

# Community Engagement in Higher Education

## Policy Reforms and Practice

W. James Jacob, Stewart E. Sutin,  
John C. Weidman and John L. Yeager (Eds.)



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## **Community Engagement in Higher Education**

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VOLUME 3

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## LIST OF ABBREVIATIONS AND ACRONYMS

AACC	American Association of Community Colleges (USA)
AAC&U	Association of American Colleges and Universities (USA)
AAS	Associate of Applied Science Degree
AASCU	American Association of State Colleges and Universities (USA)
AAU	Association of African Universities
ACCC	Association of Canadian Community Colleges
ADB	Asian Development Bank
AIDS	Acquired immunodeficiency syndrome
AISD	Arlington Independent School District (USA)
APD	Arlington Police Department (USA)
API	Application program interface
APLU	Association of Public and Land-Grant Universities (USA)
ARV	Antiretroviral
ASAIHL	Association of Southeast Asian Institutions of Higher Learning
ASHE	Association for the Study of Higher Education (USA)
AVP	Assistant Vice President
CAP	Changing Academic Profession Survey
CAUCE	Canadian Association for University Continuing Education
CBRC	Community-Based Research Canada
CBS	CBS Broadcasting, Inc. <sup>1</sup>
CCAC	Community College of Allegheny County (USA)
CCPH	Community-Campus Partnerships for Health, California State University, Monterey Bay (USA)
CEO	Comprehensive educational opportunity
CEO	Chief executive officer
CES	Community Engagement Scholars Program, Duquesne University (USA)
CFE	Campaign for Fiscal Equity (USA)
CFWC	Center for Family, Work, and Community, University of Massachusetts (USA)
CGS	Center for Governmental Studies, NIU (USA)
CI	Community informatics
CIC	Colleges and Institutes Canada
CICHER	Center for International and Comparative Higher Education Research, Kassel University (Germany)
CHEA	Council for Higher Education Accreditation (USA)
CHESP	Community – Higher Education – Service Partnership (South Africa)
CNCS	Corporation for National Community Service (USA)
COPC	Community Outreach Partnership Center (USA)
CPP	Common pool problem

LIST OF ABBREVIATIONS AND ACRONYMS

CSS	Columbia Secondary School for Math, Science, and Engineering, NYC (USA)
CSUMB	California State University, Monterey Bay
CTE	Career and Technical Education Degree
CUNY	City University of New York (USA)
DAAD	German Academic Exchange Service ( <i>Deutscher Akademischer Austausch Dienst</i> )
DESD	Decade of Education for Sustainable Development
DPS	Detroit Public Schools (USA)
EAC	East African Community
EBBPE	Edinburgh Beltane Beacon for Public Engagement (UK)
EdM	Education Master's degree
EHEA	European Higher Education Area
ELL	English language learners
EPODE	Together Let's Prevent Childhood Obesity ( <i>Ensemble Prévenons l'Obésité des Enfants</i> )
EU	European Union
FDA	Frederick Douglas Academy (USA)
fDi	Foreign direct investment
FEMA	Federal Emergency Management Agency (USA)
GACER	Global Alliance on Community-Engaged Research
GDP	Gross domestic product
GI Bill	<i>Servicemen's Readjustment Act</i> of 1944 (USA)
GPA	Grade point average
GPS	Global positioning system
GUNi	Global University Network for Innovation
HBCU	Historically Black Colleges and Universities
HDI	Health Data Initiative
HEI	Higher education institution
HERNet	Higher Education Research Network (Zambia)
HESIG	Higher Education Special Interest Group
HIV	Human immunodeficiency virus
HUD	Housing and Urban Development (USA)
IARSLCE	International Association for Research on Service Learning and Community Engagement
IAU	International Association of Universities
ICC	International Criminal Court
ICT	Information communication technology
IHE	Institute of higher education
IIRC	Illinois Interactive Report Card (USA)
IISE	Institute for International Studies in Education, University of Pittsburgh (USA)
INSP	National Institute of Public Health ( <i>Instituto Nacional de Salud Pública</i> ), UNAM (Mexico)
IPA	Institute of Public Administration (Saudi Arabia)

LIST OF ABBREVIATIONS AND ACRONYMS

IT	Information technology
ITCD	Information Technology and Communications Design, California State University, Monterey Bay (USA)
IUCEA	Inter-University Council for East Africa
JAB	Joint Admissions Board (Kenya)
KPTIP	Consortium of Indonesian Universities–Pittsburgh ( <i>Konsorsium Perguruan Tinggi Indonesia–Pittsburgh</i> )
MCAS	Massachusetts Comprehensive Assessment System (USA)
MEXT	Ministry of Education, Culture, Sports, Science and Technology (Japan)
MHI	Medium household income
MMU	Maasai Mara University (Kenya)
MOOC	Massive open online course
MOU	Memorandum of understanding
MPA	Master of Public Administration
MSA	Metropolitan Statistical Area
MSCHE	Middle States Commission on Higher Education (USA)
MSUE	Michigan State University Extension (USA)
MUDs	Multi-user dungeons
NAEP	National Assessment of Educational Progress (USA)
NASULGC	National Association of State Universities and Land-Grant Colleges (USA)
NCA–HLC	North Central Association of Colleges and Schools – The Higher Learning Commission (USA)
NCCPE	National Co-ordinating Centre for Public Engagement (UK)
NCLB	No Child Left Behind (USA)
NCSTA	<i>National and Community Service Trust Act</i> (USA)
NEACS–CIHE	New England Association of Colleges and Schools – Commission on Institutes of Higher Education (USA)
NEHERC	New England Higher Education Research Center (USA)
NGO	Nongovernmental organization
NIU	Northern Illinois University
NUC	Narok University College (Kenya)
NYC	New York City
NYCDOE	New York City Department of Education
NYS	New York State
NYSED	New York State Department of Education
OECD	Organisation for Economic Co-operation and Development
OEIT	Division of Outreach, Engagement, and Information Technologies, NIU (USA)
OSL	Office of Service Learning, Duquesne University (USA)
PASCAL	Place and Social Capital and Learning
Penn IUR	Penn Institute for Urban Research, University of Pennsylvania (USA)
PISA	Programme for International Student Assessment



LIST OF ABBREVIATIONS AND ACRONYMS

PRIA	Participatory Research in Asia (India)
PSC	Partnership Schools Consortium (USA)
PSOs	Partnership Support Organizations, New York City (USA)
PSSP	Privately Sponsored Students Programme (Kenya)
PURE	PASCAL Universities Regional Engagement
R&D	Research and development
REUNI	Programme in Support of Plans for Expansion and Restructuring of Federal Universities (Brazil)
RMB	Renminbi (China)
RSS	Rich site summary
RU/VH	Research University/Very High
SACS	Southern Association of Colleges and Schools (USA)
SINI	Schools In Need of Improvement (USA)
SIG	Special interest group
SJTU	Shanghai Jiao Tong University
SpEd	Special Education
SPIA	School of Policy and International Affairs, University of Maine (USA)
SSI	Sustainability Solutions Initiative (USA)
STEM	Science, technology, engineering, and math
SWDs	Students with disabilities
SWOT	Strengths, weaknesses, opportunities, and threats
TC	Teachers College, Columbia University (USA)
TCCS	Teachers College Community School, Columbia University (USA)
<i>THE</i>	<i>Times Higher Education</i>
Tri-C	Cuyahoga Community College (USA)
UA	University-assisted
UASU	University Academic Staff Union (Kenya)
UK	United Kingdom
ULSF	University Leaders for a Sustainable Future (France)
UMass	University of Massachusetts (USA)
UN–Habitat	United Nations Human Settlements Programme
UNAM	National Autonomous University of Mexico ( <i>Universidad Nacional Autónoma de México</i> )
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Populations Fund
UNICEF	United Nations Children’s Fund
UNU	United Nations University
UNU-IAS	United Nations University – Institute of Advanced Studies
UPMC	University of Pittsburgh Medical Center (USA)
USA	United States of America
USAID	United States Agency for International Development
UTA	University of Texas at Arlington (USA)

LIST OF ABBREVIATIONS AND ACRONYMS

UTA-APD-AISD	University of Texas at Arlington – Arlington Police Department – Arlington Independent School District (USA)
VCT	Voluntary counseling and testing
VESA	Visiting Electronic Student Application (USA)
VISTA	Volunteers in Service to America
VP	Vice President
WASC–ACCJC	Western Association of Schools and Colleges – Accrediting Commission for Community and Junior Colleges (USA)
WASC–ACSCU	Western Association of Schools and Colleges – Accrediting Commission for Senior Colleges and Universities (USA)
WCED	World Commission on Environment and Development
WFCP	World Federation of Colleges and Polytechnics
WINHEC	World Indigenous Nations Higher Education Consortium
WRAP	Worcester Refugee Assistance Project
WSU	Wayne State University (USA)

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NOTE

1. From 1928-1995, CBS Broadcasting, Inc. was formally known as Columbia Broadcasting System.



JOHN C. WEIDMAN AND W. JAMES JACOB

## **SERIES EDITORS INTRODUCTION**

We are pleased to introduce the next volume in the *Pittsburgh Studies in Comparative and International Education* book series, which is published and distributed by Sense Publishers. The issues that will be highlighted in this book series range from key international education issues, trends, and reforms to examinations of national education systems, social and educational theories, and development education initiatives. Local, national, regional, and global volumes (single authored and edited collections) are anticipated in order to offer potential contributors a great deal of latitude based on interests and cutting edge research.

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The series is supported by a strong network of international scholars and development professionals who serve on the International Advisory Board and participate in the selection and review process for manuscript development. Working with our International Advisory Board, periodic calls will be issued for contributions to this series from among the most influential associations and organizations in international studies in education, including the Comparative and International Education Society, World Council of Comparative Education Societies, and UNESCO.

In future volumes in the *PSCIE* series, we encourage the generation of exceptional CIDE scholarship from researchers, policy makers, and practitioners from around the world. We hope this volume will encourage prospective authors and editors to submit manuscript proposals to the *PSCIE* series about their current research and project interests.



W. JAMES JACOB, STEWART E. SUTIN, JOHN C. WEIDMAN,  
AND JOHN L. YEAGER

## 1. COMMUNITY ENGAGEMENT IN HIGHER EDUCATION

*International and Local Perspectives*

### SOCIAL CARTOGRAPHY OF COMMUNITY ENGAGEMENT IN HIGHER EDUCATION

In this chapter we examine several community engagement strategies with higher education institutions (HEIs) worldwide. We begin by defining community engagement in higher education. Next, we look at several different levels of community engagement in higher education, recognizing it occurs at many levels, including international, regional, national, provincial/state, and local.

We define *community engagement in higher education* to be sustainable networks, partnerships, communication media, and activities between HEIs and communities at local, national, regional, and international levels. Engagement activities between communities and higher education may be formal or informal. Example engagement initiatives include establishing relationships; collaboration initiatives; business ventures; co-sponsored meetings, conferences, sports events, research projects; and a thousand other activities. Vast online repositories through university libraries and other digital media provide a unique ability for HEIs to share information with communities in ways that were unimaginable prior to the 1990s. There is an inevitable and symbiotic relationship that exists between communities and HEIs. Communities help provide human resources that are necessary for higher education systems to foster and carry out their purposes. HEIs in turn train students who eventually fill job vacancies and establish businesses of their own in society.

While core higher education functions have traditionally centered on (1) research and innovation, and (2) teaching and training, a third area of essential note is the role HEIs play in community development (Goddard 2007; Duke 2008). It is now commonplace for annual evaluations of faculty members to include a review of scholarship contributions, teaching performance, and community service. Research 1 universities may place a greater emphasis on research activity than what is expected of faculty members at vocational or community colleges, which tend to have greater emphasis on teaching.

Students also engage in regular community service activities. Current and former students are the lifeline between communities at all levels (e.g., global, national, and local levels) and HEIs. Current students establish research projects,

business ventures, and student clubs/associations that often rely or revolve around community engagement initiatives. Former students often contribute with substantial donations, endowments, and marketing outreach efforts (through word of mouth and life-long allegiances to sports teams, schools, and programs). The engagement realm is reciprocal and dynamic. Many community members actively pursue partnerships and linkages with HEIs.

In Figure 1.1 we highlight the five levels of community engagement discussed in this chapter and much of the rest of the book. You will note that each of the levels are designated by a line circling a HEI. Each HEI is in essence part of these five community engagement levels. The figure also depicts a dotted line for the local community in order to highlight the importance of the reciprocal relationship between HEIs and the local communities in which they reside.

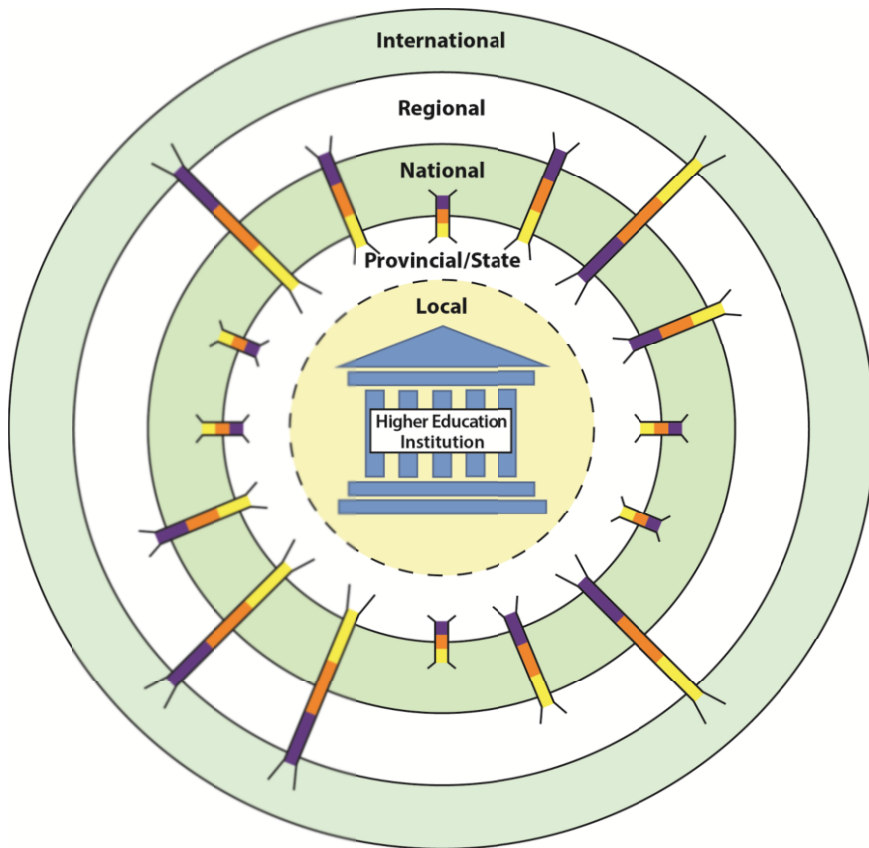


Figure 1.1 Pittsburgh Model of Community Engagement in Higher Education  
Source: By the authors.

We suggest that HEIs should be intimately established within their local communities in order to have a sustainable impact on society; likewise local communities should have a seamless network with HEIs in order to maintain an equal and positive partnership. This porous border is symbolized by the dotted line rather than a solid line that too often resembles walls between local communities and HEIs. There needs to be constant efforts from both those within HEIs and local communities to maintain this important foundational community relationship. All other community engagement-level relationships, for good or for bad, build upon the nature of the local level foundation.

Bridges are depicted in [Figure 1.1](#) as necessary in order for HEIs to establish lasting outreach programs, networks, and important community relationships at the four outer levels. We title [Figure 1.1](#) the *Pittsburgh Model of Community Engagement in Higher Education* for a reason. Historically positioned as the center of industrial United States in the latter part of the nineteenth century and most of the twentieth century, Pittsburgh was often referred to as the “buckle” of the Rust Belt (steel center). One of the city’s common nicknames is the City of Bridges, and this is fitting because of the many steel bridges that crisscross the Three Rivers Region of the city. Pittsburgh is also home to the foundational resources needed to produce steel for bridge building—coal, iron ore, and steel scrap. The three colors of the bridges in [Figure 1.1](#) resemble these three materials.<sup>1</sup> We wanted to emphasize the need HEIs and communities have in establishing sustainable bridges between each other, thus steel bridges are emphasized. Any HEI can sign a paper that indicates it has established a memorandum of understanding (MOU) with another university, business, or community. But in reality, this MOU is nothing more than a piece of paper. What is needed is the establishment of a sustainable partnership between HEIs and communities regardless of the level. There needs to be partnerships forged based on strategy, a shared vision, and equality. Sustainable partnerships are those that are comparable to the many formidable steel bridges that grace the rivers surrounding the Pittsburgh peninsula. Community engagement in higher education is about bridge building. Thus, the Pittsburgh Model is fitting if the goal is to forge lasting relationships with communities.

The depth of community engagement differs substantially between HEIs. Some have stronger community relationships than others. In some instances, HEIs have very little influence outside of their local communities. Other prominent universities have long-established reputations and networks that connect them with national, regional, and international communities. These elite universities are often viewed by most as atop the pantheon of HEIs worldwide. Sometimes HEIs must partner with other HEIs to obtain networks and influence beyond their own potential outreach. In these cases, they forge strategic alliances, partnerships, and consortia.

We recognize that not all engagements between higher education and communities are positive. Sometimes the relationship between HEIs and the communities in which they reside is unbalanced or one-sided. Some higher education traditions (e.g., the tenure system), tuition fees, and government support initiatives (e.g., where national and state/provincial governments guarantee annual



funding to HEIs) are viewed by many in the general public as increasingly negative. We also note that some HEIs may take advantage of students and the communities in which they live by charging exorbitant tuition rates that may not be equitable with national policies and needs. Some scholars note how some for-profit HEIs pursue the commodification of higher education, where they can be “guilty of commodifying, trivialising knowledge, and of pedalling credentials of dubious worth, all at partial public expense” (Geiger and Heller 2011, p. 14).

Despite these shortcomings, we argue that communities and HEIs should actively seek ways in which to strengthen their relationship and partnership opportunities. There are almost endless possibilities for positive engagement between higher education and communities. We hope that stakeholders from both sides will do everything they can in seeking mutual opportunities and benefits (in a synergistic or win-win fashion), and in advocating for equitable and sustainable partnerships in all of their collective endeavors.

#### *International Community Engagement*

Philip G. Altbach (2013a) argues how times have changed to where global engagement in higher education stands as one of the preeminent strategic foci of most higher education administrators in the twenty-first century. “[A]t the core of global engagement,” he adds, is the need to provide “a positive overseas experience for undergraduates, encourage[e] international faculty research, and ensur[e] that foreign students, postdocs, and visiting scholars have a positive experience and contribute to campus life” (p. 12). Examples of international higher education community engagement agencies include the Organisation for Economic Co-operation and Development (OECD), World Indigenous Nations Higher Education Consortium (WINHEC), International Association of Universities (IAU), World Federation of Colleges and Polytechnics (WFCP), and the United Nations University (UNU).

OECD is an NGO based in Paris, France that commissions research studies to inform its member governments in an effort to help them “foster prosperity and fight poverty through economic growth and financial stability” (OECD 2013). OECD works with member governments, ministries of education, HEIs, and societies on multiple areas, including higher education. Established in 1960, OECD now consists of 34 member countries. In a publication titled *Higher Education and Regions: Globally Competitive, Locally Engaged*, OECD (2007, p. 20) notes that

Higher education makes considerable direct economic contribution to the local and regional economy. Higher education institutions are employers and customers as well as suppliers of goods and services. Their staff and student expenditure have a direct effect on income and employment in the cities and regions.

WINHEC was organized in 2002 and provides an “international forum and support for Indigenous Peoples to pursue common goals through higher education” (WINHEC 2005). The Consortium exists to help preserve indigenous languages,

cultures, and homelands by building sustainable networks between HEIs and communities around the world (Jacob et al. 2013). WINHEC also serves as the world's leader in accrediting HEIs worldwide from an indigenous lens, with a goal to recognize through the accreditation process "indigenous education initiatives and systems that identify common criteria, practices and principles by which Indigenous Peoples live" (WINHEC 2005).

IAU was founded in 1950 and is based at UNESCO in Paris, France. Members include HEIs and other higher education-oriented organizations from approximately 120 countries. IAU (2013) "collaborates with various international, regional and national bodies active in higher education" and its various services are offered to members and "organisations, institutions and authorities concerned with higher education, as well as to individual policy and decision-makers, specialists, administrators, teachers, researchers and students." IAU's mission is "based on the fundamental principles for which every university should stand: The right to pursue knowledge for its own sake and to follow wherever the search for truth may lead; [and] The tolerance of divergent opinion and freedom from political interference." In accordance with the Association's mission, IAU highlights the need to advocate on behalf of HEIs worldwide to the public and to non-partner organizations.

The World Federation of Colleges and Polytechnics (WFCP) is a network of national and international higher education associations that focuses on strategic planning and best practice initiatives "to increase workforce employability in countries around the world" (WFCP 2014). With 44 member organizations, the Federation holds world congresses every two years and offers an online forum through its website that enables member institutions and associations (and potential member organizations) to learn about and collaborate with each other.

The United Nations University (UNU) was established in 1973 and now includes branch campuses in 13 countries. The overarching goal of UNU (2013) is to "contribute to global sustainable development that will enable present generations to live a decent life in peace, in freedom, in safety, and in good health without compromising the ability of future generations to do the same." Many of the thematic initiatives UNU sponsors are cross-cutting and encourage sustainable research linked to societies and communities across the earth. For instance, the Science and Technology for Sustainable Societies initiative—based at the UNU Institute of Advanced Studies (UNU-IAS) in Yokohama, Japan—examines issues of poverty, inequality, and global warming. Undertaking actions "to overcome these challenges and foster equitable and sustainable societies is an urgent imperative." Drawing from the linkages to communities worldwide, the UNU strives to learn from traditional knowledge and best practices to build "more equitable and sustainable societies" (UNU-IAS 2013).

#### *Regional Level Community Engagement*

Higher education involvement in regional economies can amount to between 1 and 4 percent of the total GDP. This is especially recognizable in regional areas where

higher education systems are well developed (OECD 2007, p. 20). Of the top 100 universities, the vast majority are located within certain regions of the earth (see [Table 1.1](#)).

*Table 1.1 Regional Distribution of Top-Ranked Universities, 2014*

Ranking	Africa		Asia		Europe		Latin Amer. & Caribbean		Oceania		USA & Canada	
	THE	SJTU	THE	SJTU	THE	SJTU	THE	SJTU	THE	SJTU	THE	SJTU
Top 10	0	0	0	0	3	2	0	0	0	0	7	8
Top 50	0	0	6	2	11	13	0	0	2	1	31	34
Top 100	0	0	12	5	34	35	0	0	5	4	49	56
Top 500*	4	5	64	90	178	205	4	10	25	23	126	167

\*The *Times Higher Education* (2014) only ranks the world's top 400 universities.

Sources: *Times Higher Education* (2014) and Shanghai Jiao Tong University (2014).

The *Times Higher Education* (THE) and Shanghai Jiao Tong University (SJTU) rankings indicate that the 10 top universities in the world are either in the United States or the United Kingdom. Of the top 100 universities worldwide, roughly half are located in the USA and Canada and over 30 within Europe. No more than 10 universities make the top 400 global ranking list from within the Africa and Latin American and Caribbean regions.

At the regional level, community engagement programs may span multiple countries within a geographic region of the earth. Regional community examples include the European Union, East African Community (EAC), Association of Southeast Asian Institutions of Higher Learning (ASAIHL), and the regional accreditation agencies in the United States.

The European Union (EU) has had tremendous influence on shaping the face of higher education, especially in terms of how HEIs engage with local, national, and regional communities within Europe and beyond. Higher education cross-border programming, networking, and resource sharing is a hallmark of the EU since its inception in post-World War II Europe. Everything from the standards setting Bologna Process and the more recent Lisbon Strategy that outlines a vision to help the EU become the leading knowledge-based economy among all global regions, the EU has played an important role in fostering a regional focus to leverage the entire higher education subsector. The EU's potential regional influence doesn't stop within the European Higher Education Area (EHEA), as non-European governments and individual HEIs often strategically partner with EU countries and HEIs when it comes to international higher education linkages, exchanges, research collaborations, and institutional investments.

The EAC is comprised of member nations from Burundi, Kenya, Rwanda, Tanzania, and Uganda. In 1980, EAC established an Inter-University Council for East Africa (IUCEA) to help collaborative partnerships between regional HEIs. The following objectives provide an overview of the current engagement areas of this regional Council:

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1. Facilitate networking among universities in East Africa, and with universities outside the region;
2. Provide a forum for discussion on a wide range of academic and other matters relating to higher education in East Africa; and
3. Facilitate maintenance of internationally comparable education standards in East Africa so as to promote the region's competitiveness in higher education. (IUCEA 2013)

In the EAC, for instance, it is difficult for a single HEI to retain highly-skilled and well-known faculty members. This is especially true where annual salaries are at best meager in comparison with the pay of faculty members from other regions of the earth. With over 200 HEIs within the EAC, it is common for renowned professors and lecturers to hold positions at more than one HEI ("Encourage Universities to Share Lecturers" 2013).

Founded in 1956, the Association of Southeast Asian Institutions of Higher Learning (ASAIHL) is a nongovernmental organization (NGO) comprised of 182 HEIs from 20 countries. ASAIHL's (2013) purpose is to "assist member institutions to strengthen themselves through mutual self-help and to achieve international distinction in teaching, research and public service. In so doing, the institutions contribute strength to their respective nations and to the entire region."

Six regional accrediting agencies exist in the United States, and each is responsible for accrediting the majority of all HEIs in their respective regions. Regional accrediting agencies are part of the Council for Higher Education Accreditation (CHEA), which is comprised of more than 3,000 HEIs primarily in the United States but also including several HEIs from other countries. CHEA works with 60 accrediting organizations that in turn provide specialized accrediting oversight to various institutional and programmatic needs for its constituent member institutions in each region (CHEA 2012).<sup>2</sup>

### *National Community Engagement*

The global trend toward mass higher education is providing many individuals with the opportunity to attend higher education if they desire to. Still, there remains significant disparity within countries in terms of access and equity opportunities in higher education (Holsinger and Jacob 2008). Countries with national strategic frameworks that include favorable government policies for higher education community engagement are generally the most successful in their ability to provide a national enabling environment for sustainable linkages to occur between HEIs and communities (Cross and Pickering 2008; Goddard and Puukka 2008; Vietnam Ministry of Education and Training 2008; China Ministry of Education 2010). Simon Marginson and Mark Considine (2000) consider all Australian universities as "enterprise universities." This is a significant shift away from the purely academic focus they once had to a predominantly market-driven focus that is closely linked to national and international business community needs, demands, and trends.

Several associations and organizations that help coordinate linkages between HEIs and the national community include the American Association of Community Colleges (USA), Association of Indian Universities, Association for the Study of Higher Education (USA), Canadian Association for University Continuing Education, Colleges and Institutes of Canada, Community-Based Research Canada, Global Alliance on Community-Based Research (Canada and India), Higher Education Research Network (Zambia), National Co-ordinating Centre for Public Engagement (UK), Participatory Research Initiative in Asia (India), and the Consortium of Indonesian Universities–Pittsburgh.

Founded in 1920, the American Association of Community Colleges (AACC) has codified many of the ongoing workforce development collaborations on its website. Its section on Industry Partnerships elaborates upon workforce training offered by community colleges in the United States to meet needs as diverse as aerospace, agriculture, automotive, biotechnology, chemical, energy, healthcare, information technology, logistics, manufacturing, and social media. So well understood is the socioeconomic role of community colleges that its mission is one of the few areas that inspires bipartisan support from both leading political parties.

The Association of Indian Universities is a hub of higher education activity in India that facilitates research and scholarship opportunities through workshops, seminars, meetings, publications, and through its website. The Association for the Study of Higher Education (ASHE) was established in 1976 and remains an active center for higher education networking among scholars, students, and professionals. It is home to the *Review of Higher Education*, one of the leading scholarly journals in higher education.

Established in 1954, the Canadian Association for University Continuing Education (CAUCE) “remains the most robust of the three elements that form the dynamic triangle of community engagement” in Canadian higher education (Hall 2009). CAUCE (2015) specializes in promoting “activities aimed at fostering a greater role for universities in responding to Canada’s needs for training and retraining.” CAUCE has played a major role in helping to make community engagement become and remain a major focus of continuing education efforts in Canada. Other efforts that CAUCE engages in include higher education community-based research and community service learning.

Based in Ottawa, Canada, Colleges and Institutes Canada (CIC)<sup>3</sup> serves as the national organization that represents Canada’s public post-secondary colleges, institutes of technology, polytechnics, cégeps, and university colleges. CIC engages over 3,000 communities in Canada and also leverages individual and national outreach efforts with higher education partners in more than 100 international locations.

With a mission to champion and facilitate community-based research and campus-community engagement, Community-Based Research Canada (CBRC 2015) focuses on strengthening the nation’s social, economic, and environmental priorities. CBRC evolved from the Pan-Canadian Coalition on Community Based Research and was founded in 2008. CBRC hosts an annual conference that brings together higher education researchers with leaders of government, industry, and

indigenous peoples of Canada. It serves as the hub for other community-based research networks in Canada and abroad, including the Arctic Institute of Community-Based Research, Canadian Alliance for Community Service-Learning, Research Impact and Community Campus Partnerships for Health, Living Knowledge Network in Europe, the National Coordinating Centre for Public Engagement in the United Kingdom, and the Global University Network for Innovation.

The Global Alliance on Community-Engaged Research (GACER) was established in 2008 as a network that strives to “facilitate the sharing of knowledge and information across continents and countries to enable interaction and collaboration to further the application and impact of community-based research for a sustainable just future for the people of the world” (GACER 2015a). The Global Alliance currently has three initiatives: (1) UNESCO World Conference on Higher Education Policy Brief and Research Initiative; (2) Global Dialogue on Enhanced Community University North-South Collaboration in Community University Engagement; and (3) Knowledge, Democracy, and Action Project (GACER 2015b).

Established in November 2012, the Higher Education Research Network (HERNet) of Zambia includes a collective group of 23 HEIs from the United States and Zambia. Activities include an internship program for graduate students, capacity building research seminars, joint research studies related to higher education and community engagement, and a coordination link with the Ministry of Education, Science, Vocational Training, and Early Education of Zambia. HERNet members include government and private HEIs.

The National Co-ordinating Centre for Public Engagement (NCCPE) has a mission to “support universities to increase the quantity and quality of their public engagement activity” (NCCPE 2013a). Established in 2008, the NCCPE was launched to help overcome sometimes negative stereotype relationships that exist between HEIs and local communities.

With a mission to work towards the promotion of policies, institutions, and capacities that strengthen citizen participation and promote democratic governance throughout India, the Participatory Research in Asia (PRIA) has community-engagement programs throughout India and in eight other Asian countries.<sup>4</sup> PRIA’s higher education community-engagement initiatives including providing adult and continuing education opportunities through certificate programs and internships, strengthening partnerships between local businesses and HEIs, and in helping governments and societies work toward greater equality on issues of gender, governance, and health.

The Consortium of Indonesian Universities–Pittsburgh (KPTIP: Konsorsium Perguruan Tinggi Indonesia–Pittsburgh) was organized on 24 September 2007 at the University of Pittsburgh, USA. The setting that led to its formation was a higher education management training visit of seven Indonesian rectors who visited the University of Pittsburgh as part of USAID’s Decentralized Basic Education 2 Project. KPTIP holds regular meetings on various thematic topics and includes a strategic plan to help build the capacity of each of the 19 participating

HEIs. The Consortium also sponsors a journal—*Excellence in Higher Education* (<http://ehe.pitt.edu>)—as a publication output that demonstrates the commitment member HEIs have toward the promotion of quality and innovation in Indonesian education. To this end, KPTIP works to create sustainable national, regional, and global partnerships to meet national education reform mandates.

In order to have successful community engagement initiatives, there needs to be a “national framework consistent between the domains of higher education and territorial development which facilitates or permits conjoint action at the sub-national level” (Goddard and Puukka 2008, p. 37). One of the keys to establishing such a national framework is in the proactive government efforts to either directly build bridges between HEIs and industry and communities, or through providing an enabling environment that encourages HEIs and/or business to build bridges of their own. Greater managerial autonomy is a key to the bridge building process (Clark, 1998). Enhancing the development of more entrepreneurial universities is becoming an objective of new higher education policies in many countries” (Goddard and Puukka 2008, p. 30).

#### *Provincial/State-Level of Community Engagement*

The United States has a long history of community engagement partnerships with HEIs. In the nineteenth century, many states established land grant universities that included establishing strong links between higher education, agriculture, heavy industries, and local communities.<sup>5</sup> The gradual transition from a predominantly agriculture- and heavy industry-based economy to a knowledge-based one shifted the focus of higher education curricula in the United States and globally (Douglass 2008). Today research and development and innovation center on what Richard Florida (2000, 2005) calls the “creative class” of workers. This creative class is highly skilled and includes artists, architects, business managers, educators, engineers, entertainers, scientists, writers, and all others who have the potential to innovate and contribute new ideas, technology, and creative content to the economy. [Figure 1.2](#) provides a state-by-state comparison of the total employment of workers in high technology industry fields as a percentage of all workers. The United States national average came to 5.6 percent, with Washington (11.4 percent), Massachusetts (9.4 percent), Virginia (9.3 percent), and Maryland (8.9 percent) leading the country in the percentage of total workers in high-tech fields. Wyoming (1.8 percent), Mississippi (2.0 percent), South Dakota (2.0 percent), and Iowa (2.3 percent) rounding out the lower end of the number of high-tech workers as a percentage of the total workers in their respective states.

In 2002, the University of California has a substantial influence on the State of California’s economy, with OECD (2007, p. 28) indicating the University of California’s impact on the local economy was approximately USD15 billion “with a rate of return of 3.9 in state-funded research.” Consider the additional economic impact if the entire higher education system’s impact was calculated into this scenario in the State of California.

Higher education plays an important role in job creation in local economies, but especially in those that are highly-developed. In Massachusetts, Antoine Artiganave and colleagues (2010, p. 13) argue that the education and knowledge creation cluster of the state’s economy—which is centered on Massachusetts’s robust higher education system—is responsible for the vast majority of jobs created from 1998 to 2007. In 2011, high-tech industry employment comprised 5.1 percent of the total workforce in the Boston-Quincy, Massachusetts metropolitan area (Bay Area Council Economic Institute 2012, p. 35).

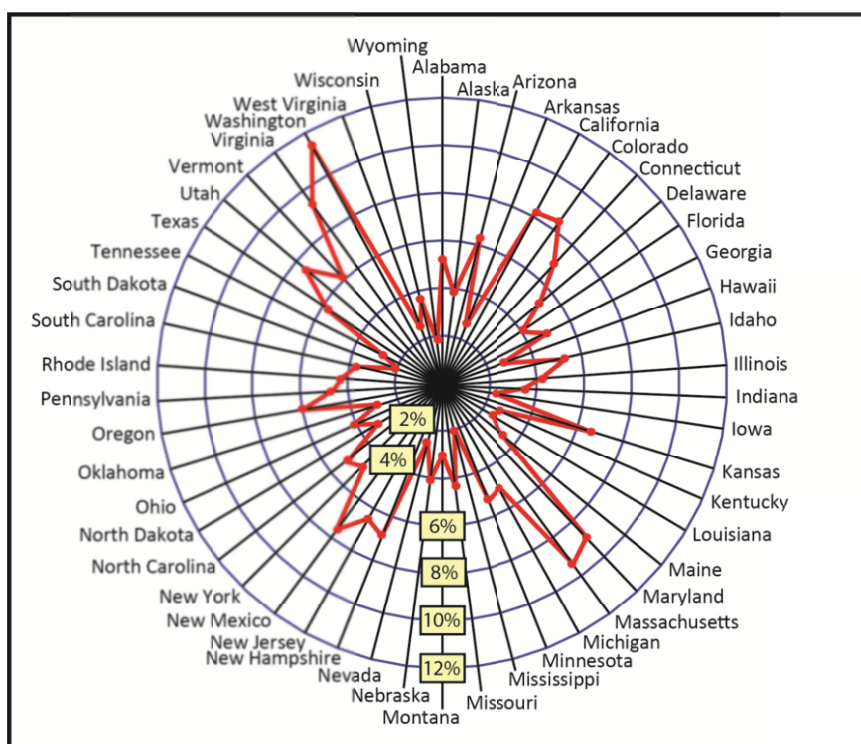


Figure 1.2 Dispersed Pattern of High-Technology Industry Employment, 2011  
 Source: Data from the Bureau of Labor Statistics, 2011; calculations by the authors.

The Provincial University of Lapland was established in 2006 as a pilot for the rest of the country. In Finland, provincial universities include a network of HEIs (universities, polytechniques, and vocational schools) that offer “education and research to satisfy the demands of the [local] adult population” and economy (Konu and Pekkarinen 2008, p. 118).



### *Local Community Engagement*

The triple helix approach that links local governments, industries, and HEIs is a model that has enabled many HEIs to engage with their respective communities at several levels (Etzkowitz and Leydesdorff 2000; Khan and Park 2011). Perhaps the most important initial step of the triple helix model is what Henry Etzkowitz (2012b, p. 766) calls “the permeability in university boundaries.” This permeable boundary is essential in establishing an entrepreneurial relationship between communities and HEIs.

Community colleges offer a quintessential prototype of higher education serving the socioeconomic and educational needs of its local population. Once described as a “uniquely American invention” (Thelin 2004, p. 250), community colleges are especially widespread in many countries including Canada and the United Kingdom (Latiner-Raby and Valeau 2009). Originally founded as junior colleges dedicated to providing the first two years of higher education with a focus on the transfer function, community colleges in the United States have evolved into far more intricate forms of local connectivity. Today’s community colleges educate 45 percent of all undergraduate students, including 56 percent of all Hispanic students and 49 percent of all African Americans (AACC 2013). Their comprehensive missions often articulate the value placed upon workforce and professional development, continuing, adult, or lifelong education, remedial education, and specialized services designed to respond to local needs.

A brief retrospective on the historical evolution of community colleges in the United States will permit us to dimension more completely the complex relationships between this subsector of higher education and the communities they serve. Many early community colleges were initially governed by local school boards, and were placed under the direction of the district school superintendent (Cohen and Brawer 1994). To this day, many community college presidents in California bare the title Superintendent. In 1936, the president of a junior college in Pennsylvania articulated the vision of a two-year institution dedicated to “meeting community needs . . . providing opportunities for increased adult education . . . and closely integrated with the work of high school and the work of other community institutions” (Baker 1994, p. 18). This vision was articulated on a national level by The President’s Commission on Higher Education (commonly known as the Truman Commission), that “called for two-year colleges to be fully integrated into the life of their communities” (Gilbert and Heller 2010, p. 7). The Truman Commission recommended free public education until Grade 14. Twenty years later, new community colleges were founded at the rate of one per week during a seven-year growth spurt—primarily fueled by concerns for access, affordability, and regional economic growth (Altbach, Gumport, and Berdahl 2005, p. 62). There was a shared belief that community colleges “contribute to the well-being of their community by providing access for people who would otherwise be unable to participate in postsecondary education” (Cohen and Brawer 1994, p. 9). Edmund J. Gleazer (1998, p. 6), former AACC President, understood that “a sense of community awareness” was a core value upon which institutional functions, purposes and priorities could be defined.

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Manifestations of community outreach are the rule rather than the exception. North Harris Montgomery Community College (Houston, Texas) formed a partnership with the Harris County Public Library to jointly own and operate a new facility (Roueche and Jones 2005). Guilford Technical and Community College in North Carolina developed highly-functioning collaborate relationships to introduce career awareness and developmental opportunities at the K-12 levels (Roueche et al. 2008). Kirkwood Community College in Cedar Falls, Iowa opened a Skills to Employment Center to serve the needs of unemployed and underemployed local residents. Seminole Community College (north of Orlando, Florida) partnered with local builders to construct and operate a Center for Building Construction to offer instruction to construction trades through apprenticeship programs and to partner with local high schools. Springfield Technical Community College in western Massachusetts opened an Enterprise Center to incubate, orient and train local entrepreneurs (Roueche and Jones 2005). These are but a few of literally thousands of examples of outreach, agility in curriculum design, sensitivity to evolving local needs, and responsive behavior as community college administrators, faculty members, and staff share a sense of bonding and common cause with the populations they serve.

### POLICY INITIATIVES RELATED TO COMMUNITY ENGAGEMENT IN HIGHER EDUCATION

Policy reform initiatives help enable or hinder community engagement initiatives in higher education. In this section we highlight how proactive government initiatives have helped forge sustainable ties between the community and HEIs. We also note a couple of negative examples, where government policy can stifle community engagement opportunities with higher education systems. Mark Drabenstott (2008) recognizes how public policies can encourage stronger links between HEIs and regional economies.

Many examples can be referenced in large countries like Brazil, Russia, India, China, and South Africa, but we will only include a select few. Recent government reforms have helped reshape how health care professionals at all levels are trained in Brazilian HEIs. The federal government of Brazil implemented the Programme in Support of Plans for Expansion and Restructuring of Federal Universities (REUNI) in 2007, which calls for HEIs to deliver a more interdisciplinary and team-oriented approach to coursework, including the health care curriculum that focuses more on community engagement and meeting social needs (Meyer et al. 2013). The implementation of the REUNI national higher education reform has met some resistance, however, especially when it comes to long-held traditional norms and delivery practices. HEIs will continue to play an important role in reshaping Brazil's health care services, especially in helping to bridge the social inequalities that remain based largely on market demands (Almeida-Filho 2011).

Higher education in the post-Soviet era has had its share of successes and failures in the past 35 years and continues to have a rough transition in preparing graduates with the necessary skills for employment in many industrial career paths

(Sheregi 2011). Several scholars argue that there needs to be a significant reform of the higher education system in order to better link community needs, including market and industry employment needs, with Russian HEIs (see for instance Kortunov 2009; Kuz'min 2014). Russian technical and vocational colleges, largely patterned after the traditional industry-focused model that existed during the Soviet era, have in many ways been able to maintain community engagement linkages necessary to best meet local and national industry demands (Zamani-Gallaher and Gorlova 2009). However, graduates from technical colleges and other HEIs have less national mobility than they had in previous generations, and are also limited in terms of mobility outside of the Russian Federation (Motova and Pykkö 2012; Burlutskaja 2014).

There are many challenges Indian HEIs face in being able to meet the local and international demands of preparing a workforce to meet the needs of industry. Pawan Agarwal (2009) lists four key areas that are hindering the higher education subsector in India: (1) inability to provide sufficient and quality training to graduates in “several sectors of [the] economy”; (2) quotas that limit access to the top-ranked HEIs and, in many ways the best-paying jobs afterwards; (3) growing pressure to become and remain competitive with other countries also heavily investing in their higher education subsectors; and (4) India has an enormous higher education system that is struggling to keep pace with its burgeoning student population (pp. xxix-xxx). Similar to what you would find in most countries with large higher education systems, some of the leading HEIs in India have established an exemplary reputation of modeling social media outreach to their stakeholders and in targeted community outreach efforts. A recent study by Kalpana Chauhan and Anandan Pillai (2013) demonstrated how 10 top-ranked management HEIs in India implemented several community engagement initiatives online through targeted successful social media campaigns (e.g., Facebook)<sup>6</sup> for capacity building to local communities and businesses. Established in 1982, the Participatory Research Initiative in Asia (PRIA) supports many community-engagement initiatives, including those with HEIs. One of its higher education community engagement initiatives includes the UNESCO-sponsored Community-Based Research and Social Responsibility in Higher Education Project, which focuses on knowledge generation and sharing

through partnerships among universities (academics), communities (civil society) and government (policy-makers) leading to new capacities; new solutions to pressing problems related to sustainability, social and economic disparities, cultural exclusion, mistrust and conflict; awareness among policy makers; enhanced scholarship of engagement; and modified pedagogy of community based research. (PRIA 2015)

With the continued increase of Chinese students studying abroad, the amount of cultural exposure and civic engagement they witness first-hand in their host countries will inevitably have an impact on how they view and engage in community activities upon their return home. Local HEIs in China are becoming more global in terms of cultural diversity and exposure, and Chinese students

studying in Chinese HEIs are also becoming more informed about community engagement opportunities and possibilities that lay before them as students and following graduation (Volet and Jones 2012; Altbach 2013b). Participants from a recent survey of students, faculty members, and alumni of Shandong University in Jinan responded that environmental sustainability was among the top concerns and priorities for higher education community engagement in China (Yuan et al. 2013). Despite the tremendous progress China has achieved in recent decades, there remains a tremendous gap between the higher education opportunities in the eastern coastal, eastern regions and the more rural and remote regions of the country. Many of China's top-ranked universities (e.g., Peking University, Tsinghua University, and East China Normal University) have partnered with sister HEIs in rural and remote regions to help strengthen their human and institutional capacity (Jacob et al. 2015). This model is one that other countries could learn from in order to help strengthen the higher education training, quality, and accreditation needs that are so prevalent in the twenty-first century.

The Ford Foundation-funded Community – Higher Education – Service Partnerships (CHESP) was established in 1999 to help South African HEIs plan and operationalize community engagement initiatives. Five CHESP programs were launched at the beginning of this partnership: grant-making; capacity building; monitoring, evaluation, and research; advocacy; and resource and innovation services. Many of South Africa's largest and most well-known universities have participated in one or more CHESP programs, including the University of Cape Town, University of Pretoria, and the University of KwaZulu Natal (Lazarus et al. 2008). Nationwide, the Department of Education (1997) provided a strong foundation for community-based research and engagement initiatives in higher education with its foundational White Paper titled *Programme for the Transformation of Higher Education*.<sup>7</sup> More recently, the Department of Higher Education and Training published a *White Paper for Post-School Education and Training* in 2014 that provides strategic direction on how HEIs can help best meet the community needs of all South African citizens including adult learners who have not completed or graduated from high school. HEIs have for many years played an important role in community engagement in an effort to curb and overcome the AIDS epidemic. This has been and continues to be the case with many HEIs in South Africa. Serving as testing and counseling centers and locations where antiretroviral (ARV) treatment is commonplace, HEIs have in many ways helped lead the battle against the AIDS epidemic in South Africa. Undoubtedly, this health service will continue to play an important role in higher education community engagement efforts well into the future.

As part of an organized government initiative to strengthen local and international public engagement with higher education in the UK, the Research Councils UK established the NCCPE in 2008. One of these government-funded initiatives was titled The Beacons Project, which was conceptualized to help overcome a long-held negative cultural paradigm that often prevented those within academe from interacting with others in the general society. The Beacons Project was launched to help lead a cultural paradigmatic shift, by establishing six

university-based centers that help “support, recognise, reward and build capacity for public engagement” and each center was “at the forefront of efforts to change the culture in universities, assisting staff and students to engage with the public” (NCCPE 2013b). Partners on this NCCPE initiative included members of the media, government agencies, corporations, charities, museums, as well as HEIs. One of the six Research Councils UK Beacon centers named Edinburgh Beltane Beacon for Public Engagement (EBBPE). The Edinburgh Centre defined public engagement as “sharing knowledge between communities, policy makers (internal and external to higher education institutions...) and researchers” (EBBPE 2012, p. 1).

One of the most world-renowned geographic knowledge clusters is located in the greater San Francisco Bay area, and especially in Silicon Valley in California. The linkages between industry and society—with universities at the center of these linkages—are well known and governments from around the world have attempted to replicate the success model. Etzkowitz (2012a) considers the geographic knowledge cluster a successful implementation of the triple helix model. The unparalleled success of Silicon Valley is largely attributed to the strong knowledge centers in the greater region, especially with the influence of Stanford University and the University of California, as well as countless think tank and research and development centers that have emerged from the university entrepreneurial model over the years. Etzkowitz (2012a, p. 2) argues that

Silicon Valley’s rise was supported by double helix university-industry and government-university interactions that converged into triple helix university-industry-government relationships. The Valley has expanded from a local generator of new technologies and industries into the key node of a global network, with multi-national firms, countries, regions and universities maintaining outposts to market or source advanced technologies.

Another strength of the Silicon Valley community engagement model is the active role the state and federal government funding and favorable laws played in helping to encourage entrepreneurialism, innovation, and research and development (Douglass 2008). This scenario led to unlimited potential for new business and new ideas to emerge. While some of the first successful business establishments in Silicon Valley date back to the early twentieth century, many of the leading IT firms are headquartered or have a branch office there. Some of the most notable success stories involved student-led initiatives that have grown into some of the largest companies on the earth, including Sun Microsystems, Yahoo!, and Google.<sup>8</sup> Historically there has been a unique academic institutional culture and strong entrepreneurial emphasis on establishing linkages between Stanford University students and “emerging technology industries” (Stanford University 2013). Apple Computer was co-founded in Silicon Valley in 1976 from a former UC Berkeley undergraduate student, Steve Wozniak, and Steve Jobs; later renamed Apple, it has risen to become the largest publicly-traded company in the world (Apple evolves strategy to meet China halfway 2013).

## COMMUNITY ENGAGEMENT IN HIGHER EDUCATION

Higher education policy initiatives can help or hinder engagement initiatives. In most cases, effective and sustainable community engagement is difficult to achieve. Chris Duke (2008, p. 89) notes how “even with the best will and the greatest clarity, the ground is muddy and hard to work” in establishing successful partnerships between communities and HEIs. Many governments often struggle to support higher education policy initiatives if there is little or no support (be it financial, political, and/or stakeholder support) to help with the implementation of laws and regulations. The scenario is only exacerbated in rural and remote regions, which often suffer from a lack of sufficient government oversight and qualified management and faculty personnel to help implement successful community engagement approaches (Gray et al. 2011).

Other reasons for failed higher education community engagement initiatives include a lack of support and buy-in from one or more key stakeholder groups (e.g., students, faculty members, staff, administrators, alumni, parents of students, policy makers, and community members). Stakeholders should be involved in every aspect of the planning, development, implementation, and evaluation processes of community engagement initiatives. Participation is simply key to long-term sustainability and ownership (Soska and Johnson Butterfield 2004; Hart and Northmore 2011; Pike et al. 2011). It is perhaps the single most important ingredient that is too often neglected. Along with teaching and research, community engagement is now widely recognized as a third core function of HEIs. However, it is not generally given equal weight. In fact, in many cases too much emphasis is placed on research, teaching or both research and teaching, with community engagement and service coming in a distant third, as almost an afterthought. Why do they have to be so compartmentalized? If promotion and tenure rewards structures are so stringent that they only reward quality research and teaching outputs, it is highly unlikely that community engagement will be able to play the significant and potential role that it can and should play in higher education (Strum et al. 2011). More emphasis should be made to link teaching and research with community engagement initiatives. In this way, the three-fold mission of higher education can capitalize on a synergistic relationship that helps strengthen each other.

## SUMMARY OF BOOK CHAPTERS

In this section we note how each of the contributing authors provide evidence of higher education community engagement. The book is divided into three sections. Five chapters are included in Part I, which addresses several thematic issues related to higher education community engagement.

Chapter 2 by Kassie Freeman addresses the continuing negative consequences of the forced displacement of members of the Black Diaspora from ancestral homelands into foreign environments. She includes consideration of the dynamics of a century of colonial occupation of much of Africa by European countries, many of which had been engaged in the original slave trade that initially took indigenous people away from the continent only to have those remaining oppressed by

foreigners in more recent times. She suggests ways in which access to advanced education can be enhanced through community engagement and renewed dedication to establishing new national identities that fully embrace members of the Black Diaspora and do not pit them against more favored groups, nor against each other in very destructive ways. She concludes by identifying steps that can be taken by higher education institutions to overcome the ways of the past in order to achieve more positive and productive outcomes, including forging community partnerships, engaging with broader stakeholders, and redefining participation and practices in ways that are more appropriate for a globalized world.

Hurricane Katrina traumatized much of the Gulf Coast. New Orleans was especially victimized. Chapter 3 by Alex Johnson and David Hoovler offers an overview of service learning and the important role that student volunteers and higher education institutions from afar played in the post hurricane recovery efforts. They describe the value of a “culture of engagement” and the importance of coordinating service learning with partners that include a community college along with federal, state, and local officials. Clear educational objectives were defined for the students, and lessons were learned. Alex Johnson was President and CEO of Delgado Community College in New Orleans during this challenging time.

Tatyana Dumova highlights in Chapter 4 the important and often neglected role technology plays in establishing successful higher education community partnerships. She emphasizes how various digital media now dominate communication between higher education students, faculty members, and administrators as well as the many communities in which they interact. Technology is especially important in reaching out to next and future generations of higher education students. Dumova introduces the term *community informatics*, which she defines as an “interdisciplinary area of knowledge concerned with the application of technology in a community setting.” Knowledge sharing through online libraries, databases, and other media enable HEIs to disseminate information to the public across down the street or to another continent. Dumova identifies three topics she argues are at the crux of understanding the dynamic role technology plays between universities and the communities they engage with: interactivity, asynchronicity, and de-massification. A section on challenges and shortcomings is included to help interested readers avoid potential pitfalls in establishing successful technology-based partnerships and communication media. Chapter 4 is well referenced and could easily serve to fill the gap in the literature about the important role technology plays in enabling HEIs to engage successfully with communities at all levels.

In Chapter 5, Maria Adamuti-Trache and Adrienne E. Hyle analyze the challenges, processes, scope, objectives and lessons learned from a partnership between the School of Education, University of Texas at Arlington, and the Arlington Police Department. This case study offers a story of community engagement involving data based planning focused on delinquent youth. The authors provide a candid assessment of what worked and why. They similarly comment upon components of the original vision that have yet to be fulfilled.

Readers benefit from a practitioners' guide to launching a highly focused community initiative.

In Chapter 6, Linda Silka, Mario Teisl, and James Settele make the case that successful higher education community engagement initiatives should ideally focus on integrating local and global opportunities. Too often the dialectic between the global and the local is segregated in academic circles of teaching, research, and service (see for instance Arnove et al. 2013). These are the very areas Silka and her colleagues argue need to be strengthened for engaged HEIs of the future. They conclude that in order to achieve the full potential impact of higher education community engagement, change must occur at five levels, beginning with individual faculty members, while also encouraging efforts from academic programs, centers, schools, and ultimately multi-campus initiatives. Some of the community engagement initiatives should be part of short- and long-term strategic planning initiatives at the institutional level while others could be the result of individual networks and research linkages in a more serendipitous fashion. The authors argue that being open to all potential opportunities is a key to being able to fully achieve the outreach engagement potential of higher education.

Part II, "Institutional Programs, Partnerships, and Case Studies in the United States," is comprised of seven chapters that examine higher education institutional community engagement programs from across the United States. Tracey Soska, in Chapter 7, begins with an historical perspective on the European roots of higher education in the United States, moving to the explicit intervention through the *Morrill Act*, passed in 1862 by the federal government, that was designed to use higher education as a mechanism for local and national economic development of the growing nation that was to emerge in the decades following the Civil War. This law allocated public land for the explicit purpose of establishing institutions of advanced learning that included but was not limited to "agriculture and the mechanic arts." It provided access to advanced education for the masses, departing significantly from the much more elite European model. It also incorporated the notion of community service into the mission of the university, adding a third dimension to the already established elements of teaching and research. The service dimension was essential to the assimilation of the waves of immigrants who flocked to the United States at the turn of the twentieth century, working in tandem with other social agencies that evolved, especially in the growing cities of this era. Soska describes how resolution of town-gown conflicts led to increasingly more extensive community engagement by institutions of higher education, regardless of their location in urban or rural areas. He concludes with consideration of the emergence of service learning as a key element in higher education in the United States, a phenomenon that is leading to ever increasing community engagement spanning local, national and international settings.

Stewart E. Sutin and Kathryn Bethea describe in Chapter 8 how the goals and purposes of community colleges changed during the second half of the twentieth century from providing the first two years ("junior" college) of a four-year college education to more community focused endeavors such as workforce development and building professional skills under changing social and economic conditions.



They provide several examples of specific community college initiatives that both broadened the scope of programs offered and narrowed the focus to local needs for an educated citizenry with specific types of skills. Also documented are examples of increasing involvement of community colleges with secondary schools in preparing students for college-level academic work. All of this has resulted in a continuing pattern of increased demand for and enrollment in certificate as opposed to degree programs. The authors conclude with a discussion of issues in finance and quality assurance.

Leaders and faculty of urban universities often reflect upon choices and opportunities to contribute to the greater wellbeing of their adjoining communities. The authors in Chapter 9 provide us with a detailed case study of Duquesne University (USA) and the way in which it embraced service learning as a requirement for its undergraduate students. Readers also gain from a brief literature review that is foundational to the descriptive components of this chapter. The authors describe practical application of John P. Kotter's (1996) eight-stage process to change, and the way in which service learning was embraced within the university strategic plan, thereby supporting its likely sustainability.

Civic learning and democratic engagement should be central to higher education community engagement activities according to Seth S. Pollack in Chapter 10. Pollack argues that in most cases, service learning is the most common form of civic learning adopted by HEIs. He reviews the importance of the Campus Compact coalition within the United States<sup>9</sup> and the Talloires Declaration globally,<sup>10</sup> noting how many HEIs are committing to make service learning and community engagement an integral part of their curriculum, research, and outreach initiatives. Pollack then turns to the case of California State University, Monterey Bay (CSUMB) to describe how students, faculty members, and administrators integrate a critical-service-learning approach into CSUMB's academic programs. Service-learning opportunities include teaching in the classroom, credit-based internship programs, and many community service work opportunities. Each CSUMB undergraduate student is required to participate in a two-semester-long service-learning course component that gets students out and into the Monterey Bay regional community. Pollack concludes that in order to best meet the higher education needs of the twenty-first century, higher education and community stakeholders at all levels should embrace critical civic literacy as a core goal.

In Chapter 11, Kecia Hayes and Emily Zenke share the history of Teacher's College and its founding mission as a basis upon which readers learn about the institutions' ongoing initiatives to partner with the New York City Department of Education to operate a seven school Partnership School Consortium. The scope of this collaboration is clearly defined, along with challenges and lessons learned. This is a comprehensive case study of institutional commitment to applied education "best practices" at the K-12 level within an urban setting.

Anne Kaplan (Chapter 12) details several exemplar community engagement initiatives Northern Illinois University (NIU) has established within the Chicago metropolitan area. NIU has a long history of collaborating with local and regional government agencies, community colleges, school districts, and health agencies.

Building on this partnership legacy, Kaplan notes how NIU is well positioned to lead both regional and national/international higher education community engagement efforts, including serving as the North American node of PASCAL Observatory International. Kaplan heads the Division of Outreach, Engagement, and Information Technologies, which coordinates NIU's community engagement efforts university-wide, including the PASCAL initiatives. Kaplan argues that much of the success NIU has experienced is due to the sustained top-level leadership and support provided toward community engagement projects and initiatives. Without this top-level administrative support structure, it is difficult to have long-term sustainable engagement at the local, national, and international levels (Lee et al. 2014; Thomashow 2014).

In Chapter 13, Carolyn M. Shields discusses the community engagement roles Wayne State University (WSU) has played in Detroit's urban development. The chapter is grounded on the notion of what Shields calls the need for "critical community engagement," especially in struggling urban centers faced with poverty and the need for renewal. Sometimes community engagement initiatives do not necessarily target those in most need, and this has been the case with several of WSU's recent community engagement goals according to Shields. The social justice aspect of higher education community engagement too often lags behind the entrepreneurial focus on development, job creation, and research-linkages. Shields also rightly acknowledges the external and internal challenges higher education administrators face in an era where many key community stakeholders (e.g., policy makers, community leaders, employers, and the general public) are questioning the rationale and role of higher education engagement, especially with the escalating costs of higher education and the difficulty many HEIs have in being able to prepare graduates with sufficient twenty-first century skills (Kay and Greenhill 2011; Symonds et al. 2011; Kaplan and Flum 2012; Pellegrino and Hilton 2012). While WSU has made significant inroads in a positive direction, Shields concludes that more community engagement still needs to be done, especially in helping to alleviate community inequalities and social justice shortcomings in Detroit.

The final section, Part III, includes five chapters on institutional case studies from China, Japan, Kenya, Mexico, and Saudi Arabia. China's long history of higher education service is recognized by Sumin Li and Dongfang Wang in Chapter 14. The authors begin their chapter with a historical overview of contemporary higher education service engagement in China, dividing the post-Cultural Revolution era into three phases: the *Initial Stage* (from 1977-1985), the *Deepening Stage* (1985-1992), and *Mature Stage* (1993 to the present). Li and Wang then describe how service is interwoven in Chinese higher education through direct links with the other two institutional mission areas of teaching and research. By categorizing all Chinese HEIs into one of three types—research universities, higher vocational colleges, and local universities—Li and Wang outline how the service-oriented portion of higher education institutional missions differ depending on the type of HEI. While the different types of HEIs exist, Li and Wang argue that collectively they are able to meet the societal and outreach service needs at local, national, and international levels.

