits in a different way’ (Benneworth et al. 2018, p. 17). The crucial concepts are ‘community’ stakeholders and ‘mutually beneficial’. Community engagement intends to go beyond knowledge exchange in that it is concerned with less easy-to-reach actors in society, ‘civil society and NGO activities, and typically those insufficiently organised’ (Benneworth et al. 2018, p. 24), rather than the large, organized interests of major business companies and public organizations. Where those communities are, in a geographic sense, depends on the case. It seems obvious that it implies local or regional delimitations, since physical university campuses exist in a local surrounding with other social entities. At the same time, interactions of especially academics and students may take place in worldwide networks, and for various areas of knowledge, from hard-pure (Biglan 1973) high-energy physics to soft-applied development education, global reach is essential.

The other element of ‘mutually beneficial’ relations refers firstly, to the targeted community benefitting towards achieving their aims from interaction more than average, and secondly, to the university enriching its knowledge processes through the interaction. This distinguishes community engagement from ‘broadcasting’ knowledge as a public good, and also from commercial knowledge exchange where the university delivers services in exchange for money but not a contribution to its knowledge processes.

Evidently, these distinctions in reality are not clear-cut, but gradual. Also, community engagement can take many different forms; this too makes it difficult to capture it conceptually as a phenomenon in a definition, or empirically in a measurement tool. In our review of previous methodologies to capture community engagement empirically (Benneworth

et al. 2018), which arose since the middle of the 1990s, we treated in some detail, among other initiatives:

- Australian Universities Community Engagement Alliance (AUCEA)
- Campus Compact (USA)
- Carnegie Foundation’s Elective Classification for Community Engagement
- European Indicators and Ranking Methodology for University Third Mission (E3M)
- HEInnovate
- National Co-ordinating Centre for Public Engagement (NCCPE) Interactive Engagement tool EDGE
- PASCAL University Regional Engagement benchmarks
- Regional Innovation Impact Assessment Framework for Universities (RI2A)
- Russell Group indicators for measuring third-stream activities
- Talloires Network/Association of Commonwealth Universities: Inventory Tool for Higher Education Civic Engagement

Given our interest in a methodology to assist especially European universities to enhance their community engagement rather than a tool to hold them publicly accountable (a ‘performance tool’, not an ‘accountability tool’, cf. Benneworth et al. 2018, p. 85), we found none of these readily applicable and started to develop a targeted tool building on predecessors’ experiences. They ranged from succinct maturity-scale self-assessments (NCCPE’s EDGE, HEInnovate) to extended data-collection exercises including many dozens of possible indicators (e.g. E3M). It transpired from the collection of approaches that community engagement encompasses many activities in universities, across education and research, but also opening up facilities of the university (labs, libraries and also cultural and sports offerings) to the community. Besides, it transpired that institutional strategies, policies and structures created important frameworks but were complemented by individual engagement of all kinds of staff and students.

Lessons that the TEFCE project developers drew from the previous tools included, first, that several approaches endeavored to develop (quantitative) performance indicators for ‘tracking and management’ (Molas-Gallart et al. 2002, quoted in Benneworth et al. 2018, p. 60), and centered on ‘financial transactions, particularly around knowledge

commercialisation, covering patenting, licensing and spin-off company formation' (Benneworth et al. 2018, p. 89). The advantage of performance indicators is that they are countable and give an impression of objectivity, which may increase respectability for the until-now peripheral community engagement at universities. The disadvantage is that performance indicators are proxies, and often poor ones, of the concept they intend to highlight, so using them incites goal displacement, away from authentic community engagement towards maximizing indicators. Hence, in our approach, we intend to keep the focus on authenticity of the engagement, and while defining specific (areas of) activities helps to structure the discourse in the university, we do not operationalize them into quantitative performance indicators. A counter-example that inspired our approach was found in the British Research Assessment Framework (REF), where impact of research beyond academia is not measured quantitatively, but must be shown in a narrative case study, which will be assessed by 'Panels [that] will apply their expert judgement' (REF 2019, p. 69). Another contra-quantitative principle in the REF against goal displacement is that the cases need not be 'representative of the spread of research activity... Institutions should select the strongest examples of impact' (REF 2019, p. 71). If even in REF's accountability-oriented environment qualitative panel judgments are legitimate, in our enhancement-oriented approach, expert panels certainly can be used.

In the same New Public Management, managerial 'philosophy', early tools focused on top-down management of community engagement. Constructing the indicators or at best a site visit resulting in publishing scores is the usual end of the process, providing some feedback to the university from international peers and experts, but leaving little time for reciprocal learning. The NCCPE rates universities regarding their public engagement and provides professional consultancy to managers in their change processes. Going farther, the Talloires network regularly organizes workshops, allowing for peer-learning between institutions (Benneworth et al. 2018, p. 105, also talloiresnetwork.tufts.edu). Similarly, the AUCEA includes an online partner perception survey to gauge their view of the quality of their engagement partnership with the university, and its encouragement of structured reflections by the institution, as well as the learning process that this entailed, made piloting institutions see it as helpful and valuable, yet the tool has not become mainstreamed even though the group still exists.

Second, third-mission activities by any definition target audiences beyond academia. Some of the earlier approaches were directed towards technology/knowledge transfer to business organizations or left the audience(s) undefined. This ignores the social role of higher education to contribute to the welfare of all of society and puts too much trust in the ‘trickle down’ thesis (Stiglitz 2016): parts of society are not reached by strengthening the ‘usual suspects’. If higher education is to contribute to an inclusive, coherent society—as European documents and national statements say—explicit attention to hard-to-reach communities is needed (Benneworth 2013), hence in TEFCE, we make the target groups of engagement activities explicit.

In the previous paragraph, we mentioned that the interest in the third mission started as transfer, which is a one-sided, linear process. Understanding of engagement evolved to two-sided exchange, and especially the Elective Carnegie Classification explicitly mentions the values underlying authentic engagement: ‘reciprocal partnerships [...] grounded in the qualities of reciprocity, mutual respect, shared authority, and co-creation of goals and outcomes’ (Carnegie Foundation for the Advancement of Teaching 2018). That combines well with explicating the target groups.

Two other points highlighted by the Elective Carnegie Classification have to do with the difference between outputs or outcomes (short-term ‘products’ of community engagement activities) and their long-term impact on the community or participants. Point one: this directs attention to the importance of establishing long-term relationships with communities as a prerequisite to knowing about long-term impacts. Point two: it raises the question of limitations. Community engagement must be connected to universities’ strategies and policies to be included; it should not be about, for example, a geography professor’s volunteering in a sports club in her role as athlete but must be limited to volunteering that concerns her professional knowledge and skills as a teacher and researcher. In practice, there will be a grey zone of activities where generalized skills and knowledge play a role and it might be difficult to establish strict rules on what to include. Besides, may universities legitimately ask students about impacts of their community engagement-oriented learning, for example, their voting propensity (which is a question in the Carnegie documentation framework)? Such legitimacy issues may differ according to context—in Europe, legitimacy and privacy limitations might differ from the USA.

Too late to influence the development of TEFCE's approach, but interesting as a signal of the increasing interest in higher education's social role, the first THE University Impact Ranking appeared in 2019.³ It is based on universities' performance regarding eleven of the UN's Sustainable Development Goals (SDG). It defines a wealth of indicators on issues around community engagement. Consequently, the amount of data that must be collected for entering a university on all of the 11 SDGs is huge—luckily for participants, THE ranks any university that can provide data for three or more of them. SDG 17, on partnerships, is obligatory, and will probably ensure that at least some data for other SDGs are already documented as one of the constituent indicators is the university's publication of an SDG report. Like most other university rankings, though, the University Impact Ranking stops at construing indicators and adding them up into a league table. Data are collected from a worldwide publication database (relevant research publications) and from the participating universities. 'The methodology was developed in conjunction with our partners Vertigo Ventures and Elsevier, and after consultation and input from individual universities, academics, and sector groups', THE states on its website, which may be a sound approach for a global ranking, but does not involve target groups in universities' locality.

TEFCE'S DESIGN PRINCIPLES AND METHODOLOGY

From the review of literature and available approaches until 2019, we derived a methodology that defines a performance tool for European universities' community engagement as well as a process to apply the tool. Beyond the four general indicator principles of (1) match between indicator and its use, (2) robustness, (3) stakeholder legitimacy and validity, and (4) feasible administrative burden (Benneworth et al. 2018), we derived four design principles for our methodology. First, *authenticity of engagement*. Our tool should differentiate between authentic community engagement that provides the community with a meaningful role and tangible benefits, from instrumental and 'pseudo'-engagement. It must be able to uncover engagement beyond knowledge transfer to business. Second, *empowerment of individuals*: we aim to recognize and award value to different kinds of individual efforts and results in community engagement, thus encouraging universities to develop empowering environments for

³www.timeshighereducation.com/rankings/impact/2019/

individuals at the university, both students and employees (teachers/researchers as well as administrative staff). It should show up actual activities spread throughout the university, not be captured by ‘management talk’. Third, *bottom-up rather than top-down steering*. Our tool should be based on mapping stories of practitioners, rather than on best practices selected by senior management, and provide university staff, students and the community with a say in the process. Fourth, it must be a formative tool in a *learning journey*. The tool should result in a qualitative discovery of good practices, a critical reflection on strengths and areas to improve, achieved through a collaborative learning process (Benneworth et al. 2018, pp. 145–146) by means of narratives of community engagement practices.

Additionally, we aim for a tool fit for European contexts (in plural; they vary!) rather than the Australian or US contexts, where most examples were found. This is crucial, as community engagement is eminently context specific. Therefore, cross-institutional comparison is not our aim: while any report using a similar structure may be compared by readers, comparison is close to meaningless given the contextuality of community engagement.

Trade-offs between all these principles and aims will be inevitable.

The tool consists of seven dimensions, divided into 21 sub-dimensions. The first five of the seven gauge performances towards community engagement, and the two last ones focus on supportive elements in the university. The seven dimensions are:

1. Teaching and learning
2. Research
3. Service and knowledge exchange
4. Students
5. University management (partnerships and communication)
6. University management (policies and support structures)
7. Supportive peers

For each of the 21 sub-dimensions, forms were developed, which allow for a brief narrative based on examples of illustrative cases on each topic, ending in an estimate of the level achieved on a five-point scale. The end-points and middle of each scale are defined in terms of the sub-dimension’s topic and range from early development to mature, authentic community engagement (example in Table 10.1).

Table 10.1 Example of form for describing sub-dimensions (I.1 Teaching & Learning, courses for social needs)

Levels of engagement

The university has study programmes or courses that

Level 1 ...make general references to their relevance to the societal needs of the university's external communities.

Level 2

Level 3 ... include specific content or make specific links with the societal needs of the university's external communities.

Level 4

Level 5 ... are developed in cooperation with the university's external communities to address a societal need.

Achieved level and conclusions (*300 words per sub-dimension*)

General situation/major features

...

Illustrative cases

...

Estimate of achieved level (1–5):

Source: TEFCE Mapping report template

To underpin these brief vignettes of the sub-dimensions, illustrative cases are collected from around the university and described in annexes to the tool's report. Structured description of these cases in two to three pages includes goals and activities, the initiator (inside or outside the university), partners' feedback and how the case is supported by the university organizationally and financially. The collection of cases does not aim to be a total overview of community engagement in the university but should show a range of activities as an input for a reasoned discussion about the university's role in (local) society. It is expected that a single case may illustrate a number of sub-dimensions, for example, a citizen science project may involve student organizations and get management support.

The reasoned judgment through engaged process of university, peers and stakeholders takes place during the two-day site visit (for more detail, see the next section) and results in a report co-authored by the university and the TEFCE visiting team. The analytical technique is a variant of a SWOT-analysis, called a SLIPDOT analysis, because to avoid being normative towards the university, the term 'weakness' is replaced by 'areas of low intensity and potentials for development'—it is left to the university to decide if enhancing community engagement is a priority, and to what

extent or in which direction: whether it wants to focus on pure science, business innovation or outreach to community groups is not prescribed, only analyzed.

PILOTING TEFCE AT THE UNIVERSITY OF TWENTE

Once the initial tool had been developed, it was piloted in four higher education institutions across Europe, building up from focus on collecting evidence in the first case (see phases 1 and 2, below) to the full deliberative process in the later cases.

As the second among four pilot institutions, the University of Twente (UT) pilot intended to try out the whole methodology for the first time. The piloting process consisted of several distinct phases, once a *core team* of two academics from the UT and one representative of the regional partner authority had been assembled.

Phase 1, Quick scan: a seven-person *sounding board group* was set up, five from across the university (including its strategic leadership, but alas, student organizations did not respond to our invitation) and two external partners. The group met with the core team for an initial quick scan on current activities and structures involved in community engagement of the institution.

Phase 2, Collecting evidence: the cases mentioned in the quick scan were described in narratives according to the template ('stories') of community-engaged practices, either by their leaders/coordinators from the sounding board group or contacted after the quick scan, or by the core team members in interviews with those coordinators. The templates provided concise information (about two pages per practice), largely qualitative categories to describe the goals, actions, effects of the community engagement practice, its embedding in the institution and support or feedback from the community groups affected.

Phase 3, Mapping: the core team collated the evidence on the 16 collected practices into an institutional report, and applied the TEFCE Toolbox to show where the university's practices fit in relation to the dimensions defined by the toolbox, adding shorter descriptions/links to other community engagement practices in the institution from their own knowledge (which had grown considerably as a result of collecting the 16 practices!).

Phase 4: Hosting a two-day peer-learning/piloting visit by an external panel made up of TEFCE design experts and contact persons from the

other piloting institutions. During the visit, the panel met key participants and coordinators of highlighted community engagement practices from the university and selected key stakeholders in the community. This was facilitated by meeting one day on the university campus, the other day in town at the regional authority's office.

A major activity on day one included discussing the self-report on all sub-dimensions to agree on summary scores for the university. On day two, the discussion was taken to a more synthetic and analytical level in a SLIPDOT exercise to analyze and give feedback on the community engagement of the UT overall.

The discussions with experienced visitors from abroad provided university staff an opportunity to step out of their usual frames of reference, and to reflect on the potential for further development of the UT's community engagement.

Phase 5: Reviewing the institutional report: The TEFCE core team and an external panel member prepared an integrated institutional report, integrating the results of the visit with the self-report, to provide an in-depth review, as well as recommendations. The draft report was reviewed by the sounding board group at the institution before being published.

Phase 6: Into action. The university had a window of opportunity to use the report to advocate and implement enhancing community engagement practices, as it was in the process of formulating and—even more importantly, implementing—its next-decade strategic plan.

The process lasted about three months from phases 1 to 4. Phase 5 was delayed as finalizing the institutional report waited for the whole set of pilot visits being completed in this early stage of toolbox development but took about 1–2 months net.

LESSONS FOR THE TEFCE METHODOLOGY

To a large extent, the pilot experiences reinforced the TEFCE toolbox as designed—evidently, it helps to 'stand on the shoulders of giants', that is, to make use of the ideas and experiences of the previous third-mission assessment tools that went into the design of TEFCE.

The TEFCE tool proved to be comprehensive—all kinds of community engagement can be captured in the process; there was no sense from the knowledgeable actors in the UT that anything was missing in the reflection on the UT's community engagement. The collection of a sample of community engagement practices, analyzed along the seven dimensions

and their sub-dimensions, as well as the tried and tested site visit to come to a collective understanding of the situation, enriched the frames of reference of the local partners with views from foreign experts, but also through the act of collective reflection on current practices and their impacts. This led to a shared set of findings and conclusions that were actionable for the university. The tool allows for a context-specific application—it is not framed as ‘one size fits all’. The process is participative and allows for participants, including communities, to have a meaningful say in the process. The process is holistic and developmental—the discussions during the visit were rich and did not result in a narrow scoring exercise. The qualitative, narrative approach helped to highlight the drive to extend community engagement beyond large business at large geographical scales and well-organized, large public-sector interests, towards more vulnerable, less-resourced groups in society within specific geographical boundaries (either within the own region or, e.g. in the global South). Participants in the process said they felt empowered. The institution learnt a lot in the process about the wealth of engagement activities that take place, but also the institution learnt a lot in the process about potential for improvement.

Besides, it might seem that replacing SWOT with SLIPDOT was mainly a semantic exercise, but the underlying message was to communicate to the university and to participants in the exercise that it might not be the ambition of the university to achieve maximum levels on each dimension: if a university wants to be engaged entrepreneurially on some aspects while it has more attention for socially disadvantaged citizens on other aspects, there is nothing wrong with that (as exemplified also by the separate accreditation standards for engagement and entrepreneurialism of ACEEU 2016a, b).

Nevertheless, the pilot exercises—four in the course of 2019, of which the UT was the second—also carried lessons that led to adaptations of the TEFCE tool. The main change at the operational level was that the scales of each of the sub-dimensions conflated several aspects and that it sometimes was hard to agree on the level of maturity. The original idea was to use five-point scales for which the extremes and the mid-point were defined as a manner to objectively summarize the situation on each sub-dimension. However, the qualitative character of community engagement proved stubborn and was not easily reduced to a single statement or number. First, different practices indicated different levels of community engagement involvement within a single institution—a range of (numbered) judgments would be needed rather than a single one. Second,

although it was realized in advance, the fact that the collection of cases is incomplete made participants in the discussion hesitant to give judgments according to a scale. In the final pilots, therefore, a different approach was used with a five-level ‘heatmap’ for five aspects in each of the sub-dimensions: maturity/authenticity, addressing social needs, engagement with the community, institutional spread of the practice and its institutional sustainability (see Table 10.2). Although this might appear to create more work for the participants in the reflection to make even more judgments, the analytical clarity achieved made making each judgment much easier.

At a more conceptual level, the TEFCE approach did not yet achieve its aim of overcoming the ‘university-centric’ notion of community engagement, even though one of its principles is mutuality and genuine engagement of the community; maybe it needs an approach starting from the community (locality or municipality?) to change the perspective on community engagement radically. In the final year of the TEFCE project, such conceptual issues must still be addressed, while simultaneously readying the tool for broader use. This work is ongoing at the time of writing the current piece.