In Chapter 15, Futao Huang draws from the Changing Academic Profession (CAP) survey conducted in 2007-2008 in 18 countries and Hong Kong. The CAP survey was in many ways a follow-up survey of a Carnegie Foundation-funded survey in 1991-1992. The chapter focuses on the Japanese case and responses, and compares Japanese respondents with those from the other participating countries and Hong Kong. The CAP survey examines amount of time and interest faculty members spend on research, teaching, service, and administrative roles. Futao provides comparisons and commentary of Japanese participant results from both the 1992 and 2007 surveys, noting how service activities changed in several areas. The survey findings and Futao's analysis also highlight several differences that exist between the participating countries with more mature economies (e.g., Germany, Japan, and the United States) than those countries in which their economies are emerging (e.g., Brazil, Mexico, and South Africa). Faculty members from mature countries tended to spend much more time devoted to service activities than those from emerging countries. Japan was among the top-ranked sample countries in the amount of time faculty members devoted to teaching and ranked second (only after Germany) in amount of time devoted to service activity engagement.

In Chapter 16, David K. Serem and Augustine M. Kara describe how their newly chartered institution, Maasai Mara University (MMU), located in a particularly sensitive environmental area of southwestern Kenya, has taken steps to promote sustainable development. As the first university in the area of Kenya traditionally inhabited by the Maasai, a pastoral tribe that has traditionally existed by raising cattle in close-knit families for whom advanced learning was not a priority, MMU was founded to expand educational opportunities and aspirations. The region is also home to the Maasai Mara National Park, a magnet for tourists from all over the world who visit to view the spectacular wildlife. The authors discuss the institution's evolution from an affiliated college of Moi University into a fully chartered, independent university, highlighting ways in which its founding principles supported initiatives related to sustainable development. From its inception, MMU has sought ways to engage the Maasai community in advanced education, including offering incentives for enrollment such as lowered admission requirements and expanding financial support for students whose qualifications are too low for them to receive government scholarships. The authors conclude with a discussion of further steps required to fulfill the promise of sustainable social as well as environmental and economic development.

Gustavo Gregorutti and colleagues detail in Chapter 17 a university-community engagement initiative in Montemorelos, Mexico. The chapter focuses on the case of the Center *Luz y Vida* (Light and Life) at Montemorelos University, in which students, faculty members, and community members participate in planning, implementing, and evaluating community health projects. They are real projects for the people of Montemorelos, and community leaders and members are actively engaged in helping to curb the obesity epidemic, especially among children. Gregorutti and his colleagues point out how those engaged with this ongoing initiative are involved in active learning and research projects that aim to help

improve ways in which the Center can best meet local public health needs. Changes from several of the projects have been substantial and in many ways reciprocal. Community leaders, including politicians, were able to recognize the value the health initiatives has on society in general. And participating students and faculty members also benefited in terms of being able to better align their coursework and research with practical cases linked to their own community.

Finally, in Chapter 18, Eiman S. Abokhodair provides a case study of higher education community engagement through a leadership training workshop with senior administrators of Princess Nora Bint Abdul-Rahman University. The chapter addresses how new modes of training are required to reach female leaders of HEIs in Saudi Arabia. Abokhodair argues that Saudi higher education leaders must be willing to “take risks, respond positively to change, and ... facilitate change, so that the rate of organizational transformation matches or exceeds the rate of environment change.”

## CONCLUSION

The unparalleled role HEIs play in communities is an important piece in the cultural and economic development of all societies. Not all stakeholders view the current and future role of higher education in the same light. In an era when higher education continues to be scrutinized by many policy makers, those in the media, and the general public, it is especially important to recognize the significant contributions HEIs play in local, national, and international community engagement activities. This volume offers readers a glimpse into many unique and comparative higher education community engagement initiatives.

In this chapter, we began by defining community engagement in higher education and highlighted the various bridging and symbiotic relationships that exist between communities and HEIs. There is a spectrum of relationship types that exist, ranging from personal networks to long-term sustainable initiatives between institutions, governments, and industry. Community engagement and outreach is discussed geographically at the local, state/provincial, national, regional, and international levels, with several success and failure examples provided. Types of community engagement activities are equally diverse, but are often linked to teaching, research, outreach, and service-learning activities. Information communication technology (ICT) continues to serve as an essential lever in establishing broader and optimal outreach initiatives (Joshi et al. 2013); and ICT is often able to reach out to key stakeholder groups at all levels and increasingly in more efficient ways. In addition to stakeholder participation, buy-in, and ownership, there is a continual need for sufficient and committed leadership, relevance to community needs, and a focus on quality assurance principles, which are all identified as key ingredients necessary for successful and sustained engagement initiatives. Without these key ingredients many higher education community engagement initiatives fail. The 33 contributors of this volume offer unique insights and personal experiences from many higher education community engagement initiatives that address these important issues.

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## NOTES

1. The three colors are those of the Pittsburgh Steelers American football team's logo, with yellow representing coal, orange representing iron ore, and blue steel scrap.
2. The following six U.S.-accrediting organizations are recognized by the Council for Higher Education Accreditation (2013): Middle States Commission on Higher Education; New England Association of Schools and Colleges – Commission on Institutions of Higher Education (NEASC–CIHE); North Central Association of Colleges and Schools – The Higher Learning Commission (NCA–HLC); Southern Association of Colleges and Schools (SACS) and Commission on Colleges; Western Association of Schools and Colleges – Accrediting Commission for Community and Junior Colleges (WASC–ACCJC); and Western Association of Schools and Colleges – Accrediting Commission for Senior Colleges and Universities (WASC–ACSCU).
3. Formerly known as the Association of Canadian Community Colleges (ACCC) since the organization founding in 1972, the name was changed to CIC in 2014.
4. PRIA (2015) has active programs in Afghanistan, Bangladesh, Cambodia, Indonesia, Laos, Nepal, the Philippines, and Sri Lanka.
5. Also known as the *Morrill Act* because of its sponsor Justin Smith Morrill of Vermont, the *Land-Grant College Act* of 1862 essentially provided states and territories with land from the federal government to help them establish HEIs with an agricultural and/or mechanic arts focus. Participating states and territories had the autonomy do establish new HEIs or to sale the land to provide funds for the establishment of HEIs that often became known as agriculture and mechanic (A&M) colleges and universities (Williams 1991). The more than 80 HEIs ultimately established through such federal grants include the University of Alaska Fairbanks (1917), American Samoa Community College (1970), Pennsylvania State University (funded in 1862, although it was founded in 1855), Texas A&M University (1876), University of California (1868), and Utah State University (1888).
6. In addition to Facebook, there were many other social media platforms used by the participating HEIs, including Twitter, YouTube, Orkut, Blogger, Wordpress, Slideshare, Scribd, Delicious, Digg, Reddit et cetera (Chauhan and Pillai 2013).
7. This guiding policy document laid the groundwork for the Department of Education's (2001) *National Plan on Higher Education* that recognizes community engagement as one of three core functions of South African universities, along with teaching and research.
8. Sun Microsystems was founded in 1982 by three Stanford University graduate students—Andy Bechtolsheim, Vinod Khosla, and Scott McNealy. Yahoo! was founded by David Filo and Jerry Yang in 1995, both of whom were Stanford University graduate students. Google was founded in 1998 by two doctoral students at Stanford University, Larry Page and Sergey Brin.
9. The Campus Compact coalition was established in 1985 by the President of the Education Commission of the States and the presidents of Stanford, Georgetown, and Brown universities. It has since grown to include over 1,100 presidents of HEIs in the United States with a mission to advance “the public purpose of colleges and universities by deepening their ability to improve community life and to educate students for civic and social responsibility” (Campus Compact 2015).
10. The Talloires Declaration was drafted in 1990 in Talloires, France and is sponsored by the Association of University Leaders for a Sustainable Future (ULSF). It is comprised of a ten-point community engagement action plan that incorporates “sustainability and environmental literacy in teaching, research, operations, and outreach” at HEIs worldwide. Originally, only 22 university heads signed the declaration, including Wesley W. Posvar, Chancellor of the University of Pittsburgh, but this number has since grown to over 400 worldwide (ULSF 2015).

**PART I**

**THEMATIC ISSUES RELATED TO HIGHER  
EDUCATION COMMUNITY ENGAGEMENT**

KASSIE FREEMAN

## 2. DIVIDE AND CONQUER

### *Long-Term Consequences for Education, Economic Participation, and Higher Education Engagement*

This chapter's focus on educational issues about members of the Black Diaspora at first blush sounds as though it is going to be negative and condemning. However, the hope is that it will instead provide a new and/or different way of looking at historical events that have created quite a dilemma in the past and have left soaring vestiges of questions about the future, particularly as it relates to education at all levels and economic participation for all. Higher education community engagement is exactly the arena that can help institutions and their stakeholders wrestle with different sets of challenges and engage in debates that will hopefully lead to new policies—or, at a minimum, shed new light on engaging possibilities. After all, bringing people together and providing spaces to address important issues is a central purpose of higher education institutions, both individually and collectively.

#### DIVIDE AND CONQUER: THE LONG-TERM CONSEQUENCES FOR EDUCATION AND ECONOMIC PARTICIPATION

What does this mean for reforming higher education policies and practices, particularly as it relates to community engagement? It is easy to assume that any time the subject of Divide and Conquer is broached that both terms conjure up negative, divisive language and thoughts, and can mean placing blame. That is not the intent of this writing. Actually, this long overdue focus is on the education participation, or lack thereof, of Black populations across the Diaspora. The intent is to first provide a brief historical context, followed by global implications of the Divide, particularly as it relates to education, and conclude with implications of the Divide for reforming policies and practices as it relates to higher education engagement and partnerships.

#### BRIEF HISTORICAL OVERVIEW

First, it is important to understand the backdrop of the creation of the Black Diaspora. It is as James Anderson (1988) indicated, that to understand the experiences of Black people (of any people), it is necessary to examine the historical context of their existence. The Black Diaspora can be defined as the “dispersal of people removed/exiled from a common territorial/geographic origin, Africa” (Pierre 2001, p. 1). Although slaves were traded since as early as the

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fifteenth century, it was during the Berlin Conference of 1884-1885 that a meeting was held between European nations to create rules on how to peacefully divide Africa among themselves for colonization.

At that meeting in the second half of the nineteenth century, after more than four centuries of contact, including the African slave trade that constituted the largest forced migration in human history (Wikipedia 2012), the European powers finally laid claim to virtually all of Africa. Parts of the continent had been “explored,” but now, representatives of European governments and rulers arrived to create or expand African spheres of influence for their patrons. Competition was intense. Spheres of influence began to crowd each other. It was time for negotiation, and in late 1884, a conference was convened in Berlin to sort things out. This conference laid the groundwork for the now familiar politico-geographical map of Africa, drawn with virtually no concern for historical residential patterns of tribes and ethnic groups.

The Berlin Conference was Africa’s undoing in many ways. The colonial powers superimposed their domains on the African Continent. By the time Africa began regaining its independence in the 1960s, the realm had acquired a legacy of political fragmentation that could neither be eliminated nor made to operate satisfactorily. The African politico-geographical map is thus a permanent liability that resulted from a three-month period when Europe’s search for minerals and markets had become insatiable. In other words, now almost 130 years after the Berlin Conference, Africa was released from the domination of European nations and, in many cases, individuals from those colonies were removed to the corresponding countries, whether Great Britain, France, Portugal, later to the United States, Brazil, and the Americas, as examples. Today, individuals still come from formerly colonized countries, both voluntarily and involuntarily, to the countries that colonized them.

What does a comparative analysis of the Black Diaspora afford researchers and practitioners, particularly as it relates to education participation generally and, more specifically, community engagement? There are at least three reasons why this analysis is essential: First, a historical context can provide an examination of similar and different educational challenges to better determine different and new paths. Second, a broader examination of the educational experiences of Black populations going beyond those of African Americans, offer the opportunity to rethink new and different solutions. Third, a review of similarities and lessons learned across groups can lead to broader and more generalizable possibilities, using history and cultural contexts as lenses.

#### CONSEQUENCES OF THE DIVIDED BLACK DIASPORA

There were several consequences of the Divided Black Diaspora. The first of many was the process of marginalization and silencing. Decisions were made and executed far away from the affected individuals—on another continent, with no voices to speak for the affected individuals.

*Marginalization/Silent Voices*

The process began with the affected groups not participating or having voice in the course for the direction of their lives, especially not participating in education. Particularly, as new arrivals in different countries, small in number, and in unfamiliar terrain, Black populations were relegated to lower status in every sector. For example, writing about the Afro-French and linking invisibility with marginalization, Crystal M. Fleming (2012) states the following:

Ironically, their ethnoracial ‘visibility’ in metropolitan classrooms is accompanied by a symbolic ‘invisibility’ due to a lack of representation in the historical and cultural material included in the centralized French educational system. The paradox of both being marked and unmarked, visible and invisible, contributes to the complex challenges Antilleans face in being both Caribbean and French. (p. 80)

Even countries like Sweden that purport to be neutral on most things, including race, still reflect the marginalization of Afro-Swedes (Habel 2012):

Today, Afro-Swedes are certainly visible as a growing minority in Sweden, yet exceptionally marginalized in political and cultural terms. Even if the history of the Black presence may go back as long as in many parts of Europe, it enjoys an ambivalent status: on the one hand it is recurrently spectacularized as purportedly recent—something intriguingly cool, different, and exotic (or abject) in quotidian culture. On the other, the presence and achievements of Black people is often overlooked or erased in historical records. (p. 107)

This same situation is described repeatedly in countries where Black populations have migrated, voluntarily or involuntarily (in many cases enslaved and brought against their will). They are marginalized and/or voiceless.

*Uneven, but Constant, Lack of Participation in Education at Every Level*

If you fast-forward, another consequence of the Divided Black Diaspora, using the United States, England, France, and/or the Americas as examples, is that Blacks are disproportionately uneducated or undereducated at every level of schooling, especially higher education. For instance, in Portugal, according to the Honorable Fernando Ka (2012), the percentage of the Black population with at least a compulsory school (ninth grade) education is less than 1 percent, when the Black population is 8 percent to 10 percent. According to Ka, Afro-Portuguese school success will depend, undoubtedly, on addressing infrastructures for such issues as after school programs, places where students can receive assistance with their homework and be supported in their studies by appropriate teachers while they are waiting for their parents to come home (p. 75).

This pattern of exclusion of Black populations’ participation in education is repeated in other European countries, for example, Germany. In his research, Long

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(2012) cites the work of Massaquoi who indicated, “Children of African Diaspora families were many years not allowed to attend secondary schools or were limited to the Berufsschule that educated them for low-skilled trades” (p. 125). Cecile Wright (2012) writes about the differential treatment of Blacks in the United Kingdom. She poignantly indicates, “Within educational discourse, Black and minority students have been regarded historically as a problem in and for the British educational system (p. 66).

However, this pattern of excluding Black populations’ participation in education is not limited to Europe. In Latin America, the pattern is similar, even in countries, like Brazil, where Blacks are in the majority. In Brazil, although the Black population is 51 percent, according to the U.S. Department of State, Blacks are terribly underrepresented in education. Dassin (2013), reporting from a 2005 World Bank publication, indicated that “higher Education in Latin America remains largely elitist, with the majority of students coming from the wealthier segments of society” (p. 20). With newly voted comprehensive affirmative action policies, where a person’s race can be taken into account, Brazil will be an interesting case to watch.

An often overlooked and under-researched Black population in Latin America is Afro-Ecuadorians, who have only recently been able to claim their Black heritage. According to Johnson (2012), “for the first time in history, Ecuadorian people of African descent were able to identify themselves with the normal census conducted in 2001” (p. 27). Even with only recent ethnic identity, there has been differentiation in the quality of schooling. As Johnson has indicated, “schooling in the city of Esmeraldas is racially segregated and unequal regarding economic and cultural resources” (p. 38).

Because of the value of education in uplifting people from their circumstances, how Black populations globally have confronted this reality is particularly important. Unfortunately, this reality continues as a consequence of the divided Diaspora.

### *Unemployment or Underemployment*

The next common thread among Blacks across the Diaspora is the high level of unemployment and/or underemployment that has deep historical roots. Just as Black people in America were relegated to working the land and as servants to increase the wealth of this country, so were Black people in European countries. For example, according to Fryer (1992), “The majority of the 10,000 or so black people who lived in Britain in the eighteenth century were household servants—pages, valets, footmen, coachmen, cooks, and maids—much as their predecessors had been the previous century” (p. 73). Although working menial jobs, Fryer conceded that as a Liverpool writer declared in 1893, “It was the capital made in the African slave trade that built some of the docks and the price of human flesh and blood that gave us a start” (p. 66).

Similarly, in Germany, Black people “were forced to cultivate export products or to work on plantations and in the mines of whites” (Opitz et al. 1992, p. 25). The

same was the case in Portugal. According to Saunders (1982), “The nobility employed—or underemployed—large numbers of slaves solely as domestic servants” (p. 63).

Through his interviews with Afro-Ecuadorians, Johnson (2012) found explicit examples of differential treatment as it related to employment opportunities. An interviewee made this observation:

For example, in the opportunities for employment in our environment, in the few private companies there are, there does not exist the well-defined possibilities for a Black, for example, to access very easily a job. Applying for a job I would say it like this, those administrators and company owners prefer the non-Blacks. They prefer them and I have seen it. (p. 36)

Although the Divided Diaspora had historical consequences on the employment status of Black populations, the remnants of the status remain today. Across the globe, Black populations continue to be unemployed and underemployed. The United States is an example. Where the overall unemployment rate in the United States is just under eight percent, for African-Americans unemployment is almost double that percentage at 14-15 percent (U.S. Census Bureau 2010). These rates of unemployment contribute to the high rate of poverty among Blacks.

#### *High Levels of Poverty*

Lastly, a consequence of the Divided Black Diaspora, tragically, includes high levels of poverty. In the United States, the poverty rate for Blacks is approximately 27.4 percent, more than one in four, compared to one in seven (15.1 percent) nationwide (U.S. Census Bureau 2010). In Great Britain, the poverty rate of Black Africans is 45 percent and Black Caribbeans is 30 percent, compared to 20 percent White British (Kenway and Palmer 2007).

This level of poverty of Black populations is similar across different parts of the world. For example, according to Johnson’s (2012) findings, Ecuador census data indicated that within the city and province of Esmeraldas, 56 percent of the overall population live at or below the poverty line while 79 percent of Afro-Ecuadorians live in poverty.

The high levels of Black uneducated and undereducated populations contribute to continued high levels of unemployment and poverty. Higher education institutions have a role to play in both highlighting and combating this global dilemma.

#### IMPLICATIONS FOR REFORMING CURRENT HIGHER EDUCATION POLICIES AND PRACTICES OF COMMUNITY ENGAGEMENT

What are the implications and importance for reforming current higher education policies and practices of community engagement? To answer this question, community engagement needs to be defined and understood. I am using the definition from the National Resource Center on Advancing Emergency

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Preparedness for Culturally Diverse Communities (2012): “Community engagement is the process of working collectively with and through groups of people affiliated by geography proximity, special interest, or similar situations to address issues affecting the well-being of those people.” Further, they state, “It often involves partnerships and coalitions that help increase resources and influence systems.” This definition highlights important roles of higher education engagement. For one, higher education is a place of special interest, as outlined in the definition. The key is working collectively, targeting specific goals to achieve common outcomes.

More importantly, higher education community should be based on partnerships and coalitions that help increase resources and influence systems. The following are four suggestions for leveraging these partnerships and coalitions.

#### *Bringing Together Communities/Partnerships to Address Concerns (Equal Voices)*

Bringing together communities/partnerships to address education participation at every level is an imperative. Higher education institutions are ideal communities to begin to create partnerships to rethink the influence of the vestigial remains of conquering and dividing on the current outcomes of education participation. However, rather than working collectively to achieve different goals as it relates to Black populations across the globe, this research suggests that higher education institutions have been almost silent partners. In every country, Black populations have been underrepresented in education participation at every level. More disheartening is the lack of the voices of these populations in discussions of different alternatives to address some of these issues.

How does the higher education community change this? It begins with acknowledging that a problem exists. It then requires focusing attention on establishing true partnerships and engagement to influence resources and systems. Questions must be addressed to identify what different systems should be put into place and what resources are necessary to achieve different outcomes.

However, the partnerships must be equal voices and a combination of voices must be included, not just voices from the higher education community alone. There should not be silent or marginalized voices, as a carryover from processes created from the past.

#### *Engaging with Broader Stakeholders*

Next, it is necessary to engage broader stakeholders. These stakeholders must include a range of educators (scholars and practitioners), economists, policymakers, and it must truly be from a global perspective. The higher education community certainly has a leadership role to play in engaging these stakeholders, given education is so critical in a globalized world. There must be partnerships both intra- and inter- community. By this, I mean partnerships and action plans must be defined within the Black community and developed and shared among global communities. Certainly, there are recognized cultural and language barriers



between Black populations. Even so, the challenges of education participation, poverty, and unemployment of Black populations are similar across groups and countries. Consequently, as a first step, discussing and determining common plans and goals must occur between and across groups as a critical first step.

Given that it is rare that Black populations have come together to discuss the commonalities and possible solutions to common problems, such as the educational dilemma facing Blacks globally, defining steps to address such an ingrained problem is important before suggesting to groups outside of the culture how they can form beneficial partnerships. It is imperative to address questions such as the following: What should be the first steps? How can Black populations from different cultures share common solutions, while maintaining their identity? How should other communities be engaged? Can and/or should similar patterns be formed and be productive across cultures?

A range of different voices and institutions must be included in these new stakeholder relationships. For example, what role should Historically Black Colleges and Universities (HBCUs) and predominately-Black higher education institutions in other countries play with respect to building intra- and inter-community relationships?

It is after these intra-community discussions that higher education engagement can be most effective. Otherwise, the higher education community will be following old models and paradigms in determining what is best for different populations without their input or voices. Understanding how these communities unfold for the betterment of all is a highly necessary step and can determine the most appropriate higher education community engagement strategies.

*Redefining What the Current Higher Education Participation Policies and Practices Should Be in a Globalized, Mobile World*

Redefining what the current education participation policies and practices should be in a globalized, mobilized world must be addressed. How should higher education participation be increased, truly utilizing multiple stakeholder voices? At present, there continues to be a void in Black voices being included in the development of solutions regarding their education participation. Are Massive Open Online Courses (MOOCs) the answer to higher participation and quality participation for inclusion? What should be the distribution of higher education participation across various sectors? What should be new and different linkages between higher education and the world of work that truly value multiple stakeholders? What is the real value of study abroad and why has it stayed stagnant across groups? How could documentation through research and practice be better applied to recruit, retain, and graduate more students from diverse ethnic backgrounds?

These are just some of the questions that need to be addressed to value and appreciate broader participation in higher education in a globalized, mobilized model, and to ensure authentic higher education engagement.

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*Developing/Defining New/Different Paradigms*

Finally, what higher education researchers, scholars, and practitioners will agree is that the current education models are not working for all, particularly for Black populations, across the Diaspora. There has to be that acknowledgement. No policies can or will be effective without allowing the affected individuals' voices in their own solutions.

Higher education must move away from the old divide and conquer mindset and model to a unified and equal voices partnership. This must be a true community engagement and groups like higher education institutions and associations must be the catalyst. After all, it is through engagement that partnerships and coalitions can be developed that can help increase resources and influence systems to increase higher education participation for all.

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ALEX JOHNSON AND DAVID HOOVLER

### 3. SERVICE-LEARNING AND DISASTER RECOVERY

*Implications for Government, Communities, and Colleges*

#### INTRODUCTION

As more students seek to participate in service-learning, the range of service activities has expanded to include helping fellow Americans recover from natural disasters. Nowhere was this more evident than during the aftermath of Hurricane Katrina. In the months and years that have followed that disaster, college students have been essential to the recovery and rebuilding of Gulf Coast communities.

For example, Delgado Community College in New Orleans, where I served as chancellor during Hurricane Katrina, benefitted from the benevolence of students from Marietta College in Ohio. These civic-minded individuals removed computer equipment and books destroyed by the flood waters and donated a truckload of badly needed supplies for use by Delgado students.

The influx of student volunteers following Hurricane Katrina proves that student volunteers can be beneficial, especially when participating in service-learning courses and programs that prepare them for such engagement (Schaad 2006; Sescon and Tuano 2011). An important aspect of successful service-learning initiatives is ensuring that there is ample coordination among government, communities, and schools (Bentley College 2006; Pierce and Bolton 2006; Steiner and Sands 2000). With this in mind, the numerous service activities that attempted a coordinated effort in the Gulf Coast can illustrate how this approach might work. In turn, these examples may lead to a model that can be useful to colleges and students planning to participate in relief efforts following other natural disasters.

#### SERVICE-LEARNING

Service-learning is an educational strategy that integrates meaningful community service with instruction and reflection to enrich the learning experience, teach civic responsibility, and strengthen communities (Carter 2012). While service-learning is applied across all educational sectors, its use at the postsecondary level is helping to create a culture of engagement that facilitates meaningful campus-community connections and reinforces higher education's role in preparing future leaders to tackle pressing issues.

Service-learning evolved from the rich tradition of volunteering undertaken historically by college students and groups as a way to enhance their civic responsibility (Barber 1991). However, what was once viewed as informal student engagement has become now through service-learning an additional means for

reaching educational objectives and earning academic credit when learning associated with service can be identified and evaluated (Bringle and Hatcher 1996). According to Campus Compact, a national organization that promotes civic engagement by the nation's academic institutions, the focus on service-learning in the last 25 years has led to more students on more campuses engaging with their communities in ways that create strong partnerships that reinforce academic learning and encourage lifelong civic habits (Campus Compact 2011).

Campus Compact reported that the missions of 91 percent of its 1,200 member schools mention service-learning and 90 percent noted that their strategic plans explicitly addressed this area. Eighty-three percent reported that service-learning is a general education outcome focused on service to the community, education for global citizenship, student civic engagement, or leadership development. Nearly 98 percent of the colleges reported having on average 125 community partnerships designed to build deep, reciprocal, and sustainable relationships that strengthen the community and the institution.

In 2010, approximately two million students at Campus Compact member institutions contributed an estimated US\$9.1 billion in service to their communities. The most broadly targeted areas of engagement were K-12 education, health care, and those areas affected by America's economic crisis, such as hunger, homelessness, and senior/elder services. As student and faculty interest and participation in service-learning have gained momentum, institutional support has improved as well. Additional resources for staff and direct funding for activities, programs, and research prove that campuses are committed to a mission of civic engagement that benefits the community while helping students attain a degree and educating them for social responsibility.

#### SERVICE-LEARNING AND HURRICANE KATRINA

For residents of the Gulf Coast, the June-to-November hurricane season, with its attendant warnings and occasional evacuations, had been an unremarkable annual occurrence. During the 2004 season, people fled New Orleans amid dire predictions of a direct hit from Hurricane Ivan only to be informed just two days later that it was safe to return to a community relatively unscathed by the storm. But with Hurricane Katrina in 2005, the customary few days' evacuation resulted in an exile of several months for most individuals. For other people, the hurricane damage to their homes and communities was so severe that it dimmed the prospects of their ever returning home. Literally two-thirds of the city was destroyed and one million residents, including 84,000 college students, were scattered across 37 states (Johnson et al. 2006).

Nothing was more emblematic of these conditions than the plight of the students, faculty, and staff at Delgado Community College. Delgado was founded in 1921, and had grown to a student population of 17,500 just before Hurricane Katrina hit its four campus locations. Four days after the storm, I assembled the key leaders of Delgado on the campus of Baton Rouge Community College in a facility loaned by its Chancellor, Dr. Myrtle Dorsey.

The team immediately began the sometimes-frustrating task of working with state and federal officials to reopen the college by the spring 2006 semester. Displaced students were contacted and, where possible, they were enrolled physically at other colleges or in online classes offered by institutions that were members of the Visiting Electronic Student Application (VESA), enacted for displaced students by the Sloan Foundation and the Southern Regional Education Board. Information technology functions were restored, especially the website and administrative systems. A public relations campaign was launched to ensure that the Delgado family and Orleans Parish residents were updated regularly on measures to reopen the college.

The facilities were evaluated to determine if they were capable of holding classes. We discovered that only 60 percent of our buildings could be occupied; thus began the long and difficult process of restoring and rebuilding damaged facilities. After much discussion with personnel at the Federal Emergency Management Agency (FEMA) and Louisiana's Office of Facilities Planning and Control; meetings with federal and state lawmakers; and hard work from members of the faculty and staff at Delgado and the student volunteers from Marietta College, Delgado reopened with limited capacity in January 2006.

The students from Marietta College were emblematic of the volunteer support following Katrina's devastation. The relief effort one year following the storm had welcomed 233,760 relief workers, raised US\$2.12 billion, created 1,196 shelters for 1.2 million families and 3.7 million individuals from the Gulf Coast, and witnessed 348,000 acts of volunteerism, nearly half involving college students (Johnson et al. 2006). The contributions of college students, their colleges, and some higher education organizations can be summarized by the following examples.

#### *Shelters*

During the evacuation period just before the hurricane, shelters were established with the assistance of student volunteers on campuses. Centenary College in Shreveport, Louisiana, for instance, housed 250 students from Dillard University in New Orleans, which was covered by flood waters five to eight feet deep. Centenary students organized donations of food, clothes, toiletries, and transportation funds from churches and individuals in Shreveport (Brown 2005).

#### *On-site Assistance*

Organized student travel to disaster areas was important to the relief effort. For example, more than 105 students and staff from the University of South Carolina, with logistical assistance from the Salvation Army and the Southern Baptist Convention, traveled to Biloxi, Mississippi, less than seven weeks after the hurricane. The impromptu three-day volunteer effort, which involved only a one-day orientation before the trip, included mostly undergraduate students from throughout the university. The students were divided into five workgroups and

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assigned to cleaning out homes, loading and unloading supplies, and distributing meals (Pierce and Bolton 2006).

#### *Ongoing Student Support*

Bentley College's Hurricane Katrina Service-learning Project was developed in response to the devastating impact of the hurricane on the Bayou La Batre Rural Health Clinic in southern Alabama. It is an example of how the ongoing involvement of students can aid the long-term viability of community assets, in this instance a sorely needed community health clinic.

The project used an integrated, team-based approach to rebuild and improve the business processes at the clinic. The deliverables included a business plan, a web page, a database design, and a disaster response plan. Several grant proposals amounting to \$1 million for the clinic were also developed. The overall project involved 23 students enrolled in a central course, *ID299 Rebuilding Business Processes*, as well as 54 students from six additional satellite courses (Bentley College 2006).

#### *Organizational Support*

Inspired by the students' actions, some colleges and educational organizations made it possible for displaced college students to continue their education. Among others, the North Carolina Community College System and 200 member institutions of the Society for College and University Planners provided free tuition to displaced students. As indicated above, students could also access free online courses at 200 colleges through VESA (Bailey and Kapp 2005; North Carolina Community College System 2005).

### INTERGOVERNMENTAL APPROACH TO NATURAL DISASTERS: IMPLICATIONS FOR SERVICE-LEARNING

As demonstrated in these previous examples, college students have valuable skills, expertise, and energy that can boost short-term and long-term recovery from a natural disaster. However, effective policies and practices must be in place in government, in communities, and at our institutions to lead, inform, and protect students engaged in helping their neighbors recover from a natural disaster.

The country's response to a natural disaster is designed to work from the bottom up. It begins at the local level and follows a series of prescribed steps through the state to, ultimately, the national level (Schneider 1995; 2008). In this process, higher levels of government should not supersede the responsibilities of the lower levels. In the case of a natural disaster, it is most likely that the three levels of government would work together.

This collaboration is also important to the success of volunteer activities involving students. It has been widely reported that the intergovernmental process was challenged during Hurricane Katrina. The process collapsed immediately,

particularly at the local level—where the severity of the disaster made it virtually impossible for the local emergency preparedness plan to be implemented. This made it difficult at the state level to identify and allocate appropriate resources. Several researchers observed that FEMA realized both the severity of the disaster and the dysfunctional nature of the response and initiated a top-down system that only served to delay recovery (Schneider 2005; 2008; Sobel and Leeson 2006; Sobel 2012). In the first week of relief activities, FEMA refused to ship trailers to temporarily house evacuees, turned away critical generators needed by hospitals, turned away trucks of water, prevented the Coast Guard from delivering fuel to facilitate recovery activities, and refused an offer by Amtrak to evacuate residents of the disaster zone (Leeson 2007).

#### *Local and Community Level*

At the local level, emergency preparedness agencies administer disaster assistance processes outlined in emergency management plans. These plans specify how a response might be carried out to meet the needs of the community and to conform to state and federal government policies. When the local jurisdiction has expended available resources or is otherwise in need of additional assistance, the response process moves upward to the state level.

In the local community, students are more apt to work with government-sanctioned agencies, like the American Red Cross and the Salvation Army, or community groups and organizations. Regardless of the contact, it is important to engage in prior discussion and written agreements between institution and community leaders—preferably in person in the affected community—on the nature of the service and the expected outcomes. The college must establish the chain of command for communications, including a discussion of meeting sites, security measures, and health services. With this effective communication, it is at the local level where students can have the greatest impact. This is especially true in the recovery stage of a natural disaster, during which they assist in restoring equilibrium to the community.

#### *State Level*

State governments mobilize additional resources to help deal with emergencies that local officials cannot handle independently. An emergency preparedness plan provides the framework for how resources should be deployed and the responsibilities of various state officials, including the governor—who can declare a state of emergency, mobilize the National Guard, and identify how resources should be used. The governor also is the official who makes a formal request to the federal government for additional assistance once state resources are exhausted. With respect to volunteers at the state level, states can direct volunteers to local communities through the federal Disaster Services program.



*Federal Level*

After 9/11, the Department of Homeland Security was formed and placed in charge of the nation's emergency management program by implementing a comprehensive approach to national emergencies. In most instances FEMA has the task of mobilizing broader federal resources and getting aid physically into disaster-stricken areas.

For decades, the federal government has promoted service-learning and volunteerism through its Corporation for National and Community Service, or CNCS. CNCS recognizes the importance of volunteerism as an aspect of the American culture of citizenship, service, and responsibility. Within CNCS is Learn and Serve America, the federal government's program of service-learning. Learn and Serve America is also a member of the Disaster Services program, whose role is to link communities to a network of dedicated student volunteers who enhance and add value to what already exists in communities and work in partnership with state service commissions, local government, non-profits, and faith-based organizations.

RECOMMENDATIONS FOR INSTITUTIONAL PLANNING AND INTERVENTION

As noted in the previous section, government response to a national emergency is prescribed at the local, state, and national level (Pierce and Bolton 2006; Schneider 2008). It is important that college officials understand how these levels work together and apply that knowledge to carry out the service-learning project successfully. During a service-learning project at the University of North Carolina Medical School after Hurricane Floyd hit the coast of North Carolina, Beat D. Steiner and Rebecca Sands (2000) worked closely with the governor's office and FEMA to identify communities and assess their needs. Making use of this information, they then contacted organizations to verify existing need and the organizational capacity to accommodate a large group of students. Only the Pitt County United Way was able to locate sleeping arrangements and work sites for the 50 students involved in the experience.

The planning with government and organizational officials must coincide with the academic preparation of students. The goal of such preparation is to undertake meaningful action to care for those in need while providing training for students. This specific goal requires that the learning objectives of the experience be clearly defined, but the experience itself must respond directly to the needs of the community.

A course in which this material is provided is preferable as a proactive, versus an episodic, way of preparing students interested in serving a community recovering from a natural disaster. Duke University, for example, has introduced a course in its civil engineering program open to all students entitled *Natural Catastrophes: Rebuilding from Ruins*. When offered initially, it enrolled 174 students who studied such topics as the Science behind the Catastrophe, Immediate Aftermath and Interdisciplinary Response, and Rebuilding and Asking Multifaceted Questions. The course ended with a service-learning experience in a

community hit by Hurricane Katrina, where 135 students in 10 teams cleared 30 homes (Schaad 2006).

When a course is not available, students should be exposed to a training or orientation program. This orientation may entail how to help victims cope with loss, deal with potential environmental dangers, and maintain contact with the institution and faculty leaders. Reflection should allow students to make the connection between the service experience and their learning, and evaluation of the experience should be conducted to help improve service-learning for future students (Bringle and Hatcher 1996; Bentley College 2006; NAMB 2012).

The institution must also identify the skill sets needed by students to perform the service (i.e., gutting damaged homes, helping to feed and clothe people, rescuing and caring for stranded animals). Finally, the college must determine provisions for accommodating students. The institution may be required to provide transportation, and students may be expected to supply their own sleeping bags, toiletries, food, and protective gear such as boots, masks, and gloves (Steiner and Sands 2000).

The students' written reflections about the experience are important for ensuring that they meet their personal and educational objectives. Their comments can be helpful also to improve the college's actions in response to future service-learning experiences. And local government and community organizations can benefit from feedback to help increase their effectiveness in using student volunteers in relief efforts (Pierce and Bolton 2006).

#### SUMMARY: DEVELOPING A BROADER VIEW OF EDUCATION

America has a history of leveraging the power of community engagement to foster vital, vibrant, and healthy communities. And when higher education institutions engage with community partners in focused, dedicated, and meaningful ways during national disasters, these collaborations have the ability to foster civic and economic change.

Such an important goal can be achieved more effectively when service-learning programs and courses prepare students in advance for engagement in disaster areas. This preparation should include gaining knowledge of how to work with government agencies to identify communities in greatest need, then collaborating with community groups and organizations to deliver relief in these communities. To determine the effectiveness of the service project, formal evaluations and student reflections can be useful to the schools, community organizations, and government agencies in strengthening future engagement efforts.

The current complex societal and environmental problems call for higher education to prepare students to take on unprecedented challenges beyond their careers for lives of productive civic engagement (Curley 2010). This environment will require these students to stretch their minds, their talents, and their resources in pioneering ways. As leaders, they will be called upon both individually and organizationally, as Cornell West (2001) describes, to situate themselves in the larger contexts of society, to be able to demand basic social goods—housing,

health care, education, and jobs—and to imagine a future grounded in the best of our past, but attuned to the frightening obstacles that now perplex us.

For this leadership to emerge, the federal government must continue to emphasize through programs and funding to CNCS the significant role that higher education institutions, their faculty, and students play in helping to solve pressing social problems in the nation's communities.

States must continue to serve as catalysts for ensuring that government programs link volunteers to communities in need, and that service-learning permeates grades P-16 as a way to prepare college- and work-ready graduates who can apply lessons from the classroom to real-life situations.

At the local level, communities and institutions must continue to dialog about the importance of service-learning as a vehicle for creating systems and infrastructure that support citizens now and in the future.

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## 4. ENGAGING TECHNOLOGY IN UNIVERSITY-COMMUNITY PARTNERSHIPS

### INTRODUCTION

In today's globalized world, which is full of challenges and opportunities, American higher education institutions are striving to establish themselves as active contributors to the social, cultural, and economic well-being of communities and society at large. Many universities perform as economic engines (e.g., the University of Chicago, the University of Pennsylvania) and act as anchor institutions (Syracuse University, the University of Pittsburgh) within their surroundings (McGahey and Vey 2008; Coletta 2010). Since the groundbreaking *Morrill Land-Grant College Act* of 1862, partnerships between universities and communities have steadily grown into a source of community revitalization (Fitzgerald et al. 2010; Collaborating for Change 2011). The 1996 Kellogg Commission on the Future of State and Land-Grant Universities once again emphasized the necessity for institutions of higher learning to be relevant to society and engage the world in meaningful ways (McDowell 2003). A vibrant field of knowledge associated with community engagement emerged, both in the United States and beyond, with an ever-increasing volume of contributions from a variety of disciplines ranging from education, sociology, psychology, communication, political science, urban development, social work, e-governance, and community informatics, to name a few.<sup>1</sup> As a manifestation of this growing trend, Sage Publications released a 950-page *Handbook of Community Practice* edited by Maric Weil, Michael S. Reisch, and Mary L. Ohmer in 2013.

Previous studies of campus-community partnerships focused on civic engagement (Ostrander 2004; Soska and Butterfield 2005); universities' civic mission (Checkoway 2001; Cuthill 2012), and societal impact (Hall & MacPherson 2011; Vidal et al. 2002); principles of research-based partnerships (Fitzgerald, Allen, and Roberts, 2010; Silka 2006); and strategies for positive change (Bowdon and Carpenter 2011; Thompson and Emmanuel 2012). The characteristics of effective partnerships (McNall et al. 2009) along with barriers to university-community collaborations (Cherry and Shefner 2004; Nyden et al. 1997), as well as the emergence of community-university partnerships internationally (Office of Community-Based Research 2009; Watson et al. 2013) have been thoroughly examined.

Despite growing interest in the concept of an engaged university and the key factors contributing to successful university-community partnerships (McDowell 2003; Watson et al. 2013), sparse attention has been given to the role of technology in such endeavors. The current chapter addresses this gap by focusing on digital

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technologies and the way they can be used in community engagement activities. The author considers the implications of new communication technologies for partnership activities, drawing from both communication theory and research, and identifies the characteristics of digital technologies that are most relevant: interactivity, asynchronicity, and de-massification. Social interaction technologies (Dumova and Fiordo 2010) and best practices in their employment in university-community partnerships are examined. The chapter concludes with a model highlighting the dynamic role of social interaction technologies in academic-community partnerships and identifies a direction for further research.

#### TECHNOLOGY, COMMUNITY ACCESS, AND CITIZEN ENGAGEMENT

Technology is often characterized as the tools and techniques produced by a society to meet people's needs. As such, technology functions as the practical application of human knowledge designed to solve a problem, serve a purpose, or improve an existing condition. Communication technologies can be viewed as the tools people use to expand their communication capabilities "beyond naturally endowed" (Williams et al. 1988, p. 3). Recently, these tools have evolved from analog technologies like radio, television, and film to digital technologies: computers, tablets, smartphones, touch screen displays, gesture control systems, and many others. The progress in digital communication technology has also brought about an unintended shift. Due to the widespread adoption of electronic devices, both stationary and handheld, the information retrieval function was taken over by the function of social interaction. Social interaction technologies can be defined as "an assortment of Internet-based tools and techniques aimed at initiating, maintaining, sharing, and distributing interactive and collaborative activities and spaces" (Dumova and Fiordo 2010, p. xl). These technologies, commonly referred to as Web 2.0, include an assortment of platforms and applications such as social networks (Facebook, Google+), blogs (WordPress, Blogger), microblogs (Twitter, Tumblr), photo and video sharing (Flickr, Instagram, YouTube, Pinterest), discussion forums, audio and video podcasts, instant messages, RSS feeds, social bookmarking services, and virtual worlds. As technology continues to evolve and becomes more affordable, the shift from information transmission and retrieval towards interaction, collaboration, and sharing becomes more visible.

Among the variety of existing perspectives on the role of communication technology in society, three approaches seem to be most relevant to the study of academic-community partnerships, namely: (a) communication technology as an agent of social change, (b) community informatics, and (c) the sociotechnical approach. Each approach has produced valuable conceptualizations and has been applied in empirical research. A substantial body of scholarship focused on communication technology and social change has been accumulated.<sup>2</sup> This literature emphasizes the constructive potential of Internet technology in society. Particularly, a number of investigations have examined the effects of the Internet on citizen engagement. Despite a degree of skepticism regarding the effectiveness

of new tools (see Chadwick 2003, 2006; Norris 2000), the role of new media technologies has been acknowledged as a stimulant for political and civic participation. According to a study by the Pew Internet & American Life Project, online users who employ Facebook, Twitter, YouTube, and other social media channels for political and civic purposes are 96 percent more likely to participate in offline civic activities than other Internet users (Rainie 2011, p. 2). An earlier Pew Research Center's analysis found that 56 percent of respondents involved in a political or community group communicated with other group members through email or group websites and about 10 percent used instant messaging (Smith et al. 2009, p. 9). Research applying the social change perspective also showed that the Internet and social media create new opportunities for the social engagement of youth (e.g., Bennett 2008; Jenkins 2009; Rheingold 2008).

A second view stems from the field of community informatics (CI), a newly emerged interdisciplinary area of knowledge concerned with the application of technology in a community setting.<sup>3</sup> As an area of research and practice, CI links the social, political, financial, and cultural developments of communities with the advancements in information and communication technologies (ICT) and aims at "furthering the well being and welfare of a community through the development and use of ICT" as its goal (Pierson 2000, p. 252). From a CI perspective, various digital technologies can foster community participation and support local economies. In the 1990s, the focus of CI research was largely on technology access and early Internet applications such as bulletin board systems (BBS), Usenet news electronic discussion lists, multi-user dungeons (MUDs), community websites, as well as community technology centers (often called Telecenters).

Studying the use of ICT for community practice brought several important concepts to the forefront that are of value for both academics and practitioners engaged in university-community collaborations, particularly, community access and digital divide. The notion of community access initially dealt with technical access, involving issues related to low-cost or free public access to the Internet, broadband (bandwidth capacity), hardware and software installation, maintenance, and the like (Gurstein 2000, p. 5). In the 1990s, even providing an Internet connection for a community access center could become a serious problem. Along with public libraries, universities were often the sites for such facilities. However, it became evident that community access involved more than simply providing access to technology. It entailed solving a range of organizational, financial, and human issues necessary for the successful bridging of technology and communities. The concept of digital divide suggests that there is a division between how different segments of society<sup>4</sup> access ICT (Zickuhr and Smith 2012). Because of Internet growth, the rise of mobile connectivity, and the wide adoption of Web 2.0 applications, the concept of digital divide has evolved to embrace not only differences in Internet access (such as high-speed connections or wireless broadband services), but also in digital media literacy including "the ability to read, write, and interact across a range of platforms, tools, and media" (Thomas et al. 2007).

A third view, the sociotechnical approach, capitalizes on the technology and social change perspective but differs from the latter in focusing on technology's attributes, functions, and benefits that it brings to the dynamics of communication between constituents (e.g., Lin and Atkin 2007; Metzger 2009). For example, research which concentrated on the use of ICT in public sector interactions, digital citizenship<sup>5</sup> (Mossberger et al. 2010), e-governance<sup>6</sup> (Milakovich 2011), and the transformative impact of Web 2.0 technologies on the relationship between stakeholders (Mergel et al. 2009; Osimo 2008) can be cited. Another useful feature of the sociotechnical approach is its emphasis on the social contexts of communication (e.g., Lievrouw 2009; Rice 2009; Rogers 2003). By examining a complex mix of evolving digital technologies and societal contexts, it is possible to enhance the understanding of the uses of communication technology in community partnership initiatives and more accurately evaluate their benefits and potential challenges.

Consistent with the sociotechnical approach, the new tools were conceptualized as computer-mediated social interaction technologies (Caplan et al. 2007, p. 50). The need "to adapt communication theories to evolving technologies and changing contexts in order to understand the uses and effects of computer-mediated social interaction technologies" (p. 51) has also been emphasized. In this context, the study of social interaction technologies is currently emerging as a subfield of computer-mediated communication. With advances in digital technologies, the unidirectional one-to-many modes that have previously utilized the Internet merely as a distribution channel started to give way to many-to-many communication systems with an unprecedented level of interactivity as well as asynchronicity and de-massification. The overall proliferation of digital technologies resulted in an array of new features and processes such as user-generated content, knowledge sharing, collaboration, customization, and personalization. The particular implications of the latest communication technology trends for partnerships between universities and communities are addressed below in more detail.

#### INTERACTIVITY

The notion of interactivity is central to understanding the nature and characteristics of digital technologies that are increasingly utilized in university-community. The term *interactivity* has been used since the 1980s to refer to human communication based on dialog and exchange (Lister et al. 2009). It was noted that not all computer communication is interactive as, in fact, is true with regular face-to-face communication because "human response implies listening, attentiveness, and intelligence in responding to a previous message exchange" (Rogers 1986, p. 5). In this context, interactivity was viewed as the capacity of new communication systems to "talk back" to the user (p. 4). Communication behavior based on interactivity was expected to be more accurate, more effective, and more satisfying to the participants in a communication process, and interactivity was therefore considered a desired quality of communication systems.<sup>7</sup> Since the wide adoption of the Internet in the 1990s and with the following explosion of a second



generation of web-based tools and service-oriented applications, or Web 2.0, interactivity came to the forefront of scholarly discussions in the field of communication and related disciplines. Interactivity has been understood as “the condition of communication in which simultaneous and continuous exchanges occur,” while these exchanges are viewed as carrying “a social, binding force” (Rafaeli and Sudweeks 1997). Although it has been acknowledged that interactivity is an inherent property of new technologies (e.g., Jenkins 2006; Metzger 2009), the question of the degree to which computer-based, technology-mediated communication can resemble or enhance human interaction remains unanswered.

### *User-Generated Content*

The explosion of user-generated or user-contributed content is of particular significance to academic-university collaborations. User-generated content is disseminated in a variety of forms via an array of digital platforms: photo and video hosting sites, blogs, podcasts, wikis, mashups, feedback allowing websites, and social networks like Facebook. Research suggests that universities can help communities bring their voice into regional media by utilizing their resources and skills to develop an infrastructure for community involvement. Web 2.0 technologies “offer a potentially strong vehicle for such ‘bottom up’ influence in neighborhoods and communities in the United States and around the world,” concludes Leo W. Jeffres (2007, p. 128), analyzing early evidence of the Internet’s facilitating impact on community engagement. The different content types that can strengthen community identity and community ties include blog posts and comments, user-created digital videos, product ratings, user tags, social bookmarks, and reader-contributed news.

The phenomenon of participatory news, also described as “community journalism,” “civic journalism,” “citizen journalism,” “grassroots journalism,” “open source journalism,” “do-it-yourself reporting,” or “networked journalism” allows community members to write their own news and create content such as photo galleries, blogs, wikis, and local events calendars. Howard Rheingold (2008, p. 112) identified four forms of citizen journalism, namely: reporting news (such as eyewitnesses’ accounts of crises events), investigative blogging (e.g., those that address political incidents), hyperlocal journalism (covering local meetings or sporting events), and digital storytelling (narrated oral histories or interviews supported with photos, audio, and video).

In Rockhampton, Australia, for instance, a collaboration between the University of Queensland’s information technology students and journalism students at the central Queensland University resulted in an innovative E-News project, which provided the opportunity for grassroots journalism through a community news website (Simpson et al. 2004). The E-News system allowed community members to contribute news stories online and in real-time, with university students serving as web designers and editors. The program stimulated two-way interactions between the participants by bringing “journalism to the community” and

“community to journalism” (p. 262) as it expanded the scope of traditional journalism to include informed members of the community, and encouraged readers to participate in community discourse.

For many people, the passive process of receiving the news is increasingly becoming an active, social experience. As a result, “a more interactive, dialogical or participatory style of newswork is currently very much ‘under construction’... and that more or less traditional makers and users of news are cautiously embracing its potential,” note Mark Deuze, Axel Bruns, and Christoph Neuberger (2007) in a study of participatory news production practices in the Netherlands, Germany, Australia, and the United States. The authors identify a variety of approaches in “re-connecting journalism with the citizenry” designed to produce a “co-creative, commons-based news platform” (p. 325). One such model is Skoeps.nl, the first Dutch participatory platform for regional and national news, which integrates user-generated multimedia content (such as photos and videos taken with camera-equipped cell phones) in partnership with the Utrecht School of Journalism<sup>8</sup> and 1,000 registered citizen reporters (p. 327).

One of the challenges of initiatives like E-News or Skoeps lies in their sustainability. The ability of technology to act as a catalyst for community involvement depends to a large degree upon the existing capacity of the local community (Simpson et al. 2004). Besides, citizen journalism remains dependent on traditional news organizations (Deuze et al. 2007) often serving as an extension of newspaper publishers or commercial broadcasters. To meet these challenges and capitalize on the new opportunities brought about by the developments of Web 2.0 technologies, many universities have begun to integrate citizen journalism into their curricula. J-Lab: The Institute for Interactive Journalism<sup>9</sup> lists 77 news sites across the United States that are created, hosted, and maintained by universities and populated with student-contributed content.<sup>10</sup> For example, CU-CitizenAccess.org, a website maintained by the Journalism Department of the College of Media at the University of Illinois at Urbana-Champaign, started as a partnership between the University of Illinois, Illinois Public Media in Urbana, The *News-Gazette* in Champaign, and a Spanish-language newspaper, *Hoy Chicago*, with support from the Marajen Stevick Foundation and the Knight Foundation. The report published by J-Lab, *The Classroom as Newsroom: Leveraging University Resources for Public Affairs Reporting* (Francisco et al. 2012), presents an overview of the variety of services provided by university-sponsored news sites. These models do not replicate traditional media organizations, according to the report, but rather explore “the astonishing possibilities of the new informational world” (p. 2696). Besides local news, student-run sites offer audio or video reports, reporters’ blogs, weekly newsletters, maps, infographics, and free mobile application gadgets like “Failed Restaurant Inspections in Urbana-Champaign.”<sup>11</sup>

### *Knowledge Sharing*

When exploring the potential role of digital communication technology in campus-community partnerships, it is essential to consider the new opportunities that have

emerged for the dissemination of knowledge and innovative ideas. In addition to acting as catalysts for community engagement, universities can play a leading role in stimulating new ideas, encouraging innovation, providing resources, and thus performing as anchor institutions that “at their best have the opportunity to energize an entire city” (Coletta 2010, p. 377). For example, the dissemination of knowledge or technology transfer is a critical component of many universities’ missions. Sharing knowledge, information, skills, and technologies can take many forms and occurs at different levels, ranging from local organizations, companies, and governmental agencies to individuals. The range of technologies available for transfer into the marketplace includes engineering technology, physical science technology, nanotechnology, medical technology, and other specialized technologies that meet societal needs.

For universities, communication technologies play an important role in building relationships with potential partners in technology transfer initiatives. An extensive online and social media presence can be achieved through web portals, RSS feeds, real-time updates, and the use of social networking sites like Facebook and Twitter, which would help universities enrich their daily communications and establish connections with technology transfer partner agencies. Through technology, universities disseminate much needed information related to intellectual property rights protection, patents, and licensing, as well as information about opportunities for industry-university collaborations. At Pennsylvania State University, for instance, emphasis is on new inventions and their potential to translate promising research ideas and discoveries successfully into products and services for the benefit of the local community and larger society. The university offers funding opportunities and business development support to startups, provides an infrastructure for industry-sponsored research, develops collaborative industry-university educational and training programs (including online training), and helps graduating students enter the workforce in the region. Technology transfer programs at Carnegie Mellon University contribute to industrial innovation and spur local economic growth through licensing, sponsored research, and new venture agreements.

In addition to encouraging innovation and stimulating local economic activity, universities can help address the specific challenges facing local communities by utilizing technology. Working to improve the recruitment and retention of educated workforce in the region, for instance, is another role that universities can play in the revitalization of their immediate neighborhoods, as can be seen in the example of Campus Philly (Coletta 2010). Campus Philly, a nonprofit organization that, according to its mission, “fuels economic growth by encouraging college students to study, explore, live and work in the Greater Philadelphia tri-state region.”<sup>12</sup> Based on a partnership between 26 colleges and universities,<sup>13</sup> regional businesses, and nonprofits, Campus Philly seeks to further student attachment to Philadelphia as a place not only to go to school, but also to live and work after graduation. An interactive website, [campusphilly.org](http://campusphilly.org), e-newsletter, and social networking groups on Facebook and Twitter connect college graduates with local internship opportunities and regional employers, offers information about dozens of on-

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campus events, cultural life of the city, volunteer sites, and other civic engagement activities. Among the new programs are Campus Philly Crawl, which introduces students to technology start-ups in the Greater Philadelphia region, and the Networking Lab for students in the fields of science, technology, engineering, and mathematics.

Some scholars contend that the use of social interaction technologies for engaging two-way interactions with the public, such as interactions between policy-makers and their constituents, can be hindered by local governments' and regional agencies' ability to implement new technologies to their full potential. A study by Cliff Lampe and colleagues (2011) describes a public outreach social media campaign, *AdvanceMichigan*, aimed to collect feedback from key stakeholders of a statewide policy and service agency, Michigan State University Extension (MSUE).<sup>14</sup> With the help of Michigan State University and partner agents from the government, financial, and legal sectors, MSUE provides a wide range of public services and targeted programs for the residents of Michigan communities. Between May and June of 2010, an interactive website offered multiple ways for community members to interact with the agency: submit ideas, vote on local projects, provide comments, and participate in discussions. To recruit and engage citizen participation, the campaign utilized Twitter and Facebook. Although 900 people registered with the site and made 561 unique comments, the campaign was not able to reach the projected scope and produce large-scale grassroots interactions due to a number of confines imposed by social and technical dependencies as well as specific task limitations (Lampe et al. 2011, pp. 5, 14).

#### ASYNCHRONICITY

Another valuable feature of new communication technologies that should be taken into account when planning community partnership activities is asynchronicity or their time-shifting ability. Communication scholars (Rogers 1986; Williams et al. 1988) have ascertained that digital communication systems' capability to send and receive messages at a time convenient for an individual implies a major change in the communication process. As such, asynchronicity offers a new level of control over message exchange, allowing users to overcome time as a barrier for interaction. The asynchronous nature of many Web 2.0 applications makes them especially useful for two-way interactions and bottom-up initiatives. Participatory community news sites and collaborative news productions, discussed earlier in this chapter, are among the most widespread applications of asynchronous technologies at the local community level. In addition, synchronous (real-time) tools like virtual conferencing platforms, live chat, text messaging, live blogging, and real-time data distribution can "enable broader, faster, and lower cost coordination of activities" (Rheingold 2008, p. 100) between community partners and other interested parties. Photo or video sharing and social networking services such as Flickr, Instagram, Pinterest, YouTube, Facebook, and Twitter, offer new ways to disseminate

information, raise funds, promote civic engagement, and enhance citizen participation.

### *Technological Convergence*

Among the most promising aspects of digital communication technology for academic partnerships is convergence or the ability to blur the boundaries between previously discrete media forms. As Miriam J. Metzger (2009) explains, media convergence happens because of digitization and other features associated with digital technologies: video compression, broadband, and multimedia. Technological convergence is the integration of multiple technologies and processes meant to enable technological innovations, produce better content, and disseminate content more effectively. From a user perspective, the interconnectedness of technological mechanisms provides new levels of engagement with mediated realities. The proliferation of mobile platforms made it apparent that convergence ultimately blurs the boundaries between traditional media formats such as text, images, audio, and video allowing them to flow across platforms and distribution channels (Jenkins 2001; 2006). Users are mastering the attributes of new technologies “to bring the flow of media more fully under their control and to interact (and co-create) with others” (Jenkins and Deuze 2008, p. 6). A most recent development is the growing degree of overlap between different social media, which results in the convergence of individual social media platforms and tools. The phenomenon of social media convergence considerably expands their functionality and facilitates two-way interactions between content producers and consumers (Dumova 2012).

The following example demonstrates the transforming role of new communication technologies in partnership programs that involve communities and educational institutions around the world. *I’m a City Changer*<sup>15</sup> is a global movement aimed to create better cities by sensitizing and raising awareness about challenging twenty-first century urban issues among citizens.<sup>16</sup> To share best practices in improving city life in their local areas, the campaign encourages citizens to upload photos using an Instagram application, tag them with #imacitychanger, and continue the conversation on Twitter and Facebook networks. With support from the United Nations Human Settlements Programme (UN-Habitat), this worldwide campaign serves as an online platform and communication tool for a global discussion between community-based organizations, academic institutions, the private sector, and local governments on issues of urban development and sustainability. According to a press release issued by UN-Habitat:

*I’m A City Changer* presents a change in the urban paradigm. It aims to convey to every city decision-maker the potential in changes in urban strategies and policies, and encourages citizens to adopt new attitudes towards life style and consumption.<sup>17</sup>

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Some of the featured cities are Paris, Marseille,<sup>18</sup> Berlin, New York, Vancouver, Nairobi, Kathmandu, Rio de Janeiro, Medellin, Sao Paulo, Belo Horizonte, and Porto Alegre. Among the academic partners is the University of Pennsylvania's Penn Institute for Urban Research (Penn IUR). Through partnerships with urban practitioners and policy makers, Penn IUR examines local and global innovations and disseminates its research worldwide. It focuses on national and international urban issues in three areas: fostering innovative urban development strategies, building a sustainable and inclusive twenty-first century city, and illuminating the role of anchor institutions in urban places.<sup>19</sup>

Another initiative, the Not For Sale campaign, combines modern technology, social capital, and a growing network of grassroots volunteers across the globe joined together to put an end to modern slavery, according to David Batstone.<sup>20</sup> Batstone is a professor of business and social responsibility at the University of San Francisco and co-founder and president of the California based non-profit organization, which aims to end human trafficking. Not For Sale runs awareness campaigns and holds events to raise money to help victims of human trafficking.<sup>21</sup> It also directs student abolitionist movement chapters and local outreach branches of community abolitionist networks in the United States and Canada. In partnership with Mxit, the largest social networking service in Africa, and the International Labor Rights Forum, the organization released a free mobile app for iPhone and Android. The Free2Work app<sup>22</sup> is a free and user-friendly reference guide with a built-in barcode scanner. Consumers can scan the barcode of a specific product while they shop and instantly obtain information on the labor standards of the company that manufactures the product. SlaveryMap.org is another tool developed to report incidents and record documented cases of human trafficking on an interactive map. During July-September 2012, the Not For Sale organization helped 927 survivors in Thailand, Peru, the Netherlands, Romania, South Africa, and India by offering shelter, legal services, life skills training, job placement, and assisting with different aspects of their rehabilitation.<sup>23</sup>

#### DE-MASSIFICATION

Digital technologies have a number of distinctive properties, which can be pivotal for building successful university-community partnerships, including the highly individualized nature of new media or their de-massification. The term *de-massification* refers to the degree to which a message can be exchanged with each individual in a large audience (Williams et al. 1988). Everett M. Rogers (1986) was among the first to observe that with de-massification the control of mass communication systems “moves from the message producer to the media consumer” (p. 5). Rheingold (2008) has emphasized that the emergence of the many-to-many communication modes makes it possible for anyone connected to the Internet “to broadcast as well as receive text, images, audio, video, software, data, discussions, transactions, computations, tags, or links.” The value of participatory media, Rheingold explains, originates in the active involvement of many people and derives “from their power to link to each other, to form a public

as well as a market” (p. 100). Some call the phenomenon “produsage” (Bruns 2009), referring to the combined roles of the participants as both producers and users of content. Other scholars (e.g., Jensen and Helles 2011) believe that the future of many-to-many communication across different groups, institutions, and sectors in society is still taking shape. Therefore, the specific potentials of the many-to-many forms of communication for partnerships should be evaluated over time and in perspective.

### *Collaboration*

The abundance of digital communication tools, in a variety of formats like digital video, audio podcasts, RSS feeds, imagery, mobile apps, web widgets, data visualizations) is creating new opportunities for collaboration and instigating important changes in the traditional relationship between partnership participants. It is common for campus-community partnerships that have been successful in fostering civic engagement through technological innovations to originate in the business sector and for community-based organizations to initiate collaborations with public sector agencies and universities. As the following example suggests, new models of university-community partnerships emerge in which the traditional relationship between universities and communities changes and community-based commercial enterprise performs as a key partner.

SeeClickFix<sup>24</sup> is one such example of a business-sector driven and technology-enabled partnership that benefits communities and neighborhoods. The company offers a dashboard that allows anyone with Internet access to report and monitor non-emergency problems in a community or neighborhood using the SeeClickFix website or a free mobile phone app. Users do not need to register on the website to file a report. A web widget applies user-submitted information to an interactive Google map freely available on the website. In this model, the private sector provides a platform for collecting crowdsourced local problem reports and directs them to local government authorities. Visitors to the site can view all reported issues, sort them by date, rank, make comments, and track their status. According to the Knight Digital Media Center at the University of Southern California, over 100 municipal and county governments and several universities have used the service offered by this New Haven based startup.<sup>25</sup> Yale University and Southern Connecticut State University are among them. Through collaboration with SeeClickFix, students, faculty, and staff at both universities can report campus safety issues, create watch areas, and follow the status of their service requests online.

Fab Lab Barcelona of the Institute for Advanced Architecture of Catalonia,<sup>26</sup> in cooperation with the Hangar centre for visual arts and Goteo social network, developed another participatory platform, Smart Citizen,<sup>27</sup> to capture and share real-time data regarding air and noise pollution in Barcelona. Currently in its first stage,<sup>28</sup> this joint project brings together research expertise, the collective intelligence of city inhabitants, hardware (free urban sensor kit, which measures air and light quality, temperature, sound, and humidity), geolocation technology, and

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online social networking to promote environmental values and sustainable practices in the city. The purpose of this citizen-driven innovation is to take advantage of the new ways to connect people and data by optimizing the relationship between social capital, community resources, and technology in an urban environment.

It should be noted that the need for harnessing technological advances in collaboration and knowledge sharing can be drastically amplified in times of crises.<sup>29</sup> On 12 January 2010, an earthquake of catastrophic magnitude hit Haiti. The earthquake produced a massive tsunami killing over 250,000 people and injuring 300,000. The earthquake became one of the deadliest in human history, and 3.5 million people were affected by the disaster. In the quake's aftermath thousands of volunteers from all over the world worked together with international humanitarian organizations in affected Haitian communities to assist rescue workers in helping survivors on location, through fundraising efforts, by providing equipment and product donations, or by sharing knowledge and skills, both within and outside of the crisis region. To aid emergency response efforts, students from the Tufts University Fletcher School of Law and Diplomacy formed a crisis-mapping group a few days after the Haiti earthquake. The Ushahidi Haiti Project<sup>30</sup> collected citizen-generated information obtained from social media channels (Twitter, Facebook, Skype, and Flickr) and the 4636 Alliance<sup>31</sup> compiled summary reports and directed them to the appropriate relief agencies in Haiti. Through this project, which included 200 volunteers, Tufts students helped with translating text messages, identifying global positioning system (GPS) coordinates, mapping geospatial data, and integrating global/local data sets (see Norheim-Hagtun and Meier 2010; Harvard Humanitarian Initiative 2011; Lambert and Carlson 2011). Another group of science and engineering students at the University of Colorado at Boulder, in collaboration with Project EPIC,<sup>32</sup> developed a standardized Twitter syntax for sharing disaster related information using a series of hashtags and abbreviated vocabulary (see Bryen 2010; Lardinos 2010). New forms of volunteering have also emerged, including microvolunteering, a merger of virtual volunteering and crowdsourcing in which volunteers undertake specific microtasks<sup>33</sup> such as mapping tent camps and hospitals by using their portable cameras, laptops, and GPS receivers.

#### *Future Challenges: Customization and Personalization*

When developing academic-community partnership initiatives, it is important to both maximize the potential benefits and address the challenges that come with technology integration. Along with an increased level of control over the flow of communication messages and enhanced opportunities for knowledge sharing and collaboration, these new modes of communication enabled by digital technologies allow for greater customization and personalization of user experiences. In light of these developments, two innovative approaches hold significant promise for the future of technology-driven partnerships between universities and communities: (a) the idea of data (such as open data, "big data," data analytics, real-time data) as an



innovation driver and (b) innovation clusters. These initiatives aim to accelerate innovation through cross-functional public-private sector partnerships (Anderson and Rainee 2012; Culatta 2012). A public-private partnership allows a university to attain the benefits of having access to third party resources, reduce costs, and increase the efficiency of projects and services.

For example, according to Richard Culatta (2012), by following a model already applied in health care,<sup>34</sup> open data find their way into the field of education. The U.S. Department of Education website, [data.gov/education](http://data.gov/education), provides access to databases and high-value data sets, educational statistics, geospatial data, and numerous resources gathered from federal and non-governmental agencies, data archives, and catalogs.<sup>35</sup> The website serves as a central clearinghouse for educational data and contains datasets in various formats such as survey reports, assessment tools, apps created from open data, grant visualizations, and more. It also offers different ways to engage with the data: search and data extraction APIs, RSS feeds, web-based widgets, and an interface to submit data sets or requests. The challenge is to leverage the “big data” that comes from the public domain, university-adopted learning management systems, and social media channels for the benefit of learners, educational institutions, and larger communities.

In one promising development, students and faculty at the New York Law School are engaged in an open organizational data project, OrgPedia,<sup>36</sup> which utilizes the untapped potential of open data. They use open government data, including securities and patent filings, environmental, and workplace safety records, and the *New York Times* financial dataset to develop a free, not-for-profit online directory of public and private companies, both domestic and international. A different project, “NYCVolunteers,” an undertaking of NYC Service,<sup>37</sup> is a free iPhone and Android app, which employs the Federal Volunteer Opportunities dataset available through [data.gov](http://data.gov) and helps New York City residents locate nearby volunteering sites. With their phones, users can view the site location on the map, share it with friends on Facebook and Twitter, or find more information through the [NYCServise.org](http://NYCServise.org) online portal.<sup>38</sup>

Technology also plays an important part in another emerging approach. This approach includes *innovation clusters* or “regional concentrations of interconnected companies, service providers, and associated institutions that enjoy unusual competitive success in a particular field” (cited in Culatta 2012, p. 27). Innovation clusters have already been created in Los Angeles, Phoenix, St. Louis, Pittsburgh, and other “forward-leaning regions” (p. 28) across the United States. In the Greater Pittsburgh Region, civic leaders, higher education administrators, representatives from technology and media industries, cultural institutions, local philanthropic organizations, and child serving agencies have formed a partnership with educators and administrators of public, private, charter, and virtual school systems to form the Education Innovation Cluster. Pittsburgh’s innovation cluster defines itself as “a collaborative, creative, and connected learning ecosystem” (Coon 2012). According to Ryan Coon, partners have identified five key sectors: (a) formal and informal learning environments, (b) innovation research and development, (c) learning research and scholarship, (d) entrepreneurial support and

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commercial interest, and (e) strategic stewardship. The underlying idea is that sustainable educational innovations can be developed at points where these sectors intersect.

As such, Pittsburgh's Education Innovation Cluster "designs and implements projects, programs, and activities that make engaging use of technology and digital tools" (Coon 2012). The goal is to help children and adolescents discover their talents by connecting individual interests with learning in the classroom and beyond. For instance, the Entertainment Technology Center at Carnegie Mellon University, educational gaming company Zulama, and the Elizabeth Forward School District started the Entertainment Technology Academy where students explore and design video games. The University of Pittsburgh Center for Learning in Out-of-School Environments joined Carnegie Mellon University's Entertainment Technology Center to develop a technology exploration space, MAKESHOP, at the Children's Museum of Pittsburgh. The CREATE Lab at Carnegie Mellon University partnered with the Carnegie Museum of Natural History and the Pittsburgh Parks Conservancy in a STEM learning project that makes use of virtual tools like the Digital Discovery Room for nature explorations. Overall, the Education Innovation Cluster in Pittsburgh unites the efforts of 60 organizations and more than 100 active participants (Coon 2012).

## CONCLUSION

Recent decades have seen an immense expansion in Internet adoption, broadband connectivity, mobile computing, and the associated economic, social, and cultural changes. An industry report<sup>39</sup> measuring the impact of Internet technologies by the McKinsey Global Institute (2011) concluded that the Internet is an indispensable part of the global economy, society, and culture, and the way to move forward involves engaging new technologies. This finding goes in line with the results of a poll conducted by the Pew Internet & American Life Project indicating that the Internet has become "part of the fabric of everyday civic life" (Smith et al. 2009, p. 9). Therefore, to be successful in today's digital age, academic partnerships should capitalize on the vast potential of available communication tools. This chapter has reviewed a body of theoretical and empirical work in the field of communication and related disciplines with an emphasis on the role of digital communication technologies in university-community collaborations.

Advances in digital technologies have led to profound transformations in the long established patterns of human communication. A move away from unidirectional one-to-many modes that have previously used the Internet merely as a distribution channel to many-to-many communication systems is evidenced in a variety of new features and a new level of user control over message exchange. Consequently, the emphasis shifts from simple information transmission and retrieval to social interaction, collaboration, and sharing. As new technologies begin to stimulate innovation and local economic activity, they also create imperatives for being integrated in partnerships between universities and communities. Historically, many higher education institutions have performed the

role of anchor institutions providing knowledge, expertise, and leadership in the revitalization of their surrounding communities. Additionally, new models of academic-community partnerships emerge in which community-based commercial enterprise assume an increasingly active role. Based on the preceding review of best practices of engaged universities in integrating technological advances, the model presented in this chapter highlights the implications of the latest technology trends for university and community partnerships (see [Figure 4.1](#)).

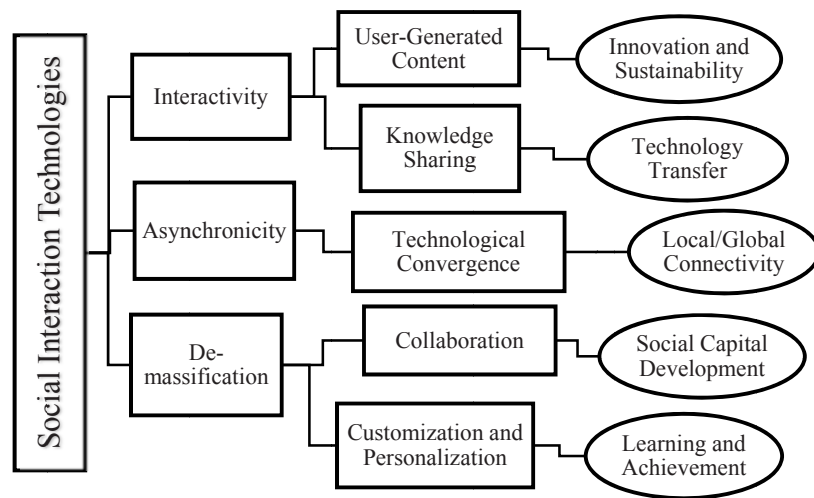


Figure 4.1. Technology Dynamics in University-Community Partnerships

The model in [Figure 4.1](#) contains elements abstracted from both communication theory and empirical research. It places emphasis on the inherent properties of social interaction technologies—interactivity, asynchronicity, and de-massification—and focuses on such features as user-generated content, technological convergence, customization, and personalization. The model is designed to assist in realizing the constructive potential of technology in university-community partnerships and similar community engagement initiatives. It may also help with developing long-term strategies for positive change in support of universities’ mission as key contributors to the social and economic well-being of their communities.

The distinctive aspects of today’s communication technologies, particularly social interaction technologies, can help overcome barriers for interaction between stakeholders, enhance traditional forms of community-campus engagement, and create extended opportunities for collaboration and knowledge sharing at both the local and global scale. An assortment of Internet applications and services exist to help disseminate knowledge and information, raise awareness, foster social

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connections in communities, and promote the involvement of community members in public life.

By utilizing technology, universities can also address some of the pressing challenges facing local communities such as accessing resources, preventing crime, or creating educational and training opportunities. The participatory nature of social interaction technologies makes them especially well suited for bottom-up initiatives in areas of innovation and sustainability, technology transfer, and local or global connectivity. Mobile communications, location-based technologies, “big data,” and most recently cloud computing hold both great promises and challenges for the society of tomorrow. As new technologies continue to permeate people’s lives, more research is needed to re-evaluate technology’s place in university-community relationships and examine how new technological tools can be used to their full potential.

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NOTES

1. In the United States, the Carnegie Foundation for the Advancement of Teaching (2010) defines community engagement as: “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.” The purpose of community engagement is viewed as “the partnership of college and university knowledge and resources with those of the public and private sectors to enrich scholarship, research, and creative activity; enhance curriculum, teaching and learning; prepare educated, engaged citizens; strengthen democratic values and civic responsibility; address critical societal issues; and contribute to the public good” (see the Foundation’s website at [http://classifications.carnegiefoundation.org/descriptions/community\\_engagement.php](http://classifications.carnegiefoundation.org/descriptions/community_engagement.php)).
2. See, for instance, a comprehensive volume edited by Chadwick and Howard (2008).
3. The term *informatics* (British acronym for information science) implies the focus on computer-based information technologies. However, besides information and computer scientists, the field benefits from the many contributions of political scientists, sociologists, urban and community planners, social and regional development specialists, journalists, environmentalists, and political activists (Gurstein 2000, p. i).
4. At a larger scale, digital divide refers to inequalities in access to ICT between industrialized countries and developing nations (Norris 2008).
5. Digital citizenship is viewed as the ability to participate in societal life online.
6. E-governance refers to digital era governance.
7. In the early years of network computing in the 1960s and 1970s, computer-based technologies have been considered predominantly in technical terms and the study of communication technologies was the domain of electrical engineers and computer scientists. Until the late 1970s, communication scholars have been “remarkably hesitant to become engaged in investigating the new communication technologies” (Rogers, 2001, p. 48), and it was largely due to the work of Edwin B. Parker of the Institute for Communication Research at Stanford University, as Rogers indicated, that new communication technologies became the subject of investigation by communication scholars. It became evident that the study of unique aspects inherent in communication technologies, such as opportunities for two-way interaction, had to be continued.
8. The School of Journalism is part of the Faculty of Journalism and Communication of the Hogeschool Utrecht (University of Applied Sciences Utrecht).
9. J-Lab is an initiative of the Pew Center for Civic Journalism launched in 2002 and initially hosted by the Philip Merrill College of Journalism, University of Maryland. Its mission is “is to empower people to be global and civic players by pioneering interactive ways to participate in news and information” (see <http://www.pewcenter.org/about/j-lab.html>). In 2008, with the help of a US\$2.4 million grant from the John S. and James L. Knight Foundation, it moved to American University in Washington, DC. and became a center at the School of Communications. More information can be found at <http://www.j-lab.org/about/history/>.
10. Data as of January 2013.
11. <http://www.cu-citizenaccess.org/feature/restaurant-inspections>
12. See <http://campusphilly.org/about-us/>
13. Among them are Community College of Philadelphia, Drexel University, La Salle University, Rutgers University – Camden, Temple University, University of Pennsylvania, The Richard Stockton College of New Jersey, Ursinus College, Villanova University, and other schools.
14. Michigan State University (MSU) Extension shares knowledge resources with Michigan residents on topics of regional economic development, agricultural methods, business development, livable communities, community gardening, safe food and water, youth entrepreneurship, and many others. MSU is the land grant institution of the state of Michigan.
15. <http://www.imacitychanger.org/>
16. See <http://www.imacitychanger.org/imacc/about/>
17. UN-Habitat (2012).
18. Mayor of Marseille, Mr. Jean-Claude Gaudin, became one of the first world’s famous personalities to support the campaign.



19. Penn IUR (2012).
20. See <http://www.notforsalecampaign.org/about/press/>
21. Sex trafficking, forced labor, forced begging, and domestic servitude are the most prevalent forms of human trafficking, states the report published by the organization (see <http://www.notforsalecampaign.org/impact2012/quarter3/>).
22. The Free2Work app is available for download at <http://www.free2work.org/>
23. Data according to the Not For Sale Campaign's 3rd quarter 2012 impact report. The report is available at <http://www.notforsalecampaign.org/impact2012/quarter3/>
24. <http://www.seeclixfix.com/>
25. Garhan, 2012.
26. <http://www.iaac.net/>
27. <http://www.smartcitizen.me/en/>
28. As of January 2013.
29. In 2009, to "leverage mobile & web-based applications, participatory maps & crowdsourced event data, aerial & satellite imagery, geospatial platforms, advanced visualization, live simulation, and computational & statistical models to power effective early warning for rapid response to complex humanitarian emergencies," a group of 100 volunteer cartographers and technologists created an international Crisis Mappers community. Driven by the need to respond to devastating natural disasters and massive emergencies, this forum has grown into an international network of 5,000 members and 2,000 affiliated institutions, including 400 universities, 50 United Nations agencies, disaster response and recovery organizations, technology companies, and community networks in 160 countries (see <http://crisismappers.net/>).
30. The project utilized the Ushahidi platform, an open-source crisis-mapping software developed in Kenya for verifying individual tweets and texts, validating geo-tag information, and managing crowdsourced data.
31. 4636 Alliance is a partnership between technology companies (including FrontlineSMS, CrowdFlower, and Digidig, the largest mobile phone network in Haiti), international non-governmental organizations, and emergency relief agencies formed in the aftermath of the Haiti earthquake in January 2010. The alliance provided an SMS shortcode, "4636," for people in Haiti to submit free text message alerts and requests for help using their mobile phones.
32. Project EPIC started in 2009 as a partnership of the University of Colorado at Boulder and the University of California, Irvine as "a multi-disciplinary, multi-university, multi-lingual research effort to support the information needs by members of the public during times of mass emergency" with support from a US\$2.8 million grant from the U.S. National Science Foundation (<http://epic.cs.colorado.edu>).
33. See Harvard Humanitarian Initiative, 2011.
34. Such as Health Data Initiative (HDI) of the U.S. Department of Health and Human Services. See <http://www.hhs.gov/open/> for more information on HDI.
35. Data.gov/education is part of Data.gov, an initiative in democratizing public sector data launched by the U.S. government in 2009. The first open source code for the Data.gov platform has been made publically available and has been adopted by 140 countries, cities, and organizations.
36. The OrgPedia Open Organizational Data Project is funded by the Alfred P. Sloan Foundation. For more information, see <http://dotank.nyls.edu/orgpedia/>.
37. A city government volunteer agency in New York which works in partnership with other city agencies to engage one million of New Yorkers in volunteer activities. See <http://www.nycservice.org/#s> for more information.
38. Another NYC Service initiative, College Challenge, is an intercollegiate partnership with 18 local universities and colleges from across the five NYC boroughs formed to help connect college students, faculty, and staff with their surrounding communities and neighborhoods through high-impact volunteer projects in the city of New York. In this context, service is viewed as a key experiential learning component on campuses.
39. The report is based on a survey of 4,800 small and medium-sized enterprises in the United States, France, Germany, the United Kingdom, Italy, Japan, Canada, Russia, Brazil, India, China, and South Korea.

MARIA ADAMUTI-TRACHE AND ADRIENNE E. HYLE

## **5. BUILDING UNIVERSITY-COMMUNITY PARTNERSHIPS**

### *Expectations and Challenges*

The notion of an “engaged university” has received renewed attention over the past two decades. Engaged universities are those that “have redesigned their teaching, research, and extension and service functions to become even more sympathetically and productively involved with their communities, however community may be defined” (Kellogg Commission 1999, p. 13). The Kellogg Commission recognizes that engagement goes beyond conventional outreach and public services and should be envisioned as “partnerships, two-way streets defined by mutual respect among the partners for what each brings to the table” (p. 13). With academic campuses becoming increasingly responsive to community needs and communities soliciting higher education institutions to jointly solve problems of common interest, thousands of university-community initiatives have been started in the United States (e.g., Fitzgerald et al. 2010; Hodges and Dubb 2012; The Democracy Collaborative n.d.).

Community engagement initiatives vary from developing service learning programs that bring university students into communities to better understand their issues and concerns, to establishing research partnerships between universities and various stakeholders searching for solutions to community problems (Fitzgerald et al. 2010). As one of three missions of the university, some faculty dedicate time to community engagement in addition to teaching and research activities (Boyer 1990). Other scholars creatively integrate community engagement into their teaching and research activities (e.g., National Collaborative for the Study of University Engagement, n.d.) through university-community research partnerships.

As noted by Linda Silka and Paulette Renault-Caragianes (2006), “[R]esearch collaboration is one of the important forms of engagement that universities can offer to communities” (p. 171). Many research partnerships are focused on health, economic development, public housing, social work, transportation and environmental issues (The Democracy Collaborative n.d.). Child and youth development is another important area that requires a combined effort of higher education institutions, schools, and the community (Frabutt et al. 2003).

The focus of this chapter is on research partnerships built around education and youth problems. The study introduces a research project involving scholars from the College of Education and Health Professions at the University of Texas at Arlington (UTA) and a community partner represented by a city agency, the Arlington Police Department (APD). Our collaborative relationship has grown

from a common interest: understanding the schooling problems of at-risk youth, with a particular focus on juvenile offenders, and identifying ways to improve their access to educational opportunities. We describe the partners' interests in and expectations of the research project, the challenges encountered in establishing an efficient partnership relationship, and some preliminary steps envisioned to recruit a third key partner, the local school district.

#### UNIVERSITY-COMMUNITY PARTNERSHIPS: OVERVIEW

Although the authors of this study have been involved over years in many outreach and service activities, this is our first attempt to reflect on the notion of the engaged university, to explore the vast research literature on community engagement and partnerships, and to provide an account of our experiences with the complex process of building a university-community partnership. This section contains a brief overview of the research literature relevant to the topic: reflections on the idea of engaged university, a summary of research on principles and processes related to founding a partnership, and suggested conceptual perspectives to support research in this area.

##### *What is an Engaged University?*

The idea of university engagement can be related to a major milestone in the American higher education history, *The Morrill Land-Grant College Act* of 1862. This Act provided funding for state higher education institutions which has contributed to the expansion and democratization of the system. In response to the Act, universities increased their active roles in creating change in local communities, and at the state and regional levels. Gradually, the discourse around the *idea of a university* shifted from the traditional image of an "ivory tower" promoting academic elitism and intellectual isolation to the innovative portrayal of an institution of higher learning engaged with the real-world problems of society, open to public and community service, outreach, community-based research, and service learning (e.g., Jensen et al. 1999; Martin et al. 2005). In his seminal work, Boyer (1990) emphasizes the need for enhancing multiple perspectives of scholarship by adding to the highly rewarded "scholarship of discovery," more focus on the "scholarship of teaching," "scholarship of integration," and "scholarship of application." The "scholarship of application" is a call for the growth of service-oriented activities across institutions of higher education.

The Kellogg Commission report (1999) recognizes the characteristics of an engaged institution that would support the foundation of community partnerships. In addition to cultivating respect and trust among partners, the engaged university should demonstrate responsiveness to the community needs, interest in increasing community accessibility to the campus, deference to keep academic neutrality regarding public policy issues, willingness to integrate the service mission with other responsibilities, and ability to coordinate efforts and to secure adequate resources. Over the past two decades, American universities have been

increasingly involved in developing collaborations that foster this more organic type of engagement with their local communities (Fitzgerald et al. 2010; Pasque et al. 2005).

*How to Establish a University-Community Partnership?*

Research on this topic has largely been based on case studies that illustrate the principles and processes associated with the formation and functioning of university-community partnerships. Successful examples follow quite similar patterns from the identification of an issue of common interest to the evaluation of outcomes and sustainability planning (e.g., Pasque et al. 2005). During the process, barriers and challenges are identified at the structural and social (personal) levels (Barnes et al. 2009). In an attempt to summarize the rich information provided by case study research on university-community partnerships, we will focus on two dimensions: the structural and the social aspects that researchers identified during the process of partnership formation.

*The Social Relationships Dimension.* All studies recognize that partners share common vision, goals and interests, which can be turned into a partnership when specific needs are identified or collaboration opportunities arise (Frabutt et al. 2003; Gass 2005). Yolanda Suarez-Balcazar and colleagues (2005) contend that trust and mutual respect, respect for diversity and the culture of each setting are essential elements that determine whether a partnership relationship will work. Meanwhile, maintaining a long-term relationship requires adequate communication, a culture of sharing and recognition of partners' strengths. Potential challenges and threats to university-community partnerships are related to issues of power inequality and conflicts of interest, lack of adequate resources or time commitment barriers. However, all studies recognize that most challenges can be addressed if the partnership is based on trusting relationships (Gass 2005; Schwartz and Gerlach 2011).

*The Structural Dimension.* A more pragmatic approach to the university-community partnership is based on an analysis of organization, management and leadership issues. Eric Gass (2005) makes reference to a partnership agreement model that includes goals and mission, governance, activity plan, resources, formative assessment and sustainability tools; but also, an operating scheme that describes roles and norms, activity implementation, conflict resolution, shared credit and dissemination, and summative assessment. Similarly, Marc Schwartz and Jeanne Gerlach (2011) point out some critical objectives involved in the building of a relational partnership: developing a clear vision, setting standards for rigorous research and scholarship, and promoting meaningful assessment tools. Problems of organization and management are identified by Jessica V. Barnes and colleagues (2009) as structural challenges that arise in partnerships between community and university that should be resolved by "being conscientious of each individual's and group's authority and resources" (p. 22). An innovative

university-community partnership requires structures that allow community and university partners to work together effectively. To achieve this goal, partners are “challenged to stretch beyond their standard comfort zones” (Frabutt et al. 2003, p. 113).

### *Conceptual Perspectives*

First, our analysis of partnerships between the university and various community stakeholders will be informed by Robert D. Putnam and colleagues’ (1993) notion of social capital that is identified with “features of social organizations, such as trust, norms, and networks that can improve the efficiency of society by facilitating coordinated actions” (p. 167). This view goes beyond equating social capital with social networks that have a positive impact on people’s economic and human capital. Putnam and colleagues’ perspective reinforces that social capital is a source of social cohesion among individuals and groups, a measure of community health and a producer of civic engagement.

A second conceptual perspective is built around the idea that a university-community partnership is not an ad-hoc entity, but requires an organizational (governance) structure to support the collaborative work (Salamon 2002). The governance paradigm is a concept grounded in a collective action approach to public problem resolution; it describes the organization of the enterprise, the stakeholders’ roles and power relations; it defines the framework for decision-making and action; and it also identifies the tools to achieve success including resources (finances) and management strategies (Martin et al. 2005). The notion of governance has raised awareness on the complex process surrounding the formation, operation and outcomes of innovative university-community partnerships (Rubin 2000). As recognized by Lawrence L. Martin and colleagues (2005), critical success factors such as funding, communication, synergy, measurable outcomes, visibility, organizational compatibility, and simplicity should be taken into account when establishing a partnership based on a governance model.

Since social capital is key to cooperation and structure is key to efficiency, our case-study analysis will focus on these two essential features to examine their roles during the partnership formation process. We will explore specifically how group affiliation and institutional context affect participants’ perceptions of specific tasks addressed by the partnership, and how the university establishes a mediator role in maintaining the unity, cohesion and efficiency of partnership.

### ARLINGTON, TEXAS UNIVERSITY-COMMUNITY RESEARCH PARTNERSHIP: AT-RISK YOUTH

Like many other communities across the United States, the city of Arlington has its own problem dealing with juvenile crime. Juvenile offenders represent a subset of youth identified by schools as “at-risk” students. At-risk youth are children/youth who are more likely to drop out of school due to a variety of demographic,

socioeconomic, and institutional characteristics (Hyle et al. 1992). Academic vulnerability is typically prevalent among students who come from low socioeconomic status families and/or are identified as special needs students, among immigrants, English language learners, some racial and ethnic groups, and juvenile offenders (Loeber and Farrington 1998; Rumberger 2011). Students often accumulate more than one “risk factor” and face multiple barriers over their life course (Finn 2006). While the most resilient students are able to overcome adverse situations, a large majority of youth struggle to persist and succeed in school which later affects their employment and social integration (Masten 1994; Ungar 2004).

What are the circumstances that lead to poor academic achievement and school failure, and in what ways may academic disengagement result in delinquent behavior that puts youth at higher risks for violence? Those growing up in poverty, living in dangerous neighborhoods, or lacking social support are more likely to be at greater risk (Loeber and Farrington 1998). Peer delinquency, hyperactivity, availability of drugs in the neighborhood, have been identified as risk factors that predict youth violence (Borum 2003; Herrenkohl et al. 2000). Research also shows a relationship between early antisocial behavior patterns and later negative outcomes including school failure and delinquency (Sprague and Walker 2000).

Overall, delinquent youth have more behavior problems, more difficulties in family and peer relations, and poorer academic performance than did non-delinquent youth (Ronis and Bourduin 2007). At-risk youth, particularly those who disobey the law, are of major concern for communities, schools and higher education institutions because they miss educational opportunities and are further marginalized in the workforce. Young people experiencing disruptions in their lives will delay building a family and becoming fully integrated in the society. To ensure the economic and social health of a community, it is imperative to understand the problems of at-risk youth and to engage all efforts into facilitating their growth into productive members of society.

### *The Partners*

The city of Arlington, Texas is a vibrant urban community strategically located near Dallas, one of the major gateway city in the United States. Arlington’s population doubled over the past three decades reaching over 350,000 people from diverse racial and ethnic backgrounds. Like in many other urban communities in the country, the population growth and diversification create serious crime and juvenile delinquency problems that threaten the health and well-being of the community. However, the city has a dynamic police department whose values and strategies include “active engagement in community policing and expanding partnerships to achieve a safer community.” A first step in achieving these goals is to better understand the issues surrounding youth development through a systematic examination of existing data.

The University of Texas at Arlington (UTA) is the major higher education institution in the area enrolling over 33,000 undergraduate and graduate students. As an emerging research university aspiring for Tier One status, one of its goals is

to be deeply immersed in the social, economic, cultural and political life of the surrounding communities. Many students who attend UTA come from local school districts, the most relevant to the partnership being the Arlington Independent School District (AISD) which enrolls annually over 65,000 students. AISD sets high objectives of success for all students and recognizes that “an engaged community is essential” in achieving success for every student. Among these objectives is to ensure that 100 percent of students graduate the school system which first of all requires they stay in school and out of trouble. This brief overview describes the basis of a likely local partnership.

The APD initiated the first contact with UTA in the Spring of 2012. They contacted the Center for Community Service Learning in the hopes of locating a partner to help them explore juvenile offender activity patterns across the county. Connections were made with scholars from the College of Education and Health Professions to discuss what types of research should be conducted to understand the APD data on juvenile offenders and find out whether and how these youth have been re-integrated within schools and the community. The APD approach is consistent with Jim Scheibel and colleagues (2005) who contend that community organizations should use resources and expertise from local institutions of higher learning to address their questions and needs.

When youth 10-18 years of age commit a crime, they have the potential to experience a life disruption severe enough to divert their schooling and to exert long-term effects on their workforce integration. To fully understand at-risk youth, UTA scholars emphasized the need to adopt a broader life course perspective and examine at-risk youth academic history, their school behaviors and social support network. A life course perspective (Mayer 2009) highlights the importance of early schooling and key transition points, or key events (e.g., first criminal offense) during one’s life. Many juvenile offenders may have struggled with school since early ages, and perhaps experienced low level of achievement during their academic careers; they likely carried the “at-risk” stigma for many years which may have resulted in even worse behavioral and delinquency problems.

Although good knowledge can be constructed through the analysis of law enforcement events that occurred in youth lives (e.g., who are the juvenile offenders, at what ages have they first been involved with the law, how repetitive was their behavior), we recognized the need to access information on these individuals’ schooling. This brought into discussion a third potential partner: AISD. The recruitment of AISD as a partner has proven to be a more difficult endeavor and we can only report preliminary efforts on building a trilateral partnership in this study.

An important aspect of the university-community partnership is faculty commitment for applied research (Boyer 1990). UTA is an emerging research university aspiring for Tier One status which makes research a major activity for tenured and, in particular, for tenure-track faculty. While establishing its position as a leading research university, UTA places significant emphasis on expanding its links with the community within which the university has grown over the past century. The UTA mission has shaped faculty belief that strengthening the

relationship between research and community service may provide a viable path toward acquiring high status as a research university while contributing to solve real problems faced by the local community. And this belief has supported our commitment to the project; as scholars, we carefully examined how our current expertise can contribute to this collaborative project and we made a deliberate effort to expand the scope of our personal research agenda by adding this new applied research project.

#### *Objectives and Partnership Process Model*

Based on our experience, the first and most challenging objective in a university-community project is to establish an efficient and mutually beneficial partnership relationship. The key to a successful start is to find people from each organization who are committed to the partnership project and are willing to identify and resolve specific concerns within their organization. For instance, during several meetings with our community partner, the Police Department, we were able to plan the main steps of the project, discuss legal and ethical issues related to the project, and start to formulate protocols related to data access. The community partner representative was in charge of obtaining internal approvals for data access and the preparation of formal paperwork.

Our plan to link with an additional partner, the local independent school district, however, was postponed for a later stage. Turnover in district leadership put new collaborations and partnerships on hold temporarily. It was difficult to develop a trilateral relationship before putting in place the first set of protocols. As recognized by other researchers (e.g., Suarez-Balcazar et al. 2005), gaining entry to the community or an institution is a difficult step toward building a partnership relationship. Indeed, the formation of the research partnership has been a decisive objective of our project. The fluidity of this initial stage had an impact on our partnership development because it also required us to reshape the scope of the core objectives of the project.

Second, the Youth At-Risk Project has data and research-driven objectives. The plan is to first focus on supporting the community partner(s) to build their data management and research capacity (e.g., Barnes et al. 2009). Then, we intend to conduct research on at-risk youth, through a research design appropriate to the available data. In a first stage, which is based on a bilateral partnership UTA-APD, the research focus will be to study juvenile offenders' issues. The long-term plan that will be built around a trilateral UTA-APD-AISD partnership, includes a more elaborated analysis of education and criminal records of juvenile offenders, and their comparison with other at-risk or not-at-risk students in the school district. An important part of this objective is to involve graduate students in the project as research team members. The project is being made available to students through a service-learning for credit coursework design. Graduate students will enroll in a Special Topics course and through that course gain direct experience cleaning and creating real-world data files and be engaged in research design opportunities linked to important learning opportunities.



Third, an important objective in any research project is to produce meaningful outcomes and to disseminate study findings to various audiences (e.g., professional organizations, school boards, community agencies, general public). The project will also generate publications, grant applications, doctoral dissertations.

A final and most important objective is to ensure the sustainability of the research partnership (e.g., Suarez-Balcazar et al. 2005; Barnes et al. 2009) by expanding the scope of the research project and securing future funding. For instance, AISD suggested their interest in receiving support to conduct teacher surveys and APD expressed interest in designing intervention programs for juvenile offenders which would both require UTA scholars' expertise.

Our current research partnership project has not attained its third and fourth objectives. As depicted in Figure 5.1, the partnership formation stage required us to re-evaluate the process and modify the strategy by building first a bilateral partnership with the Arlington Police Department while gaining entry to the Arlington Independent School District. Our experience shows that the social relationships dimension is critical to the partnership formation stage; it is difficult to engage in any discussion of partnership structures or issues related to organization and funding prior to building trust, mutual respect and commitment among partners. It is interesting to note that although university-community partnerships are viewed as ways to democratize the society, there is a culture of disbelief among funders regarding their chances to be established. We understood this mentality and decided to go forward with the project even if funding was not yet secured. This decision certainly requires commitment and creativity in putting forward secondary goals to support the idea of a partnership (e.g., teaching/training activities).

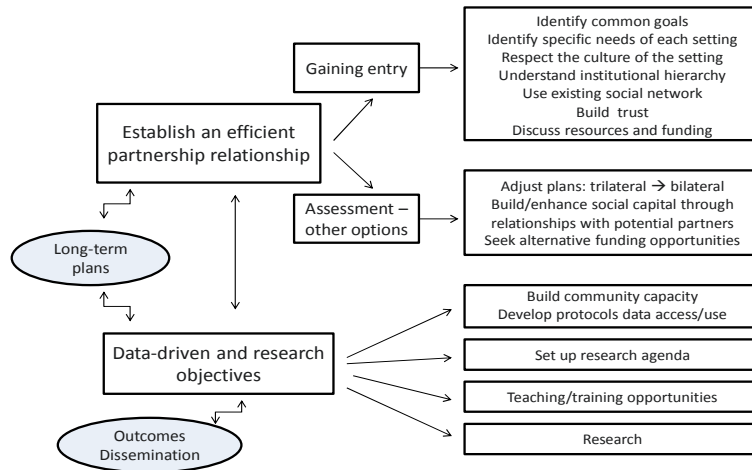


Figure 5.1 Partnership Process Model

Figure 5.1 also suggests that a real-world partnership process model is not linear and all stages should be considered at any point in time. For instance, aspects related to the formation of a bilateral partnership UTA-APD (e.g., formal memorandum of understanding [MOU] agreements) overlaps with preparing data access protocols and setting up an elective graduate course related to the project. Although our research collaboration has not reached the dissemination and sustainability stages, we recognize that the “visibility” of the project is key to recruiting new partners and securing funding (Holland 2005).

#### LESSONS LEARNED: EXPECTATIONS AND CHALLENGES

This section presents reflections on the experiences we encountered during the processes of establishing the UTA-APD-AISD university-community partnership. Our current assessment is that we have succeeded to put in place a bilateral UTA-APD partnership relationship that soon will be materialized by a number of activities related to APD data management, research on juvenile offenders, and student learning activities. We anticipate that these achievements will help in recruiting the school district partner, which will allow us to expand and strengthen the overall partnership, and to fully address the scope of the research project: an examination of education problems for at-risk students.

Table 5.1 describes some of the lessons we learned about the process. We have organized the presentation around three themes: the social dimension of the partnership, the structural dimension of partnership, and issues specific to research partnerships. We present our expectations of partnership and the challenges we encountered in attaining them.

During this partnering process, we perhaps learned more about the social than the structural dimension of the process. For instance, we expected that partners have common, as well as specific, interests in the collaborative project, and started to discuss them early in the process. We also expected all partners would be able to identify the greater good served by a collective action (Putnam et al. 1993). Our expectations have been confirmed during meetings with both APD and AISD. However, good intentions to work together on the project have been hindered by other priorities that one organization had at the time we discussed the partnership. As a result, the initial project was delayed and original funding opportunities were missed.

The remaining partners (UTA and APD) had to re-evaluate the options, to limit the scope of the project and to propose new activities (e.g., teaching/training, course development) that were originally intended in later stages of the partnership. The strong belief that our community partner (APD) has in the benefits of better understanding data on juvenile offenders made us overcome this less fortunate beginning. For example, we successfully engaged a group of 11 doctoral students who joined an elective course focused on building a large research data file that incorporates information from the APD database. For some students, this was their first exposure to “real” data and an incredible learning experience about data preparation, missing information, and data limitations.

Students were also asked to read and discuss literature related to at-risk youth research and many of them are considering dissertations in this area. These activities have also been beneficial to the APD partner because we started to build the research database that will be used for analysis, and we developed a strategic framework for a larger partnership.

*Table 5.1 Lessons Learned from the UTA-APD-AISD University-Community Partnership*

Expectations	Challenges and Issues to Consider
<b>The Social Relationships Dimension of Partnership</b>	
Partners have common interests for a common good	Priorities at a specific moment may be different
Social capital matters	Useful to rely on existent social network, but not always possible
People in partnerships matter	They are also representatives of their institutions
<b>The Structural Dimension of Partnership</b>	
Establishing/strengthening a partnership is not easy	Each collaborative relationship is unique and it requires different strategies
Partnerships provide a structure to reach multiple (specific) goals through one collective initiative	Main aspects of that one ‘vision’ needs to be clearly negotiated from the beginning
Institutional organizations & cultures are not so different	It takes time to understand similarities and differences
<b>University-Community Research Partnerships</b>	
Open new funding opportunities	It requires good coordination of efforts
Support teaching and learning	It requires good planning and clear learning objectives
Enhance research agenda	Only if they are efficient and produce visible outcomes

Other lessons learned are about the importance of social capital in starting a partnership, and whether social networks formally available to the institution are transferable (or not) to its members. Putnam and colleagues (1993) have postulated that social capital is a property of communities rather than individuals, and “voluntary cooperation is easier in a community that has inherited a substantial stock of social capital, in the forms of norms of reciprocity and networks of civic engagement” (p. 167). Other studies argue that collaborative networks provide more stability and a sustainable future for collaborations and innovations (Barnes et al. 2009; Schwartz and Gerlach 2011).

Our experience shows that, although UTA and the College of Education and Health Professions (COEHP) has established in the past formal networks involving the school district, these networks provided us only a relatively sociable context to discuss the partnership rather than an opportunity to join the network. The problem is that a network cannot grow too much in terms of size and scope without becoming bureaucratic and inefficient. We soon realized that we needed to develop social connections specific to this particular partnership, and not expect to rely entirely on institutional history.

We certainly learned that social interactions are not easy to develop. When we began our partnership discussions, we were very confident that, considering the importance of the problem for schools and the community, a research collaboration focused on *Youth at-Risk* would easily attract the interest of the institutions. Quoting Putnam and colleagues (1993, p. 9), “government institutions receive inputs from their social environment and produce outputs to respond to that environment,” which simply states that institutions should openly interact with their communities. During the partnering process, we learned that community engagement intentions expressed by some institutions do not always translate into action because often the supporting structures are not already in place. Lastly, trust is an important dimension of social capital; building trust among potential partners is crucial, but like any process involving social interactions, it takes time.

A third lesson refers to the people who are involved in a partnership as representatives of their institutions. Since institutions are shaped by their own histories, their representatives have to take into account institutional traditions and norms when engaging in a partnership. As Putnam and colleagues (1993) note, “individuals may ‘choose’ their institutions, but they do not choose them under circumstances of their own making, and their choices in turn influence the rules within which their successors choose” (p. 8). Our experience shows that this ambiguity in understanding the nature of partners’ decisions (i.e., personal vs. a reflection of institutional response) makes the process of building a partnership relationship even more challenging.

At the same time, it has been particularly rewarding to observe how effective a partnership becomes when representatives of each institution succeed to creatively adjust their specific norms and regulations to attain the common goals. For example, the APD representative engaged various city departments that conducted criminal background checks, enrolled the UTA research team as APD volunteers, provided badges and parking permits, and arranged for us to have computer access to the APD database in a conference room that has been our weekly classroom for the whole term. All compliance requirements have been respected by faculty and graduate students involved in the project.

It is not easy to separate the social and the structural dimensions of a partnership in the early stages of its development. For instance, while exploring the social landscape surrounding the institutional partners, we have been also confronted with questions like: (a) when should we discuss resources and funding issues, (b) is a partner’s agreement to get involved related to funding or other issues, (c) who should be in charge, (d) what are each partner’s responsibilities, and (e) does each

partner understand their potential benefit from the partnership? We learned that each partnership process is unique, and both social and organizational skills are required to build a functional partnership governance model that addresses the right problems at the right time. Most important is to develop a partnership that responds to the needs and expectations of each partner. Quoting Martin and colleagues (2005, p. 2), “the governance paradigm seeks to create win-win partnerships, whereby complex social issues and problems are addressed, but where each of the partners also benefits from the exchange.”

We also understood that the process of building a partnership is quite fluid: it requires flexibility in terms of expectations and innovation in terms of strategies. Victor Rubin (2000) contends that, “The development of an intellectually rigorous framework for evaluation of partnerships requires more than appropriate indicators of effective process or outcomes” (p. 220). Although partnerships can provide an excellent structure to reach multiple goals through one collective action, all partners need to be involved in the process, to agree with the “vision,” to negotiate and be satisfied with their benefits and to share ownership for the direction in which the partnership goes. As pointed out by Martin and colleagues (2005, p. 20), “University-community partnerships that attempt to adopt a rigid unidirectional (university to community) style are said to have less chance of being successful.” Finally, we expected we would be confronted with similar institutional organization and cultures, but during the partnering process we learned about differences in institutional hierarchies, advisory boards, power relations, governance models and institutional histories. We realized that it takes time to understand similarities and differences between institutions and this knowledge is crucial in developing and strengthening efficient partnerships.

Our final reflections are specific to building university-community research partnerships and addressing scholarship issues. The idea of a university-school-community partnership clearly aligns with the third mission of a university (Boyer 1999). And collaboration with a school district and other organizations interested in youth issues is the most natural choice for scholars in the field of education. Lee Benson and Ira Harkavy (2000) propose that “higher educational institution make its highest priority the radical integration and improvement of the overall schooling system in its ‘home’ (local ecological) community” (p. 47). We recognize that partnerships contribute to advancing social justice ideals of democratic societies—we have no doubt of the importance of a youth-related project and the role of the university in supporting the schooling system.

However, as faculty members in an emerging research university, we are primarily engaged in research and in teaching our graduate students how to conduct scholarly activities. From this broader perspective we recognize the great opportunity of a *research* university-school-community partnership. Although challenging, this type of partnership would open new funding opportunities, would support teaching and learning innovative ideas and would enhance research agendas while being able to contribute service to the local community. Yet, we found it quite challenging to engage and coordinate collaborative efforts outside the more familiar academic research circle. For instance, although funding

opportunities were available at some point, our community partners did not understand the importance of grantsmanship for academics and the immediacy of making decisions and writing grant proposals to meet the deadline. As a result, we missed the funding opportunity after investing a significant amount of time in proposal writing. However, in recognition of the importance of developing this local partnership and of the potential of the research project, a competitive UTA research grant was received by the faculty leading the research team. The current funding represents an additional leverage to attract the school district as a partner in the project.

Other challenges are related to teaching. First, planning teaching activities based on community resources is a quite time consuming activity. Second, although our students expressed interest in the partnership research topic and wanted to use community-based data, we thought it was unethical to plan doctoral dissertations prior to having clear control of data availability, and the conditions and duration of the project. It is interesting to note that this perspective started to change when we all realized that some progress has been made. About one quarter of the doctoral students who took the class expressed interest to continue the data project; they are urging us to reach out to the school district in order to access education data because they have become particularly interested in conducting research on at-risk youth.

We continue to believe that research based on community data will enhance our agenda by addressing “real-world” issues of the local community. However, we are concerned with the efficiency of the research process and the production of outcomes. We agree with Harkavy (2006) that “service to society, fulfilling America’s democratic mission, was the founding purpose of the land-grant universities” (p. 10) which means university-school-community partnerships are the ideal way to respond to this mission. As scholars, we still have to find practical strategies to attain this goal.

#### SUMMARY AND CONCLUSIONS

In this chapter we put forward several ideas related to the social and structural dimensions of a university-school-community partnership, derived from our experiences, as scholars, striving to build a research collaboration at the University of Texas at Arlington. Our observations confirm and extend previous research literature dedicated to the topic. For instance, we agree with Suarez-Balcazar and colleagues (2005) that a partnership model requires at least three main phases: “the gaining entry into the community phase, the developing and sustaining the collaboration phase, and the recognizing outcomes and benefits phase” (p. 85). However, our experience shows that an important tactic to keep the partnership project alive would be to assess and slightly modify, if needed, the scope of the partnership, the strategies and the logistics of the process during any of these stages. We have also found that the idea of sustainability is crucial because people and groups hesitate to invest effort and time in short-term projects. For instance, the APD partner is interested to continue the project and expand the partnership

areas to include the development of intervention programs for juvenile offenders. Reservation toward a collaborative project is often due to lack of resources; however, even when funding is potentially available, partners are suspicious that further budget cuts will affect the collaborative efforts.

We also agree with Barbara A. Holland who noted (2005) the need to ensure “visibility” of university-community partnerships, because “the achievement of many of the ideal characteristics of partnerships, especially sustainability, will be enhanced by making the work better known to educational leaders, policy makers, community leaders, government, and the public” (p. 16). We feel more confident in re-opening in the future the partnership discussion with our school district partner, by showing results of our collaboration with the community partner and the recognition of the project that we hope to receive from the university and the city.

Quoting Harkavy (2006), “when colleges and universities give very high priority to actively solving strategic, real world, problems in their local community, a much greater likelihood exists that they will significantly advance citizenship, social justice and the public good” (p. 33). The real-world problem regarding the lives of youth at-risk is of concern for communities, schools and higher education institutions because young people who miss educational opportunities, or disobey the law, are likely to be further marginalized in the workforce and less likely to integrate socially. These aspects are relevant to schools and higher education institutions that strive to promote social equity for all young people. They are also essential to communities that lose social cohesion when large numbers of individuals are not productive citizens or are involved in criminal disruptive activities. Since most at-risk youth accumulate many academic, social and economic disadvantages, which impact their withdrawal from school and often involvement with law enforcement, the proper re-integration of these young people in society requires joint efforts. The most effective way is to bring together organizations that understand various aspects of the problem and strategically plan collaborative actions to address it. We believe a university-school-community partnership model creates a win-win situation in resolving the issue of at-risk youth.

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## **6. PLACE-BASED APPROACHES TO ENGAGEMENT: CAN UNIVERSITIES BE LOCAL AND GLOBAL?**

Universities are under tremendous pressure to go global and local. There are calls for deepening local engagement (Tierney 1998; Stanton et al. 1999; Trickett and Espino 2004; Kellogg Commission 1999). At the same time, universities are being advised to build a reputation that transcends the local by establishing worldwide visibility and creating a global presence (Douglass, King, and Feller 2009). The global and the local are often seen as in competition with each other, and the advice about reforming universities to enhance local engagement versus heightening international visibility remain at odds.

Global and local, considered together, create potential dilemmas, paradoxes, and tensions. There are tensions created by prestige differences. Carrying out the same work in far away and exotic locations often brings more cache than tackling the same problems in one's own backyard. The result can be pressure to forego the local for the attention-grabbing global. Then there are the assumed differences in the creation of generalizable knowledge through the two routes. Despite Ernest L. Boyer's (1990) seminal analysis of the scholarship of engagement, often the work of local engagement is seen as parochial and as moving universities away from answering fundamental knowledge questions (Maurrasse 2001; Strand et al. 2003; Nyden et al. 2007). This trend, though perhaps less apparent, also occurs at land-grant universities even though programs aimed at solving local problems are at the heart of the land-grant mission. Programs aimed at global influence are often regarded as better routes to uncovering generalizable knowledge that transcends the specific. The two are also seen as calling attention to opposing ends of the breadth and depth continuum. Global is often seen as providing broader knowledge but also as encouraging the "parachuting in" of researchers who are from away and who go to many sites across the globe, collect their data, and leave (Kauper-Brown and Seifer 2006). The local, in contrast, is seen as focusing on in depth knowledge and deep immersion to avoid the aforementioned academic tourist phenomenon (Silka et al. 2008). Then there are paradoxes of impact: the global is seen as more impactful, yet many programs aiming to have global impact do so through changes that take place locally (Whitmer et al. 2010).

The balancing of both the local and the global remains unfinished business in higher education reform (Tierney 1998). A key question is whether there are ways to reform higher education that can bridge the differences between the two. In this chapter, we make the argument that successful higher education reform on engagement depends on locating integrative opportunities between the local and the global. Moreover, because the academic conversations about the local continue

to occur apart from those on the global, we also argue that productively joining these two conversations is an important next step in deepening the understanding of what an engaged university in the future could look like.

In this chapter, we situate these issues within the all-important question of how to promote academic change. Too often it has been taken as a given that a single best way must exist to create institutional change. Some might argue, for example, that change only succeeds when administrative leaders instigate it. So, should top administrators be the sources for change? Or perhaps faculty should be the champions? Maybe the change should be structured so that it happens through departments, or perhaps through interdisciplinary programs? This chapter will be devoted to highlighting examples that point to the variety of drivers available to strengthen engagement and bridge the local-global divide. We consider five approaches to improving engagement through the impetus of: (1) an individual faculty member, (2) a program, (3) a center, (4) a school, and (5) a multi-campus initiative. To do so, we briefly highlight the work of faculty member, Jordan Karubian, of Tulane University; a program developed by the University of Massachusetts Medical School; a center at University of Massachusetts Lowell (the Center for Family, Work, and Community); a new School for Policy and International Affairs the University of Maine; and a multi-campus initiative, the Maine Sustainability Solutions Initiative. Looking at these different approaches makes clear how different strategies provide different opportunities, tools, and contexts for higher education reform. Together, they cast doubt on the idea that strengthening engagement is best approached in just one way and they highlight the value of approaching the goal of strengthening community engagement in multiple ways.

#### IMPETUS FROM A FACULTY MEMBER

Discussions about higher education reform too often begin with the assumption that the individual faculty member is a weak starting point for advancing deep-seated reform in higher education. But, examples have emerged showing that individual faculty members can successfully serve as an impetus for new forms of practice. It may well be, in fact, that innovation arises with greater adroitness when it is an individual faculty member who enlarges the engagement dialogue by demonstrating how the tools of her or his discipline can be directed at new problems, issues and strategies. For example, the national Lynton Award for the Scholarship of Engagement, given each year to an outstanding pre-tenure faculty member, is based on the premise that discussions of higher education reform can be advanced by highlighting the innovations of individual faculty.

Consider the work of the most recent Lynton Award winner Jordan Karubian, an ecology and evolutionary biologist (NERCHE 2012). This work has been driven by looking for ways to move traditional research to engaged approaches. In his conservation research in Ecuador carried out in one of the most biologically precarious zones in the world, Karubian noted that his research, although receiving wide attention through publications in elite academic journals, was having little

impact on local practices to conserve this highly vulnerable area. He began redesigning his research practices to involve local residents as researchers, with many ultimately becoming conservation advocates, teachers, and co-authors on major journal articles. This engaged research approach was not limited to international work. In the New Orleans region near his campus that was devastated by Hurricane Katrina, Karubian has begun adapting this approach to involve his Tulane students in assisting the Gulf Restoration Network. He has gone on to create other student opportunities such as National Science Foundation-funded international research experiences for undergraduates from underrepresented groups that provide students with opportunities to conduct collaborative research in Australia following the same principles. By uniting his innovations in teaching, research, and community engagement, Karubian continues to find ways to link conservation research locally and internationally.

Karubian is by no means the only faculty member who is spearheading the development of new forms of engagement. Examples abound of individual faculty from many different disciplines who are experimenting with change. Consider just a few. Peter Precourt is an art faculty member at the University of Maine Augusta who is assisting his campus in redesigning a range of courses that link architecture, art, and engagement with the provision of services for the homeless. Faculty and students are helping to turn a homeless service center into an art gallery that includes pedestals, some of which hold art while others display blankets for the homeless. No one knows whether someone entering the space is there to view the art or get a blanket. Or consider Eric DeMeulenaere (2012), an education faculty member at Clark University who is drawing on his experience of creating an alternative high school in California to redesign high school education in Massachusetts, including having high school students read and critique basic philosophy readings on educational change, and then apply the ideas to their own educations and schools. Together with Laurie Ross (2012), a faculty member in community development at Clark, DeMeulenaere is trying to change campus practices so that engagement moves throughout the Clark curriculum across disciplines and departments. Faculty members at many higher education institutions (HEIs) are making forays in this way (cf. Staudt and Cardoza 2005).

What lessons can be learned from this? The Karubian example points to the fact that the disciplinarily driven engagement forays of individual faculty can sometimes bring together the local and global and, in effect, show ways that the two can speak to each other. The examples also point out that such efforts can be started in different ways and for different reasons. A faculty member sometimes started the work internationally first and then moved the work to the United States, and sometimes the reverse was the case. These approaches suggest that the work did not always begin as reform efforts but may have ended up enlarging the possibilities and leading to reform. However, there is also a dilemma herein terms of reform: innovators such as these sometimes report feeling unsupported as they find themselves working against standard practices in their institution, or they may find themselves having difficulty in recruiting faculty in other units/colleges due to administrative or disciplinary walls. Further, initial faculty forays into community

engagement may be faced with reticence among some, or all, in the community due to, at best, a general distrust of partnering with an unfamiliar entity, or at worse, a bad experience with previous engagement attempts. Awards such as the Lynton award are important in acknowledging the significance of these innovations that work ahead of the rest of a campus. However, shared learning and dissemination of the ideas is also crucial. The New England Higher Education Resource Center (NERCHE) represents one strategy being implemented in the northeastern U.S. in which faculty are brought together for shared learning, support, and for seeing what is unique and what is generalizable about specific approaches.

#### IMPETUS FROM A PROGRAM

Programs are yet another route that campuses have begun to use to increase engagement. Innovations that connect the local and global in order to strengthen university engagement are being developed. As an illustration, consider the award-winning Pathway on Serving Multicultural and Underserved Populations program at the University of Massachusetts Medical School (Godkin and Weinreb 2001; Godkin and Savageau 2001, 2003; Godkin et al. 2006). Medical students participate in health projects in developing countries in this well-regarded international program. The goal of involving medical students in international work is not particularly novel: many medical programs offer international medical training opportunities. What is intriguing about the *Pathways* program is that the countries are selected to connect to and support the local. The priority is to send students and residents to countries reflective of newcomer refugees and immigrants in the local Worcester, Massachusetts area in which the medical school is located. The University of Massachusetts Medical School trains many medical students who will stay in the region and with the rapid growth of refugee and immigrant populations in Massachusetts, much of the health care provision is in need of change. This program is designed to fit in that niche.

The links in engagement between the local and the global are made explicit and are reinforced. Before and after overseas experiences, students work with local organizations on initiatives that might include community service, language and cultural immersion, and public health projects. Students do health projects with cross-cultural populations in Worcester, complete an assignment with a cross-cultural family in Worcester, and carry out a required primary care clerkship in sites serving underserved cross-cultural populations in Worcester. Formalized relationships have been developed between UMass Medical School and groups such as Worcester Refugee Assistance Project (WRAP) to support this work and make certain it is sustained. The relationships have grown to include faculty, students and community members in a range of community-based participatory activities shaped in response to needs as they are identified and defined by the community. Moreover, student engagement in community partnerships has impacts (Godkin et al. 2006; Zanetti et al. 2011). Data show that *Pathway* students become significantly more skilled at conducting histories and assessing the health priorities

and practices of patients of other cultures. Again, since many of these students will become the primary care providers of the future for the region, this connection of the local with the global is of great importance.

What can be learned from this program-based approach to engagement? Among the most important points to note about the UMass program is that it does not veer off in a direction that is alien to medical schools. Rather, the program builds on what medical schools already do but simply takes the approach a step further by connecting previously disjointed and competing goals. Such a strategy makes it less of a reach for other medical schools to incorporate the approach into their own efforts. The example also speaks to the commonly heard assertions that engagement is appropriate only for certain disciplines and majors and that medical training, with its need for mastery of large amounts of technical material, is perhaps one of those kinds of training that would be watered down if an engagement focus is added. The University of Massachusetts Medical School program points to the value of rethinking of the assumption that some disciplines should automatically be “excused” from engagement.

There are other important implications of this example. It deftly takes on the problem noted earlier that many international forays do little to address the local challenges. At the UMass Medical School, the focus is explicitly on linking the local and the global. International programs sometimes miss what engagement is supposed to do in making a difference. This element of higher education reform on engagement is missing when students are sent as “missionaries” abroad. With the explicit focus of University of Massachusetts Medical School on building and maintaining links across place and time, the UMass Medical School approach addresses the complaint about outsiders (faculty and students) simply “parachuting in.”

The program-based approach calls our attention to potential advantages of pursuing engagement through program efforts in addition to those efforts that are built around an individual faculty’s efforts. Program-based approaches may add institutional support that increases the sustainability of reforms directed at heightened engagement.

#### IMPETUS FROM A CENTER

The previous example points to academic programs as potential drivers of university reform on engagement that aligns the local and global. This section takes a brief look at another emerging driver: university research centers.

Universities have begun adding research centers as a means of advancing their academic mission. Such centers typically do not offer academic programs. Instead, they bring together faculty and students from throughout an institution to carry out research and solve problems. As such, they typically transcend traditional disciplines and departments and, it has been argued, as a result, they often find it easier to take advantage of rapidly developing opportunities. To learn more about research centers as fulfilling university engagement missions, see Robin Toof (2012).