Table 10.2 ‘Heatmap’ approach to analyzing sub-dimensions in later TEFCE pilots

| <i>Type of Engagement</i> | <i>Heatmap level</i> | | | <i>Heatmap criterion</i> |
|------------------------------|----------------------|------------|-------------|--|
| | <i>low</i> | <i>mid</i> | <i>high</i> | |
| Authenticity of engagement | | | | (See sub-dimension level descriptors) |
| Societal needs addressed | | | | Business needs ... |
| Communities engaged with | | | | needs of vulnerable groups |
| Institutional spread | | | | Business/highly-structured organizations ... |
| | | | | hard-to-reach groups |
| | | | | Single department ... |
| | | | | whole university |
| Institutional sustainability | | | | Short-term project ... |
| | | | | embedded, continual practice |

Source: Based on Farnell et al. (2020)

LESSONS FOR DIFFUSION

Even though the project is still in its pilot phase, much interest is already being voiced to diffuse the TEFCE tool to other universities. Until the tool is published, a few pieces of advice can already be given to those interested in applying its principles.

The main practical advice is to maintain TEFCE's focus on working through narratives of the community engagement practices in and around a university, because this relatively free form of presenting cases allows emphasis on outstanding elements, which may differ across initiatives and which may not easily fit in a single dimension, even if they 'tick a lot of boxes' in passing. Collecting evidence through narratives from the actors—within the university or in the community—is also a beneficial process in itself: it gives much-wanted recognition to persons deeply involved in their community engagement initiative that until now often is seen to be ignored by authorities. At the same time, collecting information about cases may assist in building a network among actors in community engagement, which is beneficial in any case.

External networking—again beneficial for increasing appreciation of community engagement as well as for disseminating good practices—is much helped by the site visit of community engagement experts from other communities and universities. In TEFCE, the rule is always to include a non-higher education representative in each local 'delegation' in the external review team.

For sustainability of community engagement in a university, institutionalization is crucial. A single pilot exercise does not result in an institutionalized, permanent position for community engagement. It is much like the situation regarding quality assurance: it needs a quality culture, with both shared values and structural arrangements, to turn such an innovative addition to academic life into a daily practice of continual quality enhancement (Kottmann et al. 2016; Sursock 2011; Westerheijden 2013). An important element to help establish a 'community engagement culture', both in structures (which need funding and regulation, i.e. policy choices) and in organizational values (e.g. through communication from the leaders), is actual—not just symbolical—leadership support for community engagement.

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Public Engagement, Children, and the Pleasure of Knowledge: The Experience of Kidsuniversity Verona, Italy

Marta Ugolini, Fabio Cassia, and Nicola Cobelli

THE RATIONALE FOR COMMUNITY ENGAGEMENT INITIATIVES IN ITALY

In nowadays society, there is a great need to deal with the challenge of public unease with science (Felt et al. 2007; Wilson 2019), to increase public understanding of science (Bodmer 1985), and to rebuild trust in scientific knowledge (Molas-Gallart and Castro-Martínez 2007; Montesinos et al. 2008). Universities should contribute to deal with this challenge by ensuring to interact in a healthy and productive way with their communities (Grand et al. 2015; Reale and Potì 2009; Rolfo and Finardi 2014; Saltmarsh and Hartley 2011). In consideration of this need, many studies have raised the importance of reevaluating the measurement mechanisms

M. Ugolini (✉) • F. Cassia • N. Cobelli
University of Verona, Verona, Italy
e-mail: marta.ugolini@univr.it; fabio.cassia@univr.it; nicola.cobelli@univr.it

of the so-called university “Third Mission” (Furco 2010; Laredo 2007; Marhl and Pausits 2011), which refers to the sum of all of a university’s activities relating to the generation, use, application, and exploitation of knowledge, as well as to other university capabilities outside academic environments (Molas-Gallart and Castro-Martínez 2007). These activities add to the traditional First and Second Mission of universities, that is, teaching and academic research. Third Mission activities have received substantial policy and academic attention (Polt et al. 2001; Saltmarsh and Johnson 2018), however, their implementation in practice is not being manifested (Papadimitriou 2020).

Italian universities have the reputation of being removed from the communities they serve and the larger society. They are thought to represent an ivory tower, where, at best, academics cultivate their abstruse research interests and, at worst, the so-called “barons” increase their power with no benefit for society. In Italy, public universities are largely financed by taxpayers’ money (Marino and Lo Presti 2017; Schleicher 2019). However, knowledge transfer programs are at the stage of inception, and their positive effects have not yet begun to be perceived in society (Bodmer 1985; Mathewes 2007). The critical issues relating to the transfer of scientific knowledge and research activity to the wider population remain a topic of discussion not only for Italy (Muscio et al. 2016, 2017; Piazza 2011), but for both developed and developing countries (Pinheiro et al. 2015; Roper and Hirth 2005; Saltmarsh and Hartley 2016, p. 27; Secundo et al. 2017; Shore and McLauchlan 2012; Trencher et al. 2014; Watermeyer 2011).

At the regulatory and evaluation level of the Italian university system, the need to transfer scientific knowledge to wider society has been acknowledged through the institutionalization of the Third Mission¹ (Carboni and Orazi 2016; Carree et al. 2014; Cesaroni and Piccaluga 2016), by means of two regulatory sources dating back to 2012–2013: Legislative Decree 19/2012 and Ministerial Decree 47/2013 (Fronidizi et al. 2019; Giofrè 2014).

The Italian National Evaluation Agency (ANVUR) conducted experimental evaluations of the Third Mission during the 2011–2014 evaluation

¹In Italy, the Third Mission is a new area of application of the quality assurance system, where the university explicitly commits to working on both of the areas established by ANVUR: (a) promotion of research; and (b) production of public goods of a social, educational, and cultural nature. Retrieved January 19, 2020 from <https://www.anvur.it/attivita/temi/>

exercise, and published a handbook (ANVUR 2015) that exemplifies relevant activities, namely, “children’s universities”. The legislation relating to Third Mission in Italy is based on a vision of higher education as a “public-good knowledge/learning regime” whose goal is “for academics who create knowledge to move it beyond the ivory tower” (Saltmarsh and Hartley 2016, p. 28) for the benefit of the community.

The two decrees of 2012–2013 represent the first regulatory initiatives in the Italian university system, and more than anything else, they have consecrated the existence of the public mission, encouraging universities to launch initiatives intended to feed innovative social processes and to support freely and openly the scientific literacy of communities.

Given that such initiatives began quite recently in Italy, the country has not consolidated many high-quality community engagement practices initiated by universities and other higher education institutions (Cavicchi et al. 2013; Rossi 2010). Therefore, the purpose of this chapter is to provide a better understanding of the community engagement (or the Third Mission) in Italy using the University of Verona as a case study.

THE RATIONALE FOR PUBLIC ENGAGEMENT INITIATIVES AT THE UNIVERSITY OF VERONA

The University of Verona (Italy) is a young institution, established in 1982, with approximately 25,000 students, 1500 employees and 12 departments. It is a comprehensive university and operates in a city that does not have a consolidated tradition of connection with its university. Any Third Mission strategy must consider the context in which the university is embedded. Public engagement was included for the first time in the University of Verona 2016–2019 Strategic Plan. The addition was proposed by the central communication officer. Public engagement was conceived in preliminary terms, in the sense that only operational actions, and not strategic objectives, were identified for it.

In 2018, a further strategic plan was designed at the University of Verona, called “Policy Plan”, where the community engagement objectives were better defined:

- Objective 1: create awareness among academics about public engagement.

- Objective 2: engage the non-academic public to be involved in the research conducted by the different departments.
- Objective 3: further develop institutional communication and scientific dissemination.

The Policy Plan allowed university governance to place specific emphasis on a strong link between scientific research and community engagement, to deal with the challenge of public unease of science (Felt et al. 2007; Wilson 2019).

Thus, in the University of Verona, a formal strategic framework was built after a single public engagement planned event had already been implemented. This event was Kidsuniversity, which had been running since 2015. Likewise all planned events (Getz 2008), Kidsuniversity is a spatial–temporal phenomenon, provided for a purpose; it also a unique experience for its participants.

Specifically, the event that will be analyzed in this chapter, Kidsuniversity, is linked to a wider community engagement strategy of the University of Verona in the following four ways:

- The event is novel compared with the previous university event (Infinitamente), which saw almost all the content brought by external guests and a top-down approach in the development of the program (Objective 1).
- The event covers all the academic knowledge of a comprehensive university, without confining itself to a scientific area (Objective 2).
- The event enhances departmental research and enables academics to be available to engage actively (Objectives 1 and 2).
- The event has a specific novel target audience for universities, that is, children (Objective 3).

METHODS

The analysis was conducted using the case study approach, which is suggested when a phenomenon cannot be studied outside the context in which it occurs and the focus is on understanding the dynamics present within a single setting (Bonoma 1985; Eisenhardt 1989). Thus, the process outlined by Eisenhardt (1989) was applied. First, the research question was developed. The study intended to explore the success factors, and their sustainability, of a specific public engagement event, that is,

Kidsuniversity. For this purpose, information was collected from multiple sources to gain triangulation of evidence. In detail, knowledge was first obtained by direct participation in the organization of the event by the first author of this chapter, who was the rector's delegate for communication and public engagement at the University of Verona from 2016 to 2019. In addition, interviews with the three main founders of Kidsuniversity were conducted, corresponding to approximately six hours of conversation. The official post-event reports for each edition of Kidsuniversity, which are prepared by the communication officers for university governance and sponsors' feedback, as well as other documents (press kits, press releases, booklets, website contents, programs) were also consulted.

All collected evidence was then analyzed using thematic analysis, a method for identifying, analyzing, and reporting themes (Flick 2018), which in this case are the success factors of Kidsuniversity and their sustainability over time. In particular, among the several types of thematic analysis, the descriptive one was selected, which aims primarily to summarize and describe patterned meaning in the data (Clarke et al. 2015).

The results of the analysis are reported in this chapter as follows. First, an overview of Kidsuniversity is provided, including its rationale, origins, evolution over time, and organizational processes and issues. The critical analysis of the identified success factors, their sustainability over time, and of the areas of improvement are then presented.

A SPECIFIC PROGRAM TO ENGAGE COMMUNITY: KIDSUNIVERSITY VERONA

Rationale and Brief Overview

The University of Verona created Kidsuniversity as a planned event (Getz 2012) to connect academic research and local primary and middle schools and families through the involvement of children, teenagers, and their parents and teachers in a series of activities designed for scientific dissemination, employing the key theme of “the pleasure of knowledge”.

Kidsuniversity was implemented in Verona after an exploration of the Italian context, which demonstrated the absence of activities of universities specifically designed to reach children from 8 to 13 years of age. To the best of our knowledge, only one similar project has been established in Italy. This project is called UniJunior; it is aimed directly at citizens

(families with children), and it is not managed by a university, but by a social promotion association located in Bologna.

For 10–12 days in September, the University of Verona's Kidsuniversity event organizes many micro-events in the different scientific fields studied at the university. Workshops, experiments, exhibitions, and talks take place, not only in various university venues, but also in the town of Verona and in other locations (Vicenza, Rovereto).

Kidsuniversity is a popular event, and has had five editions from 2015 to 2019, with an attendance of approximately 5000 people each year. The event was introduced in Italy by the University of Verona, and was then adopted by two other universities in Northern Italy: University of Padua and Ca' Foscari University of Venice.

How It Began

Kidsuniversity has three main founders responsible for its conceptualization and development: Tiziana Cavallo and Francesca Scarazzato, who are in charge of the communications area of the University of Verona, and Lucio Biondaro, who is the founder and chief executive officer of Pleiadi Science Farmer (hereafter, Pleiadi), a private company that specializes in scientific dissemination and community engagement projects.

Kidsuniversity was conceived in 2014 by Tiziana Cavallo, a graduate in communication, who completed a doctorate on public engagement and who had observed good practices of scientific dissemination aimed at children outside Italy (Eatman and Levine 2016; EENET 1998).

Kidsuniversity at the University of Verona stemmed from a fortuitous meeting at a networking dinner: that evening, Tiziana Cavallo talked about her dream of establishing an event to disseminate scientific knowledge to children in Italy, and Lucio Biondaro made himself available to co-plan what would become Kidsuniversity. At the time, Pleiadi was taking its first steps in collaborating with the university world, but already had fundamental know-how in children entertainment and education experts on staff (explainers, planetarists, managers of educational projects). The dialogue between the two organizations developed, and the first edition of the Kidsuniversity project was shaped through collaboration between the public institution and a private organization.

Kidsuniversity Over Time

The first edition of Kidsuniversity was a one-off event, and only in subsequent years did it become a series of recurring events on an annual basis. The launch took place in the second edition, when Kidsuniversity was presented to the national media in a press conference held in the Chamber of Deputies in Rome. The difference between the first to the second editions reveals the development of the original format and the growth in notoriety of the event with schools and the citizens of Verona. While the first edition required considerable promotional activity, the second demanded less advertising effort. From the third edition, all the activities of the program dedicated to kids have been sold out without requiring major promotional efforts.

The magnitude of the event, in relation to the number of workshops offered and faculty and participants involved, made a leap from the first edition to the subsequent editions, but then faced some limits to its growth because of a decrease in financial resources use and the availability of classrooms and faculty members. The monetary funding directly committed by the university decreased from € 50,000 in the second edition to approximately € 25,000 in the fifth edition. Thus, while the event is not completely self-financed through sponsors and still requires university funding, it has reduced its economic burden for the university.

The progressive involvement of university students is also important, with the last editions having stabilized a quite small but particularly motivated team of volunteer students. These students are mostly studying education sciences, but are also in other degree programs, and have fully embraced the aim of Kidsuniversity.

KIDSUNIVERSITY TODAY: FURTHER DETAIL

The Original Format

The Kidsuniversity format follows that of a festival, in that it is a “container” of live micro-events connected by a common theme: the pleasure of knowledge that unites young and old.

Kidsuniversity has developed its own original format by combining different elements of scientific dissemination. The event offers a range of micro-events, from experimental “hands-on” workshops for children held in the university by the faculty, to interactive training sessions for school

teachers, from workshop activities for families with young children, to happenings and shows open to the public in the city. Everything is organized using the formula of a temporary event, with a start and an end (Getz 2012): over the course of 12 days, many activities take place inside and outside university venues. Kidsuniversity is free of charge for participants, with the exception of some activities (e.g. cooking workshops), for which a modest reimbursement of expenses is requested.

The core qualifying element of Kidsuniversity is the workshops held by academics on topics related to their research and adapted so that they can be enjoyed in a fun way by the principal target audience: students of the fourth and fifth levels of primary and middle school and their teachers. Verona's Kidsuniversity stands out precisely for its emphasis on the world of school. For example, one activity that is unique in Verona is TeachersLab, which provides teacher training and knowledge exchange.

Children are reached not only through their schools, but also privately with their families: some activities can be enjoyed privately by very young children (aged from 4 to 7) with their brothers, sisters, and parents (Familylabs).

The Kidsuniversity program is completed with theater performances open to the general public, with some events occurring in urban spaces, such as squares, and with a moment of celebration, the ceremony of the delivery of the certificates to the young participants in the presence of the rector.

Which Needs Does Kidsuniversity Respond to?

When the program of the first edition was being developed, in June 2015, the University of Verona conducted some listening activities (focus groups) to understand the needs of potential participants. In addition, the university collects and analyzes feedback from participants during the various editions.

The organization of the first Kidsuniversity edition began by conducting a focus group to verify the validity of the core need, that is, the need for scientific dissemination activities dedicated to children. Primary and middle school principals and teachers were invited to participate in the focus group. In addition, what emerged strongly was the "scream of pain" of the teachers, who complained passionately about the distance they felt between themselves and the university, and stated that they want to feel

that the university is close during their everyday teaching activities, and not only in their compulsory permanent education.

Before the second edition of Kidsuniversity (2016), another focus group, coordinated by pedagogy faculty, was conducted with teachers. The need for dialogue and exchange of knowledge with the university felt by the school teachers was reiterated, leading to the permanent inclusion of the TeachersLabs in the program.

In the spirit of listening to the needs of the community in its surrounding territory, the University of Verona also established the Scientific Committee of the Kidsuniversity, which was in 2016 extended to institutional representatives of the territory.

Throughout the five editions of Kidsuniversity, feedback has been collected from participants, particularly from school teachers, who also suggest topics for new workshops in the following edition. These suggestions have led to the creation of some “tailor-made” workshops.

Kidsuniversity: A Successful Event

Kidsuniversity is unquestionably a successful event, as demonstrated in Table 11.1 through the evolution of its offerings (e.g. the number of

Table 11.1 Quantitative evolution of Kidsuniversity’s activities and participants

| | <i>Workshops for schools (university)</i> | <i>Workshops for schools (partners)</i> | <i>Workshops for families and kids</i> | <i>Teachers lab</i> | <i>Special events</i> | <i>Events in urban spaces</i> | <i>Total</i> |
|----------------------------|---|---|--|---------------------|-----------------------|-------------------------------|--------------|
| No. of micro-events | | | | | | | |
| 2015 | 40 | 0 | 18 | 0 | 13 | 0 | 71 |
| 2016 | 80 | 20 | 37 | 5 | 6 | 1 | 149 |
| 2017 | 82 | 27 | 50 | 11 | 10 | 1 | 181 |
| 2018 | 88 | 24 | 47 | 15 | 8 | 1 | 183 |
| 2019 | 82 | 20 | 30 | 9 | 8 | 1 | 150 |
| Participants | | | | | | | |
| 2015 | 1000 | – | 300 | – | 1800 | – | 3100 |
| 2016 | 2000 | 700 | 700 | 150 | 600 | 500 | 4650 |
| 2017 | 2100 | 750 | 1000 | 250 | 1000 | 500 | 5600 |
| 2018 | 2500 | 500 | 1200 | 300 | 800 | 500 | 5800 |
| 2019 | 2000 | 500 | 1000 | 120 | 800 | 500 | 4920 |

Source: authors

micro-events in the program) and by the magnitude of its estimated audience. For the University of Verona, Kidsuniversity has been its most relevant community engagement event for the past five years, establishing relations with more than 20,000 people of different ages in a playful and informal way.