Consider one illustrative example: the University of Massachusetts Lowell's Center for Family, Work, and Community (CFWC) (Silka 2001). Like many academic centers, CFWC brings together faculty, staff, and students from a variety of different disciplines (in CFWC's case the disciplines include health, psychology, criminal justice, education, engineering, computer sciences, and environmental sciences) to work with groups outside the university on emerging problems that call for research-based solutions. As is the case with most centers, CFWC is largely funded through external grants and contracts rather than from the university's base operating budget. Much of CFWC's work is engagement focused. The geographic region in which CFWC is located is changing demographically. There are rapidly growing Southeast Asian refugee and immigrant communities, and Lowell is now home to the second largest Cambodian community in the United States. Every country in Africa is also represented in the region and there are over 20,000 Brazilians living in the area. Every sector including education, health, housing, and law enforcement is being impacted by these demographic changes (Silka 2007). What the Center has done is to collaboratively study and advance solutions to emerging health, education, and economic development issues in the immigrant and refugee communities by drawing on the insights immigrants bring to the United States.

Consider the challenge of addressing sprawl in Massachusetts (Geigis et al. 2007). With many partners, CFWC facilitated a process of convening people to identify the best practices that immigrants and refugees bring from their home countries that could be applied to the sprawl-linked problems of housing and transportation in Massachusetts. Through the center, students and faculty worked with diverse groups to identify examples from around the globe that could be infused into discussions in Massachusetts that had been built around too narrow a range of possibilities, or consider work on education focused on the need for change in schools if they are to succeed in reaching students from diverse immigrant and refugee backgrounds (Silka 2012). A center-based approach turned out to be an integrative way to bring together faculty from distinct disciplines to analyze the links between communities, schools, and families from diverse backgrounds. Similar approaches followed to study and address health problems such as high rates of pediatric asthma in refugee and immigrant communities linked to local environmental conditions (Reece et al. 2009; Grigg-Saito et al. 2010). An array of engagement opportunities for students opened up through this process.

Certain problems may be pronounced in local regions, providing opportunities to gain insights that are helpful in other places struggling with similar problems. Lowell, as one of the first industrialized cities in America, has a long legacy of the kind of environmental contamination now affecting communities around the globe. Environmental justice (Silka 2002) became a focus of CFWC's engagement efforts linking environmental strengths on campus with community efforts. Environmental problems were collaboratively studied and an emphasis was placed on finding creative ways to return information to the community to address community concerns. Southeast Asian water festivals on the local Merrimack

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River were held to recreate festivals on the Mekong and thereby cement the link between the old and the new but with the new twist of including environmental communication.

In each of these areas, engaged research was carried out with aim of creating immediate benefit to the community at the same time that basic knowledge was being generated, and students received significant educational benefit as well. The range of majors who were brought into center-initiated engaged research was wide. Students from many different disciplines, including seemingly unlikely ones such as philosophy, art, engineering, and economics, participated in center-initiated engaged research. The impact for students was considerable. Nursing graduate students reported that their participation in a cross-cultural data collection team on environmental health issues in the Southeast Asian community to among the most impactful experiences of their graduate education (Coppins et al. 2000). By no means is the Center for Family, Work, and Community alone in working to advance engagement using alternative models. This approach has taken hold in many HEIs across the globe (Silka and Toof 2011).

Much might be learned from close scrutiny of centers with regard to strategies for advancing higher education engagement. Centers have the potential to be tools in transforming universities in ways that link engagement to core institutional goals while ensuring that engagement is not viewed merely as an optional add on that is separate from a university's core mission. The greater flexibility of centers relative to traditional higher education programs means that centers can perhaps innovate more quickly than can traditional departments. They may be better situated to capitalize on new funding opportunities by bringing together faculty, students, and partners in changing configurations that are responsive to the multidisciplinary problems of interest to funders. Throughout this work, they can flexibly link the local and the global.

Ultimately, centers could be said to be at the heart of the ivory tower dilemma of universities remaining aloof from where they are located but needing to make a difference in those locales. Centers may represent one promising way of addressing this dilemma by showcasing how research might be pursued that engages local problems while linking to comparable problems elsewhere (Silka 2001). In the pursuit of this challenge, center faculty are articulating models for how universities can include centers in their engagement "toolbox," enabling universities to become problem-focused rather than discipline-centric but without dismantling disciplines and departments.

#### IMPETUS FROM A SCHOOL

Interdisciplinary schools can represent additional approaches to higher education reform that links the local and the global. The School of Policy and International Affairs (SPIA) at the University of Maine is relatively new—being formed as an entity in 2008, had their master's degree program approved in spring 2010, and brought in their first cohort of student that fall. The program has three concentrations: International Environmental Policy, International Security, and



International Trade and Commerce. SPIA is somewhat unique in that it is a “virtual school” in the sense that it does not hold its own faculty lines, but has about 40 cooperating faculty from various disciplines both on and off campus (from anthropologists to engineers; from business to environmental scientists) that support its programs and courses, and mentor its students. This allows the student increased flexibility in pulling knowledge from multiple disciplines while allowing faculty a broader set of faculty to work with. SPIA is also unique in that every SPIA student is required to develop and participate in an international internship experience.

Although not required, many SPIA students are able to integrate local public service experiences as a way to develop the skill set appropriate for their international internship. One recent example is a student who, through the auspices of Mercy Corps (<http://www.mercycorps.org/>), developed an internship that involved engaging individuals and communities in aquaculture development projects in Timor-Leste. However, before her internship, this student worked as a community engagement research assistant for the Orono Village Association (the location of the University of Maine), in conjunction with the Margaret Chase Smith Policy Center. Her work assisted local businesses with developing their marketing plans as a way to increase local business development. In this student’s words, working with Orono businesses helped hone “her diplomatic relations skills” while providing “lessons that extend far beyond political proficiency.” She finished by stating that “No matter where I have lived in the world—from Sexaxa, Botswana to Orono, Maine—there exists a shared humanity..., the Orono village project is a microcosm of sustainable development initiatives around the globe.” Other examples include:

- A student, who was a Somali refugee herself, participated in a Maine-based project (the Somali Narrative Project) that interviewed Somali female refugees located in Lewiston, Maine to document their experiences. This student took those engagement skills to Kenya where she spent her internship interviewing women in Somali refugee camps along the Somali-Kenya border. The student also documented her (sometimes-harrowing) experiences on the SPIA student blog, bringing these experiences back to the local and university communities.
- A student involved in local education efforts in Maine took those skills and applied them to her teaching internship in Mexico.

Other students in the SPIA program are able to develop research or service tasks that mix the local and global. For example, students:

- Compared the effectiveness of marine fisheries policies in Maine with similar fisheries in the Canadian Maritimes and in Iceland, leading to recommendations to change local policies;
- Studied tidal marsh management in New England and in Argentina to help develop better strategies for wetland protection from sea-level rise;

- Working through the U.S. Commercial Service, one student's internship worked to link local research on renewable energy technologies with economic and energy development needs in coastal Chile.

In all of these examples, graduate students are connecting their local and global experience and knowledge to provide improved outcomes at both ends of the internship experience.

#### IMPETUS FROM A MULTI-CAMPUS INITIATIVE:

The previous examples illustrated what single campuses can do to enhance their individual engagement efforts. Much current analysis has focused on this intra-institutional challenge. If engagement is to move forward, however, it is important that innovations extend beyond a single campus and that ways be found for campuses to learn from each other. Yet the obstacles to joint learning and practice are many. Campuses are well known for having differing cultures, goals, administrative practices, and histories (e.g., land-grant research institutions, private liberal arts schools, community, and technical colleges). Surmounting these differences can be difficult, particularly with something as fraught as engagement. Indeed, some have argued that engagement should not be expected at all campuses, or is at odds with the core responsibilities of certain types of HEIs (research campuses, for example). Some see engagement as best carried out by religiously affiliated campuses, for example, or as relevant only to those campuses with a mission of strengthening civic dialogue. In other words, many have regarded engagement not as a general theme to be woven throughout all higher education activities but as a side strand of activities relevant to, at most, a few limited types of institutions. In this section, we point to the value of engagement being looked at for the possibilities of having many types of campuses involved and, indeed, involved together.

We present here an illustrative example of the Maine Sustainability Solutions Initiative (<http://www.umaine.edu/sustainabilitysolutions/>), where 11 institutions of higher education of vastly different types are working together on engaged, solutions-focused research to address the challenges of sustainability. The National Academy of Sciences has called sustainability one of the grand challenges now facing the earth. To meet this challenge three changes have been called for: science needs to be more interdisciplinary, science must involve stakeholders and ultimate users of information, and science needs to do a better job of tailoring research so that it leads to solutions that work locally and globally (Kates et al. 2001; Clark and Dickson 2003; Dietz et al. 2003; Crow 2010). Such a challenge is likely best addressed by campuses working together and linking engagement throughout their efforts.

The Sustainability Solutions Initiative, funded by the National Science Foundation at the level of US\$20 million over a five year period (cf. Silka et al. 2012), brings together for the first time diverse campuses throughout Maine: community colleges, select liberal arts campuses, comprehensive universities,

teaching universities, and research universities. All of the campuses are working together to see if it is possible to advance the science of sustainability in ways that are locally impactful but speak to global issues. At one level, SSI is simply about going about this work of finding solutions to the environmental problems with which Maine and so many other locales are struggling (Silka 2010; Gardner 2012; Lindenfeld et al. 2012; McCoy and Gardner 2012; Silka et al. 2012). At another level, SSI is about testing out how this can be done (an experiment, in effect) in order to provide results for generalizable recommendations about how to change higher education practices across a range of types of HEIs. Indeed, one unique facet of SSI is that it includes a group of researchers that studies how well the other SSI teams perform at designing research that integrates across disciplines/campuses while engaging local stakeholders so that the research outcomes provide solutions to local problems.<sup>1</sup>

SSI illustrates how to pursue engagement in ways that deeply intertwine engagement with the other university knowledge endeavors of research and teaching. Hundreds of faculty, graduate students, and stakeholders are involved linking knowledge to action across different campuses, courses, and research partnerships. Different problems have been addressed by campuses depending on the nature and scope of the concern and the expertise across SSI's broader educational platform: identifying local concerns about ocean tidal energy development near the largest tides, measuring the regional economic and environmental problems related to forestry parcelization where forests are rapidly converting from large corporate landowners to small family forest owners, gauging citizen support for off-shore wind farms, developing management strategies for river restoration in rivers undergoing dam removal, and improving state efforts to educate women about the benefits and risks of eating fish while pregnant. In all cases, stakeholders are involved in deciding *what* should be studied, *how* it should be studied, and *how* the findings will be used. The work on the different campuses is then all brought together providing opportunities to look at the transferability of lessons such as about engagement.

Such multi-campus efforts highlight another way of bringing together the local and the global to maximize the diffusion of ideas and practices. The multi-campus possibilities could well be another tool in the "toolbox" for university engagement reform in the future.

#### IMPLICATIONS, CONCLUSIONS, NEXT STEPS

We began this chapter with the point that too often it has been assumed that successful institutional change can only be brought about in one way. As we have suggested throughout this chapter, discussions about creating institutional change need to be opened up to an examination of multiple ways to create higher education transformation. Experiments in engagement can be started in different ways and by different groups. They can start with an individual faculty member, a program, a center, a school, or an across-institutional initiative. With each of these possibilities, experiments in engagement can be driven by planned interventions or

can be the result of serendipitous opportunities; they can be research driven or can be organized around a problem focus. Each of these can be an innovative means for linking local and global in engagement.

Beyond the exemplars, there is hard work ahead in turning a few examples into a successful movement for engagement. The different streams of innovation will need to be considered together so that common lessons can be identified. Through this process, the hitherto independent bodies of analysis (that is, university engagement and higher education globalization) can begin to talk to each other in ways that can contribute to a shared perspective on higher education reform. We may see, for example, that by looking at the local and global together important but otherwise invisible issues begin to emerge such as:

- *Scale*: Local engagement would seem to represent a good match between available needs and resources; if so, what has to change for scaling up from the local to geographically larger settings (regional, national, global) to be successful? Will there need to be a change in how engagement is approached? Will campuses need to work together in ways that have yet to be fully worked out?
- *Transferability*: If successful engagement is deeply place-based, how do we learn across our highly different and unique places and contexts? Which aspects of place differences matter? Which do not? What kinds of changes will need to be made in approaches to generating transferable engagement knowledge if we are to transcend the differences?
- *Impact*: Will the degree of impact simply be the result of doing the same types of engagement many times and in many places, or does juxtaposing the local and global suggest that impact and how it can be achieved will need to be thought about in new ways?

HEIs will need to change if engagement is to go forward. Some new practices will need to be developed, perhaps including using new tools such as the internet to bridge and local and the global. There will be the need to prepare future academic leaders in new ways so that they understand the depth and breadth of engagement opportunities and challenges. It will be important to look at how this work can be rewarded (Cantor and Lavine 2006; Saltmarsh et al. 2009). There will be the need to find ways to reward multiple forms of scholarship (O'Meara et al. 2005), and there needs to be recognition that faculty work in communities is a true academic enterprise (Calleson et al. 2005).

As we go forward with engagement, it is worth keeping uppermost in mind a cautionary tale about universities and their past attempts at linking engagement at the local and global levels. Many US land-grant universities pursued the goal throughout the middle decades of the last century of developing agricultural practices that would increase food production around the world and thereby reduce world hunger. They developed practices in one place (the U.S.) and transported this "green revolution" to very different locales around the world. The assumption was that place could be transcended because knowledge is somehow generic. Such

was not the case. In Mexico's parched Yaqui Valley, the new variants of wheat produced much more food but consumed so much water that most other economic drivers that also needed water resources were squeezed out and communities were negatively impacted (Matson 2012). Connecting the local with the global is the future for engagement but we need to approach this challenge in thoughtful, careful ways. Can we be smarter this time around?

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#### NOTE

1. For more information about the range of SSI activities see the special issue of the *Maine Policy Review* on "Sustainability," which was edited by Linda Silka, Bridie McGreavy, Brittany Cline, and Laura Lindenfeld: <http://digitalcommons.library.umaine.edu/mpr/vol21/iss1/3/>; accessed on 17 January 2015. This special issue provides findings of a National Science Foundation/Experimental Program to Stimulate Competitive Research (EPSCoR)-funded project; contributors include faculty from Maine HEIs who worked with stakeholders on sustainability issues through the lens of sustainability science.

**PART II**

**INSTITUTIONAL PROGRAMS, PARTNERSHIPS, AND  
CASE STUDIES IN THE UNITED STATES**



TRACY M. SOSKA

## 7. UNIVERSITY AND COMMUNITIES IN PARTNERSHIP

*Exploring the Roots and Current Trends of Higher Education Community Engagement in the United States*

Understanding the nature of university community engagement and how universities affect their communities requires an examination of the history of universities in their community context and how this town-gown relationship has evolved. Relevant questions include:

- How can we describe the relationship between universities and their communities?
- What has been the nature of this relationship and how has it changed as universities have evolved, especially in the United States?
- What are the major points of connection between universities and their surrounding communities today?
- How can we begin to assess the impact that these connections are having on universities and communities?

These areas of examination inform the evolving nature of university-community relations, and they reflect the cornerstones for emerging models of civic engagement that seek to integrate the triumvirate mission of teaching, research, and service. This chapter addresses the historic roots and current trends in campus-community relations that have begun to shape a new level of town-gown engagement and partnership, and it begins to address how we can assess the impact universities are having on their communities.

### HISTORICAL AND DEVELOPMENTAL CONSIDERATIONS IN HIGHER EDUCATION

Two overarching themes in the literature of higher education's historical development are the *town and gown* relationship and the *mission or purpose* of higher education. Little writing has focused, however, on the important relationship between universities and their communities and how this relationship has evolved along with the mission of higher education, especially in the United States. David C. Perry and Wim Wiewel, in *University as Urban Developer* (2005), acknowledge, "Almost from the beginning, the relationship between the university and its surroundings has been as conflictive as it has been important, captured most commonly in the timeworn phrase of "town-gown" relations" (p. 3).

*W.J. Jacob et al. (eds.), Community Engagement in Higher Education, 105-125.*  
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The development of communities and society and that of higher education have paralleled one another and have been mutually impactful and reinforcing.

This relationship can be seen in the earliest development of the University. As Richard Seckinger notes in *Paris: From Cathedral School to University*, the turbulent power struggles and events that spawned the modern university during the Middle Ages often were precipitated by town-gown conflicts between members of the academic (Masters and students) and the local community. In the power struggles and town-gown conflicts of the Cathedral School at Notre Dame in Paris, not only was the beginning of the modern University recognized in Pope Gregory IX's Papal Bull *Parens Scientiarum* (1231), but this same church/political decree formalized the university (Thelin 2011). In many respects it also defined the relationship between university and community as, hopefully, peaceful co-existence. Even in its earliest roots in Paris, the University was a significant source of cosmopolitan advancement for the city and, at the same time, a point of conflict and challenge to the local community.

In *The University and the City: From Medieval Origins to Present* Thomas Bender (1988) underscores that the history of the university has been an urban history, and as cities have dominated political, economic and cultural life across all nations, the influence of universities have been felt through their cities. This interrelationship appears important in both the European and American traditions.

The cosmopolitan European university played an integral role in remaking the world order of the medieval period through the Reformation, underscoring the importance of higher education as a force, not just the local community, but in larger society. Harold Perkins, in his *History of Universities* (in Goodchild and Wechsler 1997), acknowledges the history of higher education as significantly the history of the European university. Beyond the transition of medieval society in the Reformation, he traces several major stages in this mutual development, including: (1) the nationalization of universities and alignment with the Religious Wars, as Universities in Europe were strongly tied to educating leaders for the church but were now sanctioned by the state; (2) the rise of "scientific principles" and knowledge that moved outside of universities and advanced the Industrial Revolution, with new knowledge and changing industrial society recreating the university in this new vision; (3) the university's migration to the non-European world and its adaptation to developing societies, America's higher education development was part of this pattern and was a focal point for many of the key philosophical conflicts in higher education; and (4) the movement from elite to mass higher education with the United States' ascent into the post-industrial society a key to shaping roles for higher education in this emerging society and its community impact.

As higher education migrated from Europe to the United States, two other issues emerged as central to this community context, "knowledge for what?" and "knowledge for whom?" American higher education has often debated the philosophic foundations of education from the colonial era that, with universities such as Harvard, Yale and other early institutions, largely imported the English liberal arts and religious frameworks of higher education (Perkins; Cremin in

Goodchild and Wechsler 1997). Religion aside, as evidenced in the *Yale Report of 1828*, many elite institutions continued to advance the classic and general liberal core of knowledge as paramount (Hutchins 1936) and independent of time, place, or societal influence. However, the growing role and importance of the state in chartering of universities began reshaping the nature of, role for, and investment in higher education, which led to a proliferation of universities as higher education expanded from the traditional eastern core (Thelin 2011).

The expanding frontier was also a new frontier of higher education in which universities developed in several critical directions (Gruber; Hoeveler; Sloan in Goodchild and Wechsler 1997; Rudolph 1990; Thelin 2011). The scientific knowledge of the Enlightenment found greater prominence in the rise of many of the private, locally developed and funded colleges where a more flexible and elective curriculum began to emerge (Rudolph 1990; Sloan in Goodchild and Wechsler 1997). Higher education evolved a more scientific base that drew heavily from the German and Scottish research institutions and were more accommodating partners to the growing industrial revolution. Knowledge was seen as more critically linked to social and economic progress that advanced America's model of the Research University (Gruber; Sloan, in Goodchild and Wechsler, 1997). With a greater public role in the development, funding, and direction of higher education following the Civil War (Thelin 2011), universities developed a greater focus on application of knowledge to society, i.e. what the public gains from its support of higher education, and the drive to enhance this "knowledge for the public good." This was significantly reflected in legislation like the *Morrill Act* of 1862 authorizing creation of the "Land-Grant" Institutions epitomized in the "Wisconsin Idea" (Gruber; Hoeveler in Goodchild and Wechsler 1997; Rudolph 1990), which further distinguished "private" from "public" universities (Thelin 2011) and began to move higher education from the state to the federal agenda.

This democratization of higher education in the United States paralleled social movements in moving away from the elitism of colonial institutions and those of the Antebellum South to the more flexible and enlightened private colleges of the Antebellum Period, to the post-Civil War public land-grant institutions, to then women's colleges, and, further, Historically Black Colleges and Universities (HBCUs) that made higher education a goal of and accessible to mass society (Gruber in Goodchild and Wechsler 1997; Rudolph 1990). Along with this democratization of higher education in the United States came a growing recognition that emerged from the Progressive Era and from our World War experiences and their global perspectives of the intrinsic link between society and knowledge that has entrenched the tri-partite mission of teaching, research, and service in the educational mission and philosophy of higher education in the United States (Geiger et al. in Goodchild and Wechsler 1997; Rudolph 1990).

Another influence in higher education related to university-community connections is the rise of professionalism in disciplines and occupations (Bruacher and Rudy; Cremin in Goodchild and Wechsler 1997), as well as in the higher education industry and its "professional" academy. This development emerged in the late nineteenth century as a potential "new social class" issue and grew

influential during the Progressive era, especially the role of the “intellectual” in addressing social injustice. This rise of professionalism also mirrored the advance of rationalism and bureaucracy by Max Weber (Shafritz and Ott 2001) that flowed from the scientific and industrial influences in the social order of the first half of the twentieth century. Perhaps one of the most noted movements in this direction was the “Chicago School” of sociology, which some critics (Rubin 1998) contend used the community and its residents more as a laboratory and subjects, respectively, than as a base for social reform or applied research. Critiques on the growing *professions* and their positive or negative impacts on society have been a continuing, secondary theme of the higher education development literature (Metzger in Goodchild and Wechsler 1997), as has been the growing professional administrative nature of the higher education business. However, the dependence on knowledge that is more specialized and the growing demand that knowledge serve the public good—whether that be the creation of jobs (economic), preparing students for jobs (consumer/education), a return on public investment (political), or making knowledge accessible (elitism)—has become part of the *town and gown* discussion, especially within the public domain of higher education.

Voices among the new models of university-community relationships do question whether *postmodern* professionalism fosters academic elitism, which is out-of-step at our public and land-grant campuses (Cooper 1999) and limits its scholarly focus (Boyer 1990; 1994). What remains pertinent in assessing the development of American higher education is the need to look inwardly at the academic profession and its influences on the university-community relationship, as well as at higher education external institutional nature and form as it relates to the local and larger community and the development of community.

#### EXPLORING THE COMMUNITY CONTEXT IN THE HIGHER EDUCATION MISSION

America’s higher education development also reflects on the nature of relations between higher education institutions and their local communities. While many have argued the dwindling enrollments and struggles of many emerging colleges in the Antebellum Period needed the scientific curriculum infusion and public investments of post-Civil War the United States (Rudolph 1990; Thelin 2011), writers like David Potts (in Goodchild and Wechsler 1997)—note that college-community alliance had long been an important economic and social factor in the United States. The town and gown relationship has long been one built on a mutually beneficial, if not sometimes difficult, economic exchange, and colleges and universities continue to be economic engines, particularly in smaller communities. Moreover, Potts notes, many of these colleges not only served the local educational needs, especially for middle and low-income families who could not travel to attend college, but also provided a local cultural and economic base that became important to the region. Ernest L. Boyer also noted that during this period higher education took on a mission to educate civic leaders (Boyer 1994). Similarly, local higher education institutions could be more closely tied to the

immediate economic and employment market. Many communities fought, legally and politically, when religious denominations sought to relocate colleges to other areas, and many such institutions later secured important state support while remaining denominational (Thelin 2011). The college-community alliances of this Antebellum Period can be seen as part of America's folk movement and the popularizing of local higher education (Potts in Goodchild and Wechsler 1997).

The university-community connection in the United States entered a new dimension with passage of the *Morrill Act* (1862) that created the land-grant colleges, and with the subsequent *Hatch Act* of 1887, the ideals of the land-grant college as service universities addressing national purposes was afforded financial incentives (Ross 2002). Many colleges and universities adopted service missions in response to the land-grant movement and established initiatives such as "cooperative extension" to bring the knowledge and resources of the institution out to the communities. However, those in the educational elite institutions responded by establishing the American research university. Although research universities incorporated service into their mission, their efforts did not embrace the democratic ideals of the land-grants and maintained a rather detached research agenda that saw the community more as a laboratory (Boyer 1990, 1994; Harkavy 1996).

Another more intensive university-community connection developed out of the Settlement House movement in the later nineteenth century and the early twentieth century Progressive Era when schools like Smith and Amherst exposed their upper-class students to the conditions of the poor, working class, and immigrant populations in urban areas. Only Hull House established by Jane Addams and associated with the University of Chicago social work program achieved a measure of success and longevity (Ross 2002)—although the recent demise of the Hull House organization (Knight 2012) is sadly lamented. However, others are more critical of the Chicago experience, contending that the academics continued an elitist model of scientific research under the guise of Hull House (Rubin 1998). Columbia College (now Columbia University) was another prestigious university that turned its attentions to serving the needs of New York City residents (Benson and Harkavy 2000), students and faculty enjoyed the support and encouragement of Columbia's president in working with city residents. Many other universities in the United States and Europe, often bore the name of their city—Chicago, New York, London, Pittsburgh—and were predisposed to draw students and institution focus from their metropolitan area (Stevenson in Bender 1988). For these metropolitan universities it was impossible not to be part of the surrounding environment and interacting with that environment (Schils in Bender 1998); however, the challenge was relating to their environment while focusing on more worldly academic pursuits. In many respects these were universities "in" the community, but not many of them were, as of yet, "of" the community.

With the *Smith Lever Act* of 1914, the Cooperative Extension systems was created, and the steady financial support it provided helped build a more formal relationship among land-grant colleges and communities across their states (Ross 2002). These Cooperative Extensions also served to heighten the role of scientific

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technology in the college-community connection that emerged in the Progressive Era, but that saw, in the post-World War I era's harsh economic realities, a growing separation between scholarly research from improving social conditions as an optimistic society did in the Progressive Era (Harkavy 1996). The partnership that grew between university and government during World War II and heightened tremendously in the Cold War era further disconnected higher education from its surrounding communities and engaged instead with government research (Boyer 1990; Benson and Harkavy 2000).

Higher education returned to a semblance of community/civic engagement with the resurgence of the democratic ideal that infused American campuses during the 1960s period of civil right and anti-war social unrest, as well as renewed community service. Programs like the Peace Corps and VISTA from the Kennedy and Johnson administrations and later folded into the federal coordinating agency, ACTION (1971), helped keep close connections between campus life and the national and international realities. Social relevance became a critical issue on college campuses across the United States and raised its visibility and concern with the larger society, although not always in amenable ways (Ross 2002). From anti-war and other counter-culture movements, campuses were engulfed in the emergent global society, but in the political turmoil of the 1970s, many grew more inward as the United States grew more conservative.

While the 1980s were characterized as the "Me Generation" or "Generation X," a conscious effort in higher education sought to advance a more socially aware curriculum that led to the formation of the Campus Compact (1985) that helped give community engagement and service learning a foothold on American campuses (Campus Compact 2001). It was also during the 1980s that many higher education institutions began to recognize the urban decay and social problems that were cropping up on their very doorsteps (Harkavy 1996). It was a challenge for colleges and universities to recognize that at least some of the problems were precipitated by the growth of our higher educational industry in the post-World War II and "Baby Boom" periods, and that this community decline had occur while universities were occupied with scientific research and institutional growth from this research industry. It was in the more practical matters of higher education institutional form and student social life that guided much of the university-community relations during the second half of the twentieth century.

#### *From Community Conflict to Community Engagement*

In many urban areas, the larger, public and metropolitan institutions served local, state and even national educational needs, but also followed the evolution of land-grant schools into major research universities, which has increased their local economic and larger societal influence (Gruber et al. in Goodchild and Wechsler 1997). With the rise of higher education institutions, especially those in urban areas, and their physical growth, a parallel development of the social life of the university campus and the *town-gown* relationship has imprinted itself in the reality and perceptions of college life. While many aspects of college life were

often part of the local cultural and social experience in local communities (Rudolph 1990), the spill-over of college activities into the surrounding community has long been a source of college notoriety—from the community uprising against the cathedral schools in Paris, and the madness of college football games, to the media portrayals of fraternity life as in the movie, “Animal House”.

The post-World War II college boom and subsequent “baby-boom” in the second half of the twentieth century represented a period of rapid facility growth and expansion into the community. University-community tensions increased on campuses across the United States, especially in urban communities where “institutional form,” defined by building layout and the spatial distribution of university activities, met with limited space for expansion and activity (Carrol 1972). The struggle for community and institutional interests to coexist in a shared geography was intensified by the rapid expansion of higher education institution in their locales (Birenbaum 1968). In subsequent years of continued higher education growth, town and gown tensions around institutional form have been the primary focus of university-community “relations”—more a public relations function and a mediation role. Robert Lloyd Carrol’s extensive study of university-community relations on urban campuses, *University-Community Tensions and Urban Campus Form* (1972) also found that parking, land-use, tax exempt status, and crime statistics have emerged as further issues for town and gown tensions, and these issues continue to be a concern in more recent years.

The university response emerging from this period was significantly one of community relations—interactions aimed at primarily keeping the peace and reducing town and gown tensions—and these issues have become even more of a concern in recent years. The mid-twentieth century rise in post-secondary attendance fueled by the GI Bill which provided funding for veterans, when coupled with the inability of colleges and universities to build adequate on-campus housing, resulted in a substantial urban problem of overcrowded and often neglected off-campus housing; i.e., student ghettos, that still today fuel community debate over the town-gown relationship. News articles abound in most university cites and are typical of the current furor that remains in the town-gown relationship.

In *The Campus and the City* (1972), the Carnegie Commission on Higher Education noted that many universities were overwhelmed by the need to maintain relations and communications at several and often changing levels, both externally and internally. University-community relations still are often marked by division and hostility around issues of academic detachment and real estate self-interests (Mayfield et al. 1999). In their case study of university-community collaboration in Chicago, Mayfield, Hellwig, and Banks contend that hostility and division can be transcended by using collaborative partnerships to enhance how society addresses today’s urban issues (1999). These were the types of engaged and mutually beneficial relations that the Campus Compact sought to foster at member schools.

While universities have undergone periods of historical change in their interactions with communities, it would be paternalistic to see this changing relationship as only spurred by developments in the higher education environment.

The lessons of community engagement from the university connections in the Settlement House movement that helped move society into a Progressive Era of attention to social and economic justice left a lasting base for neighborhood and community action to address social problems. When one examines the rise and development of neighborhood and community-based organizations largely stemming from the urban renewal and social action period of the 1950s and 1960s, the corresponding change in town-gown interaction from community relations to community partnerships represents a response to a changing community power base (Rothman 1999; Rubin 1998).

Urban renewal of the 1950s and 1960s was characterized by a community development strategy that saw huge tracts of urban landscape emptied and residents, removed to make way for highway infrastructure and large-scale facility developments. “Renewal” had a significant impact on low-income and minority residents and communities, helping to fuel both racial unrest and the neighborhood movements of the late 1950s and 1960s in response to urban “removal” policies and programs—sometimes referred to as “negro removal” (Fullilove 2004). This was evidence of a growing dissatisfaction with large-scale institutional intrusion into urban neighborhoods. The rise of urban neighborhood organizations during this period was a preservationist response to massive urban renewal, as well as a desire to focus attention from downtown development to neglected inner-city neighborhoods. As neighborhoods organized on the local and national levels—the National Association of Neighborhoods was formed in the 1960s—the growing civil rights unrest and militancy in response to perceived social injustice also lent an atmosphere of conflict to community organizing in this period (Cunningham and Kotler 1970). Social activism and community action went hand-in-hand through such organizers as Saul Alinsky in Chicago, and community interactions were often ones of strong contention (Rothman 2001; Rubin 1998). In *town and gown* relations, where community organizations often did not see universities as allies in their struggle for community building, tension and conflict were common. With their research agendas universities often viewed neighborhoods as places of problems and deficiencies to be studied or, worse, annexed, rather than places of assets and capacities upon which to build community (Kretzman and McKnight 1993).

Expansion and “intrusion” of higher education institutions, especially during their post-World War II/GI Bill growth period, were often countered with strong neighborhood activism to maintain the boundary between university and community (Deitrick and Soska in Perry and Wiewel 2005). Community relation responses in university community interaction became a common practice of managing rather than building the relationship (Birenbaum 1968). The development of community centers, which were modeled on the settlement-house, and rise of sophisticated and mature community organizations during the 1960s and 1970s presented both local government and large community institutions, like universities, with real community development capacities and oppositional forces that had to be respected and reckoned with.



In communities where higher education institutional expansion was advanced, competing interests for community space and purpose for development had to be reconciled, and this often involved local government, which owed significant allegiance to the voting power of community residents. This same local government was often equally concerned with university expansion plans that might remove property from city tax rolls. These issues emerged at the University of Pittsburgh (Deitrick and Soska 2005) in the late 1960s and early 1970s when proposed university expansion met with opposition and counter proposals from its surrounding Oakland neighborhood over a “two block area” that the state assigned to the university rather than the community. Not only did local opposition arise to counter the university’s plans, but the city, concerned with losing valuable tax property, allied with the Oakland neighbors in fighting university expansion. University-Community relations in this era of conflict was characterized as one of bargaining and negotiating, a far cry for many “enlightened” institutions from the times when what was good for the college or university was thought to be good for the community.

As the community organizing movement of the 1960s and 1970s evolved into the community development movement of the 1980s, the emerging planning sophistication, resources, and power of community development organizations began to evolve a model more of consensus than conflict (Eichler 1998:). Comprehensive community revitalization strategies (Stone 1996) in neighborhoods and communities often presented striking contrasts to institutions master plans. However, in the face of their newly found influence and power, community organizations were often sought out by large institutions, and vice versa, as partners in consensus planning for community development that accommodated institutional expansion. Similar consensus building and collaborative partnership emerged at the University of Pittsburgh (Deitrick and Soska 2005) as well as many urban campuses to spur mutually beneficial community and economic development.

In many communities surrounding higher education institutions the deteriorating community conditions in distressed and largely minority inner-city neighborhoods became a problem for the college and universities whose students found venturing outside the campus a serious issue, especially for parents of these students. Higher education institutions like the University of Pennsylvania, Yale, Columbia, Chicago, and Trinity are a few examples of campuses as islands surrounded by urban distress. Mutual concerns prompted cooperative or consensus strategies for addressing local problems, and community revitalization became a win-win situation for both communities and universities.

While one might like to think of the higher education civic engagement movement in the United States as motivated by altruism, much of the roots of service learning and civic engagement were formed in the cauldron of campus and community unrest that challenged power structures in terms of local control, citizen or community participation in decision-making, and the democratic principles that are the core of the American higher education (Harkavy 1999). These roots of civic engagement can be found in the public and internal pressures

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for colleges and universities to help themselves by helping their communities. Quoting from Charles E. Hathaway, Paige E. Mulhollan, and Karen A. White's *Metropolitan Universities* (1995), Henry Cisneros, then Secretary for the U.S. Department of Housing and Urban Development, notes, "The university must not stand apart from its society and its immediate environment but must be an integral part of that society. The university best serves itself and society by assuming an active leadership role, as opposed to its traditional stance of somewhat passive responsiveness" (p. 4).

The literature of university-community partnerships builds upon these directions in American higher education development and the corresponding principles of civic engagement that grew from the ideals of democratization and public good that represent unique aspects. University-community partnerships have also built on the legacy of *town and gown* relations, both positive and negative. In understanding the roots of higher education one must also appreciate the development of relations between university and community as reflecting that history.

#### *From University "in" the City to Universities "of" the City*

Building on the literature of higher education's historic development in the United States, contemporary scholarship in the area of university-community relations has focused on community engagement and partnerships. Much of the recent literature has been generated in related professional fields, such as urban and public affairs, social work, public health, and, also, education, especially as it relates to service learning pedagogy. Part of the growing literature in this arena represents an effort to integrate research and action across disciplines to more fully grasp the scope of this work in the ongoing development of higher education (Harkavy and Romer 1999; Boyer 1990) and to stress the collaborative relations that need to and have been evolving between town and gown.

The notion of universities as "civically engaged" and fulfilling their citizenship and social responsibility have their roots in the writings of Thomas Jefferson and his belief in higher education as the best hope for a democratic society and the surest route to enlightened citizenship (Damon 2000; Harkavy 2000; Sullivan 2000). The Jacksonian influence on higher education's development was a further call for "democratization" of higher education to make this avenue to knowledge accessible to the mass of society (Rudolph 1990; Cooper 1999). Robert Putnam in his seminal book, *Bowling Alone: America's Declining Social Capital* (1995), reflects on his research that has shown a growing decline in civic involvement in the United States from volunteerism to fraternal associations to political participation. Putnam raises concerns that this seeming aversion to civic participation is weakening the social capital of our society, as it also reflects a waning presence of higher education in affecting and shaping civil society.

The importance of higher education's role in promoting democracy in civil society in the United States is perhaps made most clear in the *Preamble of Campus Compact's President's Declarations on the Civic Responsibility of Higher*

*Education* (2000) that underscores the university's role in educating students for citizenship and responding to community needs by mobilizing higher education resources to address problems and issues in society. Campus Compact, as a national organization with state charters among presidents of higher education institutions, recognizes several institutional practices in advancing civic responsibility: (1) Democratic Practices on Campus, (2) Campus-Community Partnerships, (3) Communication with One's Community, (4) Community Improvement, and (5) Campus Engagement.

The concept of the "engaged institution" is another focus of this university-community movement in contemporary higher education (Gamson et al. 1998). Some important recent writing has come from the Kellogg Commission on the Future of State and Land-Grant Universities in their 1999 Third Report, *Returning to Our Roots: The Engaged Institutions*. In this report, the Kellogg Commission draws on the "rich heritage of service to the nation inherent in American higher education as exemplified by our land-grant colleges and state universities" and stresses the "importance of community 'partnerships' as foundations of mutual respect in community involvement" (p. 27). The Commission highlighted "civic engagement as a means for enriching the student experience and helping to change the campus culture in terms of curriculum and research that in responding to community problems helps students prepare for life" (p. 30). The key to institutionalizing civic engagement lies in "integrating service to our teaching and research in our institutional mission" (p. 46).

Much of the current literature in this area finds its contemporary roots in the writings and work of Boyer, long-time director of the Carnegie Foundation for the Advancement of Teaching. More than just pressing for citizenship and civic engagement in our academic culture, Boyer's writing challenged American higher education to transcend its narrow focus on research from a limited "discovery" approach. While recognizing the important social contribution the *Scholarship of Discovery* has made in generating new knowledge through academia, Boyer in his last seminal work, *Scholarship Reconsidered: The Priorities of the Professoriate* (1990), pressed for higher education to expand both its definition and recognition of scholarship. In his final treatise Boyer argued that our academic limits on recognizing and rewarding only the *scholarship of discovery* was stifling the pathways to knowledge and limiting the role of higher education and knowledge in society. In addition to the traditional university research approach of *discovery scholarship*, Boyer advanced three other *pathways to knowledge* worthy of recognition and reward in higher education institutions:

- *Scholarship of Integration*: This involves cross-disciplinary study seeks comparative frameworks for analysis and exploration that moves toward a common language of understanding and advances knowledge by making interdisciplinary connections.
- *Scholarship of Teaching*: This involves a focus on pedagogy of teaching allows us to better understand and develop our educational methods in enriching the academic learning experience.

- *Scholarship of Engagement*: Our knowledge and research are challenged in application to real and pressing social problems and issues in ways that partner us with communities and communicate our knowledge and findings to a broader society than our narrow academic and professional communities.

Using public service as a vehicle for “reinventing the research university” (Checkoway 1997; Cooper 1999) is part of the challenge for rediscovering the university’s roots in civic engagement, and Boyer provided the higher education banner to rally around. Boyer’s framework of scholarship has influenced most subsequent research and writing on university-community partnerships. His earlier work helped promote the resurgence of *service learning* on campuses that was institutionalized to a great extent under Campus Compact and significantly housed in student affairs (NASULGC, Kellogg Commission 2001). University-community partnership share a common academic heritage with *service-learning* approaches in higher education, and the notion of community partnership is strongly imbedded in the vocabulary of service learning across many academic disciplines (Harkavy and Romer 1999; Harkavy and Wiewel 1995). Beyond the Kellogg Commission, the Carnegie Foundation for the Advancement of Teaching has assumed a substantial civic engagement stance by now offering an “Elective Community Engagement Classification” for colleges and universities that provides standards and best practices for academic engagement and community outreach. From 1984 to 2008, the U.S. Department of Housing and Urban Development, through its Office of University Partnerships, provided grants for “Community Outreach Partnership Centers” for hundreds of colleges and universities to enhance their community engagement with community partners.

The model of a service and learning partnership with the community implies an approach of doing “with” not “for” the community, and this approach acknowledges a parity or reciprocity among the learning partners (Edwards and Marullo 2000; Ward and Wolf-Wendel 2000). Service learning is seen as an important tool in shifting the educational paradigm that Boyer advocated, but it must also be embraced by the faculty (Zlotkowski 1996), and not just students who appreciate the enhanced learning opportunities it bring to their educational experience (Kuh 1996). Through service-learning activities faculty and student learning and research partners with communities in ways that benefit community problem-solving, teach across differences, enhance classroom learning through practical application, and promote student development through reflective dialogue on community service experiences (Kraft 1996). Higher education institutions can also find opportunities to collaborate internally, and in many universities, student affairs and academic affairs units are working together to create a more “seamless culture of learning” (Kellogg 1999). While service learning has significantly advanced Boyer’s paradigm shift for higher education, it is the institutionalization priority in the university-community partnership initiatives that may have the longer-term impact on institutional culture in working more equitably with host communities (Edwards and Marullo 2000).

In the literature of *community capacity building* (Stone 1996; Chaskin et al. 2001) higher education finds a comparative community context. One of the primary goals of the Community Outreach Partnership Centers program has been community capacity building by mobilizing universities resources to address community identified need. Community capacity is the “interaction of human capital, organizational resources, and social capital existing within a given community that can be leveraged to solve collective problems and improve or maintain the well-being of that community” (p. 7). They see this community capacity operating through informal social processes and/or organized efforts by individuals, organizations, or social networks among these partners and larger systems of which the community is a part, and they delineate four levels of social agency that build community capacity (Chaskin et al. 2001): (1) leadership development, which involves building individual capacity for leadership; (2) organizational development, which involves building and maintaining structures for networking; (3) community organizing, which involves mobilizing resources and collective action; and (4) alliances, networks, and collaborations, which are essential to building partnership relations toward mutual goals.

The focus of service learning and community partnership efforts is the “community;” however, most communities are not anxious to be served but, rather, seek to have their capacity built so that they can then make improvements on their own (Gamson et al. 1998). This concept of building capacity is central to the “new community building” (Stone 1996) that draws heavily on building from community assets. Community building in the 1990s is the practical version of the community organizing movement of the 1960s and 1970s, and it rests on a cornerstone of looking beyond the problems, deficiencies, and weaknesses of a community to appreciate the assets, capacities, and strengths existing in the neighborhood (Kretzman and McKnight 1993). A consistent criticism of the town-gown relationship is that the university tends to only see the community as a laboratory for studying needs and pathologies, not as a place of assessing assets and capacities on which to build. It is in this concept of building community capacity that the university-community agenda is finding an alliance among academic and community partners who see themselves in a common role as community builders. Rita Axelroth Hodges and Steve Dubb’s (2012) taxonomy of university community development recognize universities who focus on such capacity building in the community as “convener” institutions, which are less focused on the university agenda but reciprocation with the community.

Community Outreach Partnership Centers are representative of such collaborative processes reflected in this literature on inter-organizational networks, and university partnerships have been strong on at least the rhetoric of collaboration process and product. A more thorough background on the Community Outreach Partnership Program grant program under the U.S. Department of Housing and Urban Development would seem to be in order.

Colleges and Universities are among the greatest assets in any community, and yet too often they are isolated from their community’s needs and aspirations. HUD’s Community Outreach Partnership Center (COPC)

program is a new tool for repairing this old rift. COPC's modest grants provide a potent catalyst for community engagement, encouraging institutions of higher education to mobilize unparalleled resources in initiatives that serve both town and gown. (Andrew Cuomo, Secretary, Housing and Urban Development, p. v)

This statement is taken from the Foreword of the *Colleges & Communities: Partners in Urban Revitalization*, the 1998 *COPC Annual Report*, and succinctly captures the intent and purpose of the Community Outreach Partnership Center initiative. The U.S. Department of Housing and Urban Development established the Office of University Partnerships in 1994 to encourage and expand higher education efforts to make a difference in their communities. HUD, with its mission to foster stronger communities, has been the principal agency for the federal government's role in promoting such an intensive university-community linkage.

While it was noted in the foregoing that colleges and universities have historically had a stake in their communities and serving the public good, few could claim an institutional culture or mandate that clearly linked the institution with its community. Yet, a sensitivity to service in the university mission and the growing pressure from external sources, especially public and elected officials expecting community benefits from their higher education investments, helped fuel the revival of civic engagement on college campuses (Darlington-Hope 1999; Edwards and Marullo 1999). The formation of Campus Compact in the 1985 was one response by higher education leadership to renew a focus on civic engagement and community service as a means for enhancing the college experience and building leadership skills. Service learning initiatives became a mainstay of Campus Compacts efforts to build service and engagement into higher education curriculum. Spurred by the work of higher education leaders like Ernest Boyer at the Carnegie Foundation for the Advancement of Teaching and pioneers in university-community partnership, such as Ira Harkavy at the University of Pennsylvania, among others, and with support from several Presidential administration, logical and strategic next steps in institutionalizing community service required a significant public investment to incentivize higher education community outreach and engagement.

Perhaps the most critical tenet of the COPC program has been its mandate to work with communities not on them (1998 COPC Annual Report; Wachter 2000). Communities and community organizations targeted by COPC programs must be more than just objects of study or recipients of services from university faculty and students. The goals and objectives that direct the COPC activities are to be the priorities of the neighborhood and its residents, not what the university thinks is appropriate for the community. Ideally both the community and the university should benefit from this partnership, and collaboration on shared goals and strategies to reach those goals makes for a more successful enterprise than either the university or the community could achieve on its own (Mizrahi and Rosenthal 1994; Gronski and Pigg 2000). Universities and communities are seen as equal stakeholders in the decision-making process, the sharing of resources, and the benefits derived from the partnership (Sommerfeld 1996). It is also assumed that

the learning exchange is not one-way from university to community, but that the university is also learning from the community (Gamson et al. 1998; Mayfield et al. 1999; Ward and Wolf-Wendel 2000; Thomas 2000). Clearly, this reciprocal model for community engagement rests in universities seeing themselves as “of” the community and not merely “in” the community.

*University and Communities Today—Anchor Institutions and Economic Engines*

The campus-community relationship examined in the forgoing discussion underscores the importance of higher education community impact across three major areas: (1) civic engagement and education, (2) quality of life, and (3) economic. It is this later area of impact that more and more defines the impact of the university-community relationship, but the other two remain important and powerful influences in this relationship.

The then National Association of State Universities and Land Grant Colleges in its Kellogg Commission on the Future of State and Land Grant Universities’ *Returning to Our Roots* report (2001) and the Association of American Colleges and Universities in a special issue of its publication *Peer Review* (2003) acknowledge that higher education maintains its role in educating students as productive and responsible citizens engaged in democratic processes that enhance the quality of life. Service imbued in the university teaching and research, as well as in co-curricular student life, promotes a strong measure of community and social responsibility and knowledgeable and ethical citizenship (Benson and Harkavy 2000). Higher education continues to see its role as turning out the next generations of engaged citizens and responsible community leaders (Musil 2003). As the Pew Partnership for Civic Change addressed in *New Directions in Civic Engagement: University Avenue Meets Main Street* (2004) higher education civic engagement has mutual benefits for both campus and community partners.

Beyond their long-standing capacity for fostering civil society, universities also build community capacity (Hodges and Dubb 2012). This entails the human capital that comes from enhancing individual knowledge and skills entailed in human capital and the social capital that derives from promoting partnerships and collaboration to address mutual social problem-solving and to strengthen organizations working in the community. Community capacity building was a critical thrust of the U.S. Department of Housing and Urban Development’s Office of Community Partnership through its COPC grant program through the 1990s and first half decade of the new century (Cox 2000). Many community development organizations that partnered with neighboring college and university COPC initiatives benefitted from applied research, human and social capital development, and organizational capacity building (Harkavy and Wiewel 1995; Maurrasse 2001). Universities have also discovered greater capacity to “reinvent” themselves (Checkoway 1997).

University campuses also enrich the recreational and cultural landscape making university towns and cities with major universities popular and productive places to live and work (Harkavy and Zuckerman 1999). The major sports programs of

large public and private universities are prized for both their entertainment and economic clout. Evan Dobelle, in his *Saviors of Our Cities* report (2009), recognizes the important impact universities bring through their arts and cultural programs, as well as through student inducements (e.g., Pitt Arts, to attend art venues in university cities). Moreover, where quality of life entails an increasing global society, communities with higher education institutions are abundant in international culture and talent of faculty, students and staff that make their metropolitan areas global destinations (Benson and Harkavy 2000). Author Richard Florida in the *Rise of the Creative Class* (2003) and *Who is Your City?* (2008) stressed the catalytic types of people who can grow a city and the importance of universities in cities to attract creative people to ignite the economic and cultural engines. Rooted in cities and towns, higher education institutions have long been cornerstone for societal development in cities (Bender 1998), but they are now becoming, more than ever, anchoring institutions for the both local and global futures (Hodges and Dubb 2012).

Higher education institutions today must focus on assessing their community and economic impact, as well as their importance as “anchor” institutions, leading community economic development engines in their communities and partners in local and regional regeneration (Appleseed 2003; Dobelle 2009; Maurrasse 2001; Perry and Wiewel 2004; Vey 2005). John R. Thelin (2011) stressed the importance universities had to their communities in terms of their employment and commerce that made having and retaining a university an vital economic, even political, asset. Historically, cities have grown and thrived because of the mutuality and reciprocity between campus and community (Bender 1998). However, in today’s new economy, the “eds and meds”—i.e., higher education institutions and hospital/medical centers—are driving economic and community regeneration in city after city (Perry and Wiewel 2004). Because universities have significant facilities and spatial footprints, the likelihood of their uprooting and moving elsewhere is unlikely. In its report, *Value Added: The Economic Impact of Public Institutions*, the National Associate for State Universities and Land-Grant Colleges (1997) went on record early to extol the added economic value for university cities and towns. As CEOs for Cities and the Initiative for Competitive Inner Cities have reported (2003), while they are anchored to their communities in one respect, they serve as foundational anchors around which to generate or regenerate economic and community development (Wiewel and Proenza 2010).

This anchoring effect has been especially the case in Rust-Belt and Northern cities where old industrial bases have erode or disappeared, but where bastions of higher education and related health center infrastructure still abide. In Boston the Goldberg Seminar (Appleseed 2003) sought to harness the collaborative impact of the cities multiple universities for community and economic growth. Perhaps the impact of the “eds and meds” economic transition was best exemplified when then President George W. Bush, in visiting the University of Pittsburgh and its new Biomedical Science Tower, noted that Pittsburgh was “no longer steel-town, but knowledge-town” (Hammonds 2005). This Presidential prognostication has been borne out by studies and reports by the Brookings Institution, including *Higher*



*Education in Pennsylvania: A Competitive Asset for Communities* (Vey 2005) and the Coalition of Urban Serving Universities in their report, *Urban Universities: Anchors Generating Prosperity for America's Cities* (Wiewel and Proenza 2010).

Pittsburgh, perhaps more than any other former industrial city, serves as a poster for this economic transition and anchor effect. This impact is visible in the two towers that dominate the city's landscape with the University of Pittsburgh Medical Center (UPMC) emblem adorning the former USX (nee: United States Steel) Building downtown—Pittsburgh's tallest structure—and the University of Pittsburgh's Cathedral of Learning—Pittsburgh's second tallest structure rising forty stories above the nearby Oakland campus. Growing education and medical research has become a significant part of Pittsburgh economic engine, not just with the University of Pittsburgh and its UPMC health counterpart, but with the presence of a Rand research center and Google headquarters in collaboration with the city's other higher education economic engine, Carnegie Mellon University. To further underscore this university-community impact, both the University of Pittsburgh (#2) and Carnegie Mellon University (#19) rank highly in the *Saviors of Our Cities 2009 Survey of College and University Civic Partnerships* (Dobelle 2009).

As we traced roots of universities in the United States back to Europe in the rise of the cathedral schools and the medieval universities that paralleled the rise of Europe's great metropolitan cities, universities as catalysts and anchors for economic and community regenerations are a phenomena migrating back to Europe. In Dublin, the Republic of Ireland has invested two billion euro to relocate the dispersed Dublin Institute of Technology facilities to anchor, along with a massive medical center complex, a community and economic regeneration plan at Grangorman, the site of a former mental institution and penitentiary in the largely underdeveloped northwest neighborhood of Dublin. Similarly, in the former industrial city of Belfast in Northern Ireland, a major community and economic regeneration project is relocating the suburban University of Ulster campus to an area of downtown Belfast bordering the neighborhoods of "The Troubles" to put Belfast on the path to a new economy. This model of university as anchor institution and as engine of economic growth seems a vital path for the future of university-community relations.

Engaged institutions, as Hodges and Dubb relate in *The Road Half Traveled: University Engagement at a Crossroads* (2012), can serve as "facilitators, leaders, or conveners" (p. 11) in community development. No doubt universities can also just decide to be followers, but that does not seem as engaging a challenging road. As anchoring partners, universities can choose to use their education and research to facilitate capacity building in others for community and economic development, they can take the lead on meaningful comprehensive community revitalization, or they can convene diverse interests to foster capacity building and comprehensive regeneration in which they may be a partner and stakeholder. Anchored universities are rooted and invested in their communities, and they should, hopefully, take an active role in community and economic development.

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The relationship between university and community has a long-standing history and an exciting future. It is a mutually beneficial relationship that has strengthened in the rise of civic engagement and university-community partnership of recent years. In this time universities have learned to both in and of their communities. Communities and universities have learned from each other and traveled together past many significant milepost of social and communal progress. While Hodges and Dubb (2012) see university engagement at a crossroads, universities and their communities are making this road together as they travel the remaining half.

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STEWART E. SUTIN AND KATHRYN BETHEA

## **8. PUBLIC HIGHER EDUCATION PERFORMANCE IN THE UNITED STATES**

*A Community Perspective*

### INTRODUCTORY COMMENTS

A balanced assessment of the performance of public higher education is appropriately undertaken within the context of community interests served. Public higher education in the United States is not a system. It is a composite of institutions that evolved over time with distinctive missions, purposes, and constituents. Some elite public research universities are recognized worldwide for their contributions to knowledge over a broad range of academic disciplines. Community colleges offer academic and professional degrees and certificates, as well as non-credit courses, primarily to commuters in their region. Most state-funded four-year universities also offer graduate degrees in select fields, support more limited research agendas than so-called “research I” universities, and are often organized as state systems. Each sector of public higher education serves special needs of their students, most of whom are state residents. Taken as a whole, public higher education is widely reported to educate between 75 and 80 percent of all students enrolled in higher education. As a result, public higher education responsiveness to local and regional needs have socio-economic implications. Until recently, public higher education has largely sustained operational independence and academic autonomy, with strategic direction and day-to-day decision-making left to institutional leaders and their boards of trustees. In certain states, such as Florida and Texas, that environment has begun to change in ways that pose concern to the academy. More states are gradually moving toward performance based funding in an effort to motivate institutional outcomes aligned with preconceived objectives set by politically elected officials. While internal and external stakeholders may agree that institutional effectiveness matters, there is considerably less agreement about scorecard measures to measure achievement.

Public officials from both political parties increasingly demand accountability for results measured by graduation output in employable occupations, containment of tuition and fees and performance in meeting regional and state economic development needs. Rightly or wrongly, perception does matter in the court of public opinion. Meanwhile, funding from state coffers to public higher education has largely declined over the years due to budget deficits, and competition for state funding from PK-12 education, Medicaid, and correctional facilities. Performance expectations have risen while funding from state governments have declined. There is some doubt whether the resulting tension is constructive.

This chapter will explore certain perceived strengths and weaknesses of public higher education, with special attention to the connectivity of community college in the context of broad socioeconomic needs of communities they serve. The authors are keenly aware of the daunting task of identifying objective evaluative standards by which to measure institutions that have distinctive missions, purposes, and constituencies. The complexity of rendering an objective assessment should not be underestimated. Notwithstanding these words of caution, the authors do not accept the premise that public higher education is somehow above accountability, nor should it receive more generous funding from state and local governments simply because it is the “right thing to do.” The counterargument that states that public higher education must perform in ways that satisfy public needs to sustain federal, state and local funding has merit.

#### THE COMMUNITY COLLEGE

Community colleges, sometimes referred to as “the people’s college,” deserve special attention. Until the midpoint of the twentieth century, most public two-year institutions were junior colleges primarily focused upon the transfer function in which students completed their first two years of liberal arts education before enrolling at four-year colleges and universities (Baker 1994). This model underwent fundamental change as state, regional and local economies focused more attention upon workforce development needs through career-oriented associate’s degree programs and certificates, and skill based noncredit community education courses. For example, the state system of community colleges was founded in North Carolina in the 1960s to support economic development.

Expansion of the community college mission to embrace both degree and noncredit workforce development requirements of local employers became the rule rather than the exception. The emergence of the so-called “comprehensive” community college may be seen in the transition of the name changes of the American Association of Junior Colleges to the American Association of Junior and Community Colleges, and finally to the current American Association of Community Colleges (AACC). Baker’s Handbook on the Community College in America closely traces the evolution of community colleges. The website of the AACC informs us that well over 40 percent of all full-time equivalent (FTE) students in higher education attend community colleges. Most students who attend community college are local resident adult learners.

While the senior author of this chapter served as President of the Community College of Allegheny County (CCAC) from 2003 to 2007, our data confirmed that 94 percent of our FTE students were from our region and that approximately 25 percent of all residents of our county had taken one or more courses at the college. CCAC partnerships with local colleges, labor unions, and employers were actively encouraged. The data and modus operandi of CCAC was similar to that of most community colleges.

Community college fidelity to local constituents encompasses many initiatives. Montgomery Community College’s strategic priorities include the following

theme: “design connections between students, faculty, the College and the Community that support student learning and academic achievement and that benefit community revitalization and renewal” (Beyond Access: Transforming Lives in a Changing World) Bunker Hill Community College proudly noted that students volunteered 33,000 hours of their time to a diverse range of services in their community during 2011-2012 (Bunker Hill College Magazine, Spring 2013). Miami Dade College recently celebrated its 30th anniversary by hosting and organizing a film festival for local residents. In addition, Miami Dade College graduates the largest number of registered nurses in the United States (Miami Dade College Forum, February 2013).

Several community colleges support so-called “middle college,” a collaborative enterprise with local school districts in which students at risk of not graduating from high school undertake full-time study at the community college. The instructional environment is characterized by reduced lecture content and more use of instructional technologies. LaGuardia Community College in New York spawned this movement, which evolved into an Early College. Juniors and seniors in this program attend regular community college courses at LaGuardia Community College and receive an associate’s degree upon the completion of their 13th year of school.

CCAC’s middle college was modeled on the LaGuardia experience, and evolved as a collaboration with four local school districts. Only students “at risk” of dropping out of high school were accepted. Per annum enrollment was approximately 200. All courses were taught at our Boyce campus. Data reflected an average graduation rate of 90 percent with a normal high school diploma, and 60 percent continuation to post-secondary education. Our challenge in higher education is to identify such highly functioning programs, assess their portability, and build on their success. To the extent to which there is an Achilles heel of America’s community colleges, post-secondary education may be found to rely upon public funding during an era of rising public expectations and several distinct disadvantages. Some of these disadvantages include declining public funding, expansion of institutional mission, devotion to open enrollment and an inability to sustain adequate and predictable financial resources to meet the needs of large numbers of students who enroll and require one or more remedial or developmental courses in math, reading, or writing. In a very real way, community colleges suffer the consequences for attempting to perform “mission impossible” as a matter of routine by devoting substantial resources to their “at risk” student body. Dedicated and unquestioned service to the community, rather than institutional self-interest, has long motivated community college leaders, faculty, and staff. More recently, budgetary constraints are causing more community colleges to re-think the sustainability of an education, service, and financial model of being “all things to all people.”



PUBLIC HIGHER EDUCATION'S VALUE: A PROPOSITION UNDER SCRUTINY

Internal and external constituents alike judge public higher education performance. Acceptance of government funding inevitably opens the door to criticism from public officials in an era of constrained financial resources and concerns about future economic growth. Students, their employers, and graduate schools assess whether an undergraduate degrees have added value. Some probing questions are qualitative in nature, while other responses require quantitative evidence. For example, do institutions graduate a high percentage of their enrolled students? Are their graduates workforce and/or graduate school ready? Do their skills include information literacy, ability to reason, to solve problems, to innovate, to make decisions based on evaluation of evidence, to communicate effectively in written and oral presentations, to listen attentively, to process information gathered, to think critically about the data, and to perform well in a team environment? Are the graduates technologically, globally, financially, and socio-economically literate?

The relative achievements of public higher education institutions offer metrics by which external stakeholders assess their strengths and areas in need of improvement. Accreditation associations that evaluate student learning outcomes and institutional effectiveness have embraced this approach. Public officials increasingly call for improved systemic and institutional performance, with special attention to affordable tuition, cost containment, graduation rates, focus on career or professional degree programs, student access, transparency, and accountability. Private foundations, donors, and government agencies fund projects and research by those with demonstrable ability to perform. The Baldrige Educational Award program offers objective criteria by which to evaluate achievements of institutional applicants (National Institute of Standards & Technology; United States Department of Commerce). Publications such as *U.S. News & World Report* rank institutional performance in distinctive categories. Students are more value conscious in selecting institutions to attend. In short, an ample body of knowhow informs a discussion of objective and observable criteria by which to assess the relative strengths higher education and areas in need of improvement.

Many higher education scholars and leaders acknowledge there is a place for discourse and introspection regarding systemic reinvention and refocusing of institutional priorities (Rhodes 2001; Bowen et al. 2006). In response to criticism, multiple stakeholders, Frank H.T. Rhodes (2001), the former president of Cornell University, urges retention of educational quality, while seeking to improve upon operating efficiencies. Hunter R. Rawlings (2012), former president of Cornell and current president of the Association of American Universities, has expressed concern that too many students do not materially improve their critical thinking and writing skills during the first two years of higher education.

*Systemic Strength: Knowledge Creation and Delivery*

Overall, public higher education in the United States responds to the needs of virtually all population segments. Public research-intensive universities embrace

their role in knowledge creation through attention to scholarship, research, and academic rigor. Faculty members are recruited, promoted, and granted tenure largely based upon a perceived capacity to undertake original research, publish, and present their findings in public forums. Public higher education has grown its delivery systems through a combination of dispersed campuses and online learning opportunities. Community colleges and four-year liberal arts colleges afford special attention to instructional quality. As a whole, the quantity, quality and accessibility of public higher education offers potential students a wide array of choices of institutions to attend. The best performing institutions in the United States are acclaimed worldwide for their academic achievements, and no country has achieved parity with our diverse and accessible delivery system.

#### *Innovation and Change*

Several components of meritorious higher education performance are worthy of attention. Instructional pedagogy has been gradually shifting from a lecture or teaching focus to a student learning and outcomes-driven and interactive approach to developing skills and competencies. Instructional technologies increasingly support the visual learner and a student's ability to develop self-reliance. The recent emergence of massive open online courses (MOOCs) testifies to creative energies evidenced by several of our leading universities and their faculty. Student affairs functions have grown, and play an important role in student persistence. More colleges and universities value innovation, and encourage service learning opportunities to develop the entrepreneurial and community-centric behaviors of their students.

#### *Quantitative and Demographic Considerations*

Aggregate student enrollment informs our discussion about the dispersion of higher education to all sectors of society, while elevating concerns about certain areas in need of improvement. In the fall of 2009, there were more than 18 million full- and part-time students enrolled in institutions of higher education in the United States (Snyder and Dillow 2010). Of full-time students, 76 percent attended public institutions, 15 percent attended private institutions, and 9 percent attended for-profit institutions (Snyder and Dillow 2010). Just 1 percent of full-time students identified themselves as Native American; 4.3 percent international (nonresident alien); 6.7 percent Asian/Pacific Islander; 10.7 percent Latino; 13.9 percent African American; and 63.5 percent Caucasian/European American (McClellan and Larimore 2009; Aud et al. 2010; Snyder and Dillow 2010). More than half of full-time students are women (7.05 million) and the majority of students are under 25 (9.63 million) (Snyder and Dillow 2010). Overall 77 percent for four-year and 61 percent for two-year retention rate for FTE students (Snyder and Dillow 2010). In the 2006-2007 school year, the average college completion rate was 57 percent with 727,777 Associate's Degrees and 1.52 million Bachelor's Degrees (Snyder and Dillow 2010). At some colleges and universities, nearly 80

percent of entering students took remedial courses in English, math, and/or reading (Snyder and Dillow 2010). The retention rate and academic achievement rates of at-risk minority students and students from low-income families are a source of special concern. Public higher education did not cause students to arrive on campus underprepared for college level coursework, but are held accountable for the persistence and graduation rates of all students.

*Shared Governance, Tenure and Collegiality: Strength, Weakness, or Both?*

Much of higher education is characterized by shared governance in which, in an ideal world, faculty and administrators collaborate on setting strategic direction and making decisions related to the academic mission of the institution. Clark Kerr, former president of the University of California, Berkeley, called the American university “the multiversity” because of the many stakeholders and agendas that were part of the decision-making for colleges/universities (Kerr et al. 1994). Shared governance, at its best, reinforces internal cohesion among faculty and administration in support of planned changes.

Tenure, a process intended to recognize meritorious performance of faculty based upon defined criteria, promotes academic freedom and relative job security for faculty. The questions to be further explored at the institutional level are whether shared governance and the tenure system are beneficial attributes or impediments to requisite reforms. Is tenure, per se, the quintessential obstacle to institutional reform? Is culpability due to the reluctance of administrators to embrace change and function as transformational leaders by developing highly functioning partnerships with faculty? Some assume that well-run private sector enterprises function as top down autocracies, which is true in some cases. Yet many successful companies actively employ the Toyota Way as a means of generating candor and good ideas from workers at all levels, notwithstanding the absence of a formal shared governance process or tenure. Perhaps the question is less one of process, and more one of the personalities and their behaviors.

*The Public Debate: A Distraction or an Opportunity to Change?*

Many federal and state government officials have challenged higher education to change in very specific ways. The Secretary of Education’s Commission Report on Higher Education (2006) entitled *Test of Leadership*, raised concerns about perceived problems within higher education. Special attention was afforded to access, affordability, accountability, and transparency relating to institutional performance, and quality of learning for students. The U.S. Department of Education (2006, p. 2) report also called for policy and process changes:

We propose to dramatically expand college participation and success by outlining ways in which postsecondary institutions, K–12 school systems, and state policymakers can work together to create a seamless pathway between high school and college. States’ K–12 graduation standards must be

closely aligned with college and employer expectations, and states should provide incentives for postsecondary institutions to work actively and collaboratively with K–12 schools to help underserved students improve college preparation and persistence.

The Obama Administration is concerned about secondary and postsecondary educational results, especially as they influence our country’s global competitive position. In 2008, the federal government increased the Pell Grants and created a financial assistance calculator, instituted income-based repayment plans, and notifications of changes or deferment conditions (Whitehouse 2012). Currently, America lags behind the college graduation rates of countries such as Iceland, Poland, Japan, and Denmark (OECD 2011). More recently, Governor Rick Perry of Texas called upon public colleges and universities in his state to deliver a four-year college degree at a fixed tuition cost of US\$10,000 per student with the hope of creating affordable tuition and encouraging students to graduate in four years (“Rick Perry Says He’ll Seek Fixed Four-Year Tuition at Texas Universities” 2012).

Higher education reactions to criticism from the public sector have varied. Michael Crow, president of Arizona State University, acknowledged that higher education is facing a skeptical public, and is feeling the results from severe state budget cuts (Keller 2012). ACE president Molly Corbett Broad (2012) expressed concerns about certain President Obama’s higher education proposals,

Our central concern with the proposal is the likelihood that it will move decision-making in higher education from college campuses to Washington, DC. [and] the federal government has increasingly inserted itself in the day-to-day operations of colleges and 133 universities, including basic academic decisions. (Higher Learning Commission 2007)

Rhodes (2001) argues that the American future is based on the future of higher education, especially research universities and calls for a new American university of the twenty-first century. He believes that higher education must evolve to accommodate the changing times while maintaining its character and mantra of higher learning.

*Accountability, Learning Outcomes, and Accreditation: Results Matter*

The public expects students to graduate from college, attain personal success, and fulfill their societal responsibilities (Higher Learning Commission 2007). Student learning is central to the institutional academic mission (Higher Learning Commission 2007). The Higher Learning Commission (2007) states,

In using these questions, an organization should ground its conversations in its distinct mission, context, commitments, goals and intended outcomes for student learning.... Organizations assess student learning in meaningful, useful, and workable ways to evaluate how they are achieving their

commitments and to act on the results in ways that advance student learning and improve educational quality.

The shift toward assessment of student learning outcomes is now central to the way that much of higher education currently functions. The role of institutional accreditation in promoting assessment is complicated. According to Ewell (2009), the practice of institutional accreditation encourages institutions to enhance learning, while shifting away from a compliance mentality that was characteristic of approaches to accreditation in the past. The shift by accreditation associations to measuring institutional effectiveness and student learning outcomes was more palpable in the aftermath of the Spellings report. Some in the Academy assumed responsibility for assuring the public of its academic quality through means that included the Voluntary System of Accountability and the New Leadership Alliance for Student Learning and Accountability (Ewell 2009; Council for Higher Education Accreditation 2010). Roger Benjamin (2011) characterized the socio-economic motivation to change as follows:

At this moment in history, human capital—the stock of knowledge and skills citizens possess—is our country’s principal resource. To develop human capital requires a high performing educational system, as education is the primary venue for preserving and enhancing human capital. (p. 4)

This line of reasoning brings into focus what political economists such as Nobel laureate Elinor Ostrom (1990) call “a common pool problem” (CPP) in which higher education is viewed as a public good (Benjamin, 2011). When concerns about CPP become acute, either bold action is required or the common pool problem may pose a systemic risk (Ostrom 1990; Benjamin 2011). Students are increasingly diverse, and the need to adapt to the needs of a multi-cultural, multi-lingual population is growing. This elevates concern about skill and knowledge acquisition of college graduates, one that transcends graduation rates. It also highlights the importance of higher education institutions engaging with their stakeholder communities.

#### *The Case for an Improved Institutional Business Model*

Many of today’s college students face their own financial cliff. No sector of the US economy has risen more in cost relative to inflation during recent decades than the tuition of higher education, an average of three times inflation since 1983 (“The College-Cost Calamity” 2012). Aggregate student debt is approaching US\$1 trillion (Mitchell 2012). Medium household income (MHI) has declined, with the result that average college tuition rose to 38 percent of MHI in 2010 from 23 percent in 2001 (“The College-Cost Calamity” 2012). Unemployment rates of recent college graduates have been estimated at 53 percent (Bruni 2012). Higher education graduates are increasingly concerned about the perils of debt accumulation, especially if graduation is not attained or graduation does not lead to employment, yet the gap between escalating tuition and declining household

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income leaves those from medium and lower income families vulnerable and uncertain about their future. Our consumption driven economy is at risk in proportion to the extent to which high percentages of our population find higher education to be inaccessible and unaffordable.

The underlying causes of spiraling tuition hikes are many. Rising costs of salaries and benefits, health care insurance premiums, new construction, maintenance of physical plant, acquisition of technological hardware and software, campus security and compliance are among the many drivers of expense increases. Public institutions, which account for about 76 percent of all students in higher education, have seen reductions in funding from government sources at the state levels due to budget deficits, cumulatively estimated at US\$174 billion in 2010 fiscal year (Rafool 2012). Meanwhile, the current estimate of US\$900 billion in state pension fund liabilities suggests that funding from state coffers for public higher education is more likely to contract than grow (Corkey 2012). The public higher education response to reduced funding from public sources through advocacy and capital campaigns is unlikely to compensate for declining revenues. Instead, a new business model of public higher education requires solutions predicated upon a culture of increasing financial self-reliance, and integrated long term planning solutions to develop revenue streams from nontraditional sources and contain costs. Business models must support the core institutional academic mission and educational priorities, while evidencing entrepreneurship, creativity and a high level of operational efficiency. The need to improve the quality of education on a system-wide basis, when combined with the dire need for an improved business model, represents the singularly greatest challenges facing contemporary higher education in the United States.

## CONCLUDING OBSERVATIONS

Much commends the inherent strengths and performance of public higher education in the United States. Our best research faculty has contributed much to knowledge creation as indicated by the number of American Nobel Laureates. US universities hold a dominating position in global rankings, and the continuing influx of foreign students is proof positive to the esteem in which they are held. The best US universities are world-class innovators that support breakthrough research in medical, engineering, hardware and software technologies. Their faculties contribute to better understanding of math, science, history, and socio-economic realities. Philosophers expand our capacity of students to think and conceptualize, as do anthropologists, sociologists, and psychologists. Career schools develop technically proficient, effective, problem solving and productive workers. English and performing arts faculty call upon their students to create, articulate, and express themselves with confidence in public venues. Thousands of talented professionals devote themselves to their research and their students, often at financial sacrifices relative to compensation available in other fields of endeavor.

The emergence of the “comprehensive” community college in the United States represents our most sustained and direct systemic response to community needs. In general, community colleges, in comparison with their four-year counterparts, are agile in developing career programs and skill-based courses in response to community needs. Partnerships with local businesses are encouraged. Displaced workers can retrofit their skills and credentials to qualify for positions in job categories where employment is more promising. The middle college offers but one example of collaborative intervention with local school districts, with high potential for favorable outcomes for students.

Having acknowledged the many attributes of higher education in the United States, we should not underestimate the significance and complexity of challenges at hand. Solutions that are balanced, introspective, collaborative, and strategic must be found to address concerns that range from affordable and accessible higher education to institutional effectiveness and the quality of student learning outcomes. Academic missions and student support services must go beyond improved graduation rates to build upon the underlying skills and competencies characteristic of those with diplomas. Higher education has the capacity to solve virtually any problem. Now is the time for the academy to acknowledge the areas in need of improvement and devote itself to systemic and institutional reform that does not ignore its obligations to the local communities in which they are found.

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LINA D. DOSTILIO AND DAN GETKIN

## **9. SERVICE-LEARNING AS CATALYST FOR INTEGRATING COMMUNITY ENGAGEMENT ACROSS CORE ACADEMIC FUNCTIONS<sup>1</sup>**

Duquesne University's introduction of a service-learning requirement resulted in a number of changes to the institution's overall approach to academic community engagement. Service-learning catalyzed these changes, and a number of conditions, including the institution's mission and leadership, influenced the process. Using a teleological change framework (Lewin 1951; Kotter 1996), this chapter explores the role of curricular innovation in wider institutional change as it pertains to community engagement.

### INTRODUCTION

Within the American higher education context, there has been increasing attention over the last four decades to re-energizing institutions' founding missions, democratic purposes, and engagement with the communities of which they are a part. Over time, and through concerted effort, the concept of an "engaged campus" (Edgerton 1994) has emerged. Though there are numerous tools that document what an engaged campus looks like, relatively few models share the process of change that occurs as an institution moves from having isolated pockets of community engagement to an ethos of an engaged campus. This chapter presents a case guided by a teleological theory of change in which an urban-focused, urban-serving American institution of higher education (IHE) utilized service-learning as a catalyst for expansive integration of community engagement throughout its core academic areas.

The chapter begins by situating the present case in the national dialogue about developing the engaged campus. After reviewing John P. Kotter's eight stages of change, the case of Duquesne University is presented through the teleological framework and provides example developments and benchmarks experienced by the institution along the way. A series of lessons can be taken from examining the ways that the status quo culture was disrupted; a vision of change was implemented; a guiding coalition was formed; and the service-learning program was successfully implemented. Duquesne University experienced successful change because it began to attend to the second-order changes necessary to support service-learning; made a strategic decision to document service-learning within the teaching section of the faculty portfolio (versus service); nurtured and harnessed

readiness for change at multiple levels within the institution; and capitalized on a cohesive understanding of the institutional mission. The chapter concludes with a discussion of what steps might be taken in order for Duquesne University to fully navigate Kotter's eighth stage of change to anchor new approaches in the culture and move beyond a curricular innovation (service-learning) to development of a core commitment to deeper, more transformative expressions of engagement.

### *Calls, Critique, and Challenge to Integrate Engagement*

*National Attention to Engagement.* Two decades ago, Derek Bok, then President Emeritus of Harvard University, noted that public criticism of higher education (that had been building since the 1980s) was coalescing around a perceived lack of institutional attention to student learning and the perception that higher education was not making contributions that addressed issues important to the nation (Bok 1992). Concurrently, and in some cases in response to this growing criticism, an interest in revitalizing the civic and democratic purposes of higher education has resurfaced<sup>2</sup> and has been vocally promoted within the United States context. In 1985, the presidents of three universities, Stanford, Brown, and Georgetown, in partnership with the Education Commission of the States, developed Campus Compact to support students and faculty who wanted to activate higher education's civic purposes and engage with their local communities from their positions within higher education, including the integration of service with classroom teaching and learning (Campus Compact 1999-2012). Not long after, Ernest Boyer's work on the Scholarship of Engagement (1990; 1996) began to rally scholarship that is integrative, purposeful, and publicly focused. By the end of the 1990s, attention was being drawn to the role of the entire institution as a public-serving entity. The President's Declaration of Civic Responsibility of Higher Education formalized higher education commitments to public purposes and democratic ideals. Since 1999, 565 college and university presidents have endorsed the declaration, including public, private, two-year, four-year, land grant, and state related institutions.

Educational coalitions fostered this initiative of revitalizing the civic and democratic purposes of higher education. In 2000, members of the Kellogg Commission on the Future of State and Land-Grant Universities issued an open letter addressed to the state universities and land grant institutions of higher education (Kellogg Commission 1998). The letter called upon these entities to reorganize and reorient their efforts and resources around societal problems. A number of reports resulted from this open letter, the last of which, *Returning to our Roots*, sought to reclaim the mission of engagement and called for public universities to become engaged institutions. Meanwhile, service activities bloomed in the 1990s and early 2000s, yet a full-scale orientation toward a public purpose still eluded the vast majority of higher education. Questions about the future of civic engagement arose, specifically in a 2004 Wingspread report entitled, *Calling*

*the Question: Is Higher Education Ready to Commit to Community Engagement?* (Brukardt et al. 2004). At its core, *Calling the Question* (2004) concluded that institutions of higher education had not undergone the transformation necessary to enact pervasive engagement (p. 1). At the same time, the Carnegie Foundation for the Advancement of Teaching was beginning to develop a new classification system for higher education. In addition to revising the national classifications, they developed the first of a series of voluntary classifications, entitled “Community Engagement.” The classification was available to institutions that could demonstrate community engagement practices that met the Foundation’s standards in which engagement is pervasive across the institution and occurs in the context of mutually beneficial, reciprocal partnerships.

Most recently, critique has been focused on the degree to which IHEs have served their communities, but omit a democratic or civic orientation to such work. In 2009, the Democratic Engagement White Paper (Saltmarsh et al. 2009) revisited the 2004 Wingspread conversation and concluded that civic engagement had essentially stalled because while many institutions had implemented a menu of service activities, the activities were not unified in a larger goal of involving IHEs in democratic collaborations through which social problems are addressed. In 2011, the U.S. Department of Education commissioned a convening of educators that resulted in the report, *A Crucible Moment: College Learning and Democracy’s Future*. The report acknowledged the push and pull between higher education and their local communities; the pressure upon these institutions to respond to relevancy critiques that often reduced their role to workforce development; and the deep transformation that is necessary to realize the democratic purpose of educating and engaging citizenry. One of the most applicable contributions the report makes is the advancement of a framework for twenty-first century civic learning and democratic engagement outcomes for students. The report links these outcomes to the conditions in which they can be achieved: authentic, democratic partnerships between IHE’s and the communities of which they are a part.

*The Engaged Campus.* The preceding discussion by no means provides an exhaustive list of the developments that define community engagement within American higher education, but does provide glimpses of the shuffle and slide that has occurred as American institutions of higher education nurture their civic identities, seek the best educational offerings for their students, and engage with criticisms related to relevancy and accountability. What is made clear is that IHEs are wrestling with critique and challenging themselves to better realize their public purposes, and do so not in isolated activities but through widespread, civically-oriented strategies. These processes are happening across institutional types. Whether it is a public institution rooted in an extension mission, a doctoral granting religiously-affiliated university with a social justice mission, or a community college that promotes access and equity, institutional commitments (and re-commitments) to community engagement can be seen across the nation. Determining how engagement becomes pervasive throughout an institution’s

teaching and/or research is a complex affair. Institutions that succeed in institutionalizing an ethos of engagement across activities and within core functions are considered to be “engaged campuses” (Edgerton 1994).

A few tools examine institutional commitment to service and engagement. According to Holland (1997), there are shared characteristics among institutions that attend to their role as community-serving institutions. Barbara A. Holland’s *Matrix of Institutional Commitment to Service* intersects levels of commitment (low, medium, and high relevance as well as full integration) with organizational factors (such as student, faculty, community involvement, support structures, publications, and inclusion in tenure and promotion) to produce an overview of how commitment to community engagement is represented at each juncture. Campus Compact (Hollander et. al 2001) also offers a list of factors that indicate an engaged campus: community engagement as represented in teaching and research, faculty development, existence of structural support, internal and external resource allocation, consideration within faculty workloads and rewards, presence of community voice, recognition and promotion by administrative leadership, and integration with the institution’s mission and purpose. These organizing tools allow for comparison of institutional cases with one another and provide a means for measuring the degree to which community engagement is integrated in a number of core institutional functions. Institutions can even develop a picture of what they aspire to be within the ideal scenarios represented in both frames. However, the process by which an institution moves through these stages and integrates engagement with certain functions is still a highly individualized process.

It is valuable to examine the processes of change that are experienced by institutions that strive to build an identity as an engaged campus, and to do so using a theoretical lens. This chapter does so for an institution at which service-learning was the catalyst that resulted in the institution embracing the notion that intentional collaboration with its local communities can be a vital and animating element of its core functions: teaching, research, and service. By using a teleological change theory as an explanatory framework, we make explicit the goal-oriented process by which an institution uses a curricular innovation to prompt movement toward an ethos of engaged campus.

#### EXPLANATORY FRAMEWORK: KOTTER’S EIGHT STAGES OF ORGANIZATIONAL CHANGE

Much of the scholarship on organizational change is rooted in the work of Kurt Lewin, a psychologist whose study of group dynamics formed the foundation for modern change theory (Kritsonis 2004; By 2005). Lewin’s (1951) *Changing as Three Steps: Unfreezing, Moving, and Freezing* was an early attempt to describe the process by which groups transform. According to his theory, forces of equilibrium create status quo and so the current state must be unfrozen. The

moving step encompasses the introduction of new ideas and attitudes, forming the new state, which is then frozen in the third step. Perhaps due to its simplicity, the *Three Steps* has become the foundation for volumes of other work that more specifically address the nature of change in organizations such as IHE's (Elton 2003; Sidorko 2008). Though some critique Lewin's work as over simplification and management-driven, the *Three Steps* must be acknowledged as a keystone work in this field (Burnes 2004).

In effect, Lewin's theory is teleological: in settings centered on strategic plans, a teleological perspective of change accounts for a purposive and intentional arc of change (Buckle 2003). Teleological change remains Lewinian in that it is progressive, goal-seeking, and motivated by disequilibrium. This allows teleological change to build on Lewin by accenting the planned, philosophical emphasis that organizations would bring with them along the change trajectory (Weick and Quinn 1999).

Kotter (1996), in his *Eight-Stage Process of Creating Major Change*, developed a more comprehensive teleological model than Lewin's *Three Steps*. The first stage, called "Establishing a Sense of Urgency," calls for efforts to defeat institutional complacency in such a way as to illustrate a coming crisis. By working to establish honest conversations about the current state in an organization, weaknesses can be called to attention instead of remaining ignored. In the second stage, Kotter calls for "Creating the Guiding Coalition." In order to see the change process through, a team of people need to be gathered around the issue and bring with them appropriate levels of positional power, expertise, credibility, and leadership skills. Now at the third stage, this group can initiate "Developing a Vision and Strategy." In order to move from the status quo to an improved state, an organization must be able to produce a plan that speaks to a successful outcome. Kotter describes such a vision as being equal parts imaginable, desirable, feasible, focused, flexible, and communicable. The fourth stage, "Communicating the Change Vision," establishes that the new vision needs to be communicated clearly and repeatedly in order to make expectations clear. With the vision in hand, an organization can set about taking action to make the tangible changes in their environment. The group enacts the fifth stage, "Empowering Broad-based Action" during which the organization can begin to overcome obstacles, provide training, and modify structures so that they become compatible with the vision. In the sixth stage, the organization must begin "Generating Short-Term Wins" so that improvements are visible to all. Minor successes help to confound cynicism and provide evidence that sacrifices are justified. As this happens more and more, an organization will start to enter the seventh stage, "Consolidating Gains and Producing More Change." As the short-term wins increase the vision's credibility, agents can be bold about their efforts to enact changes to institutional systems and policies that remain in misalignment. This stage calls for greater change, and not a reduction of efforts. Finally, the eighth stage mandates "Anchoring New Approaches in the Culture," whereby improved results and overwhelming support indicate a complete transformation in the

organization. As more is said about these phases, it is important to note that even though the language has grown to be more robust, these stages continue to show a similarity to Lewin's *Three Steps* that were crafted decades in advance (Alas and Sharifi 2002) (see [Table 9.1](#)).

*Table 9.1 Relationship between Lewin's Three Steps and Kotter's Eight-Stage Process*

Model	Lewin (1951)	Kotter (1996)
Stage/Phase	Unfreezing	Establishing a Sense of Urgency
		Creating the Guiding Coalition
		Developing a Vision and Strategy Communicating the Change Vision
Moving	Moving	Empowering Broad-Based Action
		Generating Short-Term Wins Consolidating Gains and Producing More Change
Freezing	Freezing	Anchoring New Approaches in the Culture

Source: Alas and Sharifi (2002).

While Kotter's work comes from a business orientation, this has not prevented higher education scholars from adapting the *Eight Stage Process* for their own uses. This work enjoys a considerable reputation for success, and as Pamela L. Eddy (2003) notes in her application of Kotter in a study of change at community colleges, "institutions of higher education often turn to business when considering models to employ during periods of change since other planning models are lesser known or available." When an educational institution executes a planned change (or reflect back and evaluate a change that has already occurred), it is then apt to choose a model that has a linear design and prescribes a logical sequence of actions. For these reasons, Peter Edward Sidorko (2008) built a similar study on higher education library and support service changes around the Eight-Step Process. Interestingly, just as Lewin's work can be seen as a skeleton on which Kotter's can be arranged, it is now possible to see how higher education study has begun to gather around Kotter as a loose framework around which their own contextually-specific research is organized (dela Harpe 2006). Likewise, this chapter examines a case in which a teleological approach to change brings about significant integration of community engagement across the institution's core functions of teaching, research, and service.

#### *Overview of Case: Duquesne University*

Founded in 1878, Duquesne University of the Holy Spirit is a religiously affiliated (Spiritan Catholic), urban institution located on an almost 50 acre campus in the heart of Pittsburgh, Pennsylvania. Duquesne hosts a little more than 10,000 students, inclusive of undergraduate, graduate, and professional students throughout its nine schools (liberal arts, music, education, pharmacy, natural and

environmental sciences, law, health sciences, business, and nursing). In recent years, its focus on research has increased significantly and, according to the Carnegie Foundation for the Advancement of Teaching, it is classified among research universities as having high research activity (RU/H). The University is committed to five pillars in its Spiritan Catholic mission: academic excellence, moral and spiritual values, ecumenism, service, and world concerns. With regard to its history of community involvement, a student volunteerism initiative was organized in the early 1990s that subsequently captured unusually high rates of student volunteerism that persist among the student body today. Since the mid-1990s, a series of cross-cultural mission experiences have been offered through the Campus Ministry office as a means of community immersion and faith reflection. In the late 1990s, Duquesne was among the first IHEs to be awarded Community Outreach Partnership Center (COPC) monies through the Department of Housing and Urban Development. The COPC center was one of a significant number of centers and institutes that primarily served constituents external to the campus (i.e. Speech Language Pathology Clinic, Law Clinics, City Music Center, etc.). After the HUD program was put on hiatus, the Duquesne COPC followed suit. In the early 2000s, a service-learning initiative was established and is the starting point for the case that follows.

#### ANALYSIS OF CHANGE

The past decade at Duquesne University has been one of significant growth and change. This includes the ways in which the University has attended to engaging its local communities and integrating that engagement within the core functions of teaching, research, and service. What follows is an explanation of how the curricular innovation of service-learning was adopted and how it is catalyzing an ethos of community engagement within the larger institutional context of mission emphasis and leadership. The case is guided by Kotter's eight stages of change (1996), and the earlier three-step model advanced by Lewin (1951), so as to cogently organize the insights that can be gained from the case. Duquesne has arguably fully navigated six of the eight phases, and is currently exhibiting greater levels of change with regard to engagement. Currently, the university is in the process of institutionalizing this ethos of engagement within its formal structures.

#### *Unfreezing*

*Stage One: Creating a Sense of Urgency.* In the early 2000s, three developments coalesced to create a sense that Duquesne University was about to become an institution of national reputation. In reflecting upon these developments and the tremendous success experienced by the institution in the intervening years, it becomes clear that they portray what Kotter (1996) describes as a rising urgency level. The University had the potential to realize a national reputation as an institution renowned for excellence, but lacked some basic structures and

leadership to organize pursuit of that stature. Strategic planning, revised core curriculum, and renewed commitment to its Spiritan Catholic mission positioned Duquesne to capitalize on the urgent moment and to align its stakeholders and functions to realize greater excellence.

Between 2001 and 2002, the University's 12th President, Dr. Charles Dougherty (appointed in 2001), helped the institution to conceptualize its first strategic plan, which he framed as a blueprint for the University's common future (Dougherty 2002). This strategic plan recognized the unique character and assets of the University while charting a course for significant re-invigoration of its role as the only Spiritan Catholic institution in American higher education. The 2003-2008 plan called for opportunities for leadership and service to be expanded. Within the plan, service-learning was designated as a strategy to enact this goal. Community outreach was also listed among a small group of strategies that received special emphasis (Duquesne University 2003).

Concurrent to the strategic plan's development, the University began to revise its core curriculum, which provides the common educational experience for all undergraduate students. Prior to the review, the core curriculum had not been revised since 1987. The new core curriculum was to express a better integration of the University's mission and to reflect the dimensions of a Duquesne education that represent that mission. Over the next three years, the core curriculum was developed with extensive input from faculty, through a process of benchmarking with peer institutions, and by taking into consideration the American Association of College and Universities' materials on general education. This revision resulted in a core undergraduate education that included (among other features) a focus on classes, throughout the degree programs, that would use service-learning as a means to link theory and practice. The Core Curriculum named service-learning as a graduate requirement, meaning that all undergraduates would be required to complete at least one service-learning class prior to their graduation (Self-Study Steering Committee 2008). In 2005-2006, the curriculum was vetted within all of the schools at the University and was passed with overwhelming support of the faculty in 2006.

The Spiritan Catholic identity of Duquesne was re-emphasized through its use as a foundation to both the strategic planning and core curriculum revision processes. The values inherent to the mission (academic excellence, service, and world concerns) began to be articulated more clearly in curricular and scholarly work. The unique mission began to be shared with all staff, faculty, and administration through formal programs and opportunities for discussion during interviews and at new hire orientation. Service-learning was one of the few innovations that expressed the intersection of strategic planning, curricular revision, and mission promotion.

*Stage Two: Creating the Guiding Coalition.* One of the benefits of service-learning being born through institution-wide planning and curricular revision is



that a great number of stakeholders were able to be involved in its development. Five different groups were engaged to define and guide the implementation of the university-wide service-learning program: early faculty adopters, institutional leaders, the core curriculum committee, the service-learning advisory committee, and service-learning staff. Prior to service-learning even being included in the strategic plan or core curriculum, a small group of faculty were utilizing the pedagogy in isolated classes (in 2003 there were four faculty routinely using service-learning in three classes that served 135 students). As a result of their efforts, there were viable models of the utility and benefits of service-learning pedagogy. The second group was comprised of institutional leaders. In addition to the President's strategic leadership, two leaders new to the University were particularly supportive of service-learning, and generally, community engagement: the Vice President of Mission and Identity and the Provost and Vice President of Academic Affairs. Under the Provost's leadership, a team comprised of a dean, a non-profit organization executive director, a tenured faculty member, and a graduate student attended the Campus Compact Institute on Institutionalizing Service-Learning. Their attendance at the institute resulted in a list of recommendations for how to best implement and institutionalize service-learning. The third group was comprised of the 15 members of the Core Curriculum Committee, who met with the Institute team and who were charged with defining and characterizing service-learning, as it would be included in the core curriculum. The fourth group was the advisory group convened to guide the implementation of the service-learning program. The advisory group included dean-appointed tenure track or tenured faculty from within each school at the University, administrators whose work interacted with service-learning (such as the faculty development director), and representatives from key community-based organizations and community groups. The final group included service-learning staff. Beginning in 2003, there was a graduate assistant co-funded by Academic Affairs and Student Affairs to support service-learning. As a result of the Institute Team's report, this position was moved fully into academic affairs. During the revision of the Core, the graduate assistant position was redeveloped into a full time coordinator for service-learning. Upon adoption of the core curriculum, an Office of Service-Learning was created.

These five groups were comprised of a broad range of stakeholders who, collectively, understood service-learning as a teaching method that is quite different from co-curricular student service. These stakeholders shared a common vision of the role of service-learning within the institution (part of a faculty member's teaching and pedagogical work), and advocated for its development and legitimacy. Kotter (1996) suggests developing a coalition that has four qualities: (1) position power, (2) expertise, (3) credibility, and (4) leadership. With regard to position power (or people in key leadership positions), tenured faculty, multiple department chairs, an associate dean, and executive-level leaders were involved. Faculty, community leaders, and administrators brought expertise in course design, service delivery, and program management to bear on the adoption of service-

learning. The characteristic of credibility was formed by attracting well-respected faculty and community leaders to participate, as well as by tying the coalition development to people involved in critical institutional work. A potential risk of working with a coalition as large and diverse as the one described here is that the result could be the development of divergent and competing directions. Kotter's element of leadership is well-applied in this case: a strong presence of leadership was needed to keep the initiative moving in a unified direction with increasing strength. The advisory group chairpersons and director of the core curriculum afforded strategic support to the staff charged with leading the service-learning program. That coordinating staff position was critical to managing the diverse constituencies and agendas that comprised the guiding coalition and expressed Kotter's qualities of being focused, flexible, and able to communicate the importance of the work.

*Stages Three and Four: Developing and Communicating a Vision and Strategy.* From the diverse stakeholders that drove the development of service-learning at Duquesne came a vision that embedded this form of engagement squarely within the core function of teaching and who solidly characterized this form of engagement as fitting a particular values set, informed by the institution's Spiritan Catholic tradition. The vision was communicated operationally and inspirationally through policy and promotional media.

The definition of service-learning used at Duquesne complies with that advanced by Robert B. Bringle and Julie A. Hatcher (1996) in their work on implementing service-learning in higher education: "service-learning is a teaching method that combines academic instruction, meaningful service, and critical reflective thinking to promote student learning and civic responsibility" (Core Curriculum 2007). Within this aspect of the core curriculum, every undergraduate student is expected to take at least one class that has received the service-learning designation. In many degree programs, students have more than one service-learning class.

The service-learning class designation signifies that the class meets the criteria—based on the field's best practices as represented in empirical literature, and in particular Ellen Porter Honnet and Susan J. Paulson's (1990) principles for combining service and learning—adopted by the core curriculum and service-learning advisory committees (see Appendix: Duquesne University Service-learning Course Criteria). These criteria emphasize preference for (1) the values of academic excellence (through attending to rigor), (2) critical reflection, (3) ethical relationships between community-based organizations and faculty and students that are sustainable and beneficial, and (4) continuous assessment. In addition to the inherent values within the criteria, there is an articulated vision promoted by the service-learning program (Dostilio 2010) that emphasizes the role of the institution's Spiritan Catholic values and practices. This includes the elements of

collaboration, centrality of relationships, responsible social action, and systemic change.

As the guiding coalition consistently communicated the criteria, guiding values, and vision of service-learning to faculty, students, and community partners, they provided on-going education about what service-learning entailed, including why and how it was a part of Duquesne's core academic function. There was a palpable sense that Duquesne was using a pedagogical innovation that was not only accepted throughout higher education, but that it was being done in a way consonant with the university's mission.

### *Moving*

Once service-learning was successfully introduced to the core teaching function at Duquesne University, a five-year retrospective program evaluation surfaced some complicating realities (Dostilio and Mann 2010): (a) generally, faculty agreed that service-learning classes required more effort than traditional pedagogies and that there was little extrinsic reward for undertaking service-learning; (b) student leadership was a necessary, but missing, component within the service-learning program; (c) additional resources were needed to manage the logistical complexities of service-learning; (d) there were rich interdisciplinary opportunities uncovered by faculty who worked in the same communities or on the same social problems; and (e) community participants recognized the opportunity to collaborate with the University beyond semester-long classes. These findings spurred the development of strategies to further shape the service-learning program and heralded a larger-scale integration of community engagement (as distinct from service-learning as a pedagogical innovation).

*Stage Five: Empowering.* According to Kotter, barriers must be addressed in order to continue the change process. The program evaluation findings identified challenges that needed to be addressed or faculty and community partners could burn out and students could disengage. Through careful management of the change process by its leaders, these challenges were anticipated, documented, aired, and addressed to the greatest extent possible. To empower service-learning stakeholders, greater resources and support, more opportunities to work collaboratively, and extrinsic rewards for faculty were necessary.

Some additional support was given to faculty, students, and community partners by the creation and expansion of the Office of Service-Learning (OSL). Located within Academic Affairs, the office's highest priority was to steward the service-learning program and support its growth. The OSL was positioned in relation to the University's faculty development structures, to the extent that the two shared one staff position (with 15 percent of the Associate Director for Faculty Development's time being committed to the OSL). The OSL's staff built the capacity of faculty through course development consultation, partnership assistance, and

encouragement of scholarship related to service-learning (a subset of the scholarship of teaching and learning).

Once classes were planned and implemented, ongoing support was needed to manage the logistics of service-learning. In addition, students desired opportunities to make meaningful contributions to the program. The Community Engagement Scholars (CES) program was created in 2006 to facilitate logistical support and student leadership opportunities. Annually, 15 undergraduate and graduate students are recruited and trained to assist academic departments and their community partners. CES members commit to a year within the program (often returning for a second year) in exchange for a small educational award. These students enhance the partnerships between classes and agencies, established and administrate a small fund for students to undertake community projects as part of service-learning classes, and provide guidance on program issues as appropriate.

Much of the University's service-learning was occurring in two key neighborhoods. Shortly after the service-learning program was established, faculty, community leaders, and residents began to form partnerships beyond one class and one agency. In these community-university partnerships, community leaders, residents, students, faculty and University administrators would meet to harness their collective energy and effort. Often, the stakeholders would naturally align their efforts around persistent social issues important to the community (such as addressing a lack of community schools). As a result, faculty began to work across disciplines, expanded service-learning into their graduate classes, and enacted other forms of engagement such as community-engaged research.

Perhaps the greatest barrier to faculty participation was the degree to which service-learning was perceived as being more difficult than other pedagogies, while at the same time also being perceived as having relatively little reward. In 2011, the *Duquesne University Faculty Handbook* was revised to include service-learning as one possible indicator of teaching excellence (Duquesne University 2012). This small change empowered a greater range of faculty to embrace the pedagogy, including junior faculty who previously had sometimes been asked to wait until they had earned tenure.<sup>3</sup>

*Stage Six: Short-Term Wins.* Once the core curriculum requirement was fully implemented, significant energy had been invested in establishing the service-learning program and removing barriers to its success (see [Figure 9.1](#) for an explanation of the growth of the program). To sustain its momentum, small wins were planned and generated. In 2011, the Provost prominently expanded the staff and resources available to the OSL. This strong administrative symbol of support served as a tangible endorsement of service-learning as an academic priority. The President and Provost also established an endowment that funded the Gaultier Faculty Fellowship through which faculty could receive significant funding and support for special projects that promoted any one of five strategic goals for the service-learning program, while also generating scholarship for their own portfolios. Finally, the CES program received a *Bringing Theory to Practice* grant

to redesign its curriculum to emphasize the *Twenty-First Century Civic Learning and Democratic Engagement Outcomes* (The National Task Force on Civic Learning and Democratic Engagement 2012). These highly publicized wins for Duquesne’s service-learning program and its stakeholders energized and recommitted supporters to the mission and initiatives of the OSL.

Receiving the Carnegie Classification was perhaps the most significant of all the advancements that service-learning produced. The Carnegie Foundation for the Advancement of Teaching’s community engagement classification is a selective endorsement that institutions achieve by conducting a rigorous self-study. After thoughtful consideration, Duquesne undertook a yearlong self-study that involved stakeholders from across the divisions of the university (academic affairs, student affairs, and business and management) in providing documentation and explanation of the many ways in which they engaged the community. The University was successful and received the classification in 2008.

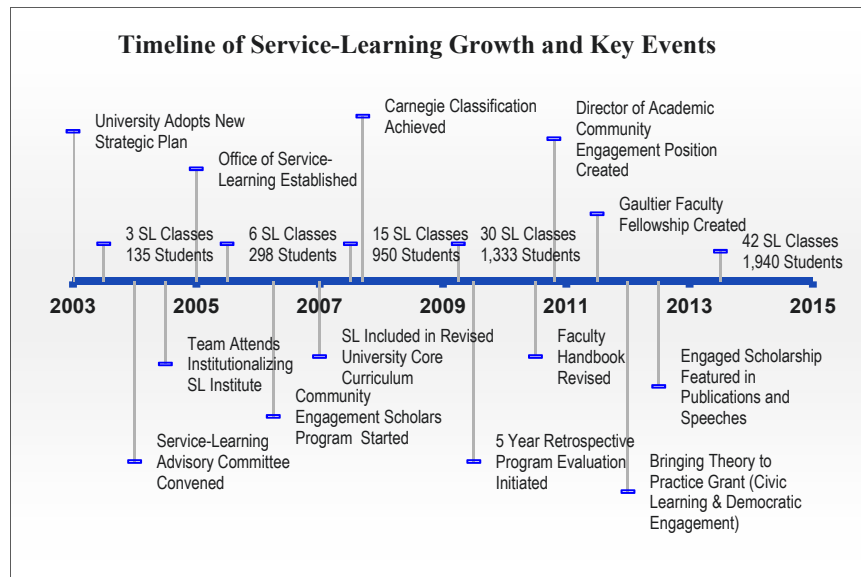


Figure 9.1 Growth of Service Learning at Duquesne University with Key Events

In the process, the full range of collaborations and projects throughout the University’s schools were made visible, as were the types of work that supported them. For example, in addition to community-based teaching, engagement was threaded throughout faculty and student research, policy contributions, and numerous community-serving institutes and centers. Engagement represented a multitude of efforts, including legal clinics, economic development projects,

community and urban planning, workforce development, arts programming, education reform, advocacy efforts, and neighbor relations. The processes used to secure the Carnegie Classification for Community Engagement elevated the conversation about engagement beyond service-learning and volunteerism. It challenged campus stakeholders to think about greater goals for engagement than simply implementing service-learning. Campus consciousness began to focus on deeper levels of engagement that, in turn would require additional iterations of change.

*Stage Seven: Consolidating Gains and Producing More Change.* Kotter suggests that deeper change occurs after empowerment and recognition have happened. This is exactly the case with Duquesne University: because service-learning was a requirement for students and distributed across all undergraduate degree programs, the scale of the effort created situations in which our institutional structures and habits were surfaced as being either facilitative or challenging of our goal. Changes to these structures and habits were made to the degree possible. As more staff, faculty, and students became versed in service-learning, they participated in greater numbers in the national dialogue regarding democratic community engagement. Duquesne University and its service-learning program had moved past wrestling with defining and making space for service-learning and were ready to pursue more and greater change. The greater change was toward envisioning a full expression of academic community engagement that tapped into the full complement of academic functions. As faculty began to move more of their focus to service-learning, they sought opportunities to fuel their disciplinary scholarship, extend research opportunities for undergraduates, and involve their doctoral students in their work. Institutionally, more varied forms of support were needed and a more sophisticated sense of community partnership had to be enacted. As a result of the Carnegie Classification self-study, the disparate engagement initiatives were publicized and their corresponding staff desired to be networked with one another. Engagement initiatives from different divisions of the University that occurred in partnership with the same communities were made visible and the numbers of University stakeholders involved in major community-university partnerships grew.

#### *Freezing*

*Stage Eight: Anchoring New Approaches in the Culture.* While Duquesne is still navigating the seventh stage and is stepping into the eighth stage, the University has not yet completed the work to be done. Rather, it is at the beginning, having a very robust and connected set of understandings and initiatives upon which to build a cohesive framework for the engaged campus. It cannot be overstated that these understandings and initiatives are often very difficult to secure. In the case of Duquesne University, they include networked institutional change agents, a menu

of academic community engagement initiatives, solid program leadership, and public acknowledgement and support for an array of engagement that is beginning to be wider than service-learning. However, simultaneous examination of each building block uncovers persistent barriers and even greater ways to anchor engagement within the culture.

Institutional change agents throughout the University's divisions (those individuals that are doing the work of supporting and enacting engagement across the spectrum of institutional focus areas) are known to one another, but experience structural challenges to working smoothly together. The breadth of engagement within academic affairs that includes service-learning, community-engaged scholarship, and community-university partnerships is now unified under a newly created Center for Community-Engaged Teaching and Research (CETR). The emergence of particular activity sets seems to be driving the development of CETR, and these activity sets could be better synergized to achieve greater impact through the development of an institution-wide vision for how engagement informs the University's larger social justice mission. The purpose being so that disparate activities could be tapped as needed to realize larger civic learning and community outcomes, rather than the implementation of such activities being the end goal.

The staff position that previously directed the Office of Service-Learning was revised in 2010 to become the director of Academic Community Engagement, and then further revised in 2014 to become Director of CETR. This position is classified as mid-level or program-level leadership. University-wide strategy development and vision setting are key to the full and robust introduction of new ideas and attitudes that are needed to fully move the University toward forming its new state that can eventually be frozen. Engagement leadership at an executive associate level would provide the necessary increased level of involvement in the strategy development and vision setting processes to facilitate democratic, transformative change.

Faculty and staff hiring practices ask candidates to locate themselves within Duquesne's mission (of which service and community engagement is a part). Furthermore, there are acknowledgements of faculty commitment to engagement, such as the endowed fellowship and consideration of service-learning within the tenure and promotion process. As engaged scholarship continues to be developed as part of the faculty's scholarly agenda, it too will need to be appropriately evaluated and acknowledged within review processes, which will require a more contextualized and descriptive set of indicators within policy documents as well as a shared understanding of these indicators among peer reviewers and tenure committees across the University's schools.

Duquesne's most recent strategic plan cites service as a theme in all that is done at the University, and every matriculation speech given by the President since 2005 has documented the importance of community engagement across the University. As means of endorsing the legitimacy and importance of engagement, such public statements are critical. These statements could, however, promote a particular

strategic direction and seek to catalyze even deeper integration of engagement within the University's cultural core.

The opportunities acknowledged here provide evidence that a certain threshold has been met relevant to engagement and that service-learning was a large part of crossing that threshold. As a result of the widespread adoption of service-learning, key benchmarks have been met, specific persistent barriers have been identified, and the development of the ethos of engaged campus is possible as forward action is probable.

#### DISCUSSION

Kotter's Eight Stages provide a map by which we can analyze the changes that have occurred at Duquesne University and understand the University's journey toward an ethos of engaged campus. As a case study, Duquesne University illustrates a teleological trajectory of change: unfreezing a particular status quo (in this case a traditional ethic of service); harnessing the power of curricular change, coalition development, and external acknowledgements to elevate the conversation about service to that of community engagement as a key feature of core academic functions; and documenting the University's present location at the beginning stages of anchoring deeper, more transformational notions of engagement within the University's culture. Further consideration of this progress, or trajectory, highlights particular lessons Duquesne has learned and opportunities that could be leveraged to fully realize Kotter's eighth, and final, step of change: anchoring new approaches in the culture.

Particularly important are the lessons learned around the influence of second order change, the role of engagement in teaching and research (versus service), the readiness at multiple levels within the institution, and the cohesive understanding of institutional mission. As discussed in the beginning of the chapter, the type of engagement that is characterized as realizing the fullest potential of higher education's public purpose is that which is pervasive throughout an institution. Pervasive engagement can only be brought about through second-order change, rather than using first-order strategies such as enacting more or different activities (Saltmarsh et. al 2009; Saltmarsh and Hartley 2011). Second-order change alters the structures within the organization. In this case, the beginnings of second order change are possible, as illustrated by the acknowledgement of service-learning as a possible indicator of teaching excellence within tenure and promotion guidelines. Interestingly, this development was the direct result of a new activity being introduced (service-learning), but the activity was implemented as part of the core function of teaching and a core experience for all undergraduate students. As such, the way the University evaluates its faculty work had to include aspects of service-learning as an institutionalized component of the curriculum, rather than an ancillary choice. However, much more second-order change is necessary in order for Duquesne to fully realize its potential as an engaged campus. For example, it is



noted earlier that as a result of organizing our engagement efforts around geographic areas (such as neighborhoods) and through formal community-university partnerships, interdisciplinary and inter-organizational collaborations become increasingly more important in order to leverage a wide array of disciplines and multi-sector knowledge around pressing social concerns. Further structural changes will be necessary to fully optimize such boundary-spanning work.

Another important observation is that service-learning opened the door to recognizing the legitimacy of engagement as part of the core (and recognized) functions of faculty work: teaching and scholarship. Service-learning at Duquesne is not expressly part of one's service portfolio, though it may be mentioned. This is because service, in the faculty context, is defined as service to the University, participation in learned and professional societies, and participation in community activities that are relevant to the person's expertise (Duquesne University 2012). Service-learning is primarily defined as a teaching and learning strategy. As a result of this careful consideration, for those who chose to implement service-learning, it was not placed on the periphery of their work, but within its core.

Another pertinent observation is that throughout the eight stages, there was readiness at multiple levels within the institution. Service is one of the founding values of Duquesne, but community-university engagement is arguably a field of work and scholarship that has matured and become quite nuanced in terms of its orientation, philosophy, and organizational sophistication. Service-learning allowed the institution to invest a significant amount of time and consideration into discussing and enacting those nuances. Whether it was having Presidential and Provost leadership ready to commit to a strategy of curricular engagement, knowledgeable support staff with expertise in the field, faculty who had been early adopters of first service-learning and then community-engaged scholarship, or students who saw themselves as change agents, there were numerous stakeholders who were ready and able to shepherd the type of democratic, transformative change necessary for the unfreezing process to be successful.

The constant and consistent messaging around the introduction of service-learning and the deepening of engagement across the institution was also important to the change. Duquesne was at a critical point in its history and was able to link its tradition and Spiritan Catholic ethics with an innovation like service-learning, and furthermore was able to elegantly articulate the connections in publications, speeches, policy documents, and celebrations. As the majority of Duquesne stakeholders can articulate the institution's mission and describe how that enlivens their work, so too should they be able to point to the ways in which the University's mission calls for a deeper implementation of engagement as part of our institution's commitment to its local communities, both within faculty work and in the student experience.

The opportunities that could be leveraged to maximize Duquesne's potential for implementing a deeper, more transformational notion of engagement include a more strategic and catalyzing University-wide vision for the outcomes of

community engagement, a more synergistic (and perhaps more integrated) relationship between the emerging engagement practices that align with the aforementioned vision, continued improvement of the quality of engaged teaching and research projects (and their accompanying partnerships), greater logistical and faculty development support, and a greater and authentic inclusion of community. When considering the idea of an engaged campus, the vision of engagement is one in which democratic practices place the University in a greater ecosystem of knowledge generation, civic preparation, and community development (Hollander et al. 2001; Saltmarsh et al. 2009). The intersection of these elements cannot be addressed through implementation of a particular pedagogical style or co-curricular program, but by intentionally bringing multiple change agendas (such as diversity and equity, student success, and engagement) into relation with one another (Sturm et al 2011). Within an engaged campus, the diverse disciplines, pedagogies, and activities may be enacted across structures to a greater purpose. With regard to the role of the community, the *Matrix of Institutional Commitment to Service* suggests full integration would promote an “interactive and interdependent relationship with the community as a defining characteristic of the overall academic mission” (p. 38). Thus, Duquesne University has successfully realized a moderate change by implementing service-learning, and this change opens the door to even greater levels of integration of engagement into the institution’s overall purpose and functions.

#### CONCLUSION

As IHEs entertain the national conversation calling for more cohesive, concerted realization of the public purposes of higher education, more models are needed to illustrate the process by which institutions move toward an ethos of engaged campus. Examining Duquesne University’s process through the lens of teleological change provides such an exemplar. Certainly, Duquesne has not yet achieved full integration or yet realized its full potential. Rather, it provides an illustration of how the adoption of a particular curricular innovation can disrupt the status quo to an extent that it is necessary to make some second order changes. These initial changes make way for greater change. Thus, the change process allows the institution to exhibit successive iterations of its expression of engagement, hopefully drawing ever closer to the status of an engaged campus. In this spirit, this case provides an unfinished, but solid, example of change. The case demonstrates that it is possible to navigate a process of change that leverages the thought leadership, commitment, and structural change necessary to implement that which is felt to be important to the mission of the institution. In doing so, Duquesne’s staff, faculty, students, and community partners have made space for even greater levels of change as it benefits the institution and the communities of which it is a part.

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#### NOTES

1. Funding for the Service-Learning Program has been provided by Duquesne University's Academic Affairs Division, Bringing Theory to Practice Project of the American Association of Colleges and Universities, Scholars in Service to Pennsylvania, and Pennsylvania Campus Compact.
2. The desire on the part of higher education (and its critics) to promote its civic and democratic purposes, including access to higher education, can be tracked back to the seventeenth century and can be illustrated by events such as: the promotion of the commonwealth through Colonial Colleges (1636), the development of land grant colleges via the *Morrill Acts* of 1862 and 1890, the Wisconsin Idea (1891) that gave rise to extension-based relevant research, and the President's Commission on Higher Education (1941) that paid particular attention to the democratic purposes of higher education.
3. It is important to note, however, that this indicator was not described in any detail and so illustrates a kind of first-order change that many schools experience when first seeking to influence promotion, tenure, and review. Service-learning was included in the policy by name, but no additional context was provided to establish the criteria by which the quality of service-learning would be judged or the ways reciprocity was present between university and community stakeholders. Deeper, second-order change could be spurred by refinement of how service-learning is contextualized within the review, promotion, and tenure policies.

## APPENDIX

*Duquesne University Service-Learning Course Criteria*

<b>Criteria</b>	<b>Description</b>
A. Preparation/Course Design	<ol style="list-style-type: none"> <li>1. Clear connections exist between service activities and proposed learning objectives;</li> <li>2. The academic rigor of the course is enhanced, not weakened, through use of service-learning;</li> <li>3. Reflection activities are written into the syllabus, structured, and scheduled regularly throughout the course;</li> <li>4. Rubrics for evaluating reflection activities are provided on the syllabus;</li> <li>5. Students are oriented to the agency in which they serve and to the course project.</li> </ol>
B. Action/Service Performance	<ol style="list-style-type: none"> <li>1. Service activities are mandatory;</li> <li>2. Students perform on-going service with a minimum of 10 hours devoted to service activities (however, 15 hours or more would allow the students to develop meaningful relationships with community organization staff and/or clients). This recommendation is appropriate for courses comprised of 3 credit hours.</li> <li>3. Classroom sessions may be designated for student visits at Service-Learning sites (policies vary by schools/departments).</li> </ol>
C. Reflection	<ol style="list-style-type: none"> <li>1. Students engage in carefully designed reflection activities that address the service, the discipline, and their own experiences in ways that encourage further understanding of the course content, a broader appreciation of the discipline, and an enhanced sense of civic responsibility;</li> <li>2. The reflection activities are required pre-service, throughout the service, and post- service;</li> <li>3. Reflection activities are usually graded.</li> </ol>
D. Reciprocity	<ol style="list-style-type: none"> <li>1. The service provided by the student is determined by the faculty member and the community partner;</li> <li>2. Both the student and community partner benefit from the service;</li> <li>3. The provided service helps to meet the organization's overall goal and is not harmful or wasteful of the student's or the organization's time;</li> <li>4. Faculty, students, and community members implement sustainable service partnerships and/or projects; (Examples of such sustainability include, but are not limited to <ul style="list-style-type: none"> <li>• Service-Learning partnerships that continue over many semesters, allowing continual provision of service, albeit course participants change each semester;</li> </ul> </li> </ol>

- Projects that include educational activities (such as grant writing) that allow community organizations to continue running said projects;
  - Plans to implement continued service through groups other than the current SL course participants (such as University student organizations);
  - The creation of user manuals or handbooks that provide explanations of how community partners can continue to administer programs or sustain products designed by students in SL courses.)
- E. Evaluation/Assessment
1. Faculty members assess the student learning outcomes of the service experience.
  2. Academic credit is not assigned to the service performed.
  3. Students earn credit by displaying increased knowledge of academic content through the framework of service and reflection.
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## 10. CRITICAL CIVIC LITERACY AS AN ESSENTIAL COMPONENT OF THE UNDERGRADUATE CURRICULUM

*The Case of California State University, Monterey Bay*

### INTRODUCTION

A socially cohesive and economically vibrant US democracy and a viable, just global community require informed, engaged, open-minded, and socially responsible people committed to the common good and practiced in “doing” democracy. In a divided and unequal world, education ... can open up opportunities to develop each person’s full talents, equip graduates to contribute to economic recovery and innovation, and cultivate responsibility to a larger common good. Achieving that goal will require that civic learning and democratic engagement be not sidelined but central. **Civic learning needs to be an integral component of every level of education, from grade school through graduate school, across all fields of study** (National Task Force on Civic Learning and Democratic Engagement 2012, pp. 13-14; emphasis added).

The publication in January 2012 of *A Crucible Moment: College Learning and Democracy’s Future*, was the culmination of a yearlong series of dialogues sponsored by the National Task Force on Civic Learning and Democratic Engagement. Funded by the U.S. Department of Education, the National Task Force brought together leading researchers and practitioners from the civic engagement field to develop strategies to strengthen civic learning in higher education. As exemplified in the above quote, the document makes a powerful call for higher education to embrace civic learning as a core aspect of its institutional mission and as central to a student’s education. The report establishes clear expectations for what a civically engaged university should look like, “calling on colleges and universities to adopt far more ambitious standards that can be measured over time to indicate whether institutions and their students are becoming more civic-minded” (p. 14). Furthermore, it identifies characteristics of what a civically engaged graduate should know and be able to do in order to “approach the world with empathy, and...act with others to improve the quality of life for all” (National Task Force 2012, p. 23). The report’s introduction concludes with this far-reaching statement, laying out these goals for the transformed higher education (p. 14; emphasis in original):

This report therefore urges every college and university to foster a civic ethos that governs campus life, make civic literacy a goal for every graduate,

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integrate civic inquiry with majors and general education, and advance civic action as life-long practice.

The publication of *A Crucible Moment* is a singularly important event in civic learning's journey to educational legitimacy. As it was commissioned by the United States Department of Education, the document's publication shows that civic learning is now on the radar screen at the highest of education policy levels.<sup>1</sup> With its urgent framing of civic learning as central, not only to student learning, but to safeguarding "democracy's future," it has elevated the discourse about civic learning and student engagement to the highest of educational priorities. However, the document's urgent title and tone invites an examination of the status and accomplishments of the current civic engagement movement in higher education. After all, American higher education has always espoused a certain focus on its civic mission (Rudolph 1962; Veysey 1965; Pollack 1997). And in fact, the past four decades have shown a steady growth in civic engagement activities in higher education (Gray et al. 1998; Ehrlich 2000; Jacoby and Associates 2009; Finley 2011; Saltmarsh and Hartley 2011). What has this most recent manifestation of civic engagement activity accomplished over the past four decades? Has it established a solid foundation for achieving the critically important civic goals called for in *A Crucible Moment*?

This chapter uses the theoretical lenses provided by the new institutionalism in organizational theory (Meyer and Rowan 1977; Powell and DiMaggio 1991; Scott 1995) to gain insight into the processes that have influenced the emergence and integration of civic learning in higher education. It recognizes that the existing pressures for conformity have kept civic learning fragmented and in the margins. It looks closely at service-learning, arguably the most widespread current manifestation of civic learning in higher education, showing how it has been embraced as an educational method or tool, while its more transformative, epistemological dimensions have been ignored. The chapter then looks closely at one institutional entrepreneur (Garud et al. 2007), California State University, Monterey Bay (CSUMB), which has succeeded in integrating critical civic literacy, a more epistemologically transformative approach to service-learning, into the core of its academic programs. Based on the CSUMB case, implications for higher education are discussed.

#### GROWTH OF THE CURRENT CIVIC ENGAGEMENT FIELD

American higher education has always been imbued with a distinctive civic purpose, though its prominence has waxed and waned over the decades. With its earliest manifestations in the eighteenth and early nineteenth centuries in the training of clergy for community and civic duty, American higher education was seen as largely a social investment. An individual entering higher education was training his (or occasionally her) mental powers to benefit society, and not for personal remuneration (Rudolph 1962). In this sense, higher education was essentially fulfilling a fundamentally civic purpose. With the passage of the *Morrill Acts* of 1862 and 1890, the land grant college system was established, a



further example of the American university's public service or civic mission. It was seen as a fundamental component of America's westward expansion, described as "the most systematic and gigantic attempt ever made to help the laboring man and woman, to better their processes and enlarge the scope of their thinking" (Eddy 1956, p. 115). A further evolution of higher education's civic purpose can be seen in the emergence during the progressive era of the "Wisconsin Idea." This model of the university's civic mission was based on the conviction that "informed intelligence when applied to the problems of modern society could make democracy work more effectively" (Rudolph 1962, p. 363).