The number of micro-events offered, and the consequent number of participants significantly increased from the first edition to the second and subsequent editions. Growth in attendance continued until 2018, after which a decrease occurred in 2019. For the 2019 edition, a reduction of collaborations occurred because the University of Verona had to reduce the dedicated funds. In addition, the number of internal workshops did not increase a great deal after the second edition because of limitations to the availability of classrooms and faculty members.

Beyond the attendance numbers, the history of Kidsuniversity is replete with episodes that confirm its value for citizen involvement and the creation of common goods. The organizers report that they are often spontaneously contacted by enthusiastic teachers or by parents who have been touched to have entered the walls of a university for the first time in their life with their child.

On several occasions, work that began with workshops in the university found completion in activities organized independently in the classroom by the school teachers. For example, an elementary school produced a hilarious advertising video-parody inspired by the contents of the 2019 workshop *Made in Italy: A Journey Through the Advertising of Italian Products in the World*. There are also countless drawings and pieces of writing produced by children in the days following the workshops.

An example of best practice for taking care of common goods is represented by the laboratory work of restoring the wooden fence of an elementary school in the Veronetta district, where the University of Verona has its premises. In this micro-action, Kidsuniversity intervened as a community facilitator to maintain a nearby city space in need.

Another example of good practice in creating community links is represented by the scientific collaboration of two constitutional law faculty members, who, through Kidsuniversity, now participate permanently in the activities of the Verona Municipal Council of Girls and Boys, an organization that involves children in the local municipal government. This activity represents the university being involved in the field of civic education for children.

These and many other experiences confirm that when any single initiative fully responds to the spirit that animates Kidsuniversity, network relations are established and positive changes in community living are realized.

Alongside these examples, it should be noted that the success of Kidsuniversity has attracted external attention from actors wanting to collaborate with the project. Not all proposals for collaboration have been accepted because the organizers selectively screen such proposals, accepting only those that conform to the spirit of the program, and refusing proposals inspired by other purposes, such as self-promotion or commercial gain.

Behind the Scenes of Kidsuniversity: How It Is Implemented

As is conceivable, the organization of a hallmark event that reaches thousands of people every year is complex and requires application of event management principles. It is important to highlight the main organizational issues for Kidsuniversity, because they can act as guidelines for implementation of similar initiatives in other contexts. The main organizational issues to be managed are the following:

- participation of many subjects and organization units, both inside and outside the university
- paying great attention to communication, in all its forms
- schedule of the calendar period
- consideration of the choice of content, and ensuring a bottom-up approach
- ensuring there is feedback and post-event internal reporting.

The participation of many subjects and organization units in the Kidsuniversity is essential for the event's widespread implementation inside and outside the University of Verona. Inside the university, the workshops and initiatives occur in different spaces around the university, not only in classrooms, but also in the library, in gardens, in common spaces of the buildings, and of course in the research laboratories. All external activities occur in different locations, whose compliance and safety must be verified. Such participation entails considerable complexity, with the need to simultaneously "oversee" several locations on the days of the activities.

The great effort dedicated to the communication of the event is first seen in the care taken to have a coordinated graphic image. The Kidsuniversity mascot and logo is a very colorful owl holding a book and wearing a mortar board. This logo is used on all the event's different materials. The coordinated image ensures that single micro-events are perceived as part of a whole. In the locations where Kidsuniversity activities take place, the signs and communication materials (e.g. banners, sails, posters, and totems) mark the locations and make the event a tangible whole.

Attention to communication is also seen in the media presence of Kidsuniversity, particularly in local newspapers, and on local television and radio. This presence is possible because of a privileged media partner relationship with L'Arena group, which was achieved through media relations activities carried out by the press office of the university and through the publication of quality content on the University of Verona's institutional channels (e.g. posts on social networks, photographs, and video material, which are all in compliance with the regulations for the protection of the image of minors). The media exposure of Kidsuniversity has helped to increase the local community's awareness of the University of Verona.

The schedule of the calendar period was made to ensure maximum participation in the morning workshops. In addition, generally speaking, there was better availability of university classrooms in September, and the weather always allows outdoor activities to be conducted. Holding the event annually has optimized the local promotion of Kidsuniversity, making it a regular event for the city and for the local media.

A mostly bottom-up approach has generally been adopted for choosing the content to be included in the Kidsuniversity program. That is, the contents are not predetermined through central administrators, but through the proposals that are collected in the university departments and among partners. Over time, this approach has led to attractive, playful, and innovative content creatively proposed by academics (games, business simulations, hands-on activities).

The managerial principles of a successful event include the collection of feedback from participants and the preparation of post-event reports. The collection of feedback from teachers, in the form of satisfaction questionnaires and suggestions, has been implemented since the first edition.

The Strategic Partners

Kidsuniversity is not entirely organized by the University of Verona: it has a co-organizer and some strategic partners who significantly contribute to its implementation. The role of the co-organizer, Pleiadi, is fundamental because it brings resources that were scarce in the university, for example:

- specific skills relating to the target audience (e.g. profound knowledge of the children's learning requirements)
- methodological skills on teaching through experimental interaction, experiments, and hands-on methods
- inclusion in international networks of professional scientific communicators
- planning and entrepreneurial skills.

In addition, from the operations perspective, Pleiadi provides services that could not be delivered by internal university staff, who already has important workloads. For example, Pleiadi provides on-site assistance at the approximately 150 micro-events that are scheduled in the program. In addition, for Kidsuniversity, Pleiadi organizes its own educational workshops on widely tested topics in natural science.

The strategic collaboration does not develop only with the co-organizer: from its first edition, Kidsuniversity was open to forming partnerships that would enable it to innovate and create a rich program that was connected to the territory. Some collaborations are specifically relevant to ensure effective community engagement.

An early institutional partner that proved strategically decisive in the rapid success of Kidsuniversity was the Provincial School Office. This partnership made it easy for Kidsuniversity to contact primary and middle schools in the province and thus establish a channel for promotion. Without this institutional endorsement, it would have been difficult for the University of Verona to establish such contacts and nurture the strategic relations with school institutions.

The collaborative relationship between the civic museums of the Municipality of Verona and Kidsuniversity is also particularly important. This partnership has made it possible for joint initiatives to be conducted and has enhanced the existing educational activities designed for children. The Municipality of Verona is also highly important to the realization of

some events conducted in the streets and squares of the city, as well as to the institutional promotion of Kidsuniversity.

The partnership with the festival Tocati also helped with the early success of Kidsuniversity. It was important in providing support when Kidsuniversity was not yet well known in the city. In addition, the focus of the festival (i.e. the street games) helped to convey one of the key messages of Kidsuniversity: using different means in a playful way to disseminate the pleasure of knowledge.

Relevant collaborations include those with selected partners that have contributed to the program by adding some entertainment content that was far from university know-how.

Another example of relevant relationship is the important sponsorship and continuous collaboration from Gardaland Sea Life, one of the most important aquariums in Italy. This continued relationship has undoubtedly been positive because of the homogeneity of the target market of Kidsuniversity and Gardaland Sea Life.

Two different private companies took turns as the main sponsor in the early years, while in the fourth and fifth editions, smaller sponsorships were used. Kidsuniversity has not made great efforts to secure funding from private sponsors because of the strategic choice of the University of Verona to protect its autonomy from possible interference by sponsoring companies and foundations. This explains the lack of a single loyal main sponsor over time.

CRITICAL SUCCESS FACTORS OF KIDSUNIVERSITY, VERONA

Identification of Critical Success Factors

The critical success factors of Kidsuniversity refer to the aspects of its implementation that most contribute to creating and enhancing public goods (e.g. trust in science and in the scientific method) and relational resources (e.g. relationships between universities and local stakeholders, and the reputation of the University of Verona with the public).

An assessment of the success of Kidsuniversity cannot be conducted on a purely economic basis, of income versus expenditure: public universities in Italy are not profit oriented; they pursue a balanced budget in their management and have an institutional mission to contribute to the development of society, according to the ethos of gratuity and openness of public institutions to citizens (ANVUR 2015).

The provision of the € 25,000–30,000 (approximately 27,277–32,732 USD) of monetary funding by the University of Verona is necessary to set the program in motion and allow fundraising with the sponsors.

The critical success factors of Kidsuniversity are represented by the following:

- openness to the territory,
- involvement of schools,
- ability to ensure customer satisfaction,
- activation of highly motivated internal resources, and
- modular framework.

The first critical success factor is openness to the territory. Since its conception, Kidsuniversity has been open to the local area, not only to have access to the audience pool the territory provides, but also to enhance activities that have emerged from local partners. The openness to local partners was positively assessed by the EUCUNET (EUropean Children Universities NETwork) representatives, who came from Vienna in 2016 to observe Kidsuniversity from within.

In Italy, this openness of a university to society is recent, and clashes with the traditional resistance to change by those who prefer to ensure institutions of higher education are connected only to their own scientific networks and remain self-referential.

The second critical success factor is the involvement of schools. As stated, the focus primarily on primary and middle school classes is particular to Kidsuniversity, in that other projects of knowledge dissemination target younger or older pupils. This focus has been very successful because of the demand for rigorous programs through involving schools: from the second edition onwards, the entire program dedicated to school classes has been sold out. Although there are more than 100 workshops organized for schools only every year, there is a waiting list, and many requests for participation cannot be satisfied with Kidsuniversity's available resources.

The third critical success factor is the ability to ensure customer satisfaction. As assessed through questionnaires administered to teachers, levels of customer satisfaction remain very high, with the mean overall level of satisfaction with the workshops being above 95% in the editions from 2016 to 2019; satisfaction with the general program being more than

96%; and satisfaction with professional development in TeachersLabs being approximately 89%.

The fourth critical success factor is the activation of highly motivated internal resources. Kidsuniversity has revealed the presence within the faculty of a group of academics that are highly motivated to enhance community engagement. Motivated academics can act as ambassadors for public engagement through their own departments, and influence departmental policies to share a common vision of community engagement through the university.

The fifth critical success factor is the modularity of the Kidsuniversity framework. The program is composed of various and almost independent parts and has a very simple architecture, so that no element (e.g. laboratory, micro-event, association) alone can adversely affect the general event or prevent it from working.

Sustainability of the Critical Success Factors

Kidsuniversity does not require a minor effort for its organization: it is estimated that for each edition, a workload of 12 person-months for the organizational staff and 8 person-months for the faculty is required. The commitment of staff working (0.1% of the total number of hours of the university) demonstrates that the university governance was committed to the event during the five editions. So, sustainability of the critical success factors and of the event over time cannot be given for granted.

The critical success factors discussed are assessed here in relation to their future sustainability as follows: some of them do not represent a problem for the future, while others are more challenging to sustain.

Maintaining openness to the territory does not pose problems of sustainability in the future; rather it lays foundations for the university to ensure stronger territorial connection and a better social acceptance of its role as an authoritative producer of knowledge.

The involvement of schools can be maintained over time, possibly requiring some additional organizational effort by the staff of the University of Verona.

However, the ability to ensure customer satisfaction can be guaranteed over time only if the quality of the event and all its components is maintained. Indeed, ensuring customer satisfaction requires introducing innovations that can positively surprise the participants.

Maintaining the motivation levels of internal resources, particularly of the faculty, requires the commitment of individuals involved in public engagement activities to be rewarded (Eatman et al. 2017) in the form of research funds, incentives, and even career progress.

The modularity of the schedule in itself represents a condition for the economic and organizational sustainability of the event, which can be downsized if necessary. On the other hand, some strategic partnerships are essential for the success of the event. For example, if the Municipality of Verona would stop cooperating with Kidsuniversity, activities in urban spaces and valuable external laboratories could not be conducted, the visibility of Kidsuniversity would be affected, with negative effects on the overall quality of the event. In addition, if there were no longer a co-organizer such as Pleiadi to contribute critical resources, the event would have to downsize and there could be negative repercussions on customer satisfaction.

Areas for Improvement

There are at least two specific areas for improvement, together with a general area. One specific area of improvement regards the TeachersLabs. The potential of knowledge exchange and coproduction in the TeachersLab has been only partially exploited, as the participation of teachers is not fully satisfactory. Although these laboratories have been designed in response to specific needs highlighted in the focus groups and confirmed in the questionnaires, several TeachersLabs are not completely filled. The causes of this lack of attendance have not yet been clarified. It is necessary to investigate the reasons thoroughly and change some elements of the activities.

A second specific area for improvement is increasing the level of participation among the faculty members. There is not a need for a greater number of academics to be involved, but rather making departmental scientific research more responsive to the problems experienced in society. For example, to the best of our knowledge, Kidsuniversity has generated no significant research projects or published scientific products. The Scientific Committee seems to work episodically on the event and it does not seem to have encouraged scientific activities of various departments to be directed toward community services.

In general, the activities of Kidsuniversity reveal indeed more a dissemination approach, an effort to increase the public understanding of science

(Bodmer 1985), than an proactive involvement of school teachers, children, and families. When scrutinized more closely, the openness of Kidsuniversity travels mostly in one direction, that is, through a flow of knowledge that emanates from the faculty and goes to the territory. The limitation of the Kidsuniversity is that it has not really caused community change resulting from the co-creation of knowledge (McGowan 2017).

EVALUATING THE IMPACT: AN OPEN QUESTION

The finding that Kidsuniversity seems to be established as a successful event but has not deeply transformed the way of performing research and teaching in the university can be explained, at least in part, by the difficulty of assessing the impact (De Chiara 2015).

In fact, implementing impact measurements for Kidsuniversity would be an improvement that the event should make. To grasp the social impact of Kidsuniversity, it would be necessary to have gathered information since the time before the event, that is, to have at least assessed the reputation and the network relations of the university before and after the Kidsuniversity project. The next step for gauging the impact of the event should be to find proxies capable of expressing citizenship confidence levels in science, and vulnerability to fake news and pseudoscience.

The extension of the Kidsuniversity format to other territories and universities by Pleiadi seems to be extremely positive. That is, the development of the Kidsuniversities in Italy can constitute not only valuable public engagement but can also create an experimental field in which to validate methods for assessing the impact of Third Mission initiatives in the country.

Moreover, at the political level of the national university system, it is necessary to clarify what the responsibilities and duties of researchers are in relation to society, in all its forms, from technology transfer to knowledge dissemination and all interaction with socioeconomic systems.

RECOMMENDATIONS FOR IMPLEMENTATION

The experience of Kidsuniversity can be a valid initial point for universities and higher education institutions starting to implement public engagement programs in a context still in its developing phase.

The two most relevant recommendations are regarding the selection of a capable co-organizer and the involvement of the faculty.

A university that is at the beginning of its first public engagement program cannot take the risk of a badly organized event. If it has not internal skills, it should rely on external capabilities, offered by a professional co-organizer(s). It is important to carry out an analysis of the internal capabilities gap and a careful selection of a suited external partner should be made. In the case of the University of Verona, there has not been a formal selection of different possible co-organizer at the beginning, but the university and Pleiadi were able to find a good match between their complementary skills.

The second main recommendation regards the involvement of the faculty. It is relevant to detect and reward, inside the departments, those academics who are motivated and willing to create new activities specifically dedicated to school pupils and teachers. This is because the core qualifying elements of the entire program are the workshops held by academics on topics related to their research fields; also, the kids have the opportunity to enter in the university premises and meet the researchers in their workplaces, so the implementation of the event should rely on the availability and enthusiasm of faculties.

In addition, another recommendation for implementation regards the management of the organizational issues highlighted above, as it can be summarized in the acronym PA-CO-DA-BO-RE: participation, communication, dates, bottom up, and reporting. Organizers should seek participation of different subjects inside and outside the university; communication must be cared for by skilled professionals in order to reach a wider audience than the participants; dates should be carefully selected and be made compatible with other community events; contents should arise from the researchers' proposals and a system of feedback and reporting should be implemented.

Of course, the organization of such an event can be an occasion to think strategically about the value of the openness to the community, trying to overcome the limits of the knowledge-dissemination model of Kidsuniversity, represented by the direction of the flow of knowledge, from the faculty to the territory, and not in the reverse direction.

Five years provides a sufficient period to experience an event like Kidsuniversity, develop it, and understand its potential. Kidsuniversity was created to open up the university to the community in which it operates and to enhance trust in scientific research. Although there remain improvements to be made so that true collaboration and two-way knowledge

exchange is achieved, Kidsuniversity has paved a path for such progression.

For all of us, having contact with university has changed our lives. We want to think that for some children, teachers, families, and members of the academic body, the encounter with Kidsuniversity has changed their lives, as a transformation toward truly experiencing “the pleasure of knowledge”.

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Social Responsibility in Higher Education: The Case of Ethiopia

Leon Cremonini and Abebaw Yirga Adamu

INTRODUCTION

The discourse about “responsibility” revolves around our duty to be held accountable towards third parties for our actions. It is a notion that has long been the object of philosophical studies because it follows our ability as humans to anticipate and plan the future (Nietzsche 1887). Therefore, the term “University Social Responsibility” (USR) suggests the capacity of universities to contribute, shape, and develop society through their activities.

As the primary organizations charged with studying social issues, higher education institutions (HEIs) are responsible for addressing society’s practical problems (Anthony et al. 2012). In delivering these expectations, universities’ choices are underpinned by a set of theoretical and ideological concepts such as the “evaluative state” (Neave and Van Vught 1991) and

L. Cremonini (✉)
University of Twente (UT), Enschede, The Netherlands
e-mail: l.cremonini@utwente.nl

A. Y. Adamu
Addis Ababa University (AAU), Addis Ababa, Ethiopia

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the influence of New Public Management (NPM) (Amaral et al. 2003). These notions emphasize competition for funding among public organizations (including inter alia universities) and greater accountability for their performance (Brennan and Shah 2000; Christensen and Lægread 2015; Swiatczak et al. 2015, as cited in Jorge and Andrades 2017). Hence, universities are increasingly recognized as collective actors that need to improve efficacy, efficiency, and transparency, and be accountable to their stakeholders (Krücken and Meier 2006; Carvalho and Santiago 2010; Christensen 2011, as cited in Jorge and Andrades 2017). From this perspective, one can expect universities to have roughly similar priorities in their activities.