After World War II, the President's Commission on Higher Education was established to re-think higher education in the post-war era. Despite the significant economic crises that were looming in the post-war American society, the Commission's report emphasized the necessity for higher education to re-claim its core civic mission, stating: "The first and most essential charge upon higher education is that at all levels and in all its fields of specialization, it shall be the carrier of democratic values, ideals and process" (President's Commission on Higher Education 1947, p. 102).

#### *Service-Learning and the Emergence of the Current Civic Engagement Movement*

The origins of the current manifestation of higher education's civic mission can be traced to the 1960s and early 1970s. During these turbulent decades in American social history, universities sought to connect their curricula more directly to the critical social issues of the day by having students be directly involved in the federal government's Great Society and War on Poverty programs. It was during this period of significant social unrest in communities and social activism on campuses, that the term service-learning emerged as a way to characterize a broad array of experiential education programs that provided students the opportunity to work in community settings as a core component of their academic programs (Pollack 1997). By the early-1990s, these semester-long and yearlong "service-learning internships" had become transformed into what we currently know as "service-learning courses." In a service-learning course, students do community service work as a formal component of an academic class, providing the opportunity to connect the theories and concepts of the discipline to real-world experiences in community settings.

While service-learning had existed since the 1960s as a loose conglomeration of programmatic approaches to linking universities and communities, the passage of the *National and Community Service Act* of 1990 (PL 101-610) by President George H. W. Bush helped to advance the institutionalization of these efforts. It created a funding stream, and a national discourse on community engagement in higher education that provided the necessary springboard for the expansion of service-learning and civic engagement activities over the next two decades. Since the early 1990s, the movement has seen a significant expansion. Campus Compact, founded in 1985 by a handful of university presidents committed to expanding the civic mission of higher education, has grown into a national organization that has

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almost 1,200 member institutions and three dozen state associations (Campus Compact 2012). In 2000, they published the “Presidents’ Declaration on the Civic Responsibility of Higher Education,” declaring:

As presidents of colleges and universities, private and public, large and small, two-year and four-year, we challenge higher education to re-examine its public purposes and its commitments to the democratic ideal. We also challenge higher education to become engaged, through actions and teaching with its communities. We have a fundamental task to renew our role as agents of our democracy. (Ehrlich and Hollander 2000)

The field gained further institutional strength and legitimacy in 2006 with the establishment of the Carnegie Foundation for the Advancement of Teaching’s “Elective Classification for Community Engagement.” The new elective classification established a set of criteria for the community-engaged higher education institution, along with a process for universities to submit portfolios for review in order to be awarded the classification as a “community engaged institution.” After the most recent review of institutional portfolios which took place in 2013, 361 institutions have formally received the Community Engagement certification (Carnegie Foundation 2015).

Most recently, the service-learning and civic engagement movements have also expanded globally. In 2005, 29 universities from around the world signed the “Talloires Declaration on the Civic Roles and Social Responsibilities of Higher Education.” Today, over 250 institutions in 62 countries have signed onto the Talloires Network, confirming their institution’s commitment to helping students develop “a sense of social responsibility and a commitment to the social good, which, we believe, is central to the success of a democratic and just society” (Talloires Network 2005). Another dimension of this rapidly internationalizing field was the establishment in 2001 of The International Association for Research on Service Learning and Community Engagement (IARSLCE), which currently has over 950 active members. The 12th IARSLCE Conference featured over 175 conference sessions, including presentations from New Zealand, Rwanda, Egypt, Malawi and South Africa (Editorial Fellows Team 2012). There is also an international affinity group on service-learning in teacher education with members from the UK, Ireland, Australia, South Africa, Luxembourg and Germany (ICRCE 2006).

Clearly, civic engagement has gained strength as a legitimate field of endeavor in higher education. But what has been the impact of this growing movement on the institution of higher education itself? Has the movement been able to achieve the goals called for in *A Crucible Moment* by fostering a **civic ethos** governing campus life; **civic literacy** as a goal for every student; **civic inquiry** integrated within the majors and general education; **civic action** as a lifelong practice (National Task Force 2012, p. 15)? The following section reviews recent literature suggesting that despite its growth over the past decades, the civic engagement movement has remained fragmented and largely marginal in higher education.

*Community Engagement Movement: Marginal and Adrift*

While the community engagement movement has expanded over the past decades, recent studies point to the fact that the field has still not become fully integrated into the core teaching, learning and research processes in higher education. In fact, these reports are largely critical of the extent to which higher education has embraced civic engagement and service-learning as a valued goal or priority.

In 2001, the Kellogg Commission on the Future of State and Land-Grant Universities commissioned a report exhorting land-grant colleges and universities to return to their core public service mission. The report entitled “Returning to our Roots,” is emblematic of the view that sees land-grant institutions as having abandoned their core civic mission. The document calls on these institutions to return to their roots, and become more engaged in local and regional social and economic development, as well as the development of students’ civic commitments and capacities (Kellogg Commission 2001).

In 2002, the American Association of State Colleges and Universities published a report to underscore the role of “state colleges,” as distinct from Research I universities, as “stewards of place.” The report comes to the following conclusion about the state of engagement at these regionally-focused institutions:

there is considerable evidence that deep engagement is rare –there is more smoke than fire, more rhetoric than reality... Most [campuses] have some form of community interaction, but in the main it is piecemeal, not systemic, and reflects individual interest, rather than institutional commitment. (AASCU 2002, p. 13)

A report drafted by a group of leaders of the civic engagement movement in 2004 entitled, *Calling the Question*, came to a similar conclusion. While recognizing that there had been important accomplishments by individual faculty and specific, isolated programs, the report stated that “few institutions have made the significant, sustainable, structural reforms that will result in an academic culture that values community engagement as a core function of the institution” (Burkardt et al. 2004, p. 5).

*A Crucible Moment* arrives at a similar conclusion in its evaluation of the state of the community engagement enterprise in higher education. It states that “while the civic reform movement in higher education has affected almost all campuses, its influence is partial rather than pervasive. Civic learning and democratic engagement remain optional rather than expected for almost all students” (p. 8).

How could these well-intentioned, transformational efforts to connect universities to the critical issues of the day have resulted in so very little, or rather, so much more of the same? After nearly three decades of work, why is there still such a sense of urgency in the appeal for higher education to embrace civic engagement in order to safeguard “democracy’s future?” The following section makes use of the theoretical lenses offered by the new institutionalism in organization theory to shed light on civic engagement’s thwarted or appropriated institutionalization process.

INSTITUTIONAL THEORY AND THE APPROPRIATED EMERGECE OF  
CIVIC ENGAGEMENT IN HIGHER EDUCATION

As an approach to examining the impact and influence of organizations in society, institutional theory focuses on the systems and processes that define appropriate action and determine legitimate actors in a given societal realm; a process it calls “institutionalization” (Meyer and Rowan 1977; Powell and DiMaggio 1991). It looks closely at how organizations subjectively constitute their worldviews by adopting, adapting and combining the norms and scripts available in their cultural contexts to create coherent regulative, normative and cognitive frameworks that serve to guide action (Scott 1991; 1995). Regulatory frameworks consist of formal rule systems or laws, usually associated with the coercive powers of the state. Normative frameworks refer to the standards of appropriate practice that are generated by the professional affiliations of those individuals and organizations active in a field. Cognitive frameworks are associated with the constitutive forces which imbue action with meaning as activities are repeated and recognizable patterns of interchange become part of the taken-for-granted landscape of a field of endeavor. The overall action in an organizational field is governed by the interaction of these three institutionalization processes (Scott 1995).

The institutionalization process itself results in another powerful force, known as “institutional isomorphism.” Isomorphism is a pressure similar to peer pressure that provides coherence to an organizational field by influencing actors to conform to existing norms of legitimacy and ideal types (DiMaggio 1983). Through the processes of coercive, mimetic and normative isomorphism, theorists emphasize how organizations are encouraged, or coerced, to imitate and conform to the existing status quo. Scott (2005) proposes that isomorphism is the master bridging process in institutional environments: “by incorporating institutional rules within their own structures, organizations become more homogeneous, more similar in structure over time” (p. 209).

Over time, like all organizational fields, higher education has developed a coherent set of regulative, normative and cognitive frameworks to guide action. These frameworks provide higher education with the definitions and structures necessary to answer essential questions, such as: what is legitimate knowledge (i.e., the curriculum)? Who are the legitimate holders of knowledge (i.e., professors)? What are the legitimate processes for the development of knowledge (i.e., research)? And, what are the legitimate processes for the transfer of knowledge (i.e., teaching)?

As an emerging field of endeavor in a highly institutionalized environment, civic engagement efforts have had to negotiate for institutional space within the dominant, pre-existing regulative, normative and cognitive structures of higher education. This contestation for institutional space has had a significant influence on the emergence of the field of civic engagement.

How have higher education’s isomorphic pressures influenced the emergence of civic engagement and service-learning as a coherent sphere of endeavor in higher education? A close study of recent scholarship in the field of service-learning reveals two important trends that are indicative of an appropriated

institutionalization process. First, there has been a widespread adoption of service-learning as a pedagogical tool, or educational method. Second, and related, there has been a resistance to embracing, or even to the expression of, the epistemological dimensions of service-learning or civic engagement efforts.

*Service-Learning's Twisted Emergence as an Educational Tool*

If we look at the definitions that have emerged over the past four decades of federal legislation in support of universities' civic engagement, we clearly see the impact of the isomorphic pressures, resulting in the framing of service-learning as an educational tool. The initial appearance of service-learning in federal legislation was in 1973, as part of the *Domestic Volunteer Service Act* (PL 93-113). Building on the previous decade's efforts in support of the War on Poverty, the legislation emphasized that the purpose of these "service-learning programs" was "to strengthen and supplement efforts to eliminate poverty and poverty-related human, social and environmental problems..." (*Domestic Volunteer Service Act* 1973, section 111). However, with the passage of the *National Service Act* of 1990 less than two decades later, service-learning had been transformed from an anti-poverty "program," to an educational "method." The 1990 law created a formal definition for service-learning:

- The term "service-learning" means a method—
- (A) under which students learn and develop through active participation in thoughtfully organized service experiences...;
  - (B) that is integrated into the students' academic curriculum...;
  - (C) that provides students with opportunities to use newly acquired skills and knowledge in real-life situations...; and,
  - (D) that enhances what is taught in school by extending student learning beyond the classroom and into the community and helps to foster the development of a sense of caring for others. (*National and Community Service Act* 1990, section 101; emphasis added)

By defining service-learning's role as an educational "method," the focus is shifted from "eliminate[ing] poverty and poverty-related human, social and environmental problems" (DVSA 1973) to efforts that are "integrated into the students' academic curriculum" and that "enhance what is taught in school" (NCSA 1990).

In 1993, President Clinton signed the *National and Community Service Trust Act* (NCSTA). Reinforcing much of the previous legislation, the NCSTA further emphasized service-learning as an educational method. Not only does the NCSTA incorporate the same formal definition of service-learning as a "method," but it specifically connects service-learning to the education reform movement by "encouraging the faculty of the institution to use service-learning methods throughout their curriculum" (*National and Community Service Trust Act* 1993, section 1998 (B) (3)).

In their reviews of the service-learning field Dan Butin (2003) and Tania Mitchell (2008) also recognize the strong pedagogical focus to the current service-learning movement. Butin (2003) identifies four distinct “perspectives” or “discourse communities” in the service-learning literature, with the most dominant being the “technical” perspective. This perspective is most concerned with service-learning’s role as a pedagogical method. The main focus in the discourse community is the “how to” of service-learning, focused on developing more effective pedagogical techniques and assessment practices. In this discourse community, the “why” of service-learning remains largely un-examined. In her clarifying work reviewing tensions in the service-learning field, Mitchell (2008) recognizes a distinction between “traditional” and “critical” service-learning. Her insightful review of the literature acknowledges that there is a strong, unified approach to the pedagogy of service-learning, which recognizes that:

The learning in service-learning results from the connections students make between their community experiences and course themes...students become active learners, bringing skills and information from community work and integrating them with the theory and curriculum of the classroom to produce new knowledge. (p. 50)

However, Mitchell’s analysis also shows that there is a wide divergence in the goals to be achieved through service-learning, generating what she terms “traditional” and “critical” approaches. Mitchell establishes that “traditional” approaches focus on mastering the traditional curriculum through service, while “critical” approaches “encourage students to see themselves as agents of social change, and use the experience of service to address and respond to injustice in communities” (p. 51). The “critical” approaches identified by Mitchell do not limit service learning’s role to that of a pedagogical method, but rather, see it as a process that engages students with different forms of knowledge than those which are found in the traditional curriculum. In other words, the critical approach acknowledges that service-learning has an epistemological dimension as well.

#### *Divergent Approaches to the Epistemological Implications of Service-Learning*

While a coherence has emerged around the “how to” of service-learning (its pedagogical dimension), a similar coherence has not emerged around the “why” of service-learning (its goals or core knowledge-base). While there is a general agreement that higher education should help students to become civically-minded and engaged citizens, beyond these vague, general statements, there has been little progress made in actually identifying what this means for student learning. Leaders in the civic engagement field (Saltmarsh et al. 2009) have recognized that this lack of focus and conceptual clarity has fostered a field that means everything to everyone, and as a result, “stands for anything and therefore nothing” (p. 4). Broad, general statements about civic engagement frequently appear in university mission statements; however, they are rarely evident in academic programs or in degree requirements or student learning outcomes (Center for Engaged Democracy 2012).

Behind the surface cohesion around the vague, general statements about the importance of student civic engagement lies a deep conflict about what it actually means for a university to be “useful,” or responsive to society. In his seminal work on the emergence of the American university, Veysey (1965) recognizes both the centrality of the civic mission of higher education, and its essentially contested nature. Practical public service, or “utility,” is depicted by Veysey to be one of the three academic aims of the modern university. But, he also acknowledges that its definition remains highly disputed:

[O]ne could serve society either by offering training for success within the existing order, or one could serve it by agitating for new arrangements. At stake was the definition of the public interest to be served, and this question lurked behind the more general notion of the worth of public service...the mere conception of a useful university offered no answer to this problem, so long as there remained divisions of opinion among Americans over what it meant to be useful. (pp. 74-75)

It is clear that the university desperately wants to be “responsive” to society. However, what is not clear is the subset of societal needs to which the university should respond.<sup>2</sup>

There is another, often unspoken, tension that prevents civic engagement efforts from being more deeply integrated into the core of a university’s academic program. This is the tension between academia’s expert-driven, hierarchical knowledge production system, and the more democratic, collaborative intentions of civic engagement efforts. In fact, the dominant norms and conventions of higher education that recognize and reward faculty as knowledge experts serve to marginalize potential community-based partners in the broader, partnership-oriented knowledge generation process that lies at the heart of more transformative civic engagement efforts. This works directly against creating the type of “authentic partnerships,” that Mitchell (2008) sees as fundamental to critical service learning. Harry Boyte, a leader in the civic engagement movement, sees the dominant expert-oriented epistemology as “the largest obstacle in higher education to authentic engagement with communities...[and] a significant contributor to the general crisis of democracy” (quoted in Saltmarsh et al. 2009, p. 8)

While coherence on the pedagogical dimension of service-learning has emerged, there has not been a similar coherent emergence around the ultimate goals of service-learning. In fact, some would argue that the movement has been coerced away from explicitly emphasizing the transformative, social change-oriented goals of civic engagement (Pollack 1997; Loundsbury and Pollack 2001; Saltmarsh et al. 2009; Saltmarsh and Hartley 2011). In their compelling edited volume summarizing the current state of affairs in the field of engagement entitled *To Serve a Large Purpose: Engagement for Democracy and the Transformation of Higher Education*, John Saltmarsh and Matt Hartley (2011) come to the striking conclusion that while engagement’s goal has been to transform higher education by reviving its civic mission, it is engagement itself that has been transformed:

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Of equal concern is that what has emerged is a rather conventional, even timid, civic engagement.... Rather than openly questioning the prevailing norms, customs and structures of the academy, civic engagement efforts have instead adapted in order to ensure their acceptance and legitimacy within it. All too often, service-learning courses are indistinguishable from internships or clinical placements: their chief aim is disciplinary learning or improved clinical practice. Democratic outcomes –encouraging students to understand and question the social and political factors that cause social problems and to challenge and change them—at best remain hoped-for by-products. (p. 290)

### *Pedagogification*

Clearly, the powers of institutional isomorphism have significantly impacted the emergence of the service-learning and civic engagement fields. In its diffusion throughout higher education, service-learning has been widely embraced for its powerful impact as an engaged, experiential approach to learning. Civic engagement gets strong support from institutions when its goals are vaguely stated in broad principles, such as becoming “socially responsible universities and colleges” (Benson et al. 2007, p. 84) or preparing “enlightened and productive citizenry” (Saltmarsh, et al. 2009). But resistance emerges when questions of epistemology and power relations emerge, or when sources of knowledge that exist outside the academy are recognized as legitimate. Taken together, the impact of these forces have resulted in a twisted, appropriated institutionalization process, which I call “pedagogification.” I define pedagogification as the cultural reworking of an epistemologically transformative educational practice into a teaching method, stripping the initiative of its transformative content while emphasizing its utility as a tool for mastering the traditional knowledge-base.

The dominant regulative, normative, and cognitive frameworks of higher education have embraced service-learning as an educational method, while having marginalized its potentially transformative epistemological contributions to both student learning and the strengthening of our democratic institutions and processes. So while the practice of service-learning is now widely diffused, it has had only a minimal impact on the core knowledge-base of higher education or to the knowledge generation process. This is why we rarely see service-learning and civic engagement as a core requirement, embedded in majors and degree programs. Rather, service-learning and other civic engagement efforts have been marginalized, embraced as engaged pedagogy, but with limited implications for the learning side of the process. Organizationally, service-learning and civic engagement offices are found most often in student affairs, as opposed to academic affairs; linked to centers of teaching and learning, or offices of outreach and extension, and not linked to majors or degree-granting programs (Center for Engaged Democracy 2012).



Due to the inability of service-learning and civic engagement efforts to be integrated into the core knowledge-base of higher education, movement leaders offer a very sobering reflection on the future:

From this perspective, the civic engagement movement seems to have hit a wall: innovative practices that shift epistemology, reshape the curriculum, alter pedagogy, and redefine scholarship are not being supported through academic norms and institutional reward policies that shape the academic cultures of the academy. There are limits to the degree of change that occurs institutionally, and the civic engagement work appears to have been accommodated to the dominant expert-centered framework. Democratic engagement is not embedded in the institutional culture, remains marginalized activity, and its sustainability is questionable. (Saltmarsh, et al. 2009, pp. 12-13)

However, there are certain institutional entrepreneurs that have worked to establish an approach to service-learning that is grounded in teaching and learning and integrated into the core curriculum. California State University, Monterey Bay (CSUMB) is one such case.

#### A TRANSFORMATIVE INSTITUTIONAL ENTREPRENEUR: CSU MONTEREY BAY

As discussed above, as it has diffused throughout higher education over the past four decades, service-learning has largely been introduced to faculty as a pedagogy; a more effective, engaging and rewarding (though also more time consuming) approach to teaching the knowledge of their discipline. However, while engaged learning is powerful learning, it does not necessarily cultivate the “social, civic or moral realm of student learning and of students’ lives” (Ehrlich et al. 2003, p. iv), or achieve the goals identified by *A Crucible Moment* of “foster[ing] a **civic ethos** that governs campus life, mak[ing] **civic literacy** a goal for every graduate, integrat[ing] **civic inquiry** within majors and general education, and advance[ing] **civic action** as lifelong practice” (p. 14). However, certain institutional entrepreneurs (Garud et al. 2007) have set out on an alternative, more transformative path, embracing both the pedagogical and epistemological dimensions of service-learning and civic engagement. One such institution is CSUMB. Rather than adopting service-learning as a pedagogy to facilitate discipline-based knowledge-acquisition, CSUMB has embraced service-learning as a way to transform the knowledge base itself, integrating what it calls *critical civic literacy* in both its general education program, and in the core requirements of each undergraduate major. The following section provides a brief overview of CSUMB’s history, its unique service-learning requirement, and the concept of *critical civic literacy*. It then provides three examples of what *critical civic literacy* looks like when integrated into three different undergraduate degree programs.

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### *CSUMB History and Background*

Created in 1995 on the site of the former Fort Ord, CSUMB was designed to offer its students an innovative, twenty-first century education. While many aspects of CSUMB's innovative educational program have flourished in its first two decades, CSUMB has been most recognized nationally for its innovative service-learning requirement and its commitment to developing students' capacity and commitment to leading socially- and civically-engaged lives. This commitment to civic engagement is a central component of the CSUMB Vision Statement, which emphasizes that students will develop the "critical thinking abilities to be productive citizens, and the social responsibility and skills to be community builders" (CSUMB 1994).

CSUMB has made its commitment to service and civic engagement a core educational goal, placing service-learning squarely at the heart of its academic program. All CSUMB undergraduates are required to complete two service-learning courses: a required lower division course that is part of the general education program; and, an upper division service-learning course in their major. The lower division course gives students a foundation in issues of personal and social identity, service and social responsibility, social justice and civic engagement. The upper-division courses further expand students' knowledge in these areas, but from the perspective of their academic program, grounding the civic engagement work in the context of their specific field or discipline. In both cases, students work with community organizations for a minimum of 30 hours during the semester, addressing the region's most complex, deep-seated social problems. Through this two-semester service-learning requirement, approximately 50 percent of CSUMB's 6,500 students are enrolled in service-learning courses each academic year, contributing tens of thousands of hours of work to over 250 local schools, agencies, and non-profit organizations in the Monterey Bay region (Service Learning Institute 2014).

Implementing such a broad vision for the integration of civic engagement throughout the curriculum has required CSUMB to reinterpret the conventional understanding of service-learning. In essence, this has meant moving beyond an understanding of service-learning as pedagogy, and emphasizing civic learning outcomes as a core component of all service-learning courses, and therefore, degree programs. CSUMB's goal is to not just educate technically competent professionals, but to educate technically competent, socially responsible, and civically engaged professionals. This has required a transformation of the core curriculum.

### *CSUMB's Focus: Critical Civic Literacy*

CSUMB's service-learning program is deeply rooted in the university's commitment to multiculturalism, more specifically, in social reconstructionist multicultural education (Sleeter and Grant 1987). Therefore, it emphasizes teaching about social injustice and the systems of power, privilege and oppression

that maintain social inequity (Rice and Pollack 2000; Pollack 2011). This has contributed to a strong social justice orientation to its work in civic engagement, as it emphasizes the examination of the root causes of social problems, and the development of the knowledge, skills and attitudes needed to bring about change in these oppressive social structures. As it incorporates a social change orientation, an analysis of power relations, and a commitment to building deep, authentic campus-community partnerships, CSUMB's approach resonates with Mitchell's (2008) definition of "critical service learning." However, as it makes civic learning an explicit component of every service-learning course, CSUMB's approach is best understood as a form of **critical civic literacy**. Critical civic literacy is distinguished from traditional civics by its analysis of the role of power in facilitating or inhibiting meaningful participation in civic life. While traditional perspectives on civic literacy see society as a flat surface on which individuals engage freely, as if they were individual balls on a pool table, critical civic literacy recognizes the role of race, class, gender, sexual orientation, religion, ability-status and other forms of social group identity in privileging some while marginalizing others from participation in the civic space. Through critical civic literacy, students examine issues of power, privilege, oppression and systemic inequity as a core component of their learning in service-learning courses.

As a result, students develop the knowledge, skills, awareness and will to become *multicultural community builders*: "students who have the knowledge, skills, and attitudes to work effectively in a diverse society to create more just and equitable workplaces, communities and social institutions" (Service Learning Institute 2005).

While the scope of the CSUMB service-learning program is significant, its most important contribution is its success in integrating critical civic literacy as a core component of all undergraduate degree programs. CSUMB's outcomes-based education framework has provided the structure for the campus to develop explicit service-learning outcomes to be integrated into each and every service-learning course. The outcomes (Figure 10.1), focus on the following four themes: Self and Social Awareness, Service and Social Responsibility, Community and Social Justice, and Multicultural Community Building/Civic Engagement.

By establishing a set of learning outcomes that guide curriculum development in every service-learning course, **civic literacy** has become a goal for every CSUMB graduate, and **civic inquiry** has become integrated into the majors and general education. The following section provides an overview of the curriculum development process and examples of what the integration of critical civic literacy looks like in three different departments: Humanities, Computer Science, and Business Administration.

<p style="text-align: center;"><b>CSU Monterey Bay Upper Division Service-Learning Outcomes</b></p> <p><u>1. Self and Social Awareness</u> Students deepen their understanding and analysis of the social, cultural and civic aspects of their personal and professional identities.</p> <ul style="list-style-type: none"><li>• Define, describe, analyze and integrate the concepts of individual social and cultural group identities and the concepts of social privilege and marginalization.</li><li>• Demonstrate critical analysis of their own assumptions, values, and stereotypes, and evaluate the relative privilege and marginalization of their identities.</li></ul> <p><u>2. Service and Social Responsibility</u> Students deepen their understanding of the social responsibility of professionals in their field or discipline, and analyze how their professional activities and knowledge can contribute to greater long-term societal well-being.</p> <ul style="list-style-type: none"><li>• Articulate the relationship between individual, group, community and societal well-being.</li><li>• Analyze how individual and professional actions contribute to short-term well-being and/or greater long-term societal well-being.</li><li>• Develop a critical understanding of ethical behavior in the context of their profession or discipline with regard to issues of societal well-being.</li></ul> <p><u>3. Community &amp; Social Justice</u> Students evaluate how the actions of professionals and institutions in their field or discipline foster both equity and inequity in communities and society.</p> <ul style="list-style-type: none"><li>• Examine the demographics, socio-cultural dynamics and assets of a specific community through a social justice framework.</li><li>• Analyze a community issue(s) in the context of systemic inequity, discrimination and social injustice.</li></ul> <p><u>4. Multicultural Community Building/Civic Engagement</u> Students learn from and work responsively and inclusively with diverse individuals, groups and organizations to build more just, equitable, and sustainable communities</p> <ul style="list-style-type: none"><li>• Demonstrate intercultural communication skills, reciprocity and responsiveness in service work with community.</li><li>• Enter, participate in, and exit a community in ways that are sensitive to systemic injustice.</li><li>• Develop and implement personal, professional and institutional strategies, policies and/or practices that work towards creating greater equity and social justice in communities.</li></ul>
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*Figure 10.1 CSU Monterey Bay Upper Division Service Learning Outcomes*  
*Source: Service Learning Institute (2011).*

#### A CURRICULUM DEVELOPMENT FRAMEWORK FOR INTEGRATING CRITICAL CIVIC LITERACY INTO THE CORE CURRICULUM

CSUMB's work in service-learning has been led by its Service Learning Institute, which is well-positioned to support each major in developing the critical civic literacy dimension of its academic program. As an administrative unit, the Service Learning Institute embraces both the pedagogical and epistemological aspects of service-learning. It functions both as a faculty professional development center, providing training and support for service-learning course development and delivery; and, as an academic department with full-time faculty and the authority to develop and deliver academic courses. The Service Learning Institute offers the

majority of CSUMB's lower division service-learning courses. It also offers a nationally-acclaimed Student Leadership in Service Learning Program (Mitchell et al. 2006) and a minor in Service Learning Leadership. As such, the Service Learning Institute is recognized as a legitimate member of the CSUMB academic community. But more importantly, by embracing critical civic literacy, the core concepts of service, social justice and civic engagement have become recognized as legitimate dimensions of the CSUMB academic cannon.

The Service Learning Institute has developed an effective framework for building faculty capacity for teaching about service and social responsibility from the lens of their particular field or discipline. The curriculum development framework is based on the CSUMB Service Learning Prism (Figure 10.2). The Prism represents both the pedagogical dimension and the epistemological dimension of service-learning. The pedagogical dimension is represented by the three sources of knowledge (or beams of light) that enter the prism: discipline-based knowledge; student knowledge; and community knowledge. Recognizing three distinct, and legitimate, sources of knowledge represents a distinctive pedagogical shift. It requires moving from the banking model of education that recognizes the discipline as the sole source of knowledge, to a student-centered, experiential learning framework that recognizes the student and the community as legitimate sources of knowledge as well. It is the pedagogy of experiential learning, largely based on the practice of critical reflection (Eyler et al. 1996), that

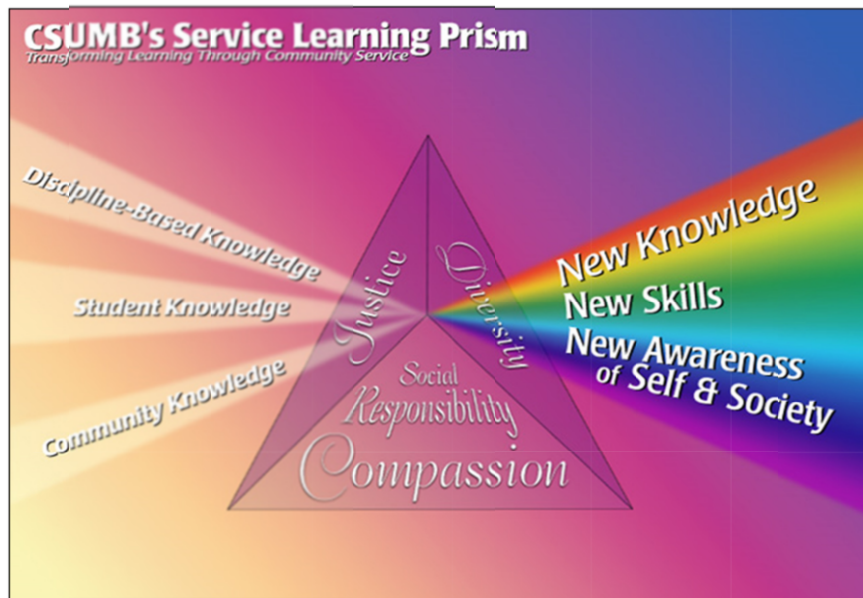


Figure 10.2 CSUMB's Service Learning Prism  
Source: Service Learning Institute (2001).

faculty must master, moving from the “sage on the stage,” to the “guide on the side,” as they facilitate students’ integration of the knowledge of the discipline, with their own prior knowledge, and with the community knowledge they experience through their service work.

The epistemological dimension of service-learning is represented by the concepts within the prism itself: justice, compassion, diversity, and social responsibility. These four concepts are at the heart of CSUMB’s understanding of critical civic literacy. By placing these concepts in the center of the prism, the image emphasizes that critical civic literacy is not a marginal afterthought, but rather, fundamental in transforming the learning outcomes in a service-learning course. For the student, the experience is much richer than doing service in the community in order to master the knowledge and skills of their discipline or field. Rather, as represented in *The Prism*, the student comes away from a service-learning course with new knowledge, new skills and a new awareness of themselves and their relationship to the world around them.

The Service Learning Institute uses the CSUMB Service Learning Prism as the basis of its approach to service-learning curriculum development. The first step asks faculty to identify a key social justice-related question that is relevant for their students and for professionals working in their field. The “social justice meta-question” is then placed at the center of the prism, and guides all subsequent curriculum development work, ensuring that social justice and social responsibility are at the heart of the course curriculum. Once the social justice meta-question has been identified, faculty then develop concrete learning outcomes, grounding CSUMB’s generic service-learning outcomes in the context and content of their particular field or discipline. As a result, each major at CSUMB has found its way into the conversation about justice and social responsibility on its own terms, and has come to more fully own this aspect of its academic program.<sup>3</sup>

What does this commitment to critical civic literacy look like in diverse academic programs? The following examples are drawn from each of CSUMB’s three colleges: Business (College of Professional Studies); Information Technology (College of Science, Media Arts & Technology); and, Museum Studies (College of Arts, Humanities & Social Sciences).

#### *Business 303S: Community Economic Development*

In the School of Business, all students are required to take the service-learning course, BUS 303S: Community Economic Development. In addition to their traditional class work, all BUS 303S students devote 50 hours of service to a community organization working on local economic development and/or education issues. The social justice meta-question that guides student learning in the course is: *How can businesses balance the “triple bottom lines” of profit, people and planet?* In this course, students explore concepts of culture and cultural identity and examine how power relationships among cultural groups affect local economic development and the distribution of resources and opportunities in the community (Figure 10.3).

<p>Business 303S: Community Economic Development</p> <p><i>Meta-Question</i> How can businesses balance the “triple bottom lines” of profit, people and planet?</p> <p><i>Learning Outcomes</i></p> <ul style="list-style-type: none"> <li>• To deepen awareness and understanding of disparities in economic opportunity among different ethnic and cultural groups and the roots of such disparities, within Monterey County, nationally and globally.</li> <li>• To gain a clearer sense of the kinds of actions, attitudes, and behaviors—personal, professional, and institutional—that can alter historical relationships of power and privilege and broaden economic opportunity for those for whom opportunity historically has been limited.</li> </ul>
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*Figure 10.3 Community Economic Development*

The course uses case studies to examine how business enterprises have contributed to greater equity and social justice both locally and globally. In the community, students work with local schools, businesses, social service agencies and economic development corporations to experience first-hand how organizations struggle to be profitable and at the same time, to have a positive impact on both the community and the environment. For example, business students have helped a local homeless community garden develop a profitable vermiculture enterprise, producing worm compost as an income-generating aspect of their community garden work. It is through the concept of the “triple bottom line” that issues of justice and social responsibility have found solid grounding in CSUMB’s business school.

*Information Technology 361S: Technology Tutors*

All students in the School of Information Technology and Communications Design (ITCD) are required to take CST 361S: Technology Tutors. In the early years, the students would work on a variety of technology-related projects, such as designing web-sites, linking classrooms to the web and building networks for community organizations. However, there was very little curricular grounding in issues of justice or social responsibility. The students were doing service using technology; but were they learning about inequality and injustice? That was not readily clear. The course changed dramatically with the introduction of the concept of the “digital divide” as the organizing theme for the course. The social justice meta-question with which the students wrestle became: *How has digital technology accentuated or alleviated historic inequalities in our community; and, what is my responsibility for addressing the “digital divide” as a future IT professional?* Students now actively engage with the community around issues of access to technology, and explore ways to reduce the “digital divide.” As a result, the department is doing more than just disseminating new technology. It is also actively looking at the social implications of our technological advances, with a

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concern for using technology to reduce inequality and marginalization. Among other efforts, ITCD students have helped create and staff a computer training center accessible to the extremely impoverished and marginalized members of our community (Figure 10.4).

<p style="text-align: center;">Information Technology 361S: Technology Tutors</p> <p><i>Meta-Question</i> How does technology accentuate or reduce historic inequalities? How can my work as a technology professional help to bridge the “digital divide?”</p> <p><i>Learning Outcomes</i></p> <ul style="list-style-type: none"><li>• Understand the community in which the project is being carried out.</li><li>• Describe the diversity and social inequalities in the community.</li><li>• Understand the decision-making structure and power relations in the public sector related to technology.</li><li>• Able to use technology to reduce social inequality and social isolation.</li></ul>
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*Figure 10.4 Technology Tutors*

*Visual and Public Art 320S: Museum Studies*

The Visual and Public Art department has had a long-standing relationship with the numerous museums and historic buildings in the Monterey Bay region. CSUMB art students work with these museums to collect, preserve and display historical objects, learning important curatorial skills in a hands-on way. However, as the result of a discussion with local museum professionals whose institutions were struggling with decreasing attendance and shrinking public financial support, they have increasingly begun to examine the museum’s role in representing a diverse society’s history and culture. The key service-learning meta-question that has guided course development in the Museum Studies program has been: *How does a society (or a specific cultural institution) decide what is worth collecting, preserving and displaying?*

As a result of this collaboration, faculty and students have collaborated with key local institutions (the National Steinbeck Center and the Pacific Grove Museum of Natural History, among others) to develop new museum exhibits focusing on the diverse cultural history of the region. In this way, issues of justice and social responsibility have taken root in CSUMB’s Visual and Public Art program. The region’s cultural institutions are creating stronger linkages to the community’s diverse past, and in the process, laying the groundwork for a more inclusive future (Figure 10.5).



Visual and Public Art 320S: Museum Studies

*Meta-Question*  
How can museums give voice to underrepresented populations and perspectives, and facilitate the transformation of social structures to create a more inclusive discussion of history, society, and culture?

*Learning Outcomes*

- Understand the economic and social pressures that influence the choices made by museum professionals with regard to the development of collections and exhibits.
- Describe and analyze one's own and others' perceptions and ethical frameworks for decision making regarding exhibit choice, design, and the development of interpretive materials.

*Figure 10.5 Museum Studies*

#### IMPLICATIONS

This chapter has shown that while higher education has been actively developing service-learning and civic engagement initiatives for over four decades now, the powers of institutional isomorphism have resulted in a twisted, appropriated institutionalization, characterized as pedagogification. Service-learning has been embraced as an effective, engaged pedagogy to enhance student learning of the traditional knowledge of their degree programs, while only marginally embracing the broader, vaguely defined goals for civic learning. However, its emergence falls short of the urgent call for transformation sought by scholars and practitioners in the field, and evoked in *A Crucible Moment*.

The implications of CSU Monterey Bay's success as an institutional entrepreneur are readily evident. Clearly, civic engagement in higher education must move beyond vague, broad, and general statements in the mission statements of institutions. It must move beyond a shift in pedagogy that has students "engaged" in the real world of social problems through service. As expressed in CSUMB's development of the concept of critical civic literacy, the deep work of civic engagement is about content and knowledge. It is about the transformation of the expected knowledge, skills and attitudes of graduates. Critical civic literacy recognizes the threat to democracy and civil society that is posed by the dramatic increase in economic inequality that has taken place over the past decades both in America and around the world. It recognizes that our new globalized and technologized world requires a new set of civic skills, sensitive to diversity, aware of the role of power relations and skilled in inter-cultural communication. Critical civic literacy explicitly places these knowledge, skills and attitudes at the core of the higher education curriculum.

One important implication is the recognition of the central role that departments and academic programs must play in embracing critical civic literacy. It is

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therefore important that civic engagement efforts are led by academic programs that have the opportunity to interface as co-equals with regard to curriculum issues. To make civic learning a serious, legitimate and rigorous academic endeavor, it needs to be strongly grounded in the academic side of the university. For colleges and universities to truly take their place as engaged institutions, they must boldly adopt a more robust definition of service-learning and civic engagement that is grounded in knowledge development, and make critical civic literacy a core component of their academic programs. Students should not just be “doing service,” but they should be debating approaches to service, and digging deeply into the meaning of terms such as “the commons,” “the public,” “social justice,” and “participatory democracy.” If we are to truly have an impact, these terms must become as commonly heard in the halls of our science, humanities and art buildings as they are in the halls of our political science departments. For this to occur, faculty members across the disciplines need to become immersed in this conversation, and deepen their understanding of their own civic responsibility as professionals in their fields.

A final implication regards the relationship between the academy, the community and knowledge. Critical civic literacy requires the university to embrace the community as a legitimate partner in the knowledge-generation process, as it recognizes the value of lived experience as a valid form of knowledge and basis for vital learning. Higher education’s retention, tenure and promotion systems need to be reformed in order to incentivize faculty to do collaborative research that has an applied dimension. This means creating structures to enable community experts to participate more fully in the teaching, learning and research processes. One such initiative is the collaborative peer review process employed by the Community-Engaged Scholarship for Health (CES4Health) website, a project of the Community-Campus Partnerships for Health (CCPH 2009). CES4Health has brought the peer-review process out of the narrow confines of the ivory tower, and created a process that allows for peer-review of a much broader set of academic endeavors, especially research that is undertaken in partnership with community.

#### CONCLUSION

This chapter began by referring to the 2012 publication, *A Crucible Moment: College Learning and Democracy’s Future*. The document makes a strong case for the critical need to integrate civic learning more fully into the core mission of higher education. As the publication’s title infers, nothing less than “democracy’s future” is at stake.

However, as this chapter has shown, higher education has historically been imbued with a civic mission or public purpose. And more specifically, the past four decades has seen the emergence of a relatively robust set of policies and programs supporting the integration of service-learning and civic engagement efforts in higher education institutions the world over. Yet, while these efforts have resulted in some shifts through the embrace of service-learning as a pedagogical tool, the more fundamental, epistemological issues that are central to critical civic literacy

and involve an examination of issues of power, privilege, oppression and participation in civic life, have remained largely unaffected. The process of pedagogification has stripped these initiatives of their transformative content while emphasizing their utility as tools for mastering the traditional knowledge-base. While service-learning initiatives have multiplied, all indications show that we are still far from producing more civically-minded and democratically engaged graduates and community builders.

The authors of *A Crucible Moment*, were insightful in choosing the term “crucible” as the metaphor to capture the significance of the moment that higher education is currently facing. According to Merriam-Webster (2015), a crucible is:

1. A vessel of a very refractory material (as porcelain) used for melting and calcining a substance that requires a high degree of heat, 2. a severe test, or 3. a place or situation in which concentrated forces interact to cause or influence change or development.

Clearly, the metaphor communicates transformation under very intense forces or pressures. But as blacksmiths for generations have known, the metal that emerges from the crucible is only as strong as the elements that were placed in it. However in the current context, the isomorphic pressures being exerted on higher education are keeping the epistemological issues that are at the heart of critical civic literacy out of the vessel. What are the knowledge, skills and attitudes that graduates need to acquire in order to participate effectively in an unequal, highly stratified and globally-influenced democracy? How does one build bridges across deeply engrained historical, cultural, and economic differences, and participate in building a more equitable and sustainable global economy? If we want to “foster a civic ethos that governs campus life, [and] make civic literacy a goal” (National Task Force 2012, p. 14), then these questions must be in the crucible!

Building a vibrant democracy requires that each new generation of citizens become inspired to, and capable of, embracing their civic responsibilities and building the national, and increasingly global, commons. The challenges which dangerous economic inequality, globalization, and technology bring to this task in the twenty-first century requires that critical civic literacy be embraced by higher education as a core goal. Institutional entrepreneurs, such as CSU Monterey Bay, have effectively fended off the pressures of pedagogification and firmly grounded their civic engagement work in the core knowledge-base of the academy. The framework for a more robust institutionalization process exists in the institutional environment. However, it needs to be embraced by other institutional entrepreneurs (research universities, disciplinary organizations, professional associations and even industry) to create a more supportive environment for the flourishing of critical civic literacy as a fundamental goal in higher education.

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#### NOTES

1. The publication of *A Crucible Moment* was followed-up by an official response from the Department of Education, entitled, *Advancing Civic Learning and Engagement in Democracy: A Road Map and Call to Action*. The document gives broad overall support for the perspectives provided by *A Crucible Moment*, and goes on to identify a 9-point strategic plan to attain the goals identified.
2. Pollack and McMillan (2010) examine this dynamic in their study of the fluid interpretation of the concept of "social responsiveness" at the University of Cape Town, South Africa. Their analysis of three years of social responsive efforts by the university shows a considerable diversity of projects that fall under the social responsiveness umbrella.
3. For a more detailed description of the faculty development program, and access to the Curriculum Development workbooks, please visit <http://service.csumb.edu/curriculum-development>.

KECIA HAYES AND EMILY ZEMKE

## **11. TEACHERS COLLEGE PARTNERSHIP SCHOOLS CONSORTIUM**

*A University-Assisted Schools Model to Achieve  
Comprehensive Educational Opportunity*

The original mission of Teachers College, Columbia University (TC) when it was founded in 1887 was to offer a new form of preparation for teachers of the poor, immigrant children who were flooding into New York City. This unique form of teacher preparation combined a humanitarian concern for helping others with a scientific approach to human development. In 1902, TC leveraged its resources and expertise to open the Speyer School in collaboration with St. Mary's Episcopal Church in Harlem. It provided socially disadvantaged students with an educational program that addressed their academic, social-emotional, and health needs. The school, a precursor to the contemporary community school model, was an example of what is possible when a university collaborates with its community to address complex problems. Building on this legacy, TC has recently convened a university-affiliated Partnership Schools Consortium (PSC) of PK-12 public schools in its West Harlem neighborhood to increase students' access to comprehensive services to better support their overall development. In its initial year, the PSC has seven partner schools with the expectation of expanding to include twelve schools.

The PSC thoughtfully responds to the circumstance that “[a]s the incomes of affluent and poor American families have diverged over the past three decades, so too has the educational performance of the children in these families. Test score differences between rich and poor children are much larger now than thirty years ago, as are differences in rates of college attendance and college graduation” (Duncan and Murnane 2011, p. 15). This is shaped conceptually by the intersection of two fundamental concepts. First, models of university-assisted (UA) schools provide higher education institutions with a platform to harness their various resources to engage in school reform and community revitalization. Effective design elements of exemplary UA schools include affiliations based on mutual self-interest, formal written commitments, focused leadership and the broad involvement of staff, coherence of effort around academic achievement and good communication/ decision-making structures (Streim and Pizzo 2007).

Second, a model of comprehensive educational opportunity (CEO), coupled with a focus on pedagogical practices and leadership, offers disadvantaged students the full range of services to help them overcome educationally-relevant obstacles to learning imposed by poverty (Rebell and Wolff 2011). This approach has six areas of focus: leadership, pedagogical practices, early childhood education, family

support and engagement, expanded learning opportunities and mental and physical health.

This chapter describes the unique features of the PSC, which reflect a refined integration of the essential elements of UA models and CEO; intentional coherence; and cost-effectiveness for sustainability. The discussion addresses how TC is defining, developing and implementing the work across the diverse partner schools; incorporating the effective practices of UA models to cultivate partnerships with schools and other stakeholders; and establishing a research agenda to refine the work and inform the field. It also addresses lessons learned and challenges.

#### THE NEW YORK CITY LANDSCAPE

Public elementary and secondary schools in the United States currently enroll more than forty-nine million young people. Thirty-eight percent of those students are Black or Hispanic and 74 percent of them attend high poverty schools where there are scarce resources that tend to be overburdened by enormous needs. Approximately 10 percent of the student population are English language learners (ELLs) and nearly 13 percent are classified as special education (SpEd) or students with disabilities (SWDs). Forty-four percent live in low-income families where household income is below 200 percent of the federal poverty level. It is not surprising that many of these students have fallen short of national goals around academic achievement in the twenty-first century and rendered the United States less competitive in the international arena.

The 2011 National Assessment of Educational Progress (NAEP) results for Grade 4 reading reveal that 51 percent and 49 percent of Black and Hispanic/Latino students respectively scored below the basic level while only 22 percent of their white peers scored at that level. Fifty percent of students eligible for free lunch scored similarly while 68 percent of SWDs and 69 percent of ELLs were below the basic level. The results for math parallel those for reading. The 2009 Programme for International Student Assessment (PISA) results revealed that 42 percent of the nation's 15-year olds scored below proficiency level three in reading, which means they lack the requisite skills for higher education success. The math performance of US Grade 8 Latino students is below that of students in Malta and Serbia and on par with students in Malaysia, while US Grade 8 Black students lag behind Romania and Bulgaria and compare to students in Bosnia and Herzegovina (McKinsey and Company 2009). The attainment levels of the nation's young adults (25-34 year olds) who are entering the labor market do not exceed those of people (55-64 year olds) who are leaving the labor market (OECD 2011).

The problem of low educational achievement and attainment is especially pronounced in many of the nation's urban centers. Eighty-five percent of New York City's (NYC) public school attendees are students of color, and the school system has a graduation rate that hovers around 50 percent. The four-year graduation rate for Black males in NYC in 2011 was only 28 percent (Schott



2012). Approximately 200,000 New York adolescents aged 16-24 are “disconnected,” meaning neither in school nor working (Fischer and Reiss 2010).

The Central Harlem population is 63 percent Black and 22 percent Hispanic (Citizen’s Committee for Children 2013). Across the Harlem area, 29 percent of residents were born outside the United States, predominantly in the Dominican Republic, Mexico, and West Africa. The poverty rate is 28 percent, the mean annual household income is US\$35,000 and the income in 24 percent of households is less than US\$15,000 (Citizen’s Committee for Children 2013). There are 52 NYC Housing Authority developments in Harlem (NYC Housing Authority 2012) and 31 percent of residents live in “fair to poor” housing conditions (Citizen’s Committee for Children 2013). While the citywide unemployment rate hovers around 10 percent, for Black and Latino households in Harlem it is 17 percent (Department of Planning 2013). The number of children in foster care, 17 versus 7.7 per 1000, is almost twice that of the citywide average (Citizen’s Committee for Children 2013). Nearly 20 percent of 16-19 year olds in Central Harlem are considered “disconnected” (Citizen’s Committee for Children 2013). According to the NYC Department of Juvenile Justice, two different neighborhoods within Harlem have the third and seventh highest rates of detention for delinquent youth among all NYC neighborhoods (Harlem Community Justice Center 2011).

Over 80 percent of Harlem students are eligible for free or reduced-price lunch (New York City Department of City Planning 2012) and students in a majority of public schools in Harlem regularly perform below NYC and New York State (NYS) academic standards (New York State Education Department 2012). While many of Harlem’s community-based organizations are engaged in extraordinary work to address these circumstances, the impact of poverty on educational attainment is pronounced and persistent. In 2011-2012, 26 of the 42 NYC public schools identified by New York State Department of Education (NYSED) as Schools In Need of Improvement (SINI) are in Harlem (New York City Department of Education 2012). With NYSED’s recent reclassification of poor performing schools under its accountability metrics for No Child Left Behind (NCLB), six schools in West Harlem had student performance levels that were in the bottom five percent in the state and consequently were identified as Priority schools. An additional twelve schools were identified as Focus schools because student performance at these schools was in the bottom 10 percent in the state. The community had no Reward or high performing schools as identified by the state’s NCLB accountability guidelines.

Despite the continuous parade of urban education reform movements that have differently sought to increase academic standards—the Excellence Movement of the 1980s spurred by the *A Nation at Risk* report, the Goals 2000 (Standards) and Restructuring movements of the 1990s, and the *No Child Left Behind Act* of 2001—public school students in Harlem continue to experience poor learning outcomes and diminished opportunities for long-term success in civic society. Since 2010, Harlem’s public schools have been in the midst of the implementation of NYSED’s Race to the Top agenda that aims to improve student learning

outcomes, in part, through the implementation of the more rigorous Common Core State Standards and initiatives to improve the instructional quality of teachers and school leaders. Hung-His Wu of the University of California, Berkeley has cautioned that the nation's movement to the more rigorous Common Core State Standards will not succeed without massive professional development for teachers (Sawchuk 2012). Interestingly, the National Commission on Teaching and America's Future similarly urged policymakers to focus on teaching quality as early as 1996. A cursory review of the cadre of teachers in many of the schools in Harlem suggests that there remains a significant gap between what has been advocated for in the policy arena and what has been realized.

Almost 30 percent of teachers in Harlem public schools have less than five years' experience (NYSESED 2013). In several Harlem neighborhoods, nearly 10 percent of students' core classes were *not* taught by highly-qualified teachers (for NYSED, a teacher is deemed Highly Qualified if s/he has at least a Bachelor's degree, is certified to teach in the subject area, and shows subject matter competency), compared to only 5 percent for high-poverty schools in NYS. In 2012, only 55 percent of NYC teachers eligible for tenure earned it and an additional 42 percent had their probation extended another year while 3 percent were denied tenure altogether. A related challenge is teacher turnover. Several public schools across the neighborhoods of Harlem had rates as high as 19 percent and as low as 17 percent, compared to 14 percent for NYS. For teachers with less than five years of experience, the rates exploded to a high of 31 percent and did not fall below 25 percent, compared to 22 percent for NYS. These data reflect a drastic need to build the instructional capacity of teachers to meet the needs of students but considering that teacher professional development tends to be inadequate, fragmented, intellectually superficial and not reflective of how teachers learn, many Harlem youth likely will continue to not have access to highly-qualified teachers, a critical lever of change to improve their learning outcomes (Ball and Cohen 1999, pp. 3-31; Borko 2004).

It is within the context of this landscape, where the impact of persistent poverty and insufficient resources has placed a stranglehold on the high-quality learning opportunities and life chances of Harlem's youth, that Teachers College has articulated a theory of change—students' educational outcomes can be improved through the aligned, intentional and collaborative efforts of community-based partners to build the sustainable capacity of educators to plan and deliver more effective instruction while simultaneously addressing the educationally-relevant factors that distract and minimize students' capacity to learn. It is a theory of change with contours shaped, in part, by the research of Mark Warren (2005, p. 137) who argues that

Institutions serve as sites for building social capital as they bring networks of people and resources to bear on achieving collective ends.... We should be interested, therefore, both in the ways schools and community organizations form collaborations, and in how these partnerships strengthen relationships *within* school communities.

It is a theory of change firmly grounded in the conceptual frameworks of university-assisted schools and comprehensive educational opportunity.

#### CONCEPTUAL FRAMEWORKS: UNIVERSITY-ASSISTED SCHOOLS

There is no single comprehensive inventory of university-assisted schools in the United States. One of the challenges in compiling such a list is the lack of definition around university-school partnership; the nature of these partnerships varies considerably in concept, practice and evaluation from one institution to the next. For example, John I. Goodlad (1993, pp. 24-39) finds that among professional development schools, which since the mid-1980s have been heralded as an important model of university-school partnership, some colleges/universities use the partnership solely for the education of pre-service teachers, and others use them for the purpose of exploring and enabling school reform. However, research literature and examples sourced from a variety of databases demonstrate two broad and distinct models of university-school partnership—start-up and transformation—both of which are demonstrated in the Teachers College Partnership Schools Consortium.

##### *Start-up*

There are national models of university-assisted start-ups in, among others, University Park Campus School in Massachusetts, The Penn Alexander School in Philadelphia, The Preuss School in San Diego, Bard High School, Consortium on Chicago School Research at University of Chicago and Columbia University's Secondary School for Science and Math. These take the form of laboratory, selective, public, choice and Early College High Schools, among others. The small body of research that surrounds the topic of university-assisted start-ups is largely characterized by case studies and individual accounts. However, in a study of 15 exemplary start-up secondary schools across the nation, Nancy W. Streim and J. Pizzo (2007) conceptualizes a model of “deep” partnership that defines university-assisted schools (as supposed to university partner schools) as those where the higher education partner makes an institutional commitment to share accountability with the K-12 partner for student outcomes. The PSC draws on this study and others that document the different types of school partnerships, the foci of partnerships and the key steps to establishing partnerships (Sanders and Harvey 2002) to hypothesize the following five design elements for effective UA partnership:

1. Affiliation based on mutual self interest;
2. Institutional commitments codified in formal agreements that make explicit the roles and responsibilities of both partners;
3. Focused leadership and the broad involvement of faculty, staff, and students;
4. Coherence of effort around academic achievement; and

5. Good communication and decision-making structures that value the contributions of both partners.

Nancy Streim, one of the authors of that study, is the architect of TC's latest start-up, the Teachers College Community School (TCCS). The school, which opened in 2011, is a non-selective mainstream public elementary school that is neither a lab school nor a school for faculty children. TC was committed to opening a mainstream public school rather than a charter school because it wanted to work within rather than around the established system. Furthermore, five of the 15 exemplars in the above-mentioned study were charters, and the authors observed that operating through an independent charter board, while protecting the HEI, also weakened its role. The school's establishment was informed by the five design elements described above, and their meaning has evolved during their implementation. This model has also served as a demonstration and anchor for the College's transformation initiative.

### *Transformation*

Many higher education institutions have partnered with chronically low-performing schools in an attempt to transform existing schools by addressing problems of poor student achievement and attainment. The work is usually focused on reinvigorating teaching and learning with new research-based best practices and professional development. Universities have embraced this approach in different ways (e.g., district partnerships, school management networks and Partnership Support Organizations, a model implemented as part of a recent New York City Department of Education (NYCDOE) reform effort to further empower school leaders) with varying degrees of success. Examples include University of Pennsylvania, Temple University, University of Chicago, Stanford University, and Boston University. The latter took over responsibility from the City of Chelsea for the reform and revitalization of its public schools. A management team at the university, which remained accountable to the schools committee, devised a long-term program of educational reform that attended to all aspects of teaching, learning, curricula structure and community involvement. After 19 years, the Chelsea schools had much improved test and value-added scores and higher attendance rates. Between 1998 and 2007, passing scores for Chelsea's Grade 10 students on the Massachusetts Comprehensive Assessment System (MCAS) test climbed from 19 percent to 42 percent in English and from ten percent to 37 percent in math. In 2007, 81 percent of high school seniors planned to pursue postsecondary education, up from just 53 percent in 1989. The number of students taking Advanced Placement tests has risen from 42 in 1997 to 172 in 2007 (Berdik and Daniloff 2008).

Fordham University and the City University of New York (CUNY) represent examples of New York City Partnership Support Organizations (PSOs). These institutions have a full-time team of professionals, aided by specialists and consultants from across the universities that provide a wide range of services to

#### TEACHERS COLLEGE PARTNERSHIP SCHOOLS CONSORTIUM

support instruction and school operations at the schools that enter into a contract with them. The teams typically use a diagnostic-prescriptive approach to provide tailor-made action plans and interventions such as identifying best practices and differentiating instruction. Fordham works with 35 schools and CUNY has 18 schools in its portfolio. The cost of the contracts varies between PSOs but they charge schools an average of US\$38,000 a year (Hemphill et al. 2009, p. 13).

TC's Partnership Schools Consortium is not a PSO, as it does not enter into a fee for service contract with its schools. In addition, the focus of TC's commitment to its schools is more comprehensive, with efforts to help young people overcome the full spectrum of educationally relevant barriers to success imposed by poverty, than the typical PSO. However, it is similar to the PSOs in that it works with existing schools and seeks to transform the instructional core of the schools by strengthening the teaching and learning dynamic so that students experience better outcomes. TC also invites schools to collaborate with it based on various criteria. Of particular importance is the fit between the school's needs and the resources and capacities of the College as well as school stakeholders' interest in and demonstrated willingness to engage in a partnership around a comprehensive school reform effort. These dimensions are explored through conversations with different stakeholders, focus group sessions, learning walks, and reviews of NYSED and NYCDOE data.

TC's approach is much more comparable with models like Harlem Children's Zone, Turnaround for Children and Children's Aid Society. It is different from these other models of comprehensive school reform in that it explicitly seeks to be more cost-effective and sustainable by drawing on resources and expertise that already exist within the College and are already deployed by the College in service to the public school system. For example, it can strategically place pre-service teachers and graduate students in targeted classrooms to provide instructional support to teachers at partner schools at no cost. In addition, it can mesh knowledge about the impact of psychological, biological and social factors on learning to help partner schools structure sustainable curricula and assessments according to neuroscience findings on how people learn.

Whether a start-up or an existing school in need of a transformation to achieve improved outcomes for its students, TC has embraced an approach for comprehensive change that transcends the ordinary bounds of a public-private partnership. Through this work, the College aspires not to scale-up its activities to reach increasing numbers of schools, but rather to demonstrate to other higher education institutions a model of university-assisted schooling that can be replicated in other under-resourced communities.

#### CONCEPTUAL FRAMEWORKS: COMPREHENSIVE EDUCATIONAL OPPORTUNITY

In addition to the university-assisted schools framework, TC's Partnership Schools Consortium is conceptually grounded in the notion of comprehensive educational opportunity (CEO). The CEO model reflects a body of research that has identified

four essential areas of preventive and supportive services that can most directly help young people to overcome the obstacles to educational achievement and attainment that are imposed by poverty. It reflects a critical and socially just notion of educational equity that recognizes that children cannot effectively learn and develop if they “lack adequate housing, healthcare, nutrition, and safe and secure environments, or if their parents are experiencing stress because of their low wages and insecure employment” (Warren 2005).

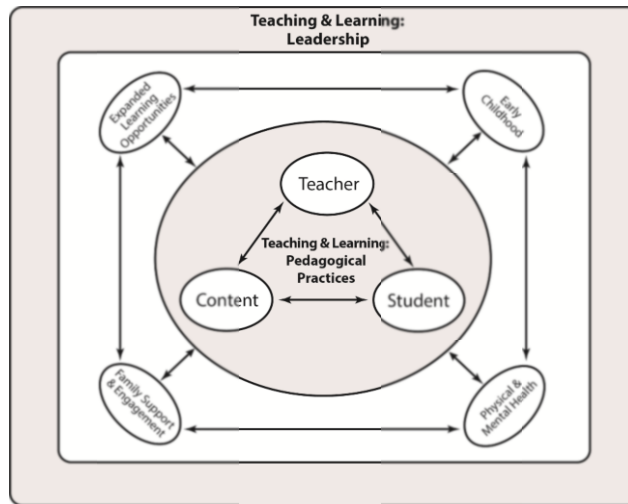
The four essential areas of preventive and supportive services include early childhood education to supports a child’s critical language development, social and emotional development and cognitive and general knowledge; routine and preventive physical and mental health care; after-school, summer school and other expanded learning opportunities to enhance students’ academic learning and social, emotional, and civic development; and family support and engagement to empower parents to actively foster their children’s overall development. Building on his successful litigation in *Campaign for Fiscal Equity, Inc. (CFE) v. State of New York*, and numerous other state court decisions that have found children have a constitutional right to a “sound basic education,” Michael Rebell argues that young people’s right to comprehensive educational opportunity means they are entitled to access to these critical services as they are needed to help them succeed throughout their educational careers (Rebell 2011). Through research commissioned by the Campaign for Educational Equity, it is estimated that the cost to provide a child in NYS with a high quality, integrated system of comprehensive educational opportunity is US\$4,750 more than what NYS currently spends (Rebell and Wolff 2011).

Guided by the Comprehensive Educational Opportunity framework articulated by Michael A. Rebell and Jessica R. Wolff (2011), the PSC’s mission is to improve students’ outcomes through a set of coherent and strategic actions that increases access to comprehensive educational opportunity to better support their academic achievements and overall development. The PSC has identified and defined six fundamental pillars, as described below, to structure the development and implementation of specific work plans in order to execute its theory of change and fulfill its mission:

1. *Teaching and Learning: Leadership* – Support the efforts of school leaders to develop, implement and monitor an *effective strategy for change and continuous improvement*, which involves a school’s use of *structures* (i.e., schedules, viable assessment system, etc.), *resources* (i.e., human, financial, intellectual, etc.), and *practices* (i.e., inquiry process, supervision & PD, etc.) to create a coherent set of actions that continuously cultivate each element of the instructional core as well as the surrounding elements in order to achieve greater learning outcomes for all students and adults.
2. *Teaching and Learning: Pedagogical Practices* – Retool the instructional leadership and practices within schools to consequently improve student learning outcomes through research-based professional development interventions designed to simultaneously build the *sustainable instructional*

- capacity of teachers and teacher teams through the use of teacher leaders and teacher-to-teacher turnkey learning in the areas of *collaborative inquiry process, rigorous as well as coherent instructional planning and delivery, and pedagogical content knowledge.*
3. *Early Childhood* – Identify opportunities and support children’s access to high quality and developmentally appropriate programs that *effectively prepare children to enter school ready to learn on grade level.*
  4. *Expanded Learning Opportunities* – Engage students in *high-quality expanded learning programs* that are *responsive* to students’ specific needs as evidenced by the data on their learning outcomes, *expose them to new and diverse experiences, complement the teaching and learning of students’ classrooms, and support their academic, social and physical development.*
  5. *Physical and Mental Health Programming* – Identify opportunities and support students’ development of *health literacy, use of positive health practices* as well as their *access to and utilization of high-quality health services* so that they are better prepared to effectively participate in their learning.
  6. *Family Support and Engagement* – Cultivate the *knowledge, skills, and confidence of families to engage with schools* so that their efforts to support the overall academic and social development of students are more *consistent, coordinated and meaningful.*

These six pillars are graphically represented in [Figure 11.1](#).



*Figure 11.1 Graphic Representation of the PSC’s Theory of Change to Achieve Comprehensive Educational Opportunity*

*Note:* The Teaching and Learning: Pedagogical Practices area reflects the instructional core as articulated by Harvard University’s (2003) Public Education Leadership Project Coherence Framework.

The epicenter is the instructional core where the teaching and learning dynamic—represented by the bi-directional arrows between teacher, student, and content—is privileged. Surrounding the instructional core are those areas of work identified by Rebell and other researchers as critical factors that significantly impact student learning and development. They are important leverage points for creating more optimal conditions to support a robust teaching and learning dynamic. The bi-directional arrows connecting the leverage points of Expanded Learning Opportunities, Family Support and Engagement, Early Childhood, and Physical and Mental Health illustrate the PSC’s intention to bridge the pillars. For instance, the PSC has an afterschool program focused on nutrition. It connects the Expanded Learning Opportunities with Physical and Mental Health. The nutrition program also includes opportunities to create lessons aligned with the science curriculum, which facilitates a bridge between the instructional core and the expanded learning opportunity. The leadership pillar envelopes the entire model, which underscores the critical role that school leaders fulfill by providing direction and definition for the work as well as continuously bringing all areas of work into coherence.

#### PARTNERSHIP IN PRACTICE: THE PSC SCHOOLS

Currently, there are seven schools within the PSC—four of which have Grades pre-K-5, three of which have Grades 6-8, and three of which have Grades 9-12. Of the seven schools, three were opened through university collaborations with the NYCDOE. The composition, structures, cultures and performance outcomes of the schools differ but they consistently are focused on meeting the academic and social development needs of their students. The PSC has been intentional about including schools reflective of different levels of performance as well as different approaches to the work so that the Consortium is a site of learning as stakeholders are exposed to new and different ways of thinking and being. Below are brief descriptions of the schools based on data published by NYSED and NYCDOE:

1. *Teachers College Community School (TCCS)*, the start-up that TC opened in collaboration with the NYCDOE in 2011, is a public elementary school that ultimately will have Grades pre-K through 8. It admits children through a lottery system, with priority going to families in its immediate geographic area. Now in its second year, the school serves 125 neighborhood children in prekindergarten, kindergarten, and Grade 1. There were 230 applications for 50 Kindergarten seats this year and they are all taken by families from the priority areas. The population is diverse with 42 percent Black, 22 percent White, 18 percent Hispanic, 8 percent Asian and 10 percent Other. The student body includes 3 percent English language learners and 3 percent special education students. Approximately 40 percent are eligible for free and reduced-price lunch and ten of the children are from families associated with the University.



2. *Margaret Douglas Elementary School (PS 36)* is a pre-K through Grade 5 public school. The school's primary goal is to build a foundation that will encourage and support self-awareness in their children so that they will strive to reach their maximum potential, which will facilitate the process by which they learn to connect to our ever changing and diverse society and world. In 2010-2011, there were 641 enrolled students across the grades. Fifty-three percent of the students are Black, 44 percent are Hispanic, and 3 percent reflect the school's White, Asian and other students. Boys account for 48 percent of the students enrolled and girls account for 52 percent. The student body includes 14 percent English language learners and 19 percent special education students. In 2009-2010, the percentage of students eligible for free or reduced-price lunch was 71 percent. Only 32 percent and 46 percent of its students respectively achieved proficiency on the annual NYS English and math assessments.
3. *Philip Randolph Elementary School (PS 76)* is a pre-K through Grade 8 public school. The mission is to produce student achievers who are set on the path of life-long learning and who enjoy the process. In 2010-2011, there were 461 students. Thirty-four percent of the students are Black and 62 percent are Hispanic or Latino. In 2009-2010, the percentage of students eligible for free or reduced-price lunch was 83 percent. The student body includes 7 percent English language learners and 12 percent special education students. Only 26 percent and 47 percent of its students respectively achieved proficiency on the annual NYS English and math assessments.
4. *Harriet Tubman Elementary School (PS 154)* is a pre-K through Grade 5 public school. The mission is to provide a safe, child-centered environment, focused on educating all students to become literate, critical thinkers and independent learners through excellence in teaching and learning. They believe that their strong commitment to the students and community will ensure academic success for all. In 2010-2011, there were 396 enrolled students across Grades pre-K-5. Sixty-four percent of the students are Black and 31 percent are Hispanic or Latino. In 2009-2010, the percentage of students eligible for free or reduced-price lunch was 94 percent. The student body includes 18 percent English language learners and 22 percent special education students. Only 27 percent and 32 percent of its students respectively achieved proficiency on the annual NYS English and math assessments.
5. *Columbia Secondary School for Math, Science, and Engineering (CSS)* is a STEM specialized Grade 6 through 12 public school that opened in the fall of 2007 through a joint effort between Columbia University and the New York City Department of Education. Unlike the other schools in the PSC, CSS's admissions process requires students to complete an application. The school seeks to provide a challenging academic experience that prepares students for selective colleges and for a life of civic engagement and ethical responsibility. In 2010-2011, there were 387 enrolled students across Grades 6-9. Seventeen

percent of the students are Black, 47 percent are Hispanic or Latino, 21 percent are white, and 10 percent are Asian. In 2009-2010, the percentage of students eligible for free or reduced-price lunch was 43 percent. The student body includes .3 percent English language learners and .3 percent special education students. Ninety-one percent and 97 percent of its students respectively achieved proficiency on the annual NYS English and math assessments.

6. *Frederick Douglas Academy II (FDA II)* is a Grade 6-12 public school. According to its mission, it has a commitment to preparing scholars to enter prestigious colleges and universities; and helps scholars realize the dream of a college degree and a professional career by providing them with a strong academic background and a solid sense of self-confidence. In 2010-2011, there were 412 students across Grades 6-12. Seventy-nine percent of the students are Black, and 17 percent are Hispanic or Latino. In 2009-2010, the percentage of students eligible for free or reduced-price lunch was 59 percent. The student body includes 5 percent English language learners and 23 percent special education students. Only 6 percent and 15 percent of its students respectively achieved proficiency on the annual NYS English and math assessments. The school's four-year graduation rate was 68 percent. In the past year, the school has made significant progress in improving student outcomes. For instance, at the end of 2011-2012, students made a 10 percent gain in their proficiency rates on the annual NYS English assessment.
7. *Heritage High School* is a Grade 9 through 12 public school that opened in the fall of 1996 through a joint effort between Teachers College, Columbia University and the New York City Department of Education. They seek to have students become respectful citizens and leaders who have the skills and habits of mind to be successful in higher education and the world beyond. In addition to a Regents-based curriculum, they integrate cultural learning across the curriculum through arts integration and visits to cultural institutions citywide. In 2010-2011, there were 303 students across Grades 9-12. Twenty-seven percent of the students are Black, and 70 percent are Hispanic or Latino. In 2009-2010, the percentage of students eligible for free or reduced-price lunch was 74 percent. The student body includes 7 percent English language learners and 23 percent special education students. The school's four-year graduation rate was 62 percent. Over the past five years, the school has experienced significant turnover in its leadership, which has had a profound negative impact on efforts to improve student outcomes.

#### PARTNERSHIP IN PRACTICE: UNPACKING THE WORK

The institutional commitments have been codified in a formal agreement between TC and the NYCDOE through a Memorandum of Understanding that delineates the responsibilities of TC, the schools and the NYCDOE. As might be expected, TC has been able to immediately establish greater breadth and depth of its formal responsibilities at Teachers College Community School such that they include

participation in school leadership, planning and operations as well as principal and teacher selection; development and evaluation of curriculum and instructional programs including interim and formative assessments; providing teacher professional development; providing mentors, tutors and interns to enrich students' learning; setting the weekly schedule and building public and private partnerships to support the school.

In practice, TC plays an essential role in instruction and programming at TCCS. The literacy curriculum is based on the Teachers College Reading/Writing Project, the Everyday Math curriculum is supplemented by TC's MathemAntics program, the teachers receive professional development in science and engineering, and a faculty advisory committee informs the school-wide curriculum, which is loosely based on the International Baccalaureate Primary Years Program. Furthermore, the Departments of Counseling and Clinical Psychology and Health and Behavior Studies have collaborated with the Principal to introduce a social and emotional behavior curriculum and to help maintain classroom management systems. In the present year, the music, art, Physical Education and nutrition programs are designed and provided by graduate students under the supervision of College faculty, as are afterschool programs in Science, Robotics, Spanish and Health Literacy. The College also collaborates and contracts with five community-based organizations to provide additional specialist expanded learning opportunities. In addition, this year, TC provides the school 12 preservice teachers, three school psychology interns, 19 in-school instructors and assistants and 23 after school instructors and assistants. More than 20 faculty members from across TC's 10 academic departments and its library are involved in programming, curriculum development and research at the school. Some of the design elements of effective UA schools described earlier lend themselves less easily to concrete examples than others (e.g., coherence of effort around academic achievement and good communication). However, the following describe efforts, many of which are grounded in research, to uphold effective practices:

- A senior representative of the College has a dedicated commitment to working with the school leadership and devotes a considerable portion of time to that end (Knight and Wiseman 2000; Kirschenbaum and Reagan 2001).
- A "boundary-spanner" has credibility in both partner institutions and serves to bridge the typical divide between the College and school (Goldring and Sims 2005, pp. 223-249; Vissa and Streim 2006, pp. 168-188).
- A faculty advisory committee meets semi-annually to review progress, assess the coherence and quality of programming and its consistency with the College and school's educational missions.
- Careful and regular communication ensures all programming is designed and developed in collaboration with the Principal and School Leadership Team.
- Professional development sessions every Wednesday provide a forum for school-day and after-school instructors from the College to collaborate with

classroom teachers on the integration of themes and units as well as on sharing teaching methods and strategies.

- The College stakes its responsibility publicly through political and media channels, and has been represented frequently in national, regional and local press.
- The College provides resources to alleviate the pressure on school leaders to meet their partnership goals (Streim and Pizzo 2007). In its opening year, TC contributed more than US\$1.3 million in cash and in-kind resources to the school. The College fund-raises and advocates for the school.

The work at the other PSC schools has unfolded slightly differently. Once principals, in collaboration with their leadership teams, decided that they wanted to participate in a partnership with TC, the PSC began with a comprehensive assessment of the needs and assets of each school. PSC staff members and TC graduate students reviewed the NYSED and NYCDOE data on each school to build a narrative around the culture, structures, practices and outcomes experienced by the schools. Focus group sessions were held with teachers, parents and students to understand their perceptions about their assets and needs as well as to understand what they hoped for in a partnership with TC. Learning walks were conducted to develop a better understanding of the practices, artifacts, culture and rhythm of each school.

All of the collected information was compiled into case studies that were used with school teams during a summer intensive focused on school improvement planning and teacher professional development around New York State's new learning standards—the Common Core standards. The work of the summer intensive also aligned with the NYCDOE mandates for schools to develop comprehensive education plans and to implement a range of activities to meet citywide instructional expectations. This approach reflects research on effective school leadership in that the case studies allowed principals to explicitly plan in a way wherein they had to address the requisite conditions to build the capacity and cohesion of teachers, staff, students, parents, and other stakeholders to support a clearly defined vision and goals that strengthen the teaching and learning dynamic (Cotton 2003; Leithwood et al. 2004; Marzano et al. 2005; McREL 2005; Wallace Foundation 2011). Not only has this work forced everyone to take on a new lens through which to examine the schools and to begin to work collaboratively to leverage assets across partners to address the needs that were identified and defined, but it has also leveled the intellectual or professional knowledge playing field as participants have had to leverage and share a range of information and expertise to accomplish the goal of effective school improvement planning.

During the summer intensive, most of the school teams privileged a focus on the areas of leadership, pedagogical practices and expanded learning opportunities as part of their school's improvement planning process. By allowing itself to be guided by the concerns of the school teams, the PSC demonstrated a decisive responsiveness to the specific concerns of principals, teachers and parents. In addressing schools' needs around school leader, teacher and teacher team

professional development, through workshops and job-embedded/in-school coaching, as they struggle to contend with the NYCDOE's implementation of more rigorous learning standards with corresponding changes to the standardized assessments as well as ensuring the expanded learning opportunities reflected students interests and are aligned to the more rigorous learning standards, the PSC further established itself as a trustworthy "boundary-spanner" and gained momentum to begin developing activities in the other areas of the CEO framework.

In addition, the foundation that was established through this work allowed the PSC to identify opportunities to build connections to other areas of work that subsequently would be implemented. For instance, the programming that the PSC has implemented in the area of expanded learning opportunities is the point of entry for family engagement activities that are being designed for implementation. The PSC will invite families to specific community-based events to celebrate the work that their children produce through the expanded learning opportunities. It will be an opportunity for families to share in a celebration of their children's academic and creative accomplishments as well as to learn from their children as the students present their work. In this way, the PSC can create what hopefully will be inextricable links between the different strands of work in the model so that the impact is more concentrated and diffused across stakeholders in a unifying and shared way. This approach is critical to the PSC's effort to achieve coherence in a model that, without intentionality, could devolve into a collection of episodic activities that inadvertently distract schools from their core objectives.

The PSC has been able to integrate TC graduate students into the work that has been initiated thus far in the areas of leadership, pedagogical practices and expanded learning opportunities. Most notably, they, through their coursework with several faculty members, have facilitated focus group sessions to compile narratives for the case studies and worked to develop and deliver specific afterschool program activities as part of the expanded learning opportunities. This has been an important aspect of the partnership because it also reflects how TC has directly benefited, in ways other than faculty access to potential research sites, from the partnerships. TC students have had experiences that illuminate the theoretical understandings they have been working to develop as part of their courses. Mavis G. Sanders and Adia Harvey (2002) stress the importance of mutuality in a partnership and the PSC has been able to structure the work in ways that achieve a meaningful and respectful mutuality of benefit for the schools and for TC. These are a few examples of how the PSC has begun to engage in this work as examined through the lens of some of the key design elements of university-assisted schools. Although the partnerships are nascent, there have been challenges and lessons learned.

#### CHALLENGES TO PARTNERSHIP IN PRACTICE

In these early days of the partnerships, there already are insights into the complexity of this work and the competing needs, capacities and demands

involved in university-school collaborations. What follows is a discussion of some of the challenges that have emerged.

- *Trust matters and it is a process.* Researchers have referred to the importance of establishing “social trust” (Bryk et al. 1998; Payne and Kaba 2007; Sanders and Harvey 2002) between partners, whereby decisions and goals are mutually supportive and respectful of all the stakeholders’ needs. TC has focused on building relational trust, which “views the social exchanges of schooling as organized around a distinct set of role relationships: teachers with students, teachers with other teachers, teachers with parents and with their school principal. Each party in a role relationship maintains an understanding of his or her role obligations and holds some expectations about the role obligations of the other. Maintenance (and growth) of relational trust in any given role set requires synchrony in these mutual expectations and obligations” (Bryk and Schneider 2002, p. 20). Anthony S. Bryk and Barbara Schneider (2002) theorize that there are four critical considerations for people engaged in paradigm of relational trust—respect, competence, personal regard for others, and integrity. Many residents of communities in proximity to institutions of higher education would argue that their powerful neighbors often have done more harm than good, particularly where gentrification has taken root (Maurrasse 2001; Saegert et al. 2001; Warren 2005; Duncan and Murnane 2011). This challenge of overcoming negative perceptions and establishing relational trust rang true for the PSC as it worked to engage all stakeholders. Some families were more hostile to the idea of partnership because of the community’s broader experiences with gentrification and some principals and teachers were skeptical because they feared their school would become a lab site for researchers or that TC would whimsically abandon them midstream. It is clear that establishing trust is a continuous process of demonstration. In addition, it is essential to consider all of the stakeholders within the particular context or landscape when working to cultivate trust. TC has not only had to focus its efforts on principals, teachers and parents but also work through the complex task of establishing trusting relationships with the different support networks (as of spring 2010, all New York City public schools receive their instructional and operational support from a network. There are nearly 60 different networks from which schools can select and they are made up primarily of experienced educators and professionals who provide schools with supports in the areas of instructional, special education, school budgets, attendance, and student safety. Each network has its own unique approach to the work. For instance, some networks focus on instructional models that support particular groups of students while others are organized around a particular area of expertise or philosophy. Oversight and support of the networks is the responsibility of five clusters, each consisting of about eleven networks, housed in the NYCDOE) to which its partner schools belong because they represent another critical stakeholder for the schools.

- *Achieving balance of interests and mutuality.* TC works to customize its programming to fit the needs and interests of its partner schools. It requires striking a balance between preserving the structure of research-based programs coming out of the College and incorporating a sufficiently constructivist approach to practice in the classroom, that takes into account the perspectives and expertise of school leaders, teachers and families. Conversely, the schools can offer professional guidance and expertise that build the capacity and knowledge base of the constituents of its higher education partner. To accomplish this balancing of interests and knowledge sharing, there must be good communication and a willingness to engage in the learning process as peers, not just among the leadership, but also among classroom teachers, university staff and instructors and families. Effective partnerships reflect processes of mutual learning, which require people to not operate from socially constructed power differentials that may exist by virtue of their different positions and institutional affiliations. In order to achieve mutuality, it is important for stakeholders to ensure that information flows bi-directionally in ways that respect and value the rights, interests and expertise of others, particularly when there are multiple interests.
- *Cultivating coherence and quality control.* Newmann and his colleagues argue that reform efforts are likely to fail to improve student outcomes if there is insufficient focus on creating instructional program coherence wherein a school's programming is guided by a common framework for curriculum, instruction, assessment and learning over a sustained period of time (Newmann et al. 2001). Within the context of the PSC, the complex work to cultivate coherence is made difficult by the competing perspectives of what is effective pedagogical practice, the vast number of stakeholders involved, and the multiple strands of work to be developed, implemented and evaluated. The possibilities around how to achieve effective pedagogical practice are limitless but finances are not so the leadership on all sides of the partnership needs to share a clear vision and priorities that are unified. For instance, the professional development work with teachers must align with the instructional initiatives of the NYCDOE in order for it to be meaningful for the schools while simultaneously reflecting what TC faculty understand as research and evidenced-based effective pedagogical methods and practices. These are not inherently at odds but there must be intentional and explicit work to ensure coherence. Failure to achieve coherence, particularly with the PSC's model, will negatively impact quality control and undermine efforts to scaffold the work where new activities are implemented on the foundation of work that has already been initiated. Ultimately, the work becomes a collection of interventionist episodes rather than an intentional school improvement strategy. The challenge requires that partners begin with developing a shared understanding of what coherence for the work and each school looks like, what are the tasks to achieve and continuously cultivate it and what are the checks and balances to avoid the potential for drifts.

- *Bridging cultures.* *The partners co-exist* independently with different institutional expectations, norms and cultures. Differences arise in everything from aligning daily schedules and annual calendars to priority setting and budgeting, compliance protocols, pacing work and problem-solving. The functioning of partner schools significantly adds to staff workloads on both sides of the partnership and it is important to achieve credit and equity for bridging the divide (Goodland 1993, pp. 24-39). There is some debate around whether outside partners are capable of addressing specialist needs, and on the efficacy of public-private partnerships. In NYC, this is evident in some of the school-community partnerships that were established as part of the small schools movement. Researchers refer to the key role played by “boundary-spanners,” individuals who have credibility in both the lower and higher educational institutions and serve to bridge the typical divide between them (Goldring and Sims 2005; Streim and Vissa 2006). Another component of this challenge is the cultural divides that must be bridged across race and socioeconomic class. Horvat and her colleagues (Horvat et al. 2003) illustrate how class plays a role in the ways that parents, for instance, differently engage the school as an educational partner. Pedro A. Noguera (2001) has similarly explored the idea of differentiated engaged across racialized cultures. In the attempt to collaborate with schools, it is crucial to acknowledge these dynamics and to explicitly work to create bridges across different racial and socioeconomic networks to ensure all stakeholders are comfortably seated at the table of program decision-making. This work might require universities to seek out and collaborate with individuals who can operate as cultural boundary-spanners or cultural brokers and bridge the divides.
- *Enabling the broad involvement of stakeholders.* In order to keep up with the breadth and depth of schools’ needs, higher education partners must think creatively and flexibly about how to establish optimal conditions to leverage and structure the requisite human and financial resources to support the work. Ron Mason former director of the Center for the Urban Community in New Orleans said that higher education is a stool with three legs: research, teaching and service. Service keeps teaching and research honest in that it should connect academics to everyday problems that people have to address. However actual institutional mechanisms, particularly the tenure and promotion processes, are not designed to reward the service dimension especially in major research universities in ways that optimally value the work of most partnerships. Service is comparatively undervalued and most assistant professors are advised not to engage in this type of work. There is a loss of the ideas and energy that often come from the junior professors. Relatedly, with the limited tenure opportunities and the undervaluation of service, faculty of color are placed in a difficult position as they are often sought after because many of the partnerships happen to be primarily in communities of color and one goal is to connect residents with faculty with similar racial and ethnic background. The challenge is to establish the



cultures and structures that communicate, implicitly and explicitly, a clear message that all aspects of the partnership work are valued. In addition, there is a challenge in helping faculty members to imagine new and creative ways to link the work of the partnership to their curricula so that there is an institutionalization of the work in ways that benefit a larger portion of their graduate students.

#### LESSONS LEARNED FROM PARTNERSHIP IN PRACTICE

The challenges have been important experiences from which a number of lessons have been learned as discussed below:

- *Strategic points of entry.* Taking the time to understand the unique context of each school and the different perspectives of stakeholders is important in identifying strategic points of entry to initiate the work in ways that establish a foundation for authentic relationships and upon which to scaffold of work over time. Boundary-spanners fulfill a critical role in this aspect of the work because they facilitate and expedite partners understanding of the priorities of the other and help them develop shared understandings of the needs and work to be done in ways that are seen as credible by each. For the PSC, understanding and credibly responding to the weight of the current reform effort around standards was a key strategic point of entry.
- *Bridging Social Capital Across Communities.* One way to diminish socially constructed power differentials is not to go it alone. The PSC has sought to partner with community-based organizations to develop and implement its work. In so doing, it was necessary to unbound conventional notions of community in order to bring greater resources and opportunities into the schools through social interactions that can occur within or transcend local boundaries (Saegert et al. 2001; Sanders 2001; Horvat et al. 2003). It has allowed the PSC to begin to build a pipeline of connections or to be a bridge between different forms of social capital within the geographic community and between different communities/neighborhoods to leverage a broader range of relationships and resources that can be invested to strengthen the schools in the partnership.
- *Not Service Orientation but Capacity Building.* While the work may be viewed through a lens of service, that orientation suggests assistance where dependency might be an unintended consequence. The focus must be sustainable capacity building where there is transference of knowledge and capacity from one party to the other so that the work can be sustained and spiraled in the absence of the partner who brought the particular expertise to the table. This approach frees the partners to constantly evolve rather than repeat the interventions so that new levels of growth can be imagined and achieved. The PSC, through the use of teacher leaders and teacher-to-teacher turnkey learning as tools for the professional development of leaders, teachers, and teacher teams, has leveraged existing structures and expertise in the

schools as viable points of entry to introduce and embed the work so that it subsequently can spiral throughout the school to create the circumstance of sustainable instructional capacity building. This is an essential strategy to achieve cost effectiveness.

- *Authentic Definition of Shared Accountability.* It is often the case that partners want to define their work through notions of shared accountability. The central question, however, is whether authentic shared accountability can be achieved for a university-assisted school partnership when the consequences for not meeting particular benchmarks can be far more punitive for a school that is under the auspices of a local and state education agency than for the university. In the current NYC context of school reform, there is an overwhelming focus on outcomes and not the process of transformation. The PSC is working to examine whether the notion of reciprocal accountability, “[a]ccountability must be a reciprocal process. For every increment of performance I demand from you, I have an equal responsibility to provide you with the capacity to meet that expectation. Likewise, for every investment you make in my skill and knowledge, I have a reciprocal responsibility to demonstrate some new increment in performance” (Elmore 2002) is more appropriate and how it might work if it is a more viable option.
- *Coordinating Multidisciplinary Involvement.* The historical structure and culture of universities tend to be very fragmented with each individual professor teaching her own course without any reference to whatever else goes on in higher education and not necessarily having cross-collaboration in research. Interestingly, this circumstance has been characteristic of schools but some of the reform efforts in NYC have begun to break down the walls of fragmentation. The PSC, based on the models in which it is grounded, inherently requires work across the different departments of the university. It means that those in the college of education and at the school of nursing, for instance, will have to have conversations about how they differently approach the task of nutrition education—the path to proficiency in nutrition literacy for an educator might be decidedly different from that for a nurse. In order to fully leverage the assets of the university in service of the schools in the community, the PSC has had to engage in such conversations to develop common understandings from which to coordinate meaningful and effective multidisciplinary involvement.

#### DISCUSSION

The research surrounding university-assisted schools is characterized by case studies and individual accounts, but nonetheless reveals some common themes and trends in thinking about partnerships that can inform specific policy reforms and innovations. The challenges and lessons emerging from the PSC’s work provide clear insights into the complexity and specificity of the work that might be imagined and accomplished in service of community development linked with school reform. The potential of the UA-CEO model resides in the willingness of

researchers and practitioners to participate in ongoing, open and empirical dialogue about what works and what does not to establish shared definitions and understandings. It requires a willingness of all stakeholders to fully engage in that dialogue and to constantly question their assumptions and perspectives in order to evolve the relationship as well as the work. As TC continues to collaborate with others to further develop its university-based model of comprehensive educational opportunity, several questions have emerged for consideration around defining the way forward.

- How do we move towards a guiding set of standards for effective practice around university-school partnerships in support of community revitalization linked with school reform?
- How can we develop more coherence across the fields of policy, practice and research so that there is robust information sharing and greater exploitation of potential?
- How do we ensure that the information generated through practice, research and policy is shared in ways that enable stakeholders (i.e., community-based organizations, funders, academics, policymakers, youth, families, etc.) to take intentional action?
- How do we create the necessary data systems to track needs and impact in ways that can be used by stakeholders across the fields of policy, practice and research?
- How can we evolve the structures and cultures (i.e., reward of service, cultivation of multidisciplinary, etc.) of institutions of higher education to ensure greater institutionalization of the work of university-school partnerships in support of community revitalization linked with school reform?
- How do we cultivate a cadre of culturally relevant boundary-spanners—where culture pertains to race, class, organization, etc.—who can deepen the work in sustainable ways over time?

The hope is that these questions also can help shape the ongoing discourse within the field about the ways in which universities can work to establish viable partnerships with members of their community in support of the aspirations of those communities.

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## 12. EVOLUTION, NOT REVOLUTION

### *Building the Engagement Function One Asset at a Time*

This chapter reprises an address to the 9th International Workshop on Higher Education Reform, held at the University of Pittsburgh on 10-12 October 2012. Since the address was billed as a keynote, readers might reasonably expect a discourse on expanding the university's core mission: incorporating engagement either as a stand-alone function or as an increasingly critical contribution to the typical mission categories of research, instruction, and public service. With apologies to those awaiting inspiration, the address in fact focused on the nuts and bolts issues related to developing an engagement organization, getting that organization off the ground, and practicing engagement in a traditional four-year regional public university.

Moving beyond the start-up issues discussed in Pittsburgh, this chapter incorporates examples of engagement successes, requisites for engagement sustainability, and some consideration of international collaboration; but it begins, as did the address, by identifying the critical organizational components underlying the engagement function. Doing this, in any institution, requires a clear sense of the institution's footprint or area of responsibility beyond the campus; some thoughts on the units, people, and initiatives that you can bring to the table; and some sense of what can reasonably be accomplished in a manageable time frame. What follows describes that process as it has played out over the past decade at one institution, Northern Illinois University (NIU) in DeKalb, Illinois.

#### NIU'S REGION: (1) THE CHICAGO METRO AREA

As Americans will know, but international readers may not, Illinois is a centrally located, mid-western state with easy access to two of the country's major waterways, the Great Lakes and the Mississippi River, and one of the world's busiest airports, O'Hare International. The northern Illinois region, which NIU serves, comprises the top quarter of the state and contains about 80 percent of the state's population and 90 percent of its industry and business. Interstate highways and railroads crisscross the region, thus constituting a transportation hub for travel by land, sea, or air.

DeKalb, home to Northern Illinois University, is 65 miles west of Chicago, one of the world's major culture centers and a genuinely global city by almost any measure. Indeed, Chicago has been recognized as one of the top ten economic centers worldwide by Standard & Poor's; as first in the hemisphere for Best Economic Potential, Best Infrastructure, and Best Development and Investment

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Promotion by Foreign Direct Investment (fDi Magazine); and second among US cities in global network connectivity (Chicago Council 2007, p. 10). The Chicago Metropolitan Statistical Area (MSA) includes a population of over 10 million and is now the third most populous area in the United States. Rankings of global cities typically put Chicago near the top, in the company of New York City, London, Paris, Tokyo, Frankfurt, Hong Kong, Los Angeles, Milan, and Singapore (Chicago Council 2007).

Chicago's influence on the surrounding region can hardly be overestimated. The city anchors the region, defines it in the minds of many, and certainly makes northern Illinois a very good place for a regional institution to be located. Of course, the region is also home to top-quality private institutions, many small private colleges, 26 two-year community colleges, and branch campuses from institutions across the country (Figure 12.1).



*Figure 12.1 Location of Northern Illinois University within the United States*

The region's appeal to higher educational institutions has resulted in a lot of competition in the higher education sector for students, economic development opportunities, grants, and contracts; but this appeal has also bolstered the region's attractiveness to the people whom Richard Florida (2002, pp. 68-72) calls the "creative class," the country's knowledge workers and problem solvers. For an institution attempting to develop or to expand an engagement function, creative class people can be excellent partners, and a knowledge economy requires the kind of sustained infusion of highly skilled workers which universities should be able to provide.



## NIU'S REGION: (2) MANUFACTURING TOWNS AND RURAL COMMUNITIES

NIU's service area, however, covers the whole of northern Illinois, not just the metropolitan and suburban east end. Rockford, a city of 150,000, located north of DeKalb, incorporates every aspect of the urban areas which define the American rust belt. Historically dependent on its manufacturing base, the city has struggled through the economic changes of the past twenty years and is now home to an increasingly diverse population with an annual per capita income of US\$21,895 compared to the state average of US\$29,376,<sup>1</sup> an income differential attributable in large measure to a baccalaureate educational attainment level which is 9.6 percent below the state average<sup>2</sup> (U.S. Census Bureau 2012). Rockford can point to a notable aerospace cluster that is moving away from manufacturing and toward design and testing. That cluster has attracted an unusual number of engineers and technology personnel, but these people are easily recruited away to the more prosperous areas to the east, areas where those with children find public school systems that meet their professional expectations. Two comparable-sized cities with similar manufacturing histories and contemporary urban problems, Aurora and Elgin, rest on the edge of Chicago's populous western suburbs, closer to NIU.

Moving further west towards the Mississippi, the landscape changes again. Northwestern Illinois can claim some of the richest farm land in the world, but this territory is dotted with very poor communities, old towns with declining populations, and high concentrations of elderly people who grew up there and probably will never leave. With greatly reduced earnings from manufacturing centers and very little high-paying employment, these communities struggle with an associated inability to retain working-age residents and a parallel inability to support high-quality public school systems for the children of those who remain. This then is the region with which Northern Illinois University has historically been associated, an association recognized by the Illinois Board of Higher Education in its 2003 compilation (for master planning purposes) of the distinctive strengths and characteristic of each of the state's public universities. At that time, the Board described NIU as follows:

Located in a region that includes the north and western Chicago suburbs and the city of Rockford, Northern Illinois University has become a major resource for this emerging metropolitan area. Once primarily rural and agricultural, the University's service region is increasingly complex and cosmopolitan, experiencing rapid population and economic growth. The University's undergraduate students are primarily traditional college-aged. While many students select a residential baccalaureate experience, others transfer to Northern from community colleges, and an increasing number commute for their entire academic program while maintaining employment and family obligations. At the graduate level, a substantial number of the University's students are working adults who enroll on a part-time basis. In addition to pursuing statewide goals and priorities, Northern Illinois University:

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- Provides a full range of liberal arts and professional undergraduate programs;
- Offers master's, specialist, doctoral, and professional programs both on campus and at selected off-campus sites throughout the region;
- Strives to meet the region's need for articulate and responsible citizens, a well-prepared workforce, and opportunities for continuing professional development;
- Serves as a regional resource for new knowledge, cultural enrichment, and solutions to contemporary problems; and
- Responds to the changing needs of its region through appropriate instructional, research, and public service initiatives and cooperative interaction with other colleges and universities, business, industry, government, and human service agencies (IBHE 2003, pp. 5-8).

In furtherance of this statement and in an effort to provide more attractive and visible sites for its extensive array of off-campus credit programming, NIU established three regional centers in the 1990s—two in the rapidly expanding western suburbs of Naperville and Hoffman Estates and one in Rockford.

#### ASSETS FOR ENGAGEMENT: EXISTING ACTIVITIES, LEADERSHIP, AND NATIONAL TRENDS

Off-campus credit programming had a long history at NIU, dating back to the 1930s when education faculty offered professional development courses to aspiring teachers throughout the region. Management of the off-campus program had an equally long history, which included 25 years in a College of Continuing Education, followed by ten years of decentralized programming from the academic colleges supported by centralized site management, budgeting, registration, needs assessment, and marketing.

Additionally, and of particular importance in growing the engagement function, NIU is home to the Center for Governmental Studies (CGS), an applied research and technical assistance unit which was developed in the 1960s as an outgrowth of the university's nationally ranked Master's degree in Public Administration (MPA). The MPA program has been an especially rich link to the university's service region because its faculty work closely with area municipal officials, and its graduates serve in a wide range of municipal positions in almost every city or town of any size in northern Illinois. As the needs of municipal governments have become increasingly complex, the Center's work has become increasingly multidisciplinary and now incorporates workforce development initiatives, policy analysis, mapping, land use, association management, human services, and informatics. Well before national higher education associations began to focus on the engagement function, NIU had at least one unit, CGS, with a history of activities which would qualify as "engagement" by any of the current definitions.

NIU's core is made up of its seven academic colleges, all composed of faculty who aspire to recognition in national or international disciplines according to

national and international norms. These faculty members do not typically “think locally,” and regional engagement is not for most of them high on the priority list. Nevertheless, because NIU recruits regionally and because most of its graduates return to roles in the region, all of these colleges have developed substantial regional alumni networks made up of people in positions for which they were prepared in programs on the NIU campus. Those networks can be leveraged, and those alumni can be encouraged to think of the university as an obvious partner in collaborative initiatives of mutual interest. Such collaboration has often occurred, but has rarely been recognized or centrally reported. Nevertheless, the networks, the past practices, and the potential for further development constituted assets on which the institutionalization of an engagement function could build.

The division the university now calls Outreach, Engagement, and Regional Development (OERD) was created in 2001 during a period of presidential transition. This action built on the retiring president’s legacy of educational entrepreneurialism and his deep conviction about serving the region through relevant academic programs and applied research. The new president, who arrived during a period of budgetary instability, was necessarily focused on financial matters and delegated the development of the new division to a vice president with substantial regional knowledge and institutional longevity. The vice president, who had previously managed a number of administrative units, but whose background included work in the university’s original college of continuing education, retained responsibility for information technology services, the university’s central computing services, and its entrepreneurial director, believing that function would be critical to external communications and could perhaps provide technology support to underserved areas in the region. With the support of a provost who understood and believed in engagement, the new division assumed management responsibility for the following:

- Information Technology Services
- Northern Illinois University’s three regional centers
- Outdoor education campus
- Center for Governmental Studies
- Community college relations function
- Online learning unit
- A state-wide economic education program
- NIU’s public radio stations
- Regional credit programs
- Non-credit programs
- Conferencing functions

Reorganizations of this sort are common in higher education, particularly in response to turnover and new leadership, but this one gained some helpful legitimacy from the national conversation related to engagement associated with publication of the reports of the Kellogg Commission on the Future of State and

Land-Grant universities. At the request of the National Association of State Universities and Land-Grant Colleges (NASULGC), now known as the Association of Public and Land-Grant Universities (APLU), the Commission published six reports based on meetings held between January 1996 and March 2000. The first five reports, one of which focused on the “engaged institution,” called on public universities to “return to their roots” and become the transformational institutions they were intended to be. The final report called for a renewal of the partnership “between the public and the public’s universities.” The Commission’s recommendations to advance engagement challenged institutions to make engagement a priority on every campus and a central part of the institutional mission. The recommendations urged development of an engagement plan and encouragement of interdisciplinary scholarship and research. The report also identified the need for incentives to increase faculty participation in engagement efforts and for stable funding in support of engagement on university campuses.

As a regional institution which had only recently been invited to join NASULGC, NIU benefited from the Commission’s conclusions and the attention given to them at national meetings and in higher education publications. The national conversation bolstered the re-organization initiative at NIU and lent much-needed credibility to campus discussions of the engagement function (NASULGC 2000, pp. 13-17). The Kellogg reports inspired a parallel effort by the Association of State Colleges and Universities (AASCU) whose membership includes most of the regional public universities in the United States. AASCU published its call for further attention to the engagement function in a 2002 report called “Stewards of Place.” Many of the concepts championed in the Kellogg Foundation reports on engagement as well as in the AASCU report, “Stewards of Place,” were reaffirmed in 2005 when the Carnegie Foundation introduced its elective “institutional engagement classification.”

To summarize then, the recognition of the engagement function at NIU and the development of a supportive organizational structure occurred at a moment of administrative turnover and institutional restructuring and in the context of a growing national conversation on the role of engagement in public universities. None of the units included in the development of NIU’s engagement division were created anew; all were well-established entities on the NIU campus. Fortunately, those entities included one unit, the Center for Governmental Studies, with very substantial analytical capacity and detailed knowledge of the region, its demographics, industry clusters, and economic assets. Finally, the administrator charged with developing the new division had a long history at the university, had worked in or with most of the units involved in the restructuring, and knew most of the personnel affected by the transition. Taken together, these elements no doubt made the development of the engagement function at NIU easier than it might otherwise have been. However, organizational change is rarely simple, and even the best and most motivated staff need opportunities to talk through issues and develop a common language and a shared sense of their collective future. For this, the new division relied heavily on Jim Collins’ best-selling book, *Good to Great* (2001), conveniently released just as the reorganization effort was beginning to coalesce.

LAUNCH OF THE ENGAGEMENT ENTERPRISE:  
CONFRONTING THE BRUTAL FACTS

Following the *Good to Great* framework, the vice president brought together ten respected staff from across the newly assembled units to assess the division's situation. Several meetings were devoted to reviewing the history of the university, the development of the region around it, and the realities that both the division, as a newly created unit, and the university itself faced at the beginning of the new century in a rapidly changing political and economic climate. As Collins would say, the group confronted the "brutal facts." Among those facts, perhaps the most brutal for an institution with NIU's history of development and aspiration, was the number of nationally-ranked, even internationally-ranked institutions which shared the education space in Illinois. These include Northwestern University and the University of Chicago as well as the University of Illinois, which claimed both flagship status and the land-grant mission in addition to the metropolitan mission and major medical complex of the U of I's Chicago campus. With competition like this, it would be difficult to convince either legislators or donors of the need to commit resources to the development of another institution of comparable quality (Figure 12.2).



Figure 12.2 Northern Illinois Community College Locations  
Note: Concentric circles indicate 40 km increments from DeKalb, IL.

Brutal fact number two, NIU is embedded in a dense network of excellent community colleges with workforce and economic development responsibilities of their own and well-regarded instructional programs at the freshman and sophomore level. Those programs are very attractive to the regional students who have formed NIU's traditional undergraduate market. The programs are

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competitively priced and conveniently scheduled. Aggressively marketed, they threaten to skim the university's instructional base from the bottom up. This situation would have significant financial ramifications for the university and would seriously undermine its claim on the northern Illinois region. Additionally, many of the region's community colleges actively seek locally accessible baccalaureate completion partnerships with universities wanting to serve place-bound working adult populations. NIU is a welcome participant in those partnerships, but has had to deal with the fact that adult students are evaluating the university's programs against those of schools prepared to compete both on price and the time required to complete a degree.

#### EMBRACING NIU'S ROLE: A REGIONAL INSTITUTION IN A GLOBAL REGION

In response to these realities, the NIU team looked again to Collins, and much time went into answering the three questions at the core of what Collins calls the "Hedgehog Concept."

- What can we be passionate about?
- What drives our economic engine?
- What can we be best in the world at?

In the end, the group concluded that the appropriate and potentially most successful role for the new division was to spearhead the university's embrace of its role as a regional institution in a global region. This meant recognizing and celebrating NIU's long history as an institution which pursues and welcomes the racially and economically diverse student body which populates the rural, suburban, and urban areas of northern Illinois. It meant keeping track of those students when they return to the region to take their first jobs, providing them with continuing professional and graduate education, and collaborating with them in their professional roles. It meant reminding current faculty and staff that northern Illinois is a region which can provide subject matter for a very wide range of disciplinary interests and research, a region which is sufficiently varied and robust to attract new faculty and staff from other parts of the country. It meant identifying and analyzing the social, cultural, economic, and educational issues which confront a region as dynamic as northern Illinois and collaborating wherever possible with other stakeholders to address those issues in mutually beneficial ways.

As it happened, this approach recognized work which came naturally to many faculty and staff, reflecting a long history of outreach and collaboration with community colleges, schools, municipalities, and health and social service agencies. It also generated much-needed revenue during a decade in which public university funding from the state was significantly reduced and access to federal grants and contracts became increasingly competitive. Outreach to regional students and collaboration with other regional stakeholders does in fact fuel the division's economic engine, and interaction with the northern Illinois region is something that NIU really can, as Collins would put it, be the best in the world at.

PRACTICING ENGAGEMENT: EXEMPLARS – BROADBAND NETWORKS,  
P-20 CENTER, AND REGIONAL ENGAGEMENT/ROCKFORD

No initiative illustrates the convergence of regional and university interests better than the expansion of broadband technology. Begun in 2004 with the establishment of NIUNet, a 75-mile, fiber optic loop connecting NIU's main campus in DeKalb with its three regional centers, the university was well positioned to establish the regional partnerships necessary to pursue government funding for the development of additional broadband networks connecting health providers in rural areas with specialists in critical fields such as radiology, cardiology, and neurology as well as with public sector organizations. Now near completion, the broadband networks will use over 4,000 miles of fiber optic cable to connect more than 600 Community Anchor Institutions (community colleges, libraries, healthcare organizations, police and fire departments, and state, county, and municipal offices). This is not a project most universities could manage without significant help from other regional players; but, perhaps more significant, it is not a project most universities could pursue unless the regional relationships were already in place, and collaboration was already a standard operating procedure. Even in institutions with well-established outreach and engagement functions, the involvement of IT professionals in economic development activities external to the campus is not a common occurrence. The Broadband Development projects have generated over US\$126 million in federal and state funding, confirming the division's initial belief that embracing the university's regional role would in fact pay dividends in new revenue streams.

There have been other successes as well, and, as suggested by the Collins framework, the most important initiatives have contributed to the cumulative momentum which results in the sustained development of the engagement function. The university's long history in teacher training and the delivery of professional development courses to K-12 school personnel provided a basis for greatly expanded interaction with rural, urban, and suburban school systems across the university's service region. Recognition and encouragement of that interaction led to the establishment of a Center for P-20 Engagement jointly managed by OERD and the office of the Vice President for Academic Affairs. The P-20 Center ("P-20" covers pre-school through graduate school) illustrates one of the important functions of an engagement operation—serving as a neutral convener, drawing interested faculty and staff from across various departments and colleges. More than 200 faculty and staff now collaborate on topics as diverse as STEM Outreach, a web-based grant opportunity with schools, new state mandates that affect multiple programs, summer camps administered independently by six different campus offices, and requests from regional superintendents for innovative programs such as professional development schools. These multi-disciplinary, multi-unit meetings often result in project development, management, and communications provided initially by the P-20 Center and then handed off to faculty champions, who receive continued support from the P-20 Center staff. The P-20 Center also manages nearly 30 projects which involve two or more colleges with a number of external partners. In 2012, the P-20 Center's activities involved

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21,570 K-12 students, 1200 teachers, 6100 community members, 544 NIU students, and more than 100 NIU faculty. Its many accomplishments over the past five years include the following:

- Creation of a nationally recognized STEM Outreach function which produces a major STEM festival each fall.
- Participation in career academies in five high schools.
- Sustained development of an NIU Center for Economic Education.
- Collaboration with area community colleges to facilitate student preparation and articulation to four-year programs.
- Sponsorship of highly innovative instructional tools which integrate fine arts and technology into literacy instruction in both traditional classrooms and online video games.
- Leadership of the development of a web-based backbone for personalized instruction and school improvement in partnership with state and federal agencies.
- Creation of an online virtual lab school which will serve middle school students and NIU teacher candidates.
- Staffing for the Illinois Interactive Report Card (IIRC), a website which maintains test results and other school improvement information for Illinois schools and draws 100,000 visitors per month.

Like the Broadband Development project, many of the P-20 Center initiatives have benefited greatly from internal collaboration between engagement staff and computing personnel.

The growing recognition of the engagement function has legitimized the university's persistent, but often frustrating, efforts to help the city of Rockford move beyond the economic downturn in the manufacturing sector. The existence of NIU Rockford, one of the centers built in the 1990s to provide credit classes for adult students across the region, offered an obvious location for an engagement office dedicated to collaboration with the city. The appointment of an Assistant Vice President (AVP) for Engagement in Rockford underscored the university's intention to build an ongoing partnership and to collaborate on issues of mutual concern. In consultation with university and community leaders, the new AVP established an engagement agenda for Rockford, setting forth a set of goals and related activities to enhance educational attainment and public education outcomes, help build a culture of innovation with local manufacturers, improve Rockford's appeal as an international city, and improve the quality of life through arts and cultural assets. The AVP pulls faculty and staff from NIU's main campus in DeKalb to the Rockford area to build relationships, increase university visibility, and make connections between university expertise and resources and community expertise and resources. One immediate win for the Office of Regional Engagement/Rockford was leading a collaborative effort to win a US\$2.4 million federal Jobs and Innovation Accelerator Challenge grant for the aerospace cluster.



The AVP also assumed a leadership role in the development of a Joint Institute for Engineering and Technology—Aerospace.

The NIU Office of Regional Engagement/Rockford provides a model of place-based university engagement and civic leadership which can be replicated in the university's other two centers in the western suburbs. The development of the engagement model at these two centers and the continued development of the Rockford center will rely heavily on the analytical capacity of the Center for Governmental Studies. CGS staff members develop extensive reports on economic and workforce development issues in the areas around each of the regional facilities, provide data for collaboration between university and community college personnel and local residents, and develop a shared vision among stakeholders who live and work in the area around these NIU satellites.

#### PRACTICING ENGAGEMENT: "IN-REACH," LEGISLATIVE OUTREACH, GLOBAL ROLES

The work of engagement is often associated with outreach activities, but equally important are organizational "in-reach" efforts, which gather useful intelligence needed to facilitate partnerships. For example, an important workforce development issue concerns access to higher-level credentials for working adults who possess two-year career and technical (CTE) degrees in fields such as nursing, allied health, public safety, and technology. Given the need for higher levels of education among a broad array of professions, the issue of baccalaureate programming for community college students with associate of applied science (AAS) degrees—a group that represents over a third of the associate's degrees awarded by Illinois community colleges—has led to vigorous discussion in the Illinois legislature regarding whether to grant baccalaureate degree-granting authority to community colleges. Because the AAS has often been called a terminal degree suited to preparing individuals for more rapid entry into the workforce, and because AAS programs typically have a curriculum which contains fewer general education requirements and more non-articulating technical content, configuring a progression pathway that is both desirable for the marketplace and fully endorsed by university faculty presents complex challenges. This issue was of significant interest to legislators representing the many community college districts in NIU's region. OERD staff helped coordinate discussions among university and community college faculties so that a series of mutually beneficial, student-centered baccalaureate completion programs could be developed to serve a previously marginalized audience. A side benefit, of course, was the amelioration of a politically complex situation which could have resulted in externally imposed curricular reforms with limited faculty support.

Finally, and in recognition of the unusual region in which the university operates, the division has begun to focus some of its attention on international engagement. Other regions in the world legitimately claim a global role, and most such regions are home to internationally recognized institutions of higher education, but few four-year public institutions of higher education serve as the

single four-year university player in such a large, populous and economically significant space. The well-regarded, four-year institutions, both public and private, located in the city of Chicago are embedded in the metropolitan landscape. When they think “regionally,” they tend to follow the shores of the Great Lakes, looking north to Milwaukee, south and east across Indiana and northeast to Michigan. Their natural education partners are the University of Wisconsin Milwaukee, Purdue University, and the University of Michigan. Their natural local partners are metropolitan authorities, international financial institutions, and global corporations. They do not bring the mayors of Chicago’s western suburbs to their workshops, let alone the mayors of the small towns on the western side of the state, or the presidents of the 26 community colleges spread across northern Illinois. If there is a role for higher education to play in linking the rest of northern Illinois to the global drivers of the Chicago metropolitan region, that role might reasonably be claimed by NIU.

The university took a small step toward global engagement in 2009 when it agreed to serve as the North American node of an international consortium focused on regional approaches to development. PASCAL International Observatory grew out of work on learning regions and cities inaugurated by the Organisation for Economic Co-operation and Development (OECD). PASCAL associates attempt to bring researchers, practitioners, and policymakers together to promote innovative regional development and to overcome the barriers to desirable development imposed by historic boundaries and jurisdictional areas. Participation in the PASCAL network has provided NIU staff with opportunities to compare policies and practices between two-year and four-year institutions in the US and in Europe and to assess the applicability of middle-school curricula in economic education in low-income urban areas in the US and underdeveloped areas in Africa. By participating in the PASCAL Universities’ Regional Engagement (PURE) initiative, NIU worked with several of the region’s community colleges and workforce development organizations to identify workforce development gaps which could be addressed by means of new forms of collaboration. The PURE project has spawned work in three areas: innovation in baccalaureate progression (touched on above), inter-organizational collaboration to develop web-based systems for increasing access to regional data needed by organizations focused on economic and workforce development, and the creation of a regional collaborative designed to increase college-going among the region’s Latino populations.

PASCAL’s focus on “boundary spanning” initiatives and its commitment to building place management partnerships are compatible with and reinforcing of the engagement philosophy which has evolved in US higher education over the past 25 years. For a developing organization like NIU’s OERD, being able to point to European, Asian, and African projects, which have been nurtured by a similar focus on collaboration and inclusive networks, has been exceedingly helpful and quite gratifying. Similarly, finding like-minded colleagues in so many different areas of the world has underscored the importance of “engagement” and its value in a wide range of circumstances.

## DISCIPLINE AND THE ENGAGEMENT ENTERPRISE: SELECTING INITIATIVES

Looking to the future, OERD anticipates bringing its experience in managing regional centers, its growing understanding of regional development, and its comfort with collaboration and networking to bear on health education issues being addressed by a consortium of institutions in Lake County, an area at the northeastern corner of the state. This is a part of Illinois long considered to be underserved by institutions of higher education. Its population of 700,000 includes some of the state's wealthiest citizens and some of the poorest. Part of the Chicago metropolitan area, its lakefront communities include those which belong to Chicago's affluent and well-educated North Shore as well as those facing industrial decline and a renewed focus on revitalization. The Great Lakes Naval Station, located between these radically different communities, is now the US Navy's only Recruit Training Center and, as such, is responsible for putting nearly 40,000 recruits through navy boot camp each year. But Lake County sees the health care industry as a primary focus for its future.

According to NIU analysts, the Lake County health care cluster, broadly defined, accounts for almost US\$2.5 million in employee compensation annually and US\$10 million in gross county product. Developing and maintaining the skilled workforce which will be necessary to sustain and grow this cluster, particularly in a period of reduced public funding and increasing demand for health care services, will be a significant challenge, one which will require a concerted and sustained effort on the part of regional employers and educational providers. This effort is just getting underway, and its ultimate outcome is impossible to predict, but NIU's participation is taken for granted, and OERD staff have the experience and expertise to make meaningful contributions. Ten years ago, the university would not have been an obvious partner.

## SUSTAINING THE ENGAGEMENT ENTERPRISE

Creating new organizational structures within an institution is one thing; championing a new institutional function is quite another. Outreach and engagement activities need the visible support of university leadership to maintain their legitimacy, and outreach and engagement units must be relentless in their efforts to communicate their value and their successes to both internal and external audiences. OERD contributes regularly to university newsletters; publishes an annual report; makes presentations to local, state, and national audiences; maintains several blogs; and often produces text and slides for insertion into presidential speeches, press releases, and presentations to the legislature. OERD staff members have been vocal participants in university committees, strategic planning bodies, and reaccreditation groups. They make a point of "showing up," volunteering for university roles, and serving as representatives and spokespeople for the university's external focus whenever possible. OERD staff also have been actively involved in the national engagement movement. NIU's designation as a Carnegie "engaged institution" and the involvement of division staff on national

boards and committees has enhanced NIU's reputation and visibility on a larger stage, bringing external validation to the function within the university.

The OERD division began with a coalition of the willing. This coalition has expanded as engagement successes have been embraced and are being institutionalized. A chapter in the university's most recent strategic planning report, "Regional Impact, Outreach, Engagement, and Graduate Education," suggests that the engagement function and the regional role championed by the OERD division have achieved campus credibility. Presidential Engagement Professorships now exist at NIU alongside well-established professorships in research and instruction. Viewed from the division's starting point, the transformation has been dramatic, but it has been building incrementally over the years and feels more evolutionary than revolutionary. Are there lessons here for other institutions? Perhaps, but they too are hardly revolutionary. The Collins framework is helpful. It forces the development of some parameters for use in a sea of possibilities. It imposes bottom-line considerations on university units which are not used to floating their own boats. It reminds managers of creative professionals that self-directed people work best on things they care about. In a region as dynamic and cosmopolitan as northern Illinois, there are always more opportunities than there are resources to pursue them. There is also intense competition, particularly for initiatives that appear to be sure things, so success requires a willingness to take a few risks. Some initiatives fail, but failures can be useful, especially if the players revisit Collins' Hedgehog Concept with those failures in mind. Can the division's progress be sustained? Only if new initiatives reinforce existing projects and if new and continuing staff maintain the discipline necessary to pursue achievable goals consistent with the university's role in the region and the division's core values of collaboration and regional impact. Much has been achieved, but the university is again undergoing a major administrative transition and is again facing unresolved financial issues. The success of the division will be measured as much by its ability to perform under new leadership as by its history of success over the past decade.

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#### NOTES

1. The U.S. Census Bureau (2012) is the source for these figures, which represent money income earned between 2007 and 2011, in 2011 dollars.
2. Figures represent the percentage of persons 25 years of age and older between 2007 and 2011 that attained a baccalaureate degree or higher. This average was 21.1 percent for the city of Rockford and 30.7 percent statewide.

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### **13. THE SHAPE OF COMMUNITY ENGAGEMENT IN URBAN CENTERS – POSSIBILITIES OR IMPROBABILITIES**

*The Case of Wayne State University, Detroit, Michigan*

To whom are institutions of higher education responsible? Is their mission dual or has it evolved to be three or fourfold? In other words, can (and should) universities emphasize simply their missions of research and teaching or should training and or community engagement be added to the portfolio? Almost two decades ago, Ernest L. Boyer wrote that, “America’s colleges and universities are now suffering from a decline in public confidence and a nagging feeling that they are no longer at the vital center of the nation’s work” (1996, p. 18). This recognition and much of Boyer’s scholarship sparked intense discussion in many countries about the mission of higher education.

One result has been an increased emphasis and flurry of activity around what has been called community engagement. Indeed, in 2006, the Carnegie Foundation, that rates and ranks universities established a new, elective classification called “institutions of community engagement.” As Boyer uses the term, it has two main meanings:

Scholarship of engagement has meaning at two levels: (1) connecting the university’s rich resources to the most pressing social, civic, and ethical problems, making it the staging ground for action; and (2) creating a climate in which academic and civic cultures communicate more continuously and creatively, enlarging the universe of human discourse and enriching the quality of life for all.

Amy Driscoll (2008, p. 39) later defined community engagement more broadly 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.” Nevertheless, despite a global interest in community engagement, there is little consensus about either the nature of the desired engagement, or, indeed, about the definition of community. The tension between community engagement as a force for social justice and as a means of collaboration and knowledge exchange has not been settled. Moreover, although the literature is replete with models and discussions of what others have done, depending on how community engagement is interpreted, its goals and forms will vary, as will the kind of higher education leadership necessary to promote it.

## PURPOSE

One of the primary purposes of this chapter is to explore some of the internal and external tensions inherent in the very concept of community engagement. To illustrate, I will examine some of the challenges faced by a major research intensive university (located in an impoverished and struggling local community) wanting to maintain or enhance a threefold mission of teaching, research, and engagement at a time when higher education seems to be under threat from many sources (Schrecker 2010) and its purposes deeply contested. Then, based on the overview of tensions and challenges, the chapter argues for a concept of critical community engagement (and thus of critical transformative leadership) as being most desirable in a community challenged by the “urbanization of poverty” (UNFPA 2007), served by numerous philanthropic organizations and a myriad of competing, often isolated, renewal efforts. This exploration will be grounded in a discussion of the activities, challenges, and tensions faced by the university itself and higher education in general, using the College of Education at Wayne State University (WSU), Detroit, Michigan as an exemplar.

This choice is appropriate because from 2006, when 76 universities took up the challenge to engage in the self-study required to be identified as community engagement intensive, 185 universities actually became so identified. One of these is WSU, located in the midtown area of downtown Detroit. WSU was founded in 1868, with the inception of the Detroit Public Schools’ Teachers College (a precursor of the college of Education) and the beginnings of the School of Medicine (now the largest single campus medical school in the US). WSU is located in the heart of midtown, a historic Detroit community targeted once again for development and renewal. Some emphasize that the vibrant community is primarily inhabited by commercial businesses, public-oriented/cultural institutions such as the public library and the Detroit Institute for the Arts, religious buildings, and housing developments aimed at attracting young entrepreneurs to the city.

Others emphasize that WSU is uniquely located in one of the most blighted, impoverished, and challenged urban centers in the world. According to Wayne’s website, “Wayne State is among the nation’s prestigious 2.3 percent of universities with Carnegie classification of RU/VH (Research Universities, Very High research activity),” a rating it shares in Michigan with its better-known peer institutions, Michigan State and the University of Michigan (WSU 2012a). WSU is also one of only two *urban* public universities, and one of 37 research-intensive universities in the United States to hold both the Carnegie “Very High Research” and “Community Engagement” designations (WSU 2012a).

## SOME THEORETICAL PERSPECTIVES

Although much that has been written about community engagement and higher education seems descriptive and rarely grounded in a particular theoretical perspective, it is useful to review briefly what is known about this topic.

In general, the first issue is a debate about whether community engagement is a legitimate function of institutions of higher education (Watermeyer 2011). Some



argue whether community engagement is the third leg of the higher education stool, a function equally as important as scholarship or teaching, particularly for those institutions historically largely supported by taxpayer dollars or whether it is a distraction from these other core activities.