However, there is also a clear divide between world regions. For example, what USR means for the world's wealthiest regions might differ from views held in developing countries (Parsons 2014). For the former, social responsibility in higher education primarily involves addressing the new challenges of globalization and market-based capitalism; in contrast, for the latter, questions of access, privatization and so on are often more salient (Parsons 2014).

In addition, the societal shifts from post-industrial to information to knowledge society have led to new relationships between universities, societies, and the economy (Jongbloed et al. 2008, as cited in Jorge and Andrades 2017). Today, universities face more and different demands from more and different stakeholders. This is often called “mission overload” or “mission stretch”.¹

Also, for these reasons, there is an apparent friction between a theoretically sound albeit complex narrative on social responsibility in higher education, and institutional practices. Whilst many might contend that social responsibility—particularly in the form of social engagement—is a fundamental ingredient of accountability, in fact, the strong drive for competition amongst HEIs stimulates the pursuit of visibility and the accrual of stocks of prestige (Brewer et al. 2002). Visibility and prestige are generally deemed more suitable assets to compete for in the higher education field globally and are, therefore, strongly coveted. For instance, “lower ranked” universities or Universities of Applied Sciences will typically market their social and regional activities more emphatically than the world's “top”

¹“Mission overload” and “mission stretch” may have different connotations in the literature. Generally, the former refers to an increase in demands, whilst the latter identifies the extent to which such demands differ in nature and the stakeholders posing them.

research universities. The latter will focus, for example, on their research output or their graduates' destinations. Hence, one might argue that a university's degree of social responsibility contributes marginally to bolstering its competitiveness (as opposed to research and teaching and learning—T&L), which affect, for example, rankings, student satisfaction, and enrolments).

A FRAMEWORK TO UNDERSTAND SOCIAL RESPONSIBILITY AND HOW IT IS EXECUTED

USR is a wide-ranging and evolving concept (Shek et al. 2017). In its essence, it means the ability of tertiary institutions to “establish a better interaction between universities and society in order to respond to specific demands from the different agents involved” (Brennan 2008, as cited in Jorge and Andrades 2017). However, the crux of the matter is of course how this is done in practice. What does it actually mean for HEIs and what activities do they perform to be socially responsible?

There is an abundance of definitions of social responsibility in a university context,² including, for example, (a) “the capacity of the university to disseminate and implement ... specific values, ...to respond to the needs of the university community, and ...their ‘country’ as a whole” (Sánchez et al. 2017); (b) “a policy of ethical quality of the performance of the university community ...to promote a sustainable human development” (Reiser 2007); (c) the capacity to “...offer educational services and knowledge transfer following principles of ethics, good governance, respect for the environment, social commitment and promotion of citizen values under the premise of being accountable to society in regards to the commitments with their stakeholders” (De la Cuesta et al. 2010, p. 236); (d) “the voluntary commitment of universities to incorporate social, labor, ethical, and social concerns into their different main functions” (Larrán and Andrades 2013, p. 280).

Despite definitional abundance, at the heart of the matter lie three questions:

²The following definitions are cited in Jorge and Andrades (2017, p. 304), and are abridged by the Authors. Another detailed review of literature is also available at Parsons (2014).

- To what extent is USR, as applied by and in universities, an internal versus an external process? In other words, does USR identify with a university's internal administrative and academic management practices or with the "third mission"—outreach activities that universities have long been pursuing? (Vallaey's n.d.). We argue that all too frequently the latter is true;
- How do universities accomplish their societal goals? Some universities may focus on the teaching and learning processes to produce graduates who are able to generate useful knowledge for socio-economic development and/or who are civically engaged. Other universities will rather prioritize research and direct collaborative partnerships with industry to solve societal and global problems (Badat 2009; Petter 2008; Raghunadhan 2009). Either way, it is the institution that ought to balance the quality and quantity of its relationships with communities and external stakeholders. As Parsons (2014) indicates "[i]n some cases engaging with the community is a requisite for being considered socially responsible, while for others it is the quality and nature of these partnerships that determines the level of social responsibility being demonstrated" (p. 27);
- How are institutional goals aligned with social expectations? Above all, USR is a relationship between an institution and its external (social) environment. To be "responsible", the former's goals should align with the latter's expectations and needs (Herrera 2009; Kotecha 2010; Perold et al. 2007). Thus, implementing USR depends on the environment in which institutions operate and how it changes over time (Herrera 2009; Shek et al. 2017; Votruba 1996).

Crucially, social responsibility policies are typically expected to be integrated into the institution's management, teaching, research, and service activities (Vasilescu et al. 2010). This understanding originates from the corporate world, wherein "corporate social responsibility" is defined as a "concept whereby companies integrate social and environmental concerns in their business operations and in their interaction with their stakeholders on a voluntary basis" (Commission of the European Communities 2001). This means that USR should be embedded in the institutions' functioning. It is a cross-cutting notion that operates on different levels and in different ways (Parsons 2014; Vallaey's 2007); it is exercised through all three missions of higher education and is engrained into the University's mandate (Votruba 1996). Yet, more often than not, USR is identified

solely with the university’s third mission (“community service”), as shown in the diagram below, right side (Fig. 12.1).

SOCIAL RESPONSIBILITY IN ETHIOPIAN HIGHER EDUCATION INSTITUTIONS

Given the different definitions and the varying institutional priorities, it seems that, although all HEIs claim to strive for “social responsibility”, they adopt very different strategies to this end. Thus, what is lacking is a systematic understanding of how USR plays out in different contexts. This understanding is necessary to truly determine “success”, namely the efficacious and efficient deployment of resources to achieve the desired social results. As discussed above, USR has become one of the major issues that universities worldwide need to address. Ethiopian universities are no exception. For the purposes of this research, the question is, then, how is USR conceptualized and applied in a defined national context, that is, in Ethiopia? Is it focused on community service alone or is it broader than that? And, crucially, how does it address the diverse expectations of society?

This chapter, on the one hand, contributes to the existing understanding of USR based on case evidence. On the other, it has the potential of enhancing policies and practices at institutional and national levels by

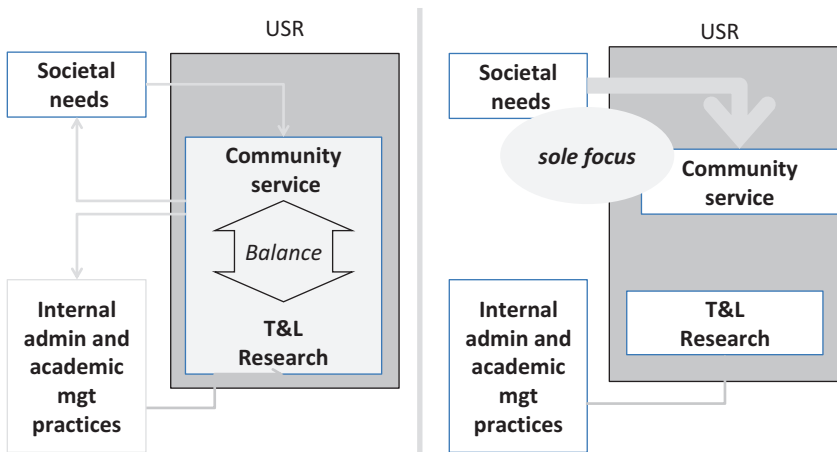


Fig. 12.1 Views of university social responsibility. (Source: Authors)

providing empirical information regarding how social responsibility in higher education can address societal needs and challenges. In recent years, Ethiopia embarked on significant higher education reforms marked particularly by an impressive expansion in supply. It is, therefore, an interesting testing ground to better understand USR in a context of change in higher education, in one of the world's fastest growing economies.

Methodology

Phenomenological research design is often used to describe how human beings experience a certain phenomenon (Groenewald 2004). Accordingly, this study employed phenomenological research design to describe and understand how participants perceived and experienced USR. There are 46 public and four private universities in Ethiopia which are geographically located in different regional states. Public universities are categorized into four generations based on their year of establishment. This chapter is based on a selection of one private university and five public universities from the first, second, and third generations. The fourth-generation universities had been launched in 2018, merely months prior to collecting the data. Therefore, it was deemed not sufficiently informative to engage them in this study.

Data was generated from faculty members and university leaders as well as policy and university strategic documents. The latter included current documents that inform higher education policies, strategies, and implementations at the institutional (senate legislations and strategic plans of each universities) and national (Higher Education Proclamation and the Education Sector Development Program V) level. Six participants from each university were selected purposefully to understand the issue from different perspectives. Participants included two faculty members, two deans, director for gender and Presidents or Vice-Presidents. Data was generated using semi-structured interviews and document review. Interviews were conducted in the respective universities which are geographically located in three regional states and one city administration. Namely, no two universities were selected from the same regional states. This design addressed both issues of representativeness and potential impacts of the political system in executing social responsibility.

This chapter used deductive thematic analysis and accordingly the interview data was coded qualitatively using a framework analysis approach. We organized the information gathered on USR in a code frame based on

five thematic issues that (a) appeared prevalent in the higher education literature and (b) especially germane to the problem this chapter addresses (i.e. understanding the implementation of USR in Ethiopia). These themes include the following:

- The definition of USR;
- The operationalization of USR in university activities across the three pillars (T&L, research and community engagement);
- The contribution of USR to the institution's relevance;
- The place and role of USR in institutional strategies and policies;
- The contribution of USR to the university's competitiveness on the "global higher education market".

The use of phenomenological approach for this study means the emphasis lies particularly on participants' experiences and perceptions of the issue at hand. Phenomenological research describes rather than explains a phenomenon (Husserl 1970 as cited in Lester 1999). Therefore, the chapter's deductive thematic analysis is also focused more on describing than explaining the issue.

UNDERSTANDING UNIVERSITY SOCIAL RESPONSIBILITY IN ETHIOPIA

The ever-increasing competitive economy and knowledge-and-skill-intensive labour market requires highly skilled human resources. Ensuring this is HEIs' primary responsibility. To understand the social responsibility of universities in Ethiopia, this section will:

- (a) Conceptualize social responsibility in Ethiopia;
- (b) Explore how universities address global and local challenges;
- (c) Discuss the relationship between ethics, accountability, and USR;
- (d) Examine how USR relates to societal trust in universities.

Conceptualizing Social Responsibility in Ethiopia

Effective implementation of USR entails a robust conceptualization of what it means in a given context because it may have different connotations in different contexts. In this study, some participants understood and

associated USR with the three missions of universities, namely T&L, research, and community service. They indicated that universities are established to serve society by producing quality graduates, conducting innovative and evidence-based research, and supporting first and foremost the society where they are geographically located. For example, one respondent indicated:

[USR is] identifying different society needs and trying to incorporate [them] in doing research and disseminating different kinds of knowledge and skills and attitudes [to our students] (SMUG1)

Accordingly, in principle, USR emanates from, and focuses on, the university's broader missions. Yet, in fact, most interviewees associate USR with the third mission, namely community service. This outlook originates largely from the belief that teaching and research is the primary responsibility of academic staff, for which they are paid. Moreover, this belief is often supported by the Senate Legislations indicating faculty workload. Teaching staff is required to devote 75% of their workload to teaching and 25% to research and, conversely, researchers must dedicate 25% of their time to teaching and 75% to research. Community service is considered a revenue-generating endeavour and/or an engagement to fulfil civic commitment through professional volunteerism. This narrow interpretation of USR as "volunteering" and "extra work" potentially deters universities from effective execution of social responsibility.

In addition, exogenous pressures—such as political demands—may affect the determination on where and how exactly to fulfil USR. For example, political demands might translate into concrete actions in society (e.g. engagement in local civic organizations) that are not per se carried out in teaching or research.

From what is mentioned heretofore, it seems moot to contend a straightforward relationship between a certain role within the university (e.g. academics vs. university leaders) and different perspectives on USR and to argue, thence, that a common pattern of interpretations exists across Ethiopian universities.

However, there is some evidence suggesting that whoever is responsible for the overall management of the university, such as a university president, usually has a keener understanding of USR as a university-wide task. For example, one president indicated that "...if we only do teaching [on content] and we do not link it to social responsibility, we cannot call

ourselves a university". Still, there is an equally keen understanding that in fact USR is rarely implemented across all of the university's missions.

Other staff, such as researchers and deans, tend to link USR to the societal relevance of their academic work. But this, too, has consequences. It means that at a socially responsible university, research should not (or not primarily) be based on individual interests or be merely curiosity-driven. Instead, it ought to be based on inherent or explicit societal needs. The former include, for example, identifying problems that are not yet known in, but have an impact on, society and raising awareness of them; the latter include providing solutions to dilemmas that society faces but does not have the knowledge to solve (e.g. how to cure certain plant pathogeneses that may destroy vital crops).

For instance, one dean stated:

...one of the reasons for our existence is to solve social problems. ...As a University we are expected to solve societal problems by giving plans of different kinds. For example, in the area of business and economics, health sciences, engineering. We are also expected to create awareness in society on different issues. (WAUD2)

Research suggests that a policy framework or a guideline is important to support effective implementation of social responsibilities in universities (Amorim et al. 2017). However, none of the universities included in this study have a policy framework or a guideline in place to provide strategic direction on the execution of USR.

Some participants even indicated that guideline documents to support the implementation of USR are unnecessary. They argue that, since USR is a vast and complex duty that lies at the heart of everything universities do, developing ad hoc policies or guidelines is redundant.

From the cases' evidence, it is apparent that universities would be more committed to social responsibility if academic staff understood what it means and what is required of them, and if this were clearly explained in the university's policy and strategic documents. Instead, most faculty members were unaware whether their university's Senate Legislation and Strategic Plan stipulated clearly an institutional role in, or faculty tasks for, social responsibility. For example, one faculty member mentioned:

I am sorry to say this but I am not very familiar with the documents you mentioned [University Senate Legislation and Strategic Plan]. Anyway, even

without looking at the contents of these documents, I am sure some aspects of university social responsibility are included in the documents. I am saying this because these documents mainly talk about teaching-learning, research and community services which are the core social responsibilities of any university. (BDUS2)

University leaders, on the other hand, emphasized that although not clearly mentioned as social responsibilities, several aspects of USR are included in their respective university senate legislations and strategic plans.

Focus on Global and Local Challenges

As part of their social responsibility agenda, universities should address global and local challenges from global and local perspectives. Universities should, therefore, be globally competitive whilst remaining locally relevant. All public universities participating in this study aspire to be excellent and top universities within the country and/or the continent. For example, one of Addis Ababa University's ambitions is to be amongst the top ten preeminent graduate and research Universities in Africa by 2023; Bahir Dar University wants to become one of the top ten premier African research universities by 2025. Such ambitions require understanding the global higher education context, internationalizing the higher education landscape, and enhancing global competitiveness. However, most universities implement their social responsibilities on local and national issues. In relation to this, a faculty member said:

Although public universities are under the federal government, they often focus on issues and problems of the regional state or the surrounding community where they are geographically located. There are also cases where they attempt to address some national issues. This is good but it hinders us from looking at and dealing with continental and global issues. (JJUS2)

This implies that most universities in Ethiopia focus rather on regional and national challenges than global ones. The Association of African Universities (AAU) and World Bank (WB) 1997–98 annual report also states that “universities play a more important national role in Africa than in other regions” (AAU/WB 1997, p. 2).

However, as noted in the same report, this does not necessarily mean that African universities neglect global challenges completely. For example, they tackle these challenges through partnerships. However, the impact of these and other initiatives remains often comparatively limited. The Ethiopian government's strategic and policy documents clearly indicate that ensuring food security, poverty alleviation, and improving quality of education are major national problems that must be addressed. Furthermore, society suffers significantly from political turmoil and poor governance. And since universities are increasingly expected to respond to societal needs (Amorim et al. 2017), in the context of Ethiopia, local and national issues inevitably take priority. Indeed, serving society is a major responsibility of universities as also the Higher education Proclamation specifies explicitly (Federal Democratic Republic of Ethiopia 2019).

Clearly, confronting societal challenges calls for full commitment from universities. Participants of the study indicated that universities have ambitious visions and missions and are keen to address the needs and expectations of society. However, day-to-day work at the university does not reflect their ambition and interests.

We do not have problems of preparing strategic documents. We are very good at it because we took lessons from other first-generation universities. The problem is we are not good at implementing what we planned. I think this is not unique to this university, I know even first-generation universities have this problem. ...If you ask me to rate our commitment in meeting the needs and expectation of the society, I will say it is very low. (JJUD1)

Everyone says we have to address the needs of our society who educated us without educating itself. However, this is just a motto. We are not working hard to fulfil this. Universities are not innovative in addressing societal problems. They are busy doing what the government or its development partners want them to do without even questioning its relevance to the society. So, in practice, universities are not committed in addressing the major needs and problems of the society. (BDUS1)

Although several activities potentially do contribute to addressing the needs of society, participants indicated that generally their university's commitment is wanting. Of course, responses vary by leadership position. Top-level leaders tend to rate universities' commitment in meeting the needs and expectations of society as average, while faculty members rate it as low. Nevertheless, both leaders and faculty members agree that

universities' contribution to addressing the major national problems (i.e. ensuring food security, poverty alleviation, and improving quality of education) is deficient.

Ethics, Accountability, and Social Responsibility

As centres of knowledge, universities are expected to serve as a model of accountability, transparency, and ethical behaviour in all their activities (Gomez 2014). USR also includes the idea and principles of ethics and accountability (Flores et al. 2015). Therefore, universities must employ accountable, ethical, and responsible professionals, and have open and transparent systems. They need to ensure that ethics, professional integrity, and accountability are at the heart of their system. They must promote positive attitudes, ethical behaviour, and moral values because they have the social responsibility of producing ethically responsible students and citizens (Dalton and Crosby 2006).

Participants from public universities maintained that although some academic staff have high professional integrity and feel responsible and accountable for all their activities, most lack these qualities. They often have low moral values, and forget their responsibility. Respondents indicated several cases where such misdeeds are reflected. The following excerpts demonstrate this point:

There is clear lack of professional integrity and accountability. The primary purpose of conducting research is not to create knowledge or scientifically address societal challenges and problems. We also engage in community service activities primarily for personal benefit such as to get money or for academic promotion. It is not because we believe what we do is good for the society. (JJUS3)

If you look at the research culture, the university knows that the money it distributes to “researchers” through colleges/institutes is not enough to conduct a research that can address some key societal problems. The “researchers” also often develop research proposals mainly to take their share from “the national cake”, and to have something which will be counted as participation in community service and if possible, to get something for publication which could both be used for academic promotion. (BDUS2)

Moreover, in the case of ethics, the context plays a crucial role. Although there are some “universal” notions of what is ethical and what is not, a country’s level of development clearly affects the degree to which ethical behaviour is applied. As stated by one interviewee:

We give great part to ethics but one of the great problems is that we are poor and most people think: what is in it for me? How can I get some money for this or that? This is one of the great challenges particularly in the process of taking public service (corruption... and take what you can when you have a given position – this is socially accepted- if not you will regret later). Here in Ethiopia we have to deal with basic needs. That is not the case in the US or Europe. (WAUD2)

In addition, notwithstanding a generic agreement on the “universal” ethical principles necessary to educate “good citizens”, the cases used for this chapter suggest that public and private providers interpret and operationalize ethics as part of USR from slightly different angles. For the private provider we approached for this study, the notion of ethics is directly related, *inter alia*, to ensuring its fee-paying students become employable. The university does this, for example, through institutional investments in extra-curricular trainings for students:

The issue of ethics is important but as a private university we engage resources. We have different kinds of trainings and memberships to co-curricular activities and curricular activities. Among them we try to give [students] trainings on social skills, communication skills, membership of clubs, we try to inculcate different kinds of values not only to address needs of society but to be a good citizen from their own perspective. For example, we are making them ready for entrepreneurship and to do this effectively they need to be ethical. (SMUG1)

While promoting ethical values is a must for every HEI, it requires using strategies that take different contexts into consideration. The main strategy Ethiopian universities use to uphold ethical, moral, and civic issues is including a mandatory civic course in all curricula. However, as several respondents reported, there appears to be no significant positive impact on students. This finding is consistent with the existing body of literature on the role of higher education in students’ ethical maturity. Dalton and Crosby (2006) emphasize that “... moral values such as honesty, compassion, fairness, and respect for others, are probably best taught

not by ‘telling’ college students but by providing collegiate experiences in which these virtues arise naturally in the context of students’ interests, involvements, and commitments” (p. 2).

The Higher Education Proclamation states that universities have a clear accountability and responsibility (Federal Democratic Republic of Ethiopia 2019). But in reality, most interviewees contended that how accountability and responsibility are performed is ambiguous. In fact, most universities and staff do *not* feel accountable to their stakeholders, reportedly because a strong and transparent accountability system is absent at the national level. Student placement is carried out nationally. Each university receives its quota of students and funding regardless of its performance in teaching, research, and community service. Moreover, according to the university leaders interviewed during this research, individual and institutional accountability in higher education is not robust. This potentially affects universities’ efforts and their commitment to addressing societal challenges and problems.

Societal Trust in Universities

Universities should closely work with society to realize their missions and visions. But this is only possible if society trusts universities. “Societal trust” means that society generally believes in the legitimacy of the University as an institution, the salience of its functions for graduates, parents, society at large, and the government, and its ability to perform these functions.

During the 1960s and 1970s in Ethiopia, universities held a prestigious position at the heart of society especially because of the decisive role they played in overthrowing the imperial regime. However, despite the increase in access to higher education, participants believed that society’s trust in universities has eroded over time. The key causing factors include inter alia:

- (a) universities’ failure to produce enough graduates who are highly skilled, competent, and ethical;
- (b) universities’ silence during difficult times such as political unrest;
- (c) universities’ inability to resolve some of the most prominent real-life problems affecting Ethiopians such as plant pathogenesis (or their indifference towards these issues);
- (d) universities’ incapacity to solve problems of their own making which directly affect society (e.g. poor waste management).

Some faculty members even suggested that the government's trust in universities is not as it used to be.

The society tends to see universities [more as] as a liability than an asset. This is because the society is fed up with all the data that researchers from university collect, and the experiments they have done in the field and in the lab. The society has not seen the outcome of the research and nothing changed from their side. (JJUS2)

Societies worldwide want to benefit from university research in which, in one way or another, they participated, often as the source of the data. However, it is not uncommon for universities across the world to conduct academic research with limited practical orientation (Hatakenaka 2015). But in Ethiopia, not only is this research orientation irrelevant for society but it has widened the gap between the people and universities. In other words, much of Ethiopia's university research has undermined societal trust in universities.

By the way it is not only the society which tends to lose their trust on universities but also the government. I think the government often believes that research conducted in universities do not have significant impact and that is why it often looks for solutions and good practices from other countries through what they call experience sharing. There are also universities who are not willing to hire their own graduates because they do not believe they have the necessary quality to work as a faculty. This is for me an aspect of lack of trust in oneself. (BDUD1)

Most students enter higher education to prepare for the world of work. And universities are aware that one of their fundamental tasks is indeed producing labour market-ready graduates (Puhakka et al. 2010). However, if—as is often the case in Ethiopia—the universities themselves do not trust the quality of their own graduates, one has to wonder who else will.

I think the society and industries are losing their trust in universities. Everyone says that the research conducted by universities warms only the shelf. This is true and they are the main but not the only responsible entity for this problem. Universities are also blamed for not paving the way to development by bringing the society and industries on-board. (BDUD2)

University leaders mentioned that universities are often unaware of the progressively eroding societal trust, which potentially may result in performing USR in a disorganized manner and inefficiently. This means that it is necessary to revisit their social functions, which are essentially guided by the relevance of their services to the priority needs of their society (UNESCO 1991) and tripartite discussions among universities, industry, and the government. According to Hatakenaka (2015), for the discussion to be effective “...society needs to drop its skepticism and believe that universities can contribute to its development, and equally academics need to recognize that they can strive for relevance without compromising their scientific integrity” (p. 5).

CONCLUSION AND DISCUSSION

This chapter aims at providing a better understanding of USR and its implementation in the Ethiopian context, characterized by a boost in higher education supply parallel to a fast-growing economy that, none the less, is not yet benefitting the population as much as desired. Our analysis shows that in such a context, universities have an even more special responsibility to promote the development of their surrounding contexts. Social responsibility is, therefore, a notion that should be at the heart of universities in a country like Ethiopia.

However, the data show that social responsibility is not a well discussed and described concept among the Ethiopian university community. It is also scantily present in major university policy and strategic documents. This results in understanding USR in different ways within a university. For example, while a university president might assume USR cuts across all activities of the university, researchers will often interpret it as a natural by-product of their research. In turn, this leads universities to engage in social responsibility without a clear stated focus, policy, and strategy.

Hence, while Ethiopian universities eagerly demand more autonomy and academic freedom, apparently they are also becoming less responsible and accountable towards their students, staff, society, and the government—all of whom, directly or indirectly, finance higher education. This has a number of detrimental effects, including inter alia less-than-ethical practices within universities.

But even though the lack of clear policy frameworks or guidelines on social responsibility and eroded individual and institutional accountability are worrying, the major concern is the deterioration of societal trust in the

university system, and the added burden these places on institutions trying to execute their social responsibilities. From this perspective, the case of Ethiopia provides lessons not only for the distinct developmental state this country exemplifies, but also for the implementation of USR generally.

First, it is crucial that USR should be recognized as a university-wide fact. Hence, it is necessary to develop policies and frameworks and ensure they are widely disseminated among all staff regardless of academic or management positions. Secondly, the cases presented in this chapter show that USR is associated with the relevance of what HEIs do. From this perspective, it is important that society and universities act as partners. Citizens should be involved in setting a university's USR priorities through expressing their needs and problems. And relevance is not incompatible with fundamental and curiosity-driven research. Indeed, these can lead to significant impact on society, often in the longer term. It is, then, a question of fine-tuning the balance between producing short-term visible effects for a defined social group (e.g. providing an immediate solution to water supply problems for families of a specific neighbourhood through a technology developed by the university), and developing long-term societal impact (e.g. far-reaching digitalization). But to achieve this balance, institutions should reach out to investigate what society needs, listen to concerns, and create awareness of as yet undetected problems and their potential solutions. In this way, it is also possible for universities to regain their lost social trust. Third, emphasizing on local and national issues is commendable but limiting themselves only to this level will affect them because for one or the other reasons HEIs are affected by globalization. Moreover, they will potentially miss global solutions for local and national challenges and problems. Fourth, the example drawn from the private university teaches us that USR should be an all-encompassing effort. It should include both confronting societal challenges *as well as* preparing students for active participation in the labour market. Fifth, universities need to unequivocally include community service or community engagement as one of faculty's main roles and responsibilities. Without such a clear provision, most members of the university community will continue perceiving their community service engagement as volunteerism or an optional task that can be performed if and when they wish. Finally, universities must ensure the strong integration and synergy among their core missions in practice. This will significantly help acknowledging that community engagement benefits not only society but also academic staff. It enriches and enhances faculty experience, expertise, and competences in teaching and learning as well as research.

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Global Trend and Institutional Practices of Knowledge Exchange Activities in Universities: The Changing Academic Profession in Hong Kong

Hei-hang Hayes Tang

At the ‘entrepreneurial turn’ of higher education, contemporary universities are expected not only to create new academic knowledge, but also to do it with social and economic perspectives in mind. The notion of ‘problem solving research’ was central to the elaboration of the ‘new production of knowledge’, or known as ‘mode 2’ knowledge production (Gibbons et al. 1994). Different from the mode 1 traditional disciplinary knowledge, mode 2 is a transdisciplinary form of knowledge production which is carried out within a context of application, requiring a wider range of considerations of the interests of various stakeholders. Scientific and academic knowledge is produced not only for the academic communities, but also for the real-world and solving its problems. Moreover, universities have lost their prerogative in knowledge production but share this

Hei-hang Hayes Tang (✉)
The Education University of Hong Kong, Ting Kok, Hong Kong
e-mail: hhtang@eduhk.hk

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function with other actors, for example, research firms, think tanks, or other knowledge-related organizations or companies in society. Universities are regarded as one of the agents of creating knowledge for innovation (Laredo 2007). Eventually, this led to a redefinition of higher education as bearing “a civic duty to engage with wider society on the local, national and global scales and to do so in a manner which links the social to the economic spheres” (Goddard 2009, p. 4). As a result, knowledge exchange (KE) was introduced as the ‘third task’ or ‘third mission’ of higher education, alongside teaching and research.

Since the 1990s, universities worldwide have strategically institutionalized the mission of KE in their organizational structure and everyday operations. Usually universities translate the ‘incentivizing’ policies by the national higher education system alongside their institutional policy structures of research and impact. Designated units, academic leaders and administrators, acting as intermediators for coordinating and overseeing KE activities, play crucial roles in promoting and fostering this dimension of scholarly mission, known as ‘scholarship of application’ (Boyer et al. 2016; Tang 2014) or ‘engaged scholarship’ (Boyer 1996; Fitzgerald et al. 2010). Over the past decades, conceptual shifts were called for in order to produce a more encompassing conception of KE. A progression from the linear model of technology transfer to an enhanced KE model took place between the early 1990s and the early 2000s. The enhanced KE model is not limited to science and technology but embraces all disciplines of knowledge. However, the model is linear and still not promoting bi-directional knowledge exchange between academia and the stakeholders outside. With a view to building an ecosystem of innovation through cross-disciplinary working, the notion of KE has been advocated, since the early 2010s, in all forms of higher education institutions (Rosli and Rossi 2016).

Added to the two traditional university missions of teaching and research is the third mission of KE. Notwithstanding the ‘entrepreneurial’ nature of KE activities, recent academic literature suggests the need of differentiating commercial technology/knowledge transfer from knowledge social engagement salient since the latter does not possess the function of income generation (Perkmann et al. 2013). The two contrasting views towards KE raise the Janus-faced nature of university’s third mission (Tang and Chau 2020) which provokes diverse responses and tensions among the academic profession, which ranges from enthusiasm to scepticism on the recognition of KE activities as scholarly endeavours (Philpott et al.

2011). Most importantly, universities, with their distinctive institutional history and developmental pathway, differentiate themselves from others with respect to their strategic responses to increasing demands of KE and entrepreneurial opportunities. Nevertheless, little is known about the patterns of KE engagement by academics affiliated with different types of universities.

This chapter uses ‘institutional logics’ as the conceptual theme (Canhilar et al. 2016; Thornton and Ocasio 2008) for reviewing the relationship of institutional types, academic responses, and patterns of KE engagement. Offering cognitive and practical templates to institutions for fulfilling their everyday tasks, institutional logics are “socially constructed, historical patterns of assumptions, values, beliefs, rules and material practices by which individuals produce and reproduce their material subsistence, organize time and space, and provide meaning to their social reality” (Thornton and Ocasio 2008, p. 804). Institutional logics, considered as shared rationalizations, are important in influencing many aspects of the organizational behaviours of universities. More importantly, in the organizational structure and culture of universities, there is not a singular dominant logic but diverse competing institutional logics which determine many aspects of a university as organization. For example, the logics of autonomy, utilitarianism, and managerialism constitute the shared rationalizations in university management and academic life (Shields and Watermeyer 2020). Among many standard dimensions underpinning different sets of institutional typologies, and hence institutional logics, mission orientation (teaching vs research) and scope of discipline mix (comprehensive vs specialized) are the focus analysis that this paper is based on (Brennan et al. 2016). It is because the centrality of KE is affected by the role of disciplines (emphasis of disciplinary traditions) and the rationale of knowledge production (intellectual, entrepreneurial, or mixed). Also, mission orientation affects research intensity and the resources an institution receives/acquires and allocates for KE in relation to research and teaching.

This chapter will examine the patterns of institutional practices of KE engagement in Hong Kong’s public universities. It will investigate the academic responses to the global trend of KE policies and the extent to which there is a tendency of convergence or divergence of institutional practices of KE engagement.¹ Empirical analysis of this chapter will sug-

¹This chapter borrows some findings from the author’s latest publication: Tang, H.H.H. & Chau, C.F.W. (2020). Knowledge Transfer in a Global City: A Typology of Universities and

gest further research about international implications for higher education governance in motivating and measuring the scholarly mission of KE.

RESEARCHING THE CASE OF HONG KONG

With a long history of urban entrepreneurialism, Hong Kong is considered an ‘entrepreneurial city’, particularly with reference to its entrepreneurial discourse, narratives, and self-images (Jessop and Sum 2000). Responding to the global trends of knowledge economy (Mok 2005), academic capitalism (Tang 2014), internationalization (Lo and Tang 2017; Tang et al. 2018), and massification (Wan 2011; Tang et al. 2018), universities in Hong Kong develop an ‘entrepreneurial’ mindset (Tang 2013, 2014; Vyas 2018) in their institutional logic and everyday operations. The government also strives to develop the city into an ‘education hub’ in Asia. The use of English as the language of research and teaching and attractive academic salaries enable internationalization of the academic profession, in terms of the nationality and origin of doctoral training of academics in Hong Kong. The case of Hong Kong higher education demonstrates a ‘western’ university model implanted in Asia (Altbach 1989). Meanwhile, academic mobility is high as a number of mobile academics consider Hong Kong universities as a transitory platform for them to accumulate more scholarly credentials, or ‘academic capital’, before they will be offered a better and more prestigious position elsewhere. Therefore, the groupings of mobile academics (or known as ‘mobals’) and locals create certain human resources implications with regards ‘manpowering’ the scholarly mission of knowledge exchange.

There is strong top-down management across Hong Kong’s universities but managerialism is largely embraced by academics. Considered as ‘managed professionals’ (Rhoades 1998), academics comply with the pro-competition policies which have implications for the amount of resources and prestige an academic unit or an individual staff receives. Within such a performance-driven academic profession, there is weak academic unionism. Academic freedom is a non-issue among the core group of academics as they mainly value the freedom to excel and attain higher academic productivity.

However, entrepreneurial governance prevalent among Hong Kong’s key universities, which are publicly funded, is situated in an array of unique

contextual factors. Its economic structure, dominated by financial industry and property sector, allows only small market for entrepreneurial business (Baark and Sharif 2006). Meanwhile, the gross domestic expenditure on research and development as a percentage of GDP is consistently less than 1% over the years (Sharif and Tang 2014; Tang 2013). Some entrepreneurial projects, for example, the ‘Cyberport’, were criticized as being more a real estate venture developed out of cronyism than a technological enterprise (Jessop and Sum 2000). The underdeveloped ecosystem for entrepreneurship provided limited incentives for the development of technology transfer and academic entrepreneurship. Against this context, Hong Kong’s universities are also strategic and entrepreneurial in pursuing the world-class excellence, especially overarching goals which can lead to higher global university ranking results. Hong Kong’s academic profession, characterized by a ‘catching up’ work ethos (Yonezawa et al. 2017), was referred to as a ‘greedy profession’ by some (Aiston 2014). Compared to their international counterparts, academic professionals in Hong Kong commit relatively more time and efforts in professional tasks yet their job satisfaction is paradoxically lower (Shin and Jung 2014).

The deficit approach is adopted in performance appraisals of individual academics at all levels (senior management, middle management, and common academics). Increasing expectation of (research) productivity is seen as new normal. By and large, there is an embracing entrepreneurial culture for attaining ‘world-class’ performativity and international competitiveness. Notwithstanding the high demand on research productivity and researchers’ time investment, it is paradoxical that the research system in Hong Kong becomes less competitive. It can be attributed to underinvestment by the government and the private sector (Horta 2018).