Moreover, community engagement is often described in terms of dimensions such as “teaching and learning, curriculum design, policies, research, external relations, social and cultural engagement, partnerships with school and educational providers, economic engagement and organization and participation of students” (Bernardo, Butcher, and Howard 2011, p. 188). This notion of engagement seems primarily to involve a series of transactions with the local community in which the university offers some benefits in exchange for some access, sites for service learning, for students teaching, and so on.

Other scholars posit that “higher education institutions often fall short of making a real impact in their home communities” (Pasque et al. 2005). Perhaps this is best illustrated by the number of descriptive studies of projects from various universities that tend to focus on the potential impact of student teaching or service learning on the wider community (Butin 2010). At best, this form of community engagement coincides with what has come to be known as transformational leadership—a form of leadership in which the focus is the efficient and effective operation of the organization or institution (Leithwood 2011). As we shall see, these are largely the notions of engagement emphasized by most universities, including Wayne State.

However, there is a third way of conceptualizing community engagement, one that is more *critical* and more aligned with what others have identified as *transformative* leadership (Blackmore 2011; Starratt 2011; Shields 2011; 2013). Critical transformative leadership starts with the premise that one must attend to the materials realities of the society in which the organization is located—realities that certainly impinge on the institution’s ability to succeed and on the ability of members of the community to successfully navigate the organizational structures and realities. Maria Bernardo, Jude Butcher, and Peter Howard (2011) open their article by citing Cooper’s statement of 2005, which states, “Universities are morally accountable to society in general through scholarship, research and leadership with the communities which they serve” (p. 187). They are therefore arguing that the moral responsibility includes a role of social transformation that goes beyond that of individual faculty members or programs. In other words, simply offering community service projects or an infusion of development funds does not necessarily fulfil this moral function of social transformation. It does not automatically or inherently attend to the socio-cultural, political, or economic needs and ideologies of the community in which the institution is embedded.

Some scholars, therefore, select this third option and position community engagement as a transformative function. Sue Scull and Michael Cuthill (2010), for example, argued that community engagement has the potential to increase access to higher education by low-income students. A related approach describes the use of community engagement as a means to community development (Netshandama 2010). Additionally, Bernardo, Butcher, and Howard (2011) defined community

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engagement as “the broad intentions, programs and activities, embedded in instruction and research, in order to address various forms of marginalization of communities and individuals as a way of fulfilling a university’s stated mission” (p. 188). The reference to addressing various forms of marginalization is consistent with what could be called a social justice or transformative role for community engagement.

Thus, it is important to acknowledge that there are competing conceptions of engagement, social transformation, the leadership required, and so forth. These distinctions suggest that those arguing for community engagement should be explicit about the nature of engagement they are advancing and that they will need to ensure that the activities they are advancing are consistent with their stated goals. At this point in the twenty-first century, once one has addressed the fundamental question of whether community engagement is a legitimate function of higher education, the discussion needs to focus on what might comprise appropriate forms of engagement and what impact is possible both for the university itself and for the community at large.

#### THE CONTEXT: OVERVIEW OF DETROIT AND DETROIT PUBLIC SCHOOLS

To examine these tensions related to community engagement, we turn now to the city of Detroit, a city that has attracted much national and global attention. The city of Detroit, strategically situated on the banks of the Detroit River, facing Canada, was once a thriving metropolitan area with incredible architecture, bustling streets, and a thriving economy.

##### *A City in Decline*

At its height, counted in the 1950 Census, the population of Detroit was 1,849,568 residents (AlHajal 2012). During the first decade of this century, Detroit declined again, losing another 25 percent of its 951,848 population, with further, smaller declines in the next two years. Thus, the current population is approximately 700,000. As of 2010, 82 percent of the population was African American, another 6.5 percent Latino/Latina, and 10 percent Caucasian (CLRSearch 2012), a change from the 77 percent Caucasian population in the 1970s.

In many neighborhoods, streets are lined with falling down and often burned out houses and empty fields, interspersed with a few minimally acceptable residences. Stores are boarded up, garbage lines many streets and freeways, and many school buildings are closed. The declining population, high numbers of housing foreclosures, unemployment at 21 percent (U.S. Census Bureau 2012), a high and growing homeless rate, and general fiscal downturn has resulted in a decrease in the tax base. As a result, the city struggles to maintain services, such as keeping streetlights illuminated, providing adequate garbage pick-up, etc. The situation seems hopeless to many, and one often wonders if the city can ever recover.

*A City in Renewal*

At the same time, Detroit boasts well-groomed neighborhoods, impressive and relatively affluent historic areas, a revitalized Riverwalk and waterfront, and increasing entrepreneurial activity. In fact, Detroit experiences the fastest growing and largest population of young entrepreneurs attracted by the availability of inexpensive housing, low cost business properties, and extensive interest on the part of Michigan's major universities and many philanthropic organizations—all concerned about, and dedicated to, the renewal of Detroit.

Thus, co-existing with the blight and despair is a sense of excitement, a hopeful aura of entrepreneurial activity, thriving fine and performing arts venues, exciting sports teams, and large national and international exhibitions. CBS news reported that Wayne State's Tech Town initiative, a research and technology park and business incubator, has had a significant economic impact on the city (CBS Detroit 2012). Many former residents, such as Kid Rock and Aretha Franklin, having become rich and famous, have returned to the city to participate in activities that support its renewal. Entrepreneurial activity is unusually strong, and in August 2012, Forbes carried a headline that read, "Wish You Bought Gold in '06? You'll Wish You Bought Detroit in '12" (Linkner 2012).

*Detroit Public Schools—A Wasteland of Lost Opportunity*

The situation in Detroit Public Schools (DPS) is similarly bleak, but with glimmers of hope. Concomitant with the Detroit demographic change, the population of Detroit Public Schools has declined from 293,000 in 1967 to 164,178 (91 percent African American) in 2001 to its present complex population of 51,674 in an array of traditional, charter, and self-governing schools (Frankenberg 2003). The new Michigan Education Achievement Authority is educating students in an additional 15 schools—a district for the state's lowest performing schools, led by the Kansas City import, Dr. John Covington. It should be noted, however, that there are still approximately 137,000 children between ages 5 and 17 who live in Detroit, many of whom, therefore, are either home schooled or are enrolled in private schools.

In recent years, reports of corruption, fraud, waste, low graduation rates, and poorly equipped and funded buildings have resulted in many students exiting DPS for private or charter schools. In December 2009, Ryan Beene wrote, "The Detroit Public Schools posted the worst scores on record in the most recent test of students in large central US cities." Two years later, in 2011, despite having been under the direction of a state-appointed emergency manager, Kyle Olsen wrote, "Few school districts in America rival the dire condition of Detroit Public Schools: staggering dropout rates, functionally-illiterate high school graduates, a dysfunctional school board and a sea of red ink." Estimates of graduation rates vary widely, ranging from 32.6 percent from the U.S. Census Bureau (2010 American Community Survey) to a high of 62 percent.

Regardless of the figure, this shockingly low number is the highest in a number of years, and numerous agencies, universities, and foundations are attempting to

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provide support and services to help “reform” or turn around” the school system. In some ways, that is both encouraging and problematic for each group has its own agenda and its own ideas about what might be needed to effect such a turn around. Moreover, it is not clear that any of the approaches is adequate to address the myriad of challenges facing such a district within the complex city of Detroit.

Instead, what is sometimes called the “urbanization of poverty”—a global phenomenon affecting over one billion people who live in urban slums which are typically overcrowded, polluted and dangerous, and lack basic services such as clean water and sanitation” (UNFPA 2007), seems to have permeated both the city and its school district. Thus, a sense of despair and hopelessness, too often accompanied by pervasive deficit thinking and well-intentioned but ill-conceived attempts to “fix” the problem, are ever-present.

#### WAYNE STATE: ENGAGEMENT AS ENTREPRENEURIALISM?

Located in the heart of downtown Detroit, in an area known as Midtown, WSU has had a strong and visible presence since 1868. In fact, one can hardly mention Wayne State while in Detroit without the respondent providing a number of relatives who have attended the university. It has therefore, a strong and loyal following of citizens who attribute their opportunities and success, in part, to Wayne State. Wayne’s website indicates that:

Wayne State takes its responsibility to its city and state very seriously, and, as an urban university, supports the conviction that American society is infinitely strengthened by the participation of people from many cultural and ethnic backgrounds. Such participation ideally begins with the ability of higher education freely to assist persons of all cultures and races to develop the knowledge and skills necessary to function in the broader community as responsible, productive citizens.

The University proclaims a proud 144-year history of serving Detroit and its residents and, since 1999, has spent over “\$700 million dollars on projects that have changed Midtown’s landscape and ambience” (WSU 2012b). Among its initiatives are several related to the midtown area, including the “15 by 15 project,” a partnership with the Hudson-Webber Foundation which seeks to attract 15,000 young professionals to the Midtown area by 2015, a “CEOs for Cities” partnership with other major institutions, and a “live in midtown” housing incentive program to encourage people to live where they work. To accomplish these and other community engagement goals, as former WSU president, Jay Noreen, acknowledged, in a 2010 speech, “an upgrade of Detroit’s K-12 public schools is fundamental to attracting the young professionals essential to any renewal of Midtown – or of the city as a whole.”

Commitment to community engagement continues to swell, and in August 2012, the university launched its community engagement website (<http://wayne.edu/communityengagement>). Among other activities, the site identifies the members of the president’s advisory board that comprises 44 partner

agencies, each represented by prominent members of the community. The site emphasizes that “helping to build a successful community is part of Wayne State University’s urban mission,” describes activities related to special programs and partnerships, community partnerships, economic development, and government affairs. Yet, the sheer number of partner groups, ranging from the United Way, to Pepsi Bottling Group, to New Detroit and the United Negro College Fund suggests the challenges involved in finding a cohesive direction or consensus about activities or approaches. Of course, the list is not comprehensive, with entities like Detroit Public Schools and the Metro Bureau, or an endowed partnership related to adult literacy, *Reading Works*, absent from the list.

The number of national funding agencies and foundations who have an interest in the redevelopment and renewal of Detroit compound the challenges. To further emphasize its commitment to connecting industry to university resources, the university has recently developed a “Front Door” portal to all of the university’s resources, sponsored jointly by the Office of the Vice President (VP) for Research, the VP for Development and Alumni Affairs, and the VP for Economic Development, supported by something called the “new Economy Initiative,” a philanthropic initiative for the whole region.

Despite all of these players and initiatives, we must still grapple with the question: What can universities that are committed to their engagement with their communities realistically accomplish when confronted with internal and external competing goals and perspectives? Can an emphasis on entrepreneurialism co-exist with a desire for community engagement that might fundamentally improve the material realities for the city’s neediest residents? Despite all of this activity, we must acknowledge that it is possible to change the landscape and ambiance of part of a city without fundamentally addressing the marginalization of communities and individuals. Indeed, the need to attract young professionals to the downtown core and to connect industry to university resources could benefit both the university and city without necessarily addressing the fundamental problems of poverty or illiteracy.

#### *Some Additional Tensions*

Wayne State’s location in downtown Detroit certainly exacerbates some of the challenges; yet, it also shares with other urban universities other tensions inherent in the terms “community engagement.” What is one’s community? Is it geographic, religious, cultural, local or global? Whom should a university serve (and even prioritize in a time of scarce resources)—in-state students whose families have traditionally paid taxes that help support higher education or international students who generate more revenue, which in turn, some argue, can help to support more local students in high-cost programs? What does it mean to be an urban university and does that exclude an emphasis on the suburban areas surrounding the city? In fact, should one even use the term “urban” with its connotations of blight and poverty, or should it be replaced with an emphasis on metropolitan or cosmopolitan to signal the increasing diversity of many urban

areas? Hence, there is continuous debate over both what it means to be an “urban” university and with which communities the university should engage on an ongoing basis. Regardless of how one answers the above questions institutionally, it must be acknowledged that every university has numerous faculty research, training, and service projects that involve individual faculty, and sometimes small groups of interdisciplinary faculty, working together in the wider community. These projects, while hopefully and occasionally truly mutually beneficial, are often primarily transactional—promoting the career of an individual researcher without necessarily offering major communal benefits.

Moreover, mitigating modern day institutions’ ability to adequately address the above questions is a number of exigencies and tensions shared by research universities in particular and others experienced by Wayne State in particular. One of these is that, in today’s climate of globalization and internationalization (Childress 2006), there is a competing strong push to strengthen overseas partnerships (particularly in the Middle East and China) and to broaden recruitment efforts to focus less deliberately on the local (in this case, on Detroit) and more intentionally on students from across the United States and abroad. At the same time, the major foundations that have expressed interest in Detroit see it as a laboratory for research into community engagement, renewal, and development. In fact, during the announcement of a recent multi-million dollar gift from a major donor, the discussion focused on how the endowment would enable the project to bring to scale the efforts with community-based partner agencies to address the 46 percent adult illiteracy rate in Detroit.

Even when a partnership has existed for decades, current funding restrictions may jeopardize its continuation, as in the case of the longstanding partnership between the College of Education and the Metro Bureau—a voluntary coalition of

public school systems, community colleges and universities in Southeastern Michigan whose purpose is to support member districts to: improve student learning; enhance the development of leadership skills; understand diversity to provide access, respect, inclusiveness, and community; create cost-effective and efficient practices for school operations (e.g., consortium energy purchasing arrangements); and provide accurate data for negotiations and operations of member districts. ([www.Metrobureau.org](http://www.Metrobureau.org))

In this case, challenges posed both by the membership fee (based on student enrollment) and the increasing demands on school-based administrators’ time, have resulted in a sharp decline in the number of institutional members for the 67-year old organization.

Additional generally experienced tensions include the lack of a higher education reward system that addresses and rewards community engagement initiatives and the need for universities, colleges, and programs to increase their *U.S. News and World Report* rankings by enhancing their level of research grants, scholarly publications, and philanthropic donations. Richard Watermeyer’s (2011) study in Britain, for example, shows that the very need for community engagement is contested as a goal for higher education; the situation in North America is no

different. Moreover, in an age of intense competition for students, including those from abroad, the efforts of many higher educational institutions are fragmented, as opposing goals compete for attention and scarce resources.

One tension experienced by Wayne State and other universities located in impoverished urban centers has been exacerbated by recent legislative changes, both at the state and federal level. The university has typically seen itself as “university of access”—one to which students from Detroit and its environments could easily gain entrance. However, the lower required entrance GPA seemed to be accompanied by a lower than average graduation and completion rate—and especially poor numbers for the high percentages of African American students enrolled at the university. This has led some administrators to question whether we should continue to attract as many “low-income students who qualify for Pell grants because they do not represent families for whom educational aspiration or achievement is the traditional norm.” Similarly, many attribute the poor completion rates of minority students to their “lack of initiative” and “non-traditional status.” Despite the general desire to maintain Wayne as a site of access, something must be done to address its undesirable situation as having one of the worst retention and completion rates for African American students in the United States. Articles in both local and national newspapers proclaim the dismal record of the university with headlines such as “Wayne State University: In a black-majority city, but one of the worst at graduating African Americans” (French 2012) or “What’s the Matter with Wayne State?” (Carey 2010), a headline from the widely circulated *Chronicle of Higher Education*. There is little doubt that such headlines, and the knowledge that the White graduation rate is four times that of Black students, lessen the general support for the university and raise concerns on the part of many community members.

On average, about half of the graduating students at Wayne are Caucasian, with the rest representing numerous ethnic groups and regions of the world. More than half of Wayne’s entering freshmen avail themselves of tuition assistance in the form of Pell Grants (more than twice as high as the national average for undergraduate students in general; Heller 2012). Moreover, because retention and six-year completion rates comprise some of the metrics on which the state of Michigan bases its higher education funding allocations, for the 2012-2013 fiscal year, WSU received the lowest percentage increase (0.9 percent) among the 15 public Michigan universities. In part, to address these issues, the University has recently reorganized its approach to student services, hiring a new Interim Associate Provost for Student Success and a new associate vice-president for enrolment, and reorganizing undergraduate student services so that admissions, the registrar’s office, financial aid, and the student services center all report to the new VP. Early in 2012, when the university also instituted a change in admissions requirements and procedures intended to result in a better prepared and higher achieving student body, the community outcry against a perceived restriction of access for working-class and non-white students was considerable. These new admissions requirements combined with the recent changes to the federal

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regulations for Pell Grants, and the new state funding formula, further strained relationships with the local community.

Again, we see competing interests—the good of the community and its often under-prepared and impoverished students or the economic and reputational welfare of the university itself. Overall, therefore, the challenge for universities is balancing all of the competing goals, demands, and commitments in a time of scarce resources, increased accountability, and legislative assaults on high education.

#### DISCUSSION AND CONCLUSIONS

A brief examination of the approaches and theories related to community engagement has demonstrated that the very desirability of the activity is contested, and perhaps especially in urban research-intensive institutions. At WSU, the resolution has been strongly in favor of being engaged as part of the university's identity as an urban university. Nevertheless, institutionally, the commitment has only recently been evident with the development of the website, the Front Door, and the addition of the Vice-Presidents identified above (Research, Development and Alumni Affairs, and Economic Development) who share responsibility for engagement. On the one hand, the lack of a specific office or person to take the lead in such endeavors seems to beg the question of priority as well as the need for ongoing coordination and enhancement. On the other hand, the location of responsibility in research, development, and alumni affairs and economic development seems to suggest a focus more concerned with mutual benefit than with social transformation.

Schools and colleges are required to set clear goals for research, grants, and development, but activities that fall under the rubric of community engagement are primarily encouraged as they help to attract favorable publicity or align with the interest of a major potential donor. There is little encouragement to engage in activities that assist with Detroit's transformation, and the redress of social inequities or disparities, unless they promote revenue generation or grant acquisition at the same time. When such activities bring favorable publicity, they are lauded, but there is, at this time, little in the reward structure for individual faculty members or for schools or colleges that encourages the promotion of community engagement as part of the university's civic duty; moreover, there is also some justifiable concern about activity that has the potential to be politically contentious.

In fact, this chapter has demonstrated that current competing goals, internal tensions, and pressures from forces outside the control of Wayne State and other institutions of higher education have enhanced the challenges faced by universities that are committed to maintaining excellence in scholarship and research in a highly competitive global marketplace as well as to being engaged with their local communities. To accomplish all three, the institution must first be explicit about whether the desired forms of community engagement are predominantly transactional or socially transformative, whether their function is primarily to



advance the reputation of the university in its community or to be truly transformative and mutually beneficial. Only then, can the organization and its reward structures be aligned with these explicit goals. To truly move forward, a desirable first step might be for universities to promote widespread dialogue among both constituents and community groups related to the desirability and possibilities inherent in community engagement and about the extent to which it is desirable for the university to attempt to promote civil society or to effect societal transformation. These steps have yet to be taken at Wayne State and at many similar institutions worldwide.

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**PART III**

**INSTITUTIONAL PROGRAMS, PARTNERSHIPS, AND  
CASE STUDIES IN CHINA, JAPAN, KENYA,  
MEXICO, AND SAUDI ARABIA**

SUMIN LI AND DONGFANG WANG

## 14. KNOWLEDGE MATTERS

### *The Service Mission of Chinese Higher Education Institutions*

#### INTRODUCTION

There is a persistent debate on whether a university should pursue knowledge for its own sake or for society. John S. Brubacher (1982) proposed epistemology and pragmatism as two roots of the philosophy of higher education. However, it was inevitable that pragmatism ultimately won out against epistemology in the United States since the proclamation of the *Morrill Act* in 1862, which provides a legal basis for university community engagement. More importantly, the *Morrill Act* contributes to the famous Wisconsin idea, which is a symbol of the formal recognition for the third mission of university—service, including community service. As a result of this legislation, US universities began to focus on bringing the benefits of research knowledge to a wider audience, by educating large numbers of students for whom existing elite universities could not accommodate. US universities also began to develop new areas of study, which were oriented toward more practical affairs, such as agricultural extension programs that brought advice and assistance from university-based scientists to farmers in sometimes remote and rural areas (Rhoten and Calhoun 2011). We cannot deny that American higher education practice provides the rationality for university engagement and service, which has spread to universities nearly all over the world today.

It is noteworthy that the emergence of the knowledge society led to the increasingly important role of knowledge in society at the end of the twentieth century. In this knowledge society context, social and economic developments rely more heavily on knowledge, which has been identified as a key factor in the production process. The interwoven relationship between the university, industry, and government in the global knowledge economy has been called a triple helix (Etzkowitz and Leydersdorff 1997). Therefore, we argue that it is not necessarily contradictory for higher education institutions (HEIs) to pursue knowledge for their own sake and for society, because both teaching and research activities in HEIs are grounded on knowledge and provide direct or indirect support for social services. In this chapter, we look at the service mission of Chinese higher education institutions (HEIs) to answer the following questions. First, how can the service mission of HEIs be better integrated with the other two traditional missions of the university—research and learning in knowledge society? And second, what are the pathways and values of the service function for different types of HEIs in China? Although this chapter deals mainly with the Chinese case, the findings can be of interest to a broader audience at a time when HEIs in many countries are

developing and exploring their social service. We need to clarify the term “service” at the beginning of the chapter. Existing literature uses different kinds of terms to refer to the third mission of HEIs, such as community engagement, outreach, and so forth. The Carnegie Foundation subdivides engaged activities into two broad categories. The first is “curricular engagement” and the second is “outreach and partnerships.” Other commonly-used terms to describe engagement activities include “outreach,” “technology transfer,” “knowledge transfer,” and—perhaps of most concern to critics—“service” (Gleeson 2010). We choose to use the term service in this chapter because it is more appropriate in the Chinese context and also because of the direct translation from the Chinese word *Fu Wu* (which means “service”). We do agree that the term service in the chapter has the same meaning as illustrated by the Carnegie Foundation in 2007:

Community engagement describes 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. (Carnegie Foundation 2007, cited from Gleeson 2010)

The chapter begins with an introduction of the methods used in this study. Next, we discuss the history of higher education institutional service mission in the Chinese context from a policy analysis perspective. We then analyze the pathways and mechanisms of the service mission of Chinese HEIs and the differentiation of service missions owing to the rigid hierarchy of the Chinese higher education system. We conclude by offering recommendations for practice and suggestions for future development.

## METHODS

A qualitative research approach is used in this study, which has the goal to develop a thorough subjective understanding of a particular case or question and to analyze how this understanding produces interpretations of the policy, problems, or phenomenon under study. This research is mainly based on empirical data from websites encapsulating institutional announcements, news, reports, and policy papers. Online references and websites are becoming increasingly important reference points for organizations, including HEIs, to communicate with external audiences in order to disseminate information and construct their social image. The data available from institutional websites were interpreted as “value-oriented texts” (Walton 2005). The data analysis about case study and policy interpretation is guided by an interpretive perspective, which has the “goal of understanding the complex world of lived experience from the point of view of those who live in” (Schwandt 1994). This approach provides the researcher with the ability to “uncover and understand what lies behind any phenomenon about which little is yet known” (Strauss and Corbin 1990) and can “assist in determining the meanings and purposes that people ascribe to their actions” (Guba and Lincoln 1994). Basics are that we anchor the interpretation in what actual higher education institutions

are doing or announcing with a focus on the cases, news and policy texts related to university engagement and outreach and try to conclude their prominent characteristics and idea.

#### HISTORICAL REVIEW OF SERVICE IN CHINESE HIGHER EDUCATION INSTITUTIONS

Chinese HEIs have played an increasingly important and outstanding role in the service for society, in addition to teaching and research since the “Reform and Opening Policy” in 1978. Chinese HEIs have long sought ways to incorporate social service into their missions and have also learned from HEIs in other countries in the past few decades. The history can be divided into three stages based on crucial policies and practices during each stage (Sui and Tang 2008).

##### *The Initial Stage (1977-1985)*

Chinese higher education faced serious challenges after the Cultural Revolution. It was an urgent task for higher education to cultivate talents for social development and construction. In 1980, a policy named *Suggestions on Strengthening the Development of Adult Education and Night Learning* was approved by the State Council, which stated that higher education must adopt a two-leg strategy and multiple forms of higher education delivery to satisfy the needs of adult learning and social development.

In 1985, there were 591 HEIs, which accounted for 58 percent of all post-secondary institutions in China that held adult education and night learning offerings (Chinese Education Statistics 1988). Higher education during this period also paid much attention to the establishment and development of marginal but practical disciplines urgently needed by society, such as computer science, electronic technology, environment science, et cetera. The adjustment of disciplines and specialty indeed adapted to the scientific development and social development, and also laid a solid foundation for the further expansion of university outreach. It is noteworthy that higher education during this period emphasized providing service for society through academic research. For example, faculty members and researchers participated in important and complex national projects and many study results turned out to be a great success that led to many economic advancements. A popular slogan around 1980 which promoted the combination of education and production could be seen as the bud of marketization of higher education. Many factories or companies affiliated with HEIs were founded. According to statistics, 1,450 factories were founded in 510 HEIs, which contributed to the economic profits of RMB 282.71 million in 1981. As a matter of fact, the combination of education and production not only made economic profits for HEIs which ameliorated material condition of schooling, but they also satisfied other societal needs at that time.

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#### *The Deepening Stage (1985-1992)*

In 1984, a policy named *The CPC Committee's Decision on the Reform of Economic System* was formally passed which aimed at fastening the reform of economic system. The reform of the education system was imperative under the situation that *The CPC Committee's Decision on the Reform of Education System* promulgated. Chinese university outreach and social service took on new looks and practices owing to the reform of the education system.

First, HEIs began to put more energy in the development of practical disciplines, which laid a good foundation for the contribution to social service and consolidated the relationship between higher education and society. Second, HEIs undertook large numbers of science and technology projects. Engineering research centers were established in universities in order to cultivate engineering talents and to tackle key basic engineering research and development. This was a good way to make full use of the intellectual resources encapsulating talents and disciplines in universities. Third, HEIs played a significant role in the prosperous of regional economy. *Shanghai Pudong Development* is a good example. In 1992, more than 60 HEIs, including Peking University, Tsinghua University and Shanghai Jiaotong University, raised funds together and established a company named *Chinese High-technology Group Co. Ltd.*, which provided technological support and high talents for Pudong Development. Fourth, HEIs promoted the Teaching-Research-Production Unit. Corporations were affiliated with higher education institutions, which became an important funding source for education while providing service for society.

#### *The Mature Stage (1993 to the Present)*

Many policies and action programs were introduced at the beginning of 1990s, such as the *Program on the Reform and Development of Chinese Education* (1993), *The CPC Committee and State Council's Decision on Strengthening Science and Technology* (1995), *Suggestions on Strengthening HEIs' Service for Economic and Social Development* (1996), *Action Scheme for Invigorating Education Towards the 21st Century* (1998), et cetera. The most frequently mentioned topic in those policy texts was how to change education practice to be more adaptable to economic development, especially market economy. Since then, the development of the service mission has continued to be promoted and strengthened in various government committee reports, bills, and ordinances. The most precise and explicit statement of the HEI's third mission to date is found in the Government's policy text of *Suggestions on Strengthening HEIs' Service for Economic and Social Development* in 1998. The *Higher Education Law* that took effect on 1 January 1999 granted legal stipulation on the service mission of HEIs. In 2010, the *Program of the National Medium-Long Term Program for Education Reform and Development (2010-2020)* stipulated that: HEIs need to strengthen their capacity for social services, to open out service in more areas, and to always take service as an important responsibility. In brief, the service mission of HEIs

continues to be emphasized under the steering of national macro-policies and strategies since 1993.

The most prominent case was China's dramatic move toward mass higher education. The rapid expansion continued until 2004, when higher education enrollments at all levels reached 20 million, literally double that of what existed in 1998. The number of regular HEIs also increased dramatically over the same period, from 1,022 in 1998 to 2,263 in 2008, an increase of 121.4 percent (Zha 2012). At the same time, graduate education and vocational education provided diverse kinds of talents for social and economic development. Glancing at the funding for science and technology activities in HEIs, we argue that HEIs make a great contribution to social development. During the period of the 10th Five-Year Plan, more than RMB 1,300 billion funding was granted to HEIs with an annual increase of 18.5 percent. More importantly, the market has become an important mechanism for higher education institutional outreach especially since 2000. Besides corporations affiliated with HEIs, a new phenomenon called *daxue kejiyuan* (the university science park) is burgeoning. The university science park is an effective model to establish cooperation opportunities between education, research, and industry for its advantages in promoting the transfer of science and technology results and fostering regional economic development. In 2005, the total income incurred by university national science park was RMB 271.9 billion, and the retained profit was RMB 30.1 billion (Sui and Tang 2008). By tracing the history of the service mission of Chinese HEIs and analyzing the related policy texts since the "Reform and Opening Policy," we have learned several lessons. First, the service mission for HEIs achieves formal recognition, and more importantly, the *Higher Education Law* that took effect on 1 January 1999 granted legal stipulation for HEIs to incorporate service into their strategic operations. Second, the market is an important mechanism for the implementation of higher education institutional service missions. Third, there is a general trend that HEIs provide diverse types of service for society at various levels and on a larger scale.

#### THE PATH AND MECHANISMS OF THE SERVICE MISSION IN HIGHER EDUCATION

There is an interwoven relationship between teaching, research, and service missions in Chinese HEIs. In this relationship, knowledge is at the nexus of each mission focus. Higher education is often related to a three-legged stool analogy, where the each leg represents one of the three key mission foci of research, teaching, and service. There is a reason the higher education stool has three legs. The service leg is included because it keeps the teaching and research honest. It keeps them connected to everyday problems that people have to address. And that is part of what the role each HEI ought to have (Schuetze 2010). The importance of the service mission was emphasized because it strengthens the other two mission areas and helps make teaching and research activities more meaningful. At the very least, service is one of the three missions that universities *should* fulfill. However, in the broader sense, if we analyze the three major mission foci of HEIs, in fact, we



learn from Chinese history that teaching and research contribute to social service both directly and indirectly to some extent (Chen and Shen 2009). That is to say, the implementation of the service mission is based largely on the teaching and research activities of each HEI.

Many scholars agree with the argument that knowledge is at the nexus of higher education and HEIs. Yuanpei Cai, a famous Chinese scholar and President of Peking University in the early twentieth century, stated, “University is the place to do research on higher learning.” John Henry Newman (1996) proposed the argument that the university is a place to transmit universal knowledge. Burton R. Clark (1983) emphasized that HEIs are organizations that control advanced knowledge. HEIs are institutionalized organizations focused on advanced knowledge according to Chen Hongjie (2006). Both teaching and research activities are involved with knowledge. HEIs are important organizational resources in terms of their role as knowledge producers and providers of expertise in teaching, academic research, and service. First, teaching is the activity that aims at cultivating talents that societal needs by knowledge transmission. As illustrated in the history of the Chinese university, there are many ways to provide service for society through teaching, which includes training and continuing education, undergraduate education, and graduate education. Second, research is the activity about knowledge creation and production, which contributes to society through science and technology innovation in the natural sciences and culture or spiritual areas in the humanities and social sciences. Third, HEIs can also provide direct service for society through knowledge transfer and application. Our theoretical logic and findings can be summarized succinctly in [Figure 14.1](#).

The service function cannot be separated from teaching and research and would be strengthened if the three missions are interwoven. As organizations specializing in knowledge accumulation, transmission, production, and transfer, HEIs play a leading role in teaching, research, and service as an integrated system. The teaching, research, and service functions in higher education cannot be realized without including knowledge. Therefore, the service mission of these HEIs is implemented through integration with research and teaching, with knowledge as the nexus. We can divide the social functions of HEIs into two primary aspects. The first is the duty and effectiveness that HEIs should undertake for society. Government places most confidence in HEIs as promoters of economic growth. From this perspective, the subject is the society. What kind of social functions HEIs should take? This is a kind of thinking about the role of HEIs in society. It is recognized that HEIs contribute valuable resources through specialized knowledge and expertise. Great expectations are placed on HEIs to cooperate with businesses and industry. Second, HEIs have the ability to provide assurance for society through using their own resources and the capacity to cooperate with related resources. At the same time, HEIs tend to be able to obtain more resources for their own capacity development. From this point of view, the service function of HEIs is actually how to deal with the development relationship between HEIs and society (Chen and Shen 2009). We conclude that the current higher education service mission in China can be reflected in two aspects: teaching and research. The

service function includes educational training, scientific and technological services, consulting services, information services, facilities management, et cetera.

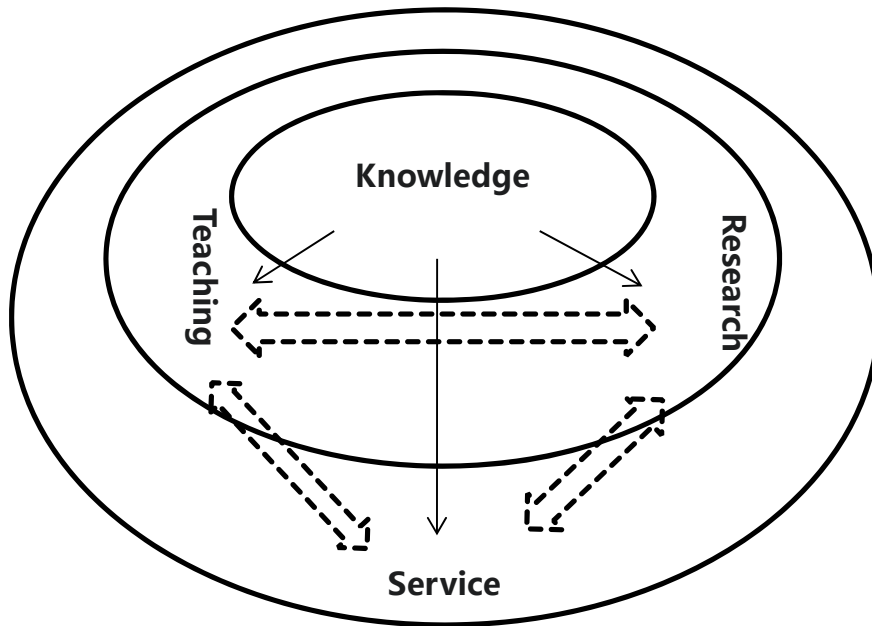


Figure 14.1 The Interwoven Relationship between Teaching, Research, and Service  
 Source: Created by the author.

We can get a clear clue from Chinese policy context that the goal of higher education is to train talents and professionals for society. Jean-Francois Lyotard (1984) notes that the professional functions of higher education are to (1) cultivate the capacity that young people need in their vocation, and (2) in offering training or continuing education opportunities. In addition, many facts are available to support the conviction that knowledge production is a mechanism for the realization of service mission. For instance, Tsinghua University established a cooperative relationship with hundreds of enterprises in the areas of science and technology, in which 90 percent of the results of research projects were applied during application and they directly contributed to economic benefits (Ma 2009). HEIs explored many beneficial paths to do service for society, such as producing knowledge, creating new technologies, summarizing new experiences, and transferring all these into productivity. They also provide the society with human power, technological, and intelligent support through providing the technology and consulting service, establishing the university science parks, and providing direct service to resolving social problems.

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BEYOND TEACHING AND RESEARCH: KNOWLEDGE  
AS HIDDEN PRACTICE FOR SERVICE

The “Silicon Valley Effect” aroused much imagination about community engagement. In China, as in many other countries, national and regional governments have long used HEIs as an important ingredient in policy formation. Particularly after the 1990s, great hopes have been placed on HEIs to function as driving forces for regional development. The most convincing case is that many cities construct high-tech community closely around university by subjective programming. However, the energy and passion of a higher education institutional contribution to community or society are more than simple planning or teaching-research. The most valuable resources in higher education are knowledge, wisdom, innovation, and human resources. The contribution of higher education’s third mission to society is not only visible in areas such as economic construction, but also pervasive in invisible areas such as in political and cultural development. President Hu Jintao put forward the idea that cultural mission is the fourth mission of HEIs at the 100<sup>th</sup> anniversary ceremony of the founding of Tsinghua University in 2011. In the United Kingdom, the Robbins Report in 1963 on higher education identified “the transmission of a common culture and common standards of citizenship” as one of the four objectives of a higher education (Macfarlane 2005). HEIs are expected to favorably affect society by educating highly-qualified labor power; to have a positive effect on employment; as well as to contribute other favorable characteristics by strengthening the cultural climate and creating a more attractive living environment in the region (Hudson 2006). HEIs as intellectual communities transmit knowledge to nearly every corner of our society and build up or foster a cultural atmosphere with knowledge as a hidden practice for service.

In step with the growth of the knowledge-driven economy and globalization, it was common for governments, as well as HEIs, to emphasize the important international roles HEIs play. Higher education institutional service missions go beyond the limit of physical space and can be extended to larger communities, which includes both community engagement in the traditional sense, regional development as the case of the university science parks in China, and the national and global cultural harmony for international reciprocal benefits. In the global knowledge society, the service mission that HEIs should be responsible for is not only to adapt to social needs, but also to take the important task of leading the development and transformation of society especially from a cultural perspective. Generally speaking, we learned from Chinese practice that there are many ways to implement the service mission, including through undergraduate and graduate education, continuing education and short-term trainings, research and development, cultural transmission, critique, and innovation.

THE HIERARCHY OF THE CHINESE HIGHER EDUCATION SYSTEM AND  
THE DIFFERENTIATION IN SERVICE MISSIONS

A number of far reaching changes have been taking place in society that have had important effects on the development of the service mission within higher

education. The rapid expansion of higher education and the diversification of HEIs throughout the whole of China indeed have affected the practice and value of the role service plays in different types of HEIs and colleges. In general, HEIs in China can be classified into three categories: research universities; higher vocational colleges; and local universities (Pan 2005). Different types of HEIs play different roles in how their service missions are implemented. Research universities focus on advanced learning and research, higher vocational colleges emphasize connecting with the market in a more direct way, and local universities aim at training students with both pure knowledge and applied skills (Pan 2005). Therefore, we conclude that the hierarchy of HEIs contribute to the differentiation of the service mission in Chinese HEIs. The service function and values to serve the society for different HEIs in China, such as research universities, local universities, and the higher vocational colleges, are quite different. However, the service function of Chinese HEIs is intensified and attracts much more attention from the government, industry, and the community at large.

#### *Research Universities*

Research universities specialize in multiple disciplines, which laid a solid foundation for graduate education and academic research. Compared with other types of HEIs in China, research universities are at the top of the higher education pyramid and play a central role in the educating of elite talent, creating new knowledge, and in generating excellent services. The functions that have been taken by research universities are much more intensive and extensive, which has in many ways made led to the convergence of innovation and the intellectual community. The Chinese central government targeted research universities as an important national strategy focus in the fostering of world-class universities, such as the launching of Project 211 and Project 985. Based on the Chinese context, research universities mainly focus on the following types of service on the national and international levels through knowledge production, transmission, and application.

The prominent role research universities play is they produce knowledge through research projects, cooperation with government or enterprises, and through the establishment of research centers. The Zhejiang University National Science Park is one example. It was authenticated as a national university technology park in 2010 with the efforts made by both the university and the local government. In order to promote the cooperation between industry and the university and to quicken the construction of the research and development platform, engineering research institutes and other R&D institutes have been established within universities across the country. The enterprises have signed contracts with 107 science and technology projects including National High Tech R&D 863 Project, Torch Program, SME Innovation Funds, et cetera and obtained more than 50 million RMB in funds. The Zhenjiang University National Science Park (2012) relies on universities' preponderant disciplines and advantageous resources, absorbs domestic and foreign scientific and technical resources, and focuses on

developing advanced equipment manufacture and new energy sources, biotechnology, software and service outsourcing, sensor network and smart equipment. Although some of the existing literature proposes that there is a contradiction between the academic culture and pragmatism at research universities, it is not always the case. This argument justifies what which has been justified by Pierre Bourdieu as the clash between elite culture and popular culture (Rowley 2000), a creative way to provide service for the community was through the reestablishment of the *Beijing Daxue Pingmin Xuexiao* (Peking University Common School) around 2006. President Yuanpei Cai initially established the Peking University Common School in 1920, and it was revived from a research project directed by several faculty members at the Graduate School of Education at Peking University. The Peking University Common School aims at cultivating workers from villages with communication skills, learning capacity, and basic foreign languages and computer skills to help them better adapt to city life and culture. It is free and open, and the school sticks to the statement “transmit the idea of equality, achieve the dreams of the Common People.”

#### *Higher Vocational Colleges*

Higher vocational colleges were established to promote the economic development at the regional or community level. The disciplines and specialty were set up according to local characteristics and needs, which constitute the basis and rationale for the survival and development of higher vocational colleges. The idea of higher vocational colleges is to provide comprehensive services for local economies. That is to say, the service mission of higher vocational colleges consists of training various types of highly-skilled cadres, solve practical issues through research, and perhaps more importantly, provide direct services to the community (Luo 2009).

A more coherent strategy and an action program named the *Decision on the Development of Higher Vocational Colleges* was introduced in 2005. This program states that the central goal of vocational education is to provide services for the construction of the socialist modernization. Immediately after, the Ministry of Education and the Ministry of Finance initiated *Guojia Shifan Gaozhi Yuanxiao* (*National Model of Vocational Colleges*) in 2006, in which specific requirements for the service mission of higher vocational colleges was clearly stated. These requirements include the following. First, higher vocational colleges should play a central role in new technology transfer, training of workers' skills, transfer of the rural surplus labor force, training of the work force from villages, and the building of a new socialist countryside. Second, higher vocational colleges ought to construct technological advantages in particular areas and come establish regional centers technology innovation and service which would enable further regional and vocational development.

Let's explore further into the practice of service mission of higher vocational colleges in China. There are several paths whereby higher vocational colleges can implement their service missions. First, they need to prioritize their training

programs, so that the training of students is based on the employment needs of specific enterprises, industries, and contracts which are assigned at the students' initial enrollment stage and help with the transition between vocational colleges and employment. Priority-based training programs are an effective way to fulfill the service mission and make full use of the advantages of higher vocational colleges. Second, higher vocational colleges should establish in-service training programs to fully utilize their resources to provide skills training for workers and the unemployed. Third, find was to provide community engagement service opportunities. For example, Zhongshan Vocational and Technical College participates in community service programs mainly in the following two ways. First, a social work institution and station oriented to meet community needs were established in 2009 to provide services for the disadvantaged in the community and train social workers directly. Second, Zhongshan College Graduates' Incubation Base was established in Zhongshan City to further the innovative undertaking of college graduates in 2010. Zhongshan Vocational and Technical College takes full responsibility in the management of the Incubation Base and provides both human resources and intellectual resources to staff the Base. By August 2011, there were more than 76 innovative undertaking groups stationed in the Zhongshan Incubation Base, which produced more than 38,000,000 RMB accumulated sales turnover (Wu 2011).

#### *Local Universities*

As mentioned previously, the aim and function of local universities are different from that of research universities and higher vocational colleges; however, local universities support the combination of both academic and professional emphases. Local universities account for 95 percent of China's 2,286 HEIs, and of course, they are the main force in providing services for regional economies and the development of all professions. For example, local universities adjust their program structures and curricula to best meet the needs of regional social and economic development and the labor market. Local universities also provide consulting for regional government decision-making through analyses of the economy and policies and research. They further provide technological consulting, technological dissemination, and technological transfer for the community. In addition, local universities operate university-based enterprises, develop science parks, organize university students to take part in all kinds of activities serving the local economic development, et cetera. Local HEIs form their own distinguishing features and discipline niches, and often become advanced teaching and research stations.

The general mission of all types of HEIs in China includes undergraduate and graduate training, academic research, cultural leading or transmission, and in providing other direct services for society. However, the implementation of the service mission varies depending on the type of HEI, which shows the distinct paths and values each type takes because of the hierarchical structure of HEIs in China. Each type of HEI has its own institutional characteristics and functional role

in society. For example, research universities implement their service mission with the help of higher learning and research projects at the national level, higher vocational colleges mainly focus on the needs of local communities, and local universities play a rather important role in the development of the local economy and in social development. According to Talcott Parsons' structural functionalism theory, society has its own structure with specific functions, so social structure is an organized system. It is important to take different types of HEIs as an integrative system when we analyze the role of higher education, because research universities, higher vocational colleges, and local universities play their own special role in the implementation of the third mission of higher education.

Usually we pay much attention to the competition between HEIs but ignore their cooperation. If we desire to make all HEIs fully exert their service function, we should focus on the cooperation that exists between and among different HEIs. As we observe from the Chinese higher education context, there are mainly two ways to strengthen cooperation between different types of HEIs. First, the Ministry of Education should play a leading role, and has initiated a partner assistance program in 2001 between universities in the Eastern and major urban centers and those in the rural and remote regions of the country. The general goal of this program is to prosper and realize the full-scale development for the Western and more remote regions of the country. For example, Peking University has partnered with Shihezi University in Xinjiang. Peking University assists Shihezi University by training teachers and administrators, constructing disciplines, teaching courses, performing academic research, management, and other types of cooperation. Second, there is a rise in the cooperation for training personnel or doing research projects between institutions. For instance, two research institutions in Tianjin—Tianjin University and Nankai University—have their own distinctiveness and make full use of their institutional strengths to contribute to social development. The two universities have articulation agreements in place for earned credit recognition, and students can take general courses from either of the two universities. Therefore, we argue that there is a need and potential for different types of HEIs to cooperate with each other in order to fulfill the social service responsibilities in a more effective and holistic manner.

#### CONCLUSION

In this chapter, we draw on policy and practice in China in order to generate the inner logic of university service missions and provide suggestions for other countries. The service mission of Chinese HEIs is best implemented through an integrated approach in conjunction with research and teaching, with knowledge serving as the general nexus. As different HEIs deal with different levels and types of knowledge, the service functions and goals to serve society differ significantly for each HEI. Moreover, as an intellectual community, HEIs can transmit knowledge to nearly every corner of society and foster a cultural atmosphere with knowledge as a hidden practice of service. Therefore, the basis for the

implementation of the service mission of HEIs is to focus on knowledge transmission, production, and creation.

HEIs are complicated organizations because they have different historical layers and many disciplines, all of which have a distinct relationship to society and can meet the social needs from multiple dimensions. The primary mission for universities during medieval times was cultivating talents through teaching. The second “research mission” was proposed at the beginning of nineteenth century with the founding of Humboldt University in Berlin, Germany. The third mission can be traced back to the *Morrill Act* in 1862 and the land-grant college movement in the United States. Higher education’s service mission points helps facilitate the direction of scientific research and teaching. Furthermore, increased higher education autonomy creates greater opportunities for cooperation with other institutions or providing services to the outside world to a greater extent and a growing need for external funding. That is to say, it is vital for HEIs to engage in bilateral or multisectoral cooperation partnerships, share in knowledge and intellectual resources directly into social practices, and promote social and economic development. In a reciprocal manner, HEIs also gain resources and support from society to advance their institutional reform and development needs. The service mission of HEIs gradually promotes its own strength as it serves society, therefore, the service mission leads to a win-win cooperation with communities and society at large.

Having said that, it should be added that it is more fruitful to understand the service mission of HEIs based on the structural functionalism theory, as the activities that HEIs engage in is generally at the forefront of knowledge creation. However, different HEIs deal with different levels and types of knowledge, including preserving historical knowledge and cultures. So, the institutional service mission ought to be consistent with its own orientation and make full use of its institutional strengths. At the same time, there is a need to strengthen the cooperation among different types of HEIs. For HEIs, the knowledge society discourse is translated into a need to serve a largely knowledge-driven economy because of the need to be more efficient in innovation production and HEIs are expected to be more efficient institutional actors. However, the challenge for HEIs is not only to perpetuate and produce new knowledge, but also to increase understanding among all higher education stakeholders (Kehm et al. 2009). In this regard, cultural development and critique are integral roles in globalized knowledge societies. HEIs provide the location for many intellectual communities whereby the transmission of knowledge to nearly every corner of our society can occur. HEIs are also ideal hubs to help foster a cultural atmosphere with knowledge as a hidden practice for service. Let us, then, reflect on the uncertainty of the service mission. The most radical question is whether HEIs do too much for-profit social service. According to an empirical study in 1988, 99 percent of 147 presidents of state universities and land-granted colleges in the United States regarded public service as the priority mission of HEIs (Crosson 1988). Above all, HEIs are cultural and academic organizations instead of commercial organizations,



so it is important for HEIs to stand on their own position and try their best to balance the for-profit service ventures and public welfare services.

Furthermore, HEIs are knowledge clusters that need to balance the inevitable tension between pure research and applied research or social services. It should also be noted that basic research is the forerunner of the latter and innovation. Last but not least, HEIs should serve as leaders or lighthouses for social development instead of a mirror for society. This leadership role is essential if future research is to explore the disadvantages that exist or may surface from the service missions or community engagement programs of HEIs. It is significant that the discussion be continued about the appropriate role higher education service missions play, because we live in a globalized age and a knowledge-based society that exercises pressure on HEIs to engage both globally and locally with their service missions. Therefore, further research is needed about how to provide optimal and appropriate services for society at a global level from an international perspective.

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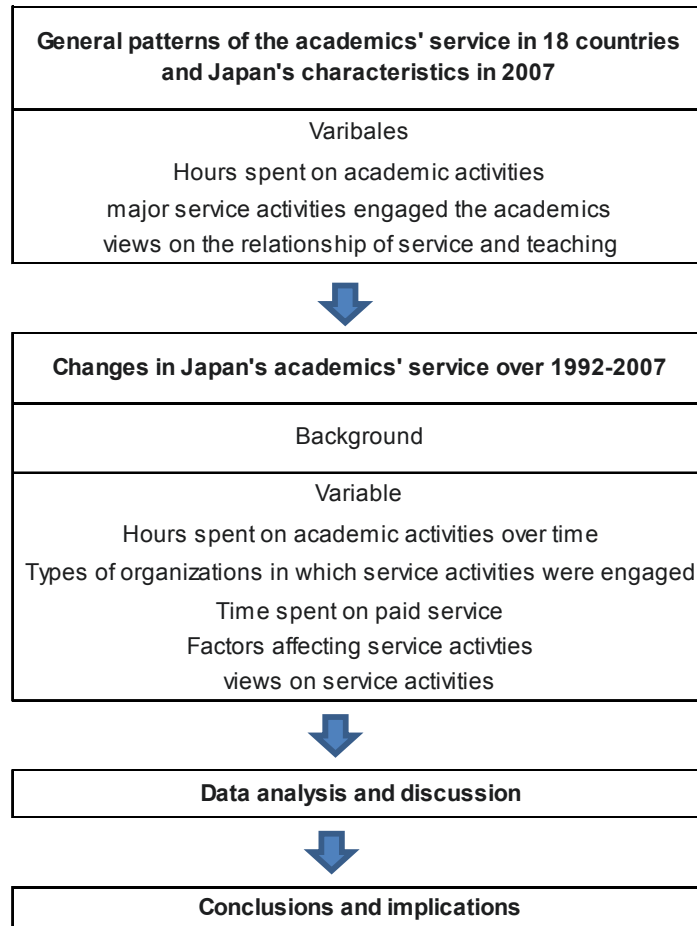
## **15. A COMPARATIVE AND EMPIRICAL STUDY OF ACADEMIC SERVICE ACTIVITIES**

*A Focus on Japan*

### INTRODUCTION

Since public service was elevated in modern US universities in the mid-nineteenth century, the mission of the university has been diversified and university academics' responsibilities have been involved with not only teaching and research activities, but also service activities (Veysey 1965). Especially since the 1990s, with rapidly growing demands from society, market, and the community, tremendous changes have occurred in almost all major higher education systems worldwide. Many higher education systems evolved from the elite stage to massification and nearly universal access according to Martin Trow's definition (Trow 1973), and academic institutions have increasingly emphasized undertaking increasing and various types of service activities. Academics' service activities have been regularly evaluated by their peers, administrative staff of their department or institutions, students, or even external reviewers (Webster 1994; Huber 2002) in some countries such as Australia, Japan, the United Kingdom, and the United States. However, compared with enormous research outcomes about academics' teaching and research activities, little is known of academics' service activities. Except for a few discussions about academics' service activities from the historical standpoint or based on several case studies at institutional levels (Boyer 1990; Finsen 2002; O'Meara 2002; Ward 2003; Neumann and Terosky 2007; Scott 2006; Shin 2010), little research has been made about academics' service activities in the comparative and empirical perspectives. The objective of this chapter is mainly concerned with the following three aspects:

- To describe general patterns of academics' service activities based on an international survey on the academy from 18 countries and Hong Kong in 2007-2008.
- To elaborate on major changes in Japanese academics' service activities over 1992-2007, which are supported by comparative findings from two similar surveys on Japan's academics in 1992 and 2007.
- To present a simple argument on the issues concerning academics' services activities in the international dimension and national context and implications for campus leaders and government policy makers.



*Figure 15.1 Research Framework of Academics' Service Activities*  
Source: Created by the author in 2013.

In accordance with the objectives, as shown in [Figure 15.1](#), the chapter begins with a discussion about the definition of service activities by university academics and the correlation between the service activities and community engagement of higher education. Then it describes a general portrait of major service activities that university academics are conducting in Hong Kong and the 18 countries that took part in the international survey. Research issues include what specific service activities with which they were involved, the time they spent on these activities in comparison with teaching and research activities, and how they considered the relationship between teaching and research activities and these service activities in individual nations and region. Third, the chapter identifies similarities and differences in these service activities among the 18 countries and Hong Kong

through a couple of variables. In particular, it focuses on the case study of Japan by selecting some key service activities that Japanese academics carried out. The chapter concludes by arguing the prospects for community engagement of higher education through university academics' service activities, the issues of institutional, national and international policy with an emphasis on such questions as what possibilities, barriers, and strategies exist.

Although the term *service activities* can be interpreted in a vast number of ways, in the chapter it is mainly concerned with services to clients and/or patients, unpaid consulting, public or voluntary services. Besides, from the comparative perspective, the 18 countries and Hong Kong are grouped into "mature" and "emerging" countries based on GDP per capital and data reported by subgroup (World Bank 2013). The mature countries include Australia, Canada, China (Hong Kong), Finland, Germany, Italy, Japan, Korea, the Netherlands, Norway, Portugal, the United Kingdom, and the United States while emerging countries refer to Argentina, Brazil, China, Mexico, Malaysia, and South Africa.

#### METHODOLOGY

##### *Samples and Data of the CAP Survey*

With regard to the comparative study of the academics' service activities in the 18 countries and Hong Kong, as mentioned earlier, relevant data from the international survey on the Changing Academic Profession (CAP) is employed. The CAP survey in 2007-2008 is in part a follow-up to an earlier survey of the academic profession in 1991-1992 in 14 countries sponsored by the Carnegie Foundation for the Advancement of Teaching in the United States. Participating country teams agreed on a common sample design and data collection instrument, but implemented in their local languages. The project team has agreed to aim for a minimum effective sample size of 800 faculty members in degree granting institutions. A majority of countries used mail surveys and other countries utilized electronic questionnaire, such as South Korea and USA. It was agreed that response rates were at least 20 percent. The CAP survey basically used a self-administered survey instrument. In order to minimize measurement bias across countries, country teams maintained a high level of standardization in terms of question order, question wording, response options, reference periods, and layout and formal design. However, because of cultural patterns and language specifics, some country teams designed national extensions to the questionnaire. Over 2007-2008, the CAP survey was exercised in 22 countries. By September 2011, the data bank included major findings from 18 participating countries and Hong Kong. Among which, the following 10 countries and one region took part in the 1992-1993 international survey: Australia, Brazil, China (Hong Kong), Germany, Italy, Japan, Korea, Mexico, the Netherlands, the United Kingdom, and the United States.

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### *Two National Surveys in Japan*

Japan research teams participated in both 1991-1992 international survey and 2007-2008 CAP international survey. In addition, in December 2006, the Japanese research team used the same questionnaire as was employed in 1992 to exercise another national survey, with a purpose of identifying what changes had happened to Japan's academics over the period of 1992-2007. In the first national survey of 1992, according to institutional types and scale, 4,853 faculty members of Japan's four-year universities were chosen. The Japanese version of the questionnaire was sent and received answers from 1,889 respondents (38.6 percent feedback rate). In the second national survey of 2006, the similar questionnaire was mailed to 6,200 faculty members working in the same 19 four-year universities and valid responses were received from 1,100 of them (24.5 percent feedback rate) in due time (Huang 2009). Both used mail surveys in the Japanese language.

## RESULTS AND DISCUSSION

### *Findings from the CAP Surveys*

As [Table 15.1](#) indicates, among hours spent on teaching, research, service and administration activities, apparently the academics who participated in the survey spent the largest percentage of their time on teaching activities, followed by their time allocation on research. Except for German academics who spent more hours on service activities (5.8 percent) than on administration (3.4 percent), the academics from other 18 countries spent even more their time on administration than on service activities. From the international and comparative perspectives, among 19 countries (including Hong Kong), the amount of hours spent on teaching by the US academics was the largest (20.9 percent.), while the academics from Norway spent the least of their time on teaching (11.4 percent).

With respect to hours spent on service activities, among all the participating countries, the amount of hours spent on service activities by German academics was the largest (5.8 percent). On contrast, hours spent on service activities by Portugal's academics were the least and constituted only 1.3 percent of their total hours per week. Moreover, seemingly, the academics from mature countries spent a higher percentage of their time on service activities, notably, the academics from Canada, US, Germany, Japan and Korea, than those from emerging countries. Compared with the other 17 participating countries, Japanese academics spent the largest share of their time on teaching activities; however, because they spent 5.4 percent of their total time on service activities, being less than that of German academics, they were also actively involved with service activities.

[Table 15.2](#) suggests that among various service activities, the largest percentage of academics served as peer reviewers, followed by those serving as a member of national/international committees. If all the service activities can be practically divided into two broad categories: academic-related activities and political-related activities, a vast majority of academics in the CAP surveys undertook academic-related activities.

A COMPARATIVE AND EMPIRICAL STUDY OF ACADEMIC SERVICE ACTIVITIES

Table 15.1 Hours Spent on Academic Activities when Classes are in Session  
(Arithmetic mean of hours per week)

	Teaching	Research	Service	Admin- istration	Other Academic Activities	Total Hours p/ Week	Count (n)
CA	19.6	16.0	4.3	7.9	2.8	50.7	1,014
US	20.9	11.9	4.5	7.5	2.8	47.7	1,060
FI	16.3	16.6	2.1	4.5	2.3	41.8	1,240
DE	12.7	16.9	5.8	3.4	2.4	41.2	1,045
IT	18.1	17.3	3.7	4.1	2.3	45.5	1,635
NL	19.8	8.9	2.4	4.2	2.9	38.2	919
NO	11.4	14.3	1.4	4.1	2.0	33.2	712
PT	20.1	11.6	1.3	4.1	2.4	39.5	1,142
UK	16.1	13.4	1.4	9.5	3.2	43.7	812
AU	17.3	14.2	2.9	8.7	2.8	45.9	830
JP	19.4	16.4	5.4	6.8	2.9	50.9	1,061
KR	20.4	18.3	4.7	5.9	3.4	52.7	891
HK	20.2	14.2	3.6	7.2	3.2	48.4	528
AR	12.6	13.3	1.7	1.8	2.3	31.7	896
BR	20.1	9.0	2.5	4.6	2.6	38.7	1,066
MX	21.2	9.2	1.7	8.5	4.1	44.8	1,780
ZA	20.6	8.8	2.7	7.0	2.7	41.8	584
CH	19.6	12.4	1.9	4.8	1.5	40.2	2,906
MY	17.4	7.5	2.8	6.7	2.5	36.9	1,087

Note: The abbreviations of participating country teams from top to bottom refer to Canada, the United States, Finland, Germany, Italy, the Netherlands, Norway, Portugal, the United Kingdom, Australia, Japan, South Korea, Hong Kong, Argentina, Brazil, Mexico, South Africa, China, and Malaysia.

Source: Data from the Center for International and Comparative Higher Education Research (CICHER), Kassel University in September 2011.

Similarly, more academics from mature countries carried out additional service activities than those from emerging countries did. From the international and comparative perspectives, over 60 percent of Japanese academics responded that they served as peer reviewers and elected officers or leaders in professional/academic associations/organizations. This clearly indicates that they also mainly engaged in the academic-related activities.

Table 15.3 contains respondents' positive views and activities about teaching. Generally, over 60 percent of the academics from all the participating countries reported that their research activities reinforced their teaching. Especially more than 80 percent of the academics from five countries (Canada, Italy, Norway, Korea, Brazil, and Mexico) held positive views on the reinforcement of research activities on their teaching. However, there are only nine countries in which over 50 percent of the academics reported that their service activities reinforced their teaching activities. In addition, compared with mature countries in which there existed more varieties in academics' views on the fact that their service activities reinforce their teaching, among 6 emerging countries, except for Malaysia, nearly half or more than half of the academics from the other four emerging countries, in particular Mexican academics, reported that their service activities reinforced their teaching. In Japan, while the percentage of the academics emphasized that their research activities reinforced their teaching, less than half of them (47 percent) admitted that their service activities reinforced their teaching.

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Table 15.2 Service Activities in Current Academic Year (Percent of respondents undertaking additional service activities; multiple responses)

	Served as member of national/international scientific committees/boards/bodies	Served as a peer reviewer (e.g., for journals, research sponsors, institutional evaluations)	Served as an editor of journals/book series	Served as an elected officer or leader in professional/academic associations/organization	Served