The higher education system in Hong Kong chiefly consists of eight government-funded institutions of different institutional history, positioning, and specialties supported by the University Grants Committee (UGC). The positive socio-economic impacts brought about by the knowledge transfer between universities and the society has been advocated by the UGC. Enrichment of the universities’ research mission is made available and it contributes to the competitiveness of the Hong Kong higher education sector. The term KE is interchangeable with ‘knowledge transfer’ in the Hong Kong context. Both terms emphasize knowledge and technology transmission from higher education institutions to outsiders with the goal of bringing socio-economic benefits. In this study, the operational definition of KE from the UGC was borrowed:

“The systems and processes by which knowledge, including technology, know-how, expertise and skills are transferred between higher education institutions and society, leading to innovative, profitable or economic or social improvements” (University Grants Committee n.d.). Considering KE as a two-way process, it is not only the community which benefits from the knowledge transferred from universities, but stakeholders in the higher education sector would also be enriched by having closer ties with the larger community.

Variations in the patterns of KE engagement by the academics depend on the institutional logic and demographic make-up of the academic profession on the faculties and the way in which they prioritize the institutional missions of teaching, research, and KE (Molas-Gallart et al. 2002). This study examines the role of institutional logics on individual academics and organizational actions responding to KE by employing the qualitative methods of documentary research and textual analysis of government and institutional documents related to KE. The documentary research will also be supplemented by interviewing academics, including KE awardees, to examine the values, perceptions, professional judgement, and strategic actions as regards their KE engagement, especially the way they negotiate a balance between teaching, research, and a wider set of third mission activities. Sources of documentary data include university official websites, university annual reports, KE annual reports (submitted by the public universities to the government), and reports and figures published by the university KE offices. Inductive and iterative analysis on the chosen official documents was conducted in which they were read, coded, and analysed. The translation of KE to institutional policies by different universities with different missions and disciplines was taken into consideration. Coding and analysis are salient to uncover the complexities and diversities in the institutionalization process (Zilber 2008).

KNOWLEDGE EXCHANGE: GLOBAL TREND, INSTITUTIONAL PRACTICES, AND ACADEMIC RESPONSES

We will present in this section the findings about the global trend, institutional practices, and academic responses about KE policies and engagement. It starts with knowledge exchange policies by the University Grants Committee, followed by the pattern of institutional practices and concluded by academic responses.

*Knowledge Exchange Policies by the University Grants
Committee (UGC)*

Like in many other higher education systems, KE is now considered as the ‘third mission’, alongside teaching and research, of Hong Kong’s universities. UGC promotes KE policies in light of their impact on the enrichment of universities’ research mission and enhancement of international competitiveness of the higher education sector. KE or knowledge transfer is understood in official documents as a ‘natural extension’ of higher teaching education and research activities, generating socio-economic ‘impact’, and inducing improvements to the public and private sectors through the transfer of knowledge between academia and the world. To promote the implementation of KE, UGC has allocated recurrent funding of US\$ 6.45 million to universities to expand their KE capacity from the 2009/10 onwards. In the 2016–19 triennium, this KE funding per annum has risen sharply to US\$ 8.06 million (University Grants Committee n.d.). Despite the centralization of fund allocation by the UGC, each university has a high degree of academic autonomy in formulating its strategic plan to KE (Tang and Chau 2020). To support the strategic plan, universities have also set their own funds to match the present KE funding allocation. At present, KE activities has been established in universities of different disciplines, including health sciences, arts and humanities, and the social sciences, architecture, business and economics, city planning and the environment, science and technology as well as engineering (University Grants Committee n.d.). The earmarked funding for KE launched by UGC has been a successful operation in which all universities enhanced their internal culture, enabling environment (e.g. management structure and staff incentives) and output volume for KE (University Grants Committee n.d.). KE or knowledge transfer offices or subunits have been set up or consolidated to initiate, coordinate, foster or directly deliver KE activities in measurable terms (Lo and Tang 2019).

Recently, the Innovation and Technology Commission of the Hong Kong Special Administrative Region (HKSAR) Government launched the Technology Start-up Support Scheme for Universities (TSSSU). The scheme provides funding to six public universities (with departments of science disciplines) to support their teams in commercializing research results and starting technological businesses. An annual funding of nearly US\$ 1 million is provided to each of the six universities and each

technology start-up project can receive up to around US\$ 0.2 million each year (maximum of three years) starting from the academic year 2019–20.

Different universities translate the KE policies by UGC to enhance their capabilities and capacity for corroborating impactful research, strengthening technology transfer and partnerships, nurturing innovation and entrepreneurship, broadening knowledge access, and promoting community engagement. Entrepreneurship education has become an important component in business and engineering schools while student and graduate entrepreneurship are encouraged to foster engagement in KE among undergraduate students, postgraduate students, graduates, and university staff. For staff incentives, the recurrent funding of UGC has provided a significant financial incentive and resources for extending and upscaling the third mission endeavours (Tang and Chau 2019). Some universities have also introduced knowledge exchange or knowledge transfer awards to encourage academics to conduct impactful knowledge transfer activities. The total revenue brought by KE activities of all Hong Kong's public universities in year 2018–19 is US\$ 562 million, which has increased about 65% as compared with the preceding year (Sing Tao 2020).

Pattern of Institutional Practices

Since the policy initiative of government funding for promoting the scholarly mission of KE in 2009, KE activities of Hong Kong's public universities have been developing in scope and scale. The two oldest comprehensive research universities (The Chinese University of Hong Kong and the University of Hong Kong), given the comprehensive inclusion of most academic disciplines, adopt a balanced approach encompassing technological transfer, non-technological community engagement, and other forms of KE. According to the first knowledge transfer of the Chinese University of Hong Kong in 2010, resources were limited and focused on the “more conventional types such as patents and licensing” before 2009 (The Chinese University of Hong Kong 2010, p. 5). However, 2009 marked the year when the university started to expand the organizational capacity in KE. The UGC fund for KE amounting to US\$ 0.52 million was utilized to stimulate initiatives in areas ranging from health concerns, life quality, city planning and environment, school reform, entrepreneurship, and industry links. Likewise, in the University of Hong Kong, a five-year strategic plan rolled out as an operation manual to the UGC funding, in which the university was allocated US\$ 0.92 million in support of a

systematic KE development across its nine faculties/schools. According to the plan, the university placed a heavy focus on an equal knowledge sharing by ways of public lectures, continuing education, workplace internships, media interviews, and participation in public affairs through committees (The University of Hong Kong 2009). For promoting internal readiness, the university further institutionalized KE into its routine establishment by establishing the Knowledge Exchange Office in 2010/11, alongside organizing training workshops and seminars to expand the capacity of the faculty to enhance the KE process. The ten faculties/schools set up their in-house KE units, KE awards, and intellectual property rights policy to foster the practices of KE in relevance to the fields of engagement in the faculties/schools. The comprehensive KE engagement of both the universities agree with the previous research in the literature that traditional research-intensive universities, endowed with many contacts and collaborative networks with the government, large firms, and established NGOs, are generally better resourced for KE activities (Kitagawa et al. 2016).

Among the other types of universities in Hong Kong (Tang and Chau 2020), there are specialized research-intensive universities. City University of Hong Kong, the Hong Kong Polytechnic University and the Hong Kong University of Science and Technology, categorized as this type, focus their KE activities on technology transfer and business start-ups. In 2009, City University of Hong Kong started to engage in institutionalizing policies, incentive creation, and partnership seeking. Across different colleges and departments, KE had become an incorporated strategic task and served as a determinant in personnel decisions such as contract renewal and promotion (City University of Hong Kong 2010). Specific organizations, including Knowledge Transfer Office, were established to take charge of technology licensing, intellectual property management, and knowledge transfer so as to foster commercialization of knowledge and start-up creation. Furthermore, an income-sharing policy was implemented to promote motivations in technological licensing among staff, research centres, and the university. Over the past decades, the university has developed significantly in technological, industrial, and business collaborations. It issued the most US patents among public universities in Hong Kong and demonstrated its leadership position of technology transfer in Asia (City University of Hong Kong 2018).

At the Hong Kong Polytechnic University, the UGC recurrent funding was dispersed to the Institute for Enterprise (currently known as “Institute

for Entrepreneurship”) comprising three units, namely the Innovative Technology Research Syndicate, the Management and Executive Development Centre, and the Partnership Development Office (PDO). The Institute, in collaboration with another unit (Innovation and Technology Development Office), has been partnering with technological and industrial enterprises such as Alibaba and Huawei for big data and cloud computing; Airbus Group, Thales Group, and Dassault Aviation for advanced aerospace engineering collaboration; and a leading European pharmaceutical company for life science collaborative research projects (The Hong Kong Polytechnic University 2010). The Institute also offers additional consultancy services on environmental assessment, civil engineering, industrial, mechanical, and software programming, as well as business and management. Patents issued by the university were related to the competitive edge of the university such as textile resource production and physiotherapy (Innovation and Technology Development Office 2011). The university promotes entrepreneurship by students and graduates.

In the meantime, as the “young research university”, the Hong Kong University of Science and Technology devised a five-year strategy to better institutionalize KE within the organizational structure in 2009, focusing significantly on science and technology. According to the first report of KE, the university considers its institutional mission as performing a critical role in partnership with government, business, and industry for the development of Hong Kong as a knowledge-based society and contributing to the “economic and social development of the nation as a leading University in China” (The Hong Kong University of Science and Technology 2010, p. 1). Among different types of KE initiatives, commercialization of research results including licensing and patenting constitutes an important part. The university envisions the importance of industrial partnership in Mainland China, and treats the latter as a backstage of its innovative activities. It had established research institutes and centres in Shenzhen, Nansha, Foshan, and Zhejiang. Joint labs with both Chinese and international enterprises such as Huawei, Xinlinx, GlaxoSmithKline, and Scripps were launched to support technologically advanced projects (The Hong Kong University of Science and Technology 2012). Among the filed patents, 79% were contributed by the faculties of electronics, computer engineering and information technology, biotechnology, as well as chemistry and material science (The Hong Kong University of Science and Technology 2011). For entrepreneurship,

on-campus activities like seminars, competitions, and an entrepreneurship program named “Be Your Own Boss” are intended for students, academics, and alumni in order to enable them to get acquainted with the entrepreneurial skills and business strategies that deemed useful to attract investments for the spin-off companies.

As for the third type of universities in Hong Kong, there is one comprehensive/traditional and teaching-oriented university (Hong Kong Baptist University). Its KE initiatives reflect the diverse academic and scientific interests of individual staff. It potentially embraces a diversity of KE activities, although not on a similar scale, as in comprehensive research universities. Moreover, it is generally less ambitious than the traditional research-intensive universities, which are usually more prestigious and resourceful, in performance attainment. In the first report of KE, the university claimed that it had a long running history of technology transfer within the institution (Knowledge Transfer Office, Hong Kong Baptist University 2010). It actively engages with new medical technologies, such as stem cell treatment, and filing patents that are related to the treatment and detection of diseases. The university also has other technology transfer activities covering topics of which optical sensor, fatigue detection, and Chinese medicine to fight depression. As for non-technical KE, the university partnered with the Hong Kong’s Academy of Visual Arts to promote local and global cultures by means of seminars, workshops, and exhibitions (Knowledge Transfer Office, Hong Kong Baptist University 2011, 2012, 2013, 2016).

The last type of universities in Hong Kong is non-comprehensive and teaching-oriented universities. There are a teacher training university (The Education University of Hong Kong) and a liberal arts university (Lingnan University). As an education-oriented institution, the Education University of Hong Kong seeks partnership with and offers training workshops for educational organizations and practitioners such as schools, teachers, and the education bureau of the Hong Kong’s government. In addition, continuing professional development courses, education consultancy services, seminars, conferences, and exhibitions about research and development are also organized for the teaching profession (The Hong Kong Institute of Education 2010, 2011, 2012, 2013). The KE activities cover the areas like education management system, STEM, early childhood education, liberal studies, environment protections, and local cultures. Recently, it also started to commercialize its research and development projects through the university-level research and development office. The key

performance indicators of KE at the Education University of Hong Kong are mainly based on the number of contracted projects, schools, teachers, students, partners, and stakeholders benefited (The Hong Kong Institute of Education 2010, 2011).

Lingnan University, formerly a liberal arts college, adopts a unique model of KE that focuses on social sciences and humanities. Such a model fits the main focus of the university as the only liberal arts university in Hong Kong. The university defines KE as a route to community education, and it builds up KE engagement through the Elder Academy, New Senior Secondary curriculum, and action researches. Lingnan University sets the benchmark of KE performance by evaluating the number of participants, public lectures, and ongoing projects. In recent years, the university expanded its scope of KE engagement on topics including ethnic minorities, family violence, generation gap between youth and elderly (Lingnan University 2014, 2015, 2016, 2017).

Non-technological community engagement is the comparative advantage which The Education University of Hong Kong and Lingnan University share in practicing KE, and the key performance indicators are not based on the number of patents filed or granted. However, in 2016–17, Lingnan University filed its first patent and made three additional patent applications in the year that followed. The Education University of Hong Kong is currently following suit in patent application in which educational technology and STEM education shows good potential for such a converging trend.

In summary, there is a converging trend that most public universities in Hong Kong have been expanding and upscaling their KE initiatives and activities since 2009 when UGC launched the KE policies and delivered the KE funding. In response to the top-down policy and resources input, all the universities have accumulated experiences from institutionalizing KE, and they have been building up capacities to encompass a more diverse framework for KE. In particular, universities with specialized institutional missions, namely, the university of science and technology, polytechnics-turned universities, and the education university receive more entrepreneurial opportunities and demands hence the development of their KE engagement is comparatively more remarkable (Tang and Chau 2019).

Academic Responses

The academic profession is at the heart of the university (Altbach 2016; Hermanowicz 2018). The way academics respond to the global trend of KE policies help shaping the institutional practices, and the institutional patterns of KE engagement in fact manifest the diverse academic responses across different communities in the academic profession. This section intends to highlight the academic perspectives and responses with regard to the policy initiatives of KE engagement by showcasing the interview data of award-winning academics of KE or knowledge transfer awards.

Among the eight public universities in Hong Kong, there are four institutions which have introduced their KE or knowledge transfer awards to encourage and recognize outstanding KE accomplishments of academics. They are City University of Hong Kong (since 2012; for non-STEM fields), The Education University of Hong Kong (since 2009), Hong Kong Baptist University (since 2013), and The University of Hong Kong (since 2011). Criteria for selecting the awardees include demonstration of significant impacts, benefits, and a successful transfer of university-owned knowledge to community, society, business/industry, or partner organizations at the local, regional, and/or international community level, the quality of the knowledge, innovation, and engagement process. There are more than 100 winning academics in total over the last decade or so. Documentary research of this chapter found that among the awardees, 69.2% are local-born academics, while 30.8% are non-Hong Kong born academics. About one-third (33%) of them had earned the doctoral degree in Hong Kong and a quarter (26%) of them received doctoral training in the USA (alongside UK: 21%, Australia: 8%, mainland China: 6%). This distribution reflects approximately the demographic background of doctoral education in the actual population of the Hong Kong's academic profession (Tang 2013). Regarding the awardees' disciplinary affiliation, 73% of them come from non-STEM disciplines, while 27% come from STEM disciplines. One reason to explain that is the award itself being used as an incentive for non-STEM academics to engage in KE (e.g. at one university, the knowledge transfer award is only set up for non-STEM academics, who have relatively less incentives for KE by the industry and innovative economy compared with their STEM counterparts).

Based on the qualitative interviews with academics of KE or knowledge transfer awards, this research found that engagement for KE is value-driven. Cherishing the orientation for 'scholarship of application' (Tang

2014), award winning academics claim that knowledge should be useful for the world outside academy. They possess the capabilities and personalities for engagement with different stakeholders, who have diverse concerns and interests. Usually they worked as practitioners before their academic position, and have already developed clear purpose, networks, passion in the practitioners' field over many years. Good practices of KE are often affiliated with long-term projects. Therefore, it is not the case that academics do good KE engagement because they are incentivized by top-down policies or external motivation, but they can find good synergies between (applied) research and knowledge exchange, and match their current endeavours with the top-down policies and initiatives. Leaders of Hong Kong's public university do not have a specific mindset to differentiate the importance of profit-making and non-profit making KE, as they need both kinds for accountability and income generation purposes.

Although it is common for official discourse to suggest the balance between the demands of teaching, research, and KE, one KE award-winning academic revealed her critical view and secret to success:

To be honest, if we consider university as a governed organization, there is no such thing as a 'balance'. They want you to be excellent and attain 'full marks' in research, teaching, administration and knowledge exchange. I think it's natural for an organization to push its staff for higher productivity. Hence, I believe the balance comes from academics themselves. On which aspect of your academic work you place the value, that's important. But if university does not give flexibility for academics to focus on the work they consider valuable, it will make academics miserable.... Yes, I have found my balance, it's because you should not always pursue the targets set by the university.

Another awardee shared how to engage in passionate KE mission and pursue academic excellence with a soul:

In my earlier sharing with a group of young scholars, because nowadays 'impact' is already 'packaged' as a given performance outcome of academics, it becomes a 'must', it is done without a 'soul'.... I shared my journey starting from my PhD research, because we need to remember the original purpose of why we started our academic life. What is your role in academia? We need to address those questions, otherwise we will get lost.... Now we are asked to do a new thing called 'impact', on top of the existing demand for research outcomes. But we should not lose the value we originally pursued.

In summary, the findings about academic responses to the global trend of KE policies agree with the literature that KE engagement, as a “scholarship of application”, is more local/national than international/regional by nature (e.g. Patel and Pavitt 1991; Tidd and Bessant 1997; Patel and Vega 1999; cited in Carlsson 2006). Endowed with stronger affiliations and more extensive social networks with local/national government, economy, and society, citizen scholars have a higher likelihood to engage in KE, for example, community engagement. Citizen academics may have a kind of sentiment to contribute to their local/national society that non-citizen academics do not have such local/nationalistic sentiment motivates citizen scholars to engage in knowledge exchange for the betterment of the communities with which they are emotionally attached (for example Postiglione 2011). However, in the current operations of Hong Kong’s public universities facing the competitive global higher education system, there are tensions between international competitiveness and local engagement. We will discuss the issue in the next section.

TENSIONS BETWEEN INTERNATIONAL COMPETITIVENESS AND LOCAL ENGAGEMENT

As of now, research productivity and winning competitive research grants are still one of the most important key performance indicators for Hong Kong’s public higher education institutions and individual academics. Incentives are insufficient for researchers in the higher education sector to devote to KE activities. As for academic entrepreneurship, a major concern is related to the trade-off between the time and efforts dedicated by researchers to commercialization activities and scholarly knowledge production (Sandström et al. 2018). To uphold accountability, the UGC has regularly conducted the Research Assessment Exercise (RAE) to assess the research quality of Hong Kong’s public universities since 1993. Following its British counterpart, the RAE introduces a performance culture in which institutional and individual academic performance is monitored. The RAE results shape institutional behaviours as they significantly affect how the research portion of the annual block grant is distributed across the UGC-funded institutions (Lo 2017). Specifically, the allocation of the research portion, which constitutes approximately 23% of the block grant, is determined by two factors: the universities’ performance in the RAE and their success in obtaining the Research Grant Council’s competitive

grants. Currently, the former and latter inform 74% and 26% of the research portion, respectively (Task Force 2018). As the RAE mainly looks at the quality of academics' publications, the research activities of the universities tend to focus on doing and publishing scholarly research. Also, given that the academic research performance of universities is an important component in the major global university ranking systems, the pursuit of international status through those ranking results has led universities and academics to prioritize their work for international scholarly excellence rather than to contribute to KE or entrepreneurial activities.

All the same, in recent years, the impact of academic work on society and economy is taken into account of appraising the significance of an academic unit. It is mainly because the Hong Kong system follows the research assessment exercise of the United Kingdom which started to include the component of impact in 2014 (Watermeyer 2014, 2016). At this stage, the assessment exercise will take academic departments as units of assessment. They are required to submit 'case studies' which showcase the exemplars of representative KE and social impacts. Impact of research has also become a new and essential part of the research grant proposal for the key government's research funding starting from 2019 to 2020. In the template of the grant proposal, the new section 'pathways to impact' was added right after the summary of the proposal upfront in the document. This change of documentary template directs the change of research design which needs to be aligned with social impacts and scholarship of application. Moreover, there are new global university ranking exercises which are specific for measuring and ranking university performance in impact. Future research is needed to see the extent of these trends in transforming the current tensions between international competitiveness and local engagement in light of institutional logics of Hong Kong's public universities. Yet, it is expected that in the current century facing increasing global inequalities, unprecedented crises, and social divisions, universities are called for to strengthen their civic missions more than ever. This chapter will conclude by suggesting the implications for good practices of KE.

IMPLICATIONS FOR GOOD PRACTICES OF KNOWLEDGE EXCHANGE

Based on the empirical analysis, this chapter, in dialogue with the literature, recommends four points for practicing good KE and fulfilling the universities' third mission:

1. Transferred knowledge should be comprehensible to the beneficiaries and applicable to address their needs (Kirst 2000). Effective communication of knowledge by knowledge creators, together with pertinent knowledge base and fundamental absorptive capacity of knowledge users, give rise to successful KE (Rossi and Rosli 2015);
2. The capacity of researchers in adapting, contextualizing, and disseminating transferred knowledge as well as the experience, reputation, credibility, and incentive policies (such as funding) of the organization the researchers affiliated are crucial determinants of effective knowledge transfer in the education field (Hemsley-Brown 2004)
3. The linkage agents between researchers and practitioners (i.e. end users of the transferred knowledge) are also essential. Linkage agents refer to the intermediary units or personnel who coordinate the communications between researchers and knowledge practitioners. Linkage agents can be the knowledge transfer office of universities or project leaders of the knowledge practitioners (e.g. in schools or NGOs).
4. Competency of the practitioners and early discovery of research implication matter (Huberman 2002). If adoption and utilization of research results can be identified at an early stage in the research process, it can allow the practitioners to better understand the implication of the research results. Favourable organizational culture, structure, and resources can help practitioners to engage in knowledge transfer by implementing new practices or programs in their practical context. For example, adoption of new knowledge can be motivated by a reward system and training should be provided to the practitioners.

CONCLUSION

Because of the multidimensionality of the KE activities, academics in Hong Kong's public universities started to engage more in KE, embracing commercialization of knowledge, and community engagement. Understanding KE engagement and the impact of the academic profession as processes, there are various degrees of direct-indirect engagement in the public/private aspects of KE by diverse types of academics upholding different academic values, ranging from 'traditional' (non-'entrepreneurial') academics, civic-active and engaging academics, entrepreneurial academics to academic entrepreneurs. Universities, with their distinctive institutional history, are endowed with unique positioning and missions in socio-economic development. Therefore, underneath the converging trend above-mentioned, there are specific institutional logics which provide cognitive and practical templates to the universities for fulfilling their organizational goals and formulating institutional policies for KE engagement. This study reveals that there is not a singular dominant logic but diverse competing institutional logics which determine many aspects of a university as organization in response to the global trend of KE policies. The logics of autonomy, utilitarianism, and managerialism constitute the shared rationalizations in university management and academic life and the competing logics shape the patterns of institutional practices (Shields and Watermeyer 2020).

With respect to higher education policy and university governance of KE activities, limitations of the singular 'successful' entrepreneurial model are inferred. Amid keen competition within the higher education sector, universities make every endeavour for the differentiation of themselves from other competitors and hence a better position. Despite the converging trend of many institutional practices in higher education governance globally, institutional responses to KE appear dynamic and diverse. Only with appropriate contextual knowledge of KE engagement in various institutional and national contexts can effective policy borrowing take place. Leaders of higher education sector should take notice of its heterogeneity and the institutional characteristics of local universities, particularly the diverse forms of KE between academy, society, and economy. Such understanding is especially important for universities to fulfil their civic missions in the age of global inequalities and unprecedented crises.

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Conclusion: Re-Imagining Higher Education Institutions Public Mission Initiatives Through the Lens of Organizational Perspective

Antigoni Papadimitriou and Marius Boboc

The public mission of higher education is correlated with its work in the public sphere (Calhoun 2011). It has evolved over time under the influence of complex political and socio-economic pressures, which played out differently in various parts of the world. To that end, colleges and universities in the U.S. and Europe have been dealing with internationalization, greater operating costs in the context of diminishing support from local, state/regional, or national level(s), and an increase in the degree to which funding and monitoring pressures have led to managerialism (Popp

A. Papadimitriou (✉)
School of Education, Johns Hopkins University,
Baltimore, MD, USA
e-mail: antigoni.papadimitriou1@gmail.com

M. Boboc
Cleveland State University, Cleveland, OH, USA
e-mail: m.boboc@csuohio.edu

Berman and Paradeise 2016). At the same time, the concept of “public” has evolved beyond proximity to focus more on social interaction. Various events around the world, such as the Occupy protests in 2011 placed the focus on an emerging transformative public whose needs are very different from earlier periods in the history of higher education as a sector. In this light, the ways in which colleges and universities articulate their engagement efforts along the lines of academic values, work in a public context, and work with the public as partner, based on which to contribute to local economic development and (co-)create public goods (Kennedy 2015). In the US, the commitment of colleges and universities to the common good led to the democratization of its service to the community by way of becoming more inclusive and representative in how they meet societal needs (Dorn 2017). Similar responses to contextual factors vary from country to country. Such reactions depend on whether a higher education system relies on centralized structures, such as a ministry of education, or it is decentralized, as it is the case for the U.S. Nonetheless, context is critical in understanding and interpreting how colleges and universities promote teaching, learning, research, and engagement based on established histories, traditions, support systems, and expectations from communities served (Kennedy 2015). Göransson, Maharajh, and Schmoch (2009) underscore that the interpretation of which type of functions should be included in the content of a third mission varies considerably among countries and different contexts. In Germany, the focus is on technology transfer from universities to enterprises, while in Latin America, third mission initiatives include a broader concept of university extension to serve community needs. To that end, we have the Global South, the Global North, the Global South of Europe, and so on, each with a range of traits that necessitate flexibility and inclusiveness in designing and implementing work for the public good undertaken by higher education institutions (HEIs).

Additionally, Papadimitriou (2020, p. 2) remarks that HEIs’ public mission depends on their “respective internal characteristics (e.g., traditions, mission, structures and policies), external environment (e.g., demographics, socio-cultural, economic, and political), and the variety of the institution’s stakeholders, both internal and external.”

An analytical overview of common trends and emerging patterns of HEIs’ contribution to public good or public mission initiatives worldwide is needed. Such initiatives call for an appreciation of multiple stakeholder involvement as part of democratic, inclusive, and meaningful planning and

implementation processes. The development of a set of such clear initiatives may not be easy, given the complexity of HEIs. To fill some of the research gaps in a useful and influential way, the present volume develops a theoretical framework to examine public mission initiatives based on theoretical, empirical, and methodological contributions to higher education scholars, professionals, and graduate students. Our purpose has been also to understand challenges and opportunities of these initiatives within the global context of various higher education systems from Africa, Asia, Europe, Latin America, and the U.S.

To examine changes in HEIs, we argue that we need to consider that countries are conspicuously different from each other and that this distinctiveness is reflected in the way organizations are managed and respond to environmental demands. Thus, in the introduction of this book, we propose a framework derived from an organizational perspective to understand better why HEIs adopt (or implement) changes in third mission initiatives in various countries. The premise is that if we understand better this phenomenon as organizational change or organizational routines, we will be able to provide valuable information beneficial to HEIs, to their leaders and stakeholders for future action as well as for social responsibilities strategies.

These observations render new examinations (or re-envisioning) of public mission initiatives in higher education more pressing. A comparative dimension allows for the development of a more holistic understanding of such initiatives. In the next section, we demonstrate the utility of an organizational perspective for examining third mission initiatives.

EXAMINING HEIs PUBLIC MISSION INITIATIVES THROUGH THE LENS OF ORGANIZATIONAL PERSPECTIVE

Implementation of organizational change such as third mission initiatives may be undermined by changes in organizations' external environment and internal characteristics. In this light, we analyzed each chapter focusing on external environmental elements: political/legal (i.e., new legislation, policies, and recommendations that lead to requirements set forth in public mission initiatives); economic (i.e., funding formulas and sources at the local, state, or national/federal level that represent requirements for the adoption of various third mission initiatives); socio-cultural (i.e., local or regional communities, residents and other stakeholders that may have

group-based or collective expectations related to the adoption of various third mission initiatives by HEIs); and technological (i.e., new technologies and/or knowledge-based cooperation with non-academic actors and organizations requesting the design and implementation of third mission initiatives). Regarding internal institutional characteristics, we analyzed each chapter focusing on demands stemming from third mission initiatives reflected in institutional mission and vision statements, strategic planning, the role of leadership, and governance structures to motivate faculty and staff to participate in such initiatives.

The first chapter in this volume by Marius Boboc describes Cleveland State University's community engagement initiatives supportive of an "anchor institution" designation: redefined mission and vision statements, Public Sphere Pedagogy, and Civic Engagement as a new skill area in the General Education program. An analysis of this case reveals that all these initiatives were generated internally as part of campus-specific efforts to refine both curricula and outreach programs. Consequently, there were no external environment elements that put any kind of pressure on the institution to act accordingly. However, the university characteristics that made all this work possible relate to institutional mission and vision as informing decision-making processes. At the same time, governance structures supported the initiatives by involving a wide range of stakeholders. The mission and vision redesign work relied on a working group that reached out to the executive leadership team, faculty, staff, and students as a way to capture all relevant voices in defining what the University was about and what it should move toward in the future. The Public Sphere Pedagogy project was faculty-driven and it developed into a collaboration with student support services to allow students to apply their learning to real-life situations. Finally, the Civic Engagement work was based on faculty conversations about curricular relevance and graduate marketability beyond the traditional academic credentialing. In this case, the approval process of the new General Education program skill area necessitates faculty vetting.

Marius outlines the following recommendations based on challenges faced during the collaborative work described in his chapter:

- (a) ensure transformative and collaborative leadership.
- (b) establish clear and frequent communication by using agreed-upon terminology
- (c) follow-through on initiatives.

- (d) promote sustainable stakeholder participation.
- (e) design a logic plan to measure community impact based on which to inform future initiatives.
- (f) determine institutional support and investment aligned with the declared public mission.

Michael Klein's chapter explores public-public partnerships between universities and their local context to expand institutional capacity and revitalize urban centers. The examples used include Arizona State University's (ASU) Downtown Phoenix campus, the University of California Davis' (UC Davis) Aggie Square, and California State University Chico's (CSU Chico) South Campus Neighborhood Project. In the first case referenced in the chapter, ASU faculty collaborated with local industries and city government to identify solutions to community issues. Curricular implications of this work have to do with establishing campus-based centers that are community-facing by design. Similarly, the UC Davis example features curricular developments that are grounded in the context-specific economic development needs. Finally, the CSU Chico case demonstrates a wide range of campus constituent involvement in the data collection, analysis, and design phases that led to the development of the public-public partnership between the University and the city of Chico. While not pressured by external environmental factors, these three instances relied on leadership as a university characteristic that supported the launch of such large-scale collaborative projects.

By emphasizing how these public-public partnerships played out, Michael recommends the following for any replication or scaling-up attempts:

- (a) partnerships should rely on strong advocacy from all parties involved to ensure successful implementation.
- (b) strategic selection of partnership projects should maximize impact on a community in a given location.
- (c) bring together academic experts and local leaders to identify and solve community issues.

Sean Robinson provides in his chapter an analysis of how Morgan State University (MSU) performs its role as real estate, economic, and community developer in its capacity as a historically Black University. Given the long-standing relationship between the University and Northwood Plaza,

expectations that community placed on MSU in terms of its role in supporting economic development and community wellbeing led to a comprehensive plan to reinvigorate the area to serve all campus constituents and community members. Thus, the socio-cultural external factor was supported by leadership at the very top of the University that pursued this initiative, as it aligned with the institutional mission and vision. This collaborative work led Sean to identify some challenges and recommendations, as follows:

- (a) successful partnership based on trust requires time to form and mature, based on which the success expectations of community development projects depend.
- (b) collaborations within partnerships follow organic and eclectic patterns of communication and engagement, thus not aligning exclusively with top-down or bottom-up approaches.
- (c) accurately scoping out the needs of stakeholders, securing participant buy-in, and sharing of financial burden and know-how would increase the successful design and implementation of community development projects.

Carey Borkoski and Sherri Prosser investigate faculty identity as engaged community scholars and institutional structures and policies supporting their work. In their chapter, they emphasize the need for universities to integrate community knowledge as a way to enact upon their shared responsibility. In this light, initiatives pursued by faculty and staff that engage communities in a mutually beneficial manner should be reassessed to align with structures that recognize and validate such highly collaborative work. While no external environmental factor is at play here that would require action on behalf of the University, governance structures should be activated to refine policies and practices that govern faculty and staff work. Consequently, professional development in community-engaged scholarship would be part of the infrastructure that quantifies and qualifies such work.

Based on their review of facilitators and obstacles that could be faced while attempting to define faculty identity as engaged community scholars, Carey and Sherri propose the following:

- (a) identify the gap between core and institution-focused identity of faculty and the perceived public mission of a university.

- (b) develop promotion and tenure guidelines that specify community engagement as a valid path.
- (c) establish support structures, processes, and policies are needed to provide guidance.

In their chapter, Antigoni Papadimitriou, Rosalyn Stewart, and Constantine Frangakis describe a mixed-methods cross-disciplinary community-based participatory project as an application of university-engagement research. Inspired by Antigoni's course "Leadership and Community Development," the project required forming a cross-disciplinary research team that would engage a particular community in Baltimore, MD, to focus on health issues and wellbeing. Based on an analysis of characteristics of life in the selected neighborhood, interventions would be made to improve overall safety, resilience, and health. Similar to the previous chapter, no external environmental elements prompted the initiation of the project described. Internally, the leadership, governance structures guiding research initiatives were used to launch the project.

By inserting the lessons learned from this collaborative effort into the larger conversation on community-based participatory research, the authors make the following suggestions:

- (a) keep in mind the sustainability of grant-sponsored research projects, which may require university support beyond the grant program duration.
- (b) developing trust, establishing cooperation, and tapping into readiness capacity take time and flexible, inclusive planning.
- (c) constant, culturally relevant communication is essential in creating bridges toward successful engagement research project implementation.
- (d) participant training could increase meaningful and equitable involvement in project activities.
- (e) preparedness for the unexpected could maximize that all stakeholders involved in engagement research projects could deal with delays or disruptions to the normal flow of activities.
- (f) clarify mixed methods research design in community-based participatory research (CBPR) and procedures to community participants as well as funding agency reviewers.

The following chapter, authored by Marcia Ballinger, describes a community college's strategic visioning model. Having demonstrated a rich history grounded in community engagement and strategic planning, the community college in this case led a two-year process that included a wide range of stakeholders. Both internal and external components of the design phase resulted in a reaffirmation of the institutional mission, based on which six new strategic priorities were developed. Given the very strong connections the College has to the community it serves, coupled with the funding sources it relies on, there are political, economic, and socio-cultural external environmental factors that shaped the envisioning process. None of this would have led to any change if it were not for internal College characteristics that worked in tandem, such as mission, vision, leadership, and governance structures. The strategic planning process reinforced what the College is about and what it wants to become in the future, under the guidance of its executive leadership team. Planning for the future requires changes that go through the governance structures in place, that melding curricula, pedagogy, and community engagement to serve the public good.

As the leader of her institution, Marcia reflected on her involvement in the process described in the chapter, from which she derived the following recommendations:

- (a) be proactive in terms of how the future of technology-infused work could impact institutional strategic priorities.
- (b) the strategic planning process has to be flexible and inclusive of all stakeholders whose input could shape institutional priorities, which is expected to be reflected in curriculum, services, and partnerships.

Mariana León investigates various factors that influence the definition and implementation of university engagement in the case of Panama. The author offers an overview of the legal framework for higher education, how research is pursued, and how university engagement relies on public policy, standards, and benchmarking specific to the country context. Under these circumstances, the external environmental factor at play is of political nature, closely tied to the fact that there is a ministry of education that centralizes the operationalization of the higher education system in Panama, in collaboration with the national evaluation and accreditation agency. In terms of internal university characteristics, mission and vision come into light, as the analysis provided by the author takes into account

such statements published by the Panamanian universities included in her study.

Based on her review of mission and vision statements that reference university engagement from various institutions of higher education in Panama, Mariana offers the following advice:

- (a) refine and calibrate engagement metrics to capture adequately impact on communities leading to social change.
- (b) further investigate how universities design, implement, monitor, and evaluate community engagement initiatives that tie to curricula, student life, and measurable effects on society.

Ana Ivenicki studies the development of municipal curriculum guidelines focused on cultural diversity, equity, and social justice to be adopted by local (municipal) schools. The partnership between a university and three municipalities in the Rio de Janeiro metropolitan area relied on the expertise the former had in terms of curriculum development, while the latter would be the beneficiaries of such collaborative work. Similar to the case from Panama, the centralized structure of the school system represents the political external environmental factor that prompted the project. No information was provided related to which internal university characteristic may have been at play.

The analysis provided by Ana points to the following recommendations:

- (a) there are pitfalls in using qualitative research, which requires adequate training and the development of terminology that is agreed upon to serve the needs of a given research, community engagement, or curriculum development project.
- (b) national laws and multicultural curricular guidelines at the local level should be reviewed periodically.

The next chapter, authored by Thomas Farnell, Anete Veidemane, and Don Westerheijden, presents a description of a pilot project undertaken at the University of Twente (UT), in Holland, focused on developing a multi-dimensional, qualitative tool to investigate the scope of community engagement activities undertaken by higher education. The project in question is called *Towards a Framework for Community Engagement in Higher Education (TEFCE)*. By positioning itself as an entrepreneurial institution of higher education, UT documents its trajectory in the

2020–30 Strategic Plan. The pilot project provided an opportunity for UT researchers to invest time and resources into the creation of a tool that would allow universities to increase their role in catering to the public good. In this light, political external environmental factors work in tandem with mission statement as a university characteristic to promote such work.

The description of the TEFCE tool and how it was piloted in 2019 led the authors of the chapter to suggest the following:

- (a) clarify the meaning and applications of community engagement.
- (b) include community perspectives on how to define engagement, based on which to design mutually beneficial interventions.

Marta Ugolini, Fabio Cassia, and Nicola Cobelli present the development of Kidsuniversity as an example of a public engagement initiative developed and hosted by the University of Verona in Italy. The description of the process used to put together the series of events that made up the initiative points to the political external environmental factors derived from the inclusion of community engagement objectives in the Policy Plan put forth by the University in 2018. In turn, leadership played a role as an internal university characteristic that launched the initiative. The analysis of what led to the success of the program as well as obstacles faced along the way prompted the authors to recommend the following:

- (a) teacher and university faculty participation
- (b) scope of impact on community from co-creation of knowledge
- (c) management of a large-scale public engagement program

Abewaw Yirba Adamu and Leon Cremonini focus their chapter on the identification of ways in which Ethiopian universities engage in social responsibility initiatives/activities. The fact that public universities are under the jurisdiction of the federal government of Ethiopia points to the political external environmental factor that guides such initiatives. Internally, local leadership as a university characteristic allows institutions to determine how they balance regional, national, and global challenges. The authors note that federal government policies indicate priorities to be pursued by higher education in the country. The problem seems to stem from how mission and vision statements at the university level translate into actions intended to confront societal problems. By taking into account

institutional ethical behavior and accountability in a world of enhanced public scrutiny of how universities serve the public good, the authors propose the following:

- (a) institutionalize the concept and practice of university social responsibility
- (b) society and universities act as partners based on relevance and mutual benefit of collaborative work
- (c) faculty's roles should include community service/engagement
- (d) balance local, national, and international focal points in community-based initiatives
- (e) balance solving societal problems and preparation for the labor market

Finally, Hayes Tang reviews the relationship between institutional types and patterns of knowledge exchange (KE) in universities in Hong Kong. The description of the top-down managerial approach demonstrated by these institutions of higher education links to the political external environmental factors that impact their daily operations. Knowledge transfer varies based on specifics related to institutional context and how faculty workload is designed to support teaching, research, and activities focused on knowledge transfer. That translated into initiatives promoted by university leadership to align with governmental policies aimed at supporting entrepreneurialism, research, as well as knowledge production and transfer. All along, there is variability within KE-focused initiatives depending on the profile of each university, as guided by the central agency called the University Grants Committee. By delving into how each type of university engages in KE, Hayes reaches the following conclusions:

- (a) transferable knowledge should be comprehensible and practical to beneficiaries
- (b) knowledge transferability is impacted by the adaptability of researchers and the positive attributes of the organizations they are affiliated with
- (c) intermediary agents between researchers and beneficiaries are critical
- (d) beneficiaries' competence and ability to grasp significance of early research findings and their implications are important

- (e) differentiation and competition among universities require effective policy and guidance at the institutional/local and national levels

In order to provide a better picture, Table 14.1 outlines the external environmental elements and HEIs characteristics as they appear in each one of the chapters in this book.

Looking across all cases, we notice that strategic partnerships that thrive and pass the test of time rely on several attributes that describe various stakeholders involved. HEIs characteristics, such as mission, vision, leadership, and governance structures, coupled with external environmental elements—political, economic, sociocultural, technological—play a prominent role in the way colleges and universities approach their public mission.

Table 14.1 Breakdown external environmental elements and HEIs characteristics per chapter

| <i>Chapters</i> | <i>External environmental elements</i> | | | | <i>Internal College/ University characteristics</i> |
|------------------|--|-----------------|-----------------------|----------------------|---|
| | <i>Political</i> | <i>Economic</i> | <i>Socio-cultural</i> | <i>Technological</i> | |
| Ch. 2: CSU | | | | | Mission, vision, and governance structures |
| Ch. 3: PuP | | | | | Leadership |
| Ch. 4: MSU | | | X | | Mission, vision, and leadership |
| Ch. 5: Faculty | | | | | Governance structures |
| Ch. 6: MM-CBPR | | | | | Leadership and governance structures |
| Ch. 7: LCCC | X | X | X | | Mission, vision, and governance structures |
| Ch. 8: Panama | X | | | | Mission and vision |
| Ch. 9: Brazil | X | | | | |
| Ch. 10: NL | X | | | | Mission |
| Ch. 11: Italy | X | | | | Leadership |
| Ch. 12: Ethiopia | X | | | | Mission and leadership |
| Ch. 13: HK | X | | | | Leadership |

Source: authors

HEIs from the U.S. appear to deal mostly internal HEIs characteristics that inform, promote, and shape third mission efforts. The fact that the community college case demonstrates influences that are political, economic, and socio-cultural in nature is tied to its history, evolution, and funding sources, which are significantly different from those of a four-year college. By contrast, the cases from the rest of the countries represented in the book align with external environmental characteristics that are political in nature, which could be derived from the fact that in each case there is a highly centralized system of higher education, governed by a ministry or specialized agency that sets a national agenda.

FUTURE RESEARCH

Organizational perspective offers relevant explanations for the complex interaction between HEIs' external environment and internal characteristics influencing the implementation of third mission initiatives. The authors featured in this book present variations that respond to the specific context of each study. As the chapters illustrate, research on third mission initiatives in higher education is at a crossroads. They also exemplify the struggles that researchers interested in such initiatives in higher education face in order to adapt existing research methodologies. As we can see, most researchers employ qualitative research methods. At the same time, most chapters in this volume are descriptive. However, future research needs to focus on the impact of third mission initiatives by employing appropriate metrics. Defining such initiatives to support community engagement requires interdisciplinary effort and collaboration across different academic units. Therefore, the development of key performance indicators (KPIs) is needed, and thus, they could include participation of undergraduate and graduate students in relevant activities, research output, funding applications, patents, evaluation of interventions, start-up and spin-off companies formed in collaboration with the business community, faculty involvement as well as institutional policies. The latter "(i.e., conflict of interest or faculty handbook policies) serve as context for faculty members' pursuit of ties to external organizations" (Riffe 2018, p. 296). In order to make sense of complex data, we need to re-imagine public mission initiatives by designing appropriate KPIs. Growing attention to these topics requires new and sophisticated methods to explore and analyze information.

Another area, related to researching third mission initiatives and their impact on communities, requires defining community boundaries. Sampson (2013, p. 8) conceptualizes “neighborhood in theoretical terms as a geographic, and, hence, ecological section of a larger community or region that usually contains residents or institutions and that has socially distinctive characteristics.” He also remarks that the symbolic idea of neighborhood is important, as “citizens make decisions and render opinions every day based on broad perceptions and imagined neighborhoods, which in turn have real consequences” (p. 8). Proper operational definition of neighborhoods and how to study them is needed (Sampson 2013). Coulton (2005) underscores that researchers and practitioners must be clear about how they define community or neighborhood boundaries.

Clear and effective communication between HEIs and their communities is also needed, and, in such a case, student participation is a crucial element. Under these circumstances, students are a useful resource in providing information about their local communities, especially first-generation, low-income, marginalized students. In this way, public mission initiatives will address societal needs and lead to the development of third mission mindsets.

In this volume, our intention was to conclude this chapter with future research related mostly to methodological issues, empirical cases related to stakeholder motivation to participate in community development, metrics, and the design of robust, rigorous third mission initiatives that promote third mission mindsets. However, during this writing, COVID-19 became a special threat to such initiatives that we cannot ignore as higher education scholars. Thus, we encourage researchers to examine isomorphism within HEIs and third mission initiatives based on a neo-institutional approach. DiMaggio and Powell (1983) identified three relevant mechanisms, each with its own antecedents: coercive, normative, mimetic, based on which they stated that institutional isomorphism is “a useful tool for understanding the politics and ceremony that pervade much modern organizational life” (p. 150).

One of the key challenges public mission initiatives will face in the coming years is related to the lessons learned during the COVID-19 pandemic. To support public mission-driven programming, HEIs need to reimagine their role beyond what it may have been under normal circumstances, thus embracing innovation. In the current crisis, we observe that

higher education across the globe had to adapt very quickly to be able to offer online classes, manage personnel working from home, and figure out plans that require social distancing for the foreseeable future, on an unprecedented scale. Moreover, HEIs need to think how to close the social distancing gap and develop bridges to support their communities. Managing and leading public mission initiatives during turbulent change will be something unpredictable for the years ahead. The post-pandemic era will certainly call for HEIs not to forget their public mission while maneuvering the tangled web that the local communities' needs are.

Strong leadership and governance structures, as discussed in this book, are very important, based on which leaders can demonstrate responsibility to adapt and manage such initiatives. Successful leadership also requires leveraging challenges and ensuring that HEIs are running at their full capacity and striving to meet the shifting demands of their communities.

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Correction to: Piloting the TEFCE Community Engagement Toolbox at the University of Twente

Thomas Farnell, Anete Veidemane, and Don Westerheijden

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**In Chapter 10: A. Papadimitriou, M. Boboc (eds.),
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The original version of chapter 10: Piloting the TEFCE Community Engagement Toolbox at the University of Twente was previously published with exclusive rights reserved by the Publisher. It has now been converted to open access retrospectively under a CC BY 4.0 license and the copyright holder updated to 'The Author(s)'. The book has also been updated with this change.

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INDEX

A

Academic profession, 252, 254–256,
263, 268
Academic responses, 253, 256–265
Accreditation, 142–144, 147–152,
155, 163–165
America, 143
Anchor institutions, 15–31

B

Brazil, 170, 174, 182, 183
Brazilian, 170, 173–184
Building multicultural curricular
guidelines, 173

C

Children's universities, 207
Civic engagement, 16, 17, 23–25, 27,
28, 30, 31
Collaborative, 173, 184

Collaborative community
engagement, 176
paradigm, 181
paradigm in higher
education, 172
Collaborative engagement,
169, 171–173
Collaborative engagement paradigm,
172, 173, 175–181
in multi/intercultural perspective,
178, 179
Community-based
participatory research
(CBPR), 99–114
Community colleges, 119–137
Community engaged scholarship
(CES), 79, 81, 84–90
Community engagement, 1–3, 7, 8,
10, 16, 17, 20, 21, 23–25, 28,
124–126, 130, 176, 188,
190, 192
culture, 201

- Construction, 169, 176
 of a multicultural curriculum, 175
 of multicultural curricular
 guidelines, 178, 183
 multicultural municipal curricular
 guidelines, 181
 of municipal curriculum, 170
 process of municipal curricular
 guidelines, 180
- Construct multicultural curricular
 guidelines, 173
- Cross-disciplinary, 105, 106, 109, 111
- Curricular, 176–180
 construction, 170
 engagement, 176
- Curricular guidelines, 175, 181
 in multi/intercultural
 perspectives, 181
- Curriculum, 169, 172, 173, 177–181
- D**
- Design principles, 194
- Development, 83, 91
- E**
- Economic, 3, 276, 277, 282, 286, 287
- Economic development, 36–38, 44,
 45, 50, 51, 60, 62, 64–67,
 69, 70, 73
- Engagement, 149, 153, 170
- Entrepreneurial universities, 187
- Ethiopia, 233–245
- Ethiopian, 233–235, 239, 241, 244
- European Children Universities
 NETWORK (EUCUNET), 219
- Event, 208–216, 218, 220–223
- Extension, 142, 170
 dimension, 169, 176
 perspective, 170
 projects, 172
 university programs, 176
- Extensión* (university engagement),
 147, 149, 153
- Extension universitaria*, 141, 142,
 146, 149
- External environmental
 elements, 2
- External environmental factors, 279,
 282, 284, 285
- G**
- Governance structures, 278, 280–282,
 286, 289
- H**
- Higher education, 169–173, 184,
 230, 232, 234, 235,
 238, 241–244
 community and collaborative
 engagement paradigm, 181
 community engagement, 176
 extension projects, 169
- Higher education institutions (HEIs),
 229, 233–235
- Historically Black Colleges and
 Universities (HBCUs),
 68–70, 73
- Historically Black University, 60
- Hong Kong, 253–266, 268
- I**
- Identity development, 82–85, 87
- Impact, 252, 255, 257, 258, 263,
 264, 266, 268
 of academic work, 266
- Institution-identity, 81, 82,
 87, 90
- Inter/multiculturalism, 175–181
 in Brazil, 174–175
- Italy, 205–207, 209, 210, 214, 218,
 219, 222

J

Job choices, 87, 88

K

Knowledge exchange (KE),
252–268
Knowledge transfer, 257, 263

L

Latin America, 142, 143, 145,
146, 159
Latin American, 142, 144, 145
Leadership, 278–282, 284–286, 289
Lorain County Community College's
(LCCC), 119–137

M

Micro-events, 210, 211, 214, 216,
217, 220
Mission, 146–148, 153, 155, 156,
158, 160–162, 164, 165, 276,
278–280, 282–284, 286
Mixed methods (MM), 99, 103,
109–111, 114
Multicultural, 169, 170, 173, 175,
177, 178, 181–183
approach, 177
collaborative engagement
paradigm, 180–183
curricula, 181
curricular guidelines, 173, 183
curriculum guidelines, 183
issues, 182
perspective, 172, 177, 180, 183
theoretical approach, 169
Multiculturalism, 178
Multiculturally engaged, 184
Multi/intercultural, 175, 176, 179,
180, 183
approach, 178, 179

collaborative/community
engagement, 176
collaborative engagement paradigm,
178, 180
curricular guidelines, 180
education, 181
perspective, 172, 179
perspective in curriculum, 180
theoretical framework, 172
Multi/interculturalism, 171–173,
179, 183
Municipal curricular guidelines were
constructed, 178

N

Narrative approach, 199
Narratives, 195, 197, 201
National Council for University
Evaluation and Accreditation of
Panama (CONEAUPA), 143

O

Office of Civic Engagement, 22
Open systems, 4
Organizational perspective,
4–6, 275–289

P

Panama, 143–152, 157–165
Panamanian, 144
Panamanian universities, 149
Partnerships, 98, 104, 105
Performance indicators, 191
Planned event, 208, 209
Political, 2, 3, 275–277, 282–287
Post-event, 209, 215, 216
Prevent, 220
Primary and middle schools, 209, 217
Professional identity, 77, 79,
81–84, 87, 91

Projects, 176
 Public engagement,
 207–210, 220–223
 Public mission, 83, 84, 87–90, 98,
 109, 111, 170, 175–181
 Public mission initiatives, 1, 2, 5,
 6, 275–289
 Public social commitment, 170
 Public sphere pedagogy, 16,
 22–23, 27, 30
 Public-public partnerships (PuPs),
 37–43, 46, 48, 49, 51, 52

R

Real estate development, 63, 64,
 66, 67, 73
 Resource dependency, 38, 40

S

Schools, 211, 212, 219, 220
 Service, 77, 78, 80, 82–84, 88–91
 Social responsibility, 15–31, 230–244
 Socio-cultural, 2, 276, 277, 280,
 282, 287
 Statements, 155, 156, 158, 160–162,
 164, 165
 Strategic planning, 16, 20, 29–31,
 124–126, 136, 137
 Sustainable Development Goals
 (SDG), 194

T

Teacher continuing education,
 176, 183
 Teacher education, 169, 173
 Technological, 2, 278

Tenure, 77, 78, 82, 87, 88, 91
 Third mission, 3, 5, 6, 10, 142,
 146, 206
 Towards a European Framework for
 Community Engagement in
 Higher Education (TEFCE),
 191, 194–201
 Transformative learning, 89, 90
 Truman Commission, 119, 121, 122,
 124, 137

U

Universities, 17, 18, 25–29
 engagement, 141, 142, 146–149,
 155–158, 161, 163–165
 extension projects, 184
 public mission, 176
 rankings, 194
 third mission, 267
 “University Social Responsibility”
 (USR), 229–238, 241,
 244, 245
 University of Panama, 142,
 143, 159
 University-community engagement
 research, 104–106, 110–112
 University-community
 partnerships, 60
 Urban, 17, 18, 25–29
 Urban universities, 16–18
 USD, 219

V

Vision, 278, 280,
 282–284, 286
 Vision Network, 132–137
 Visioning, 119–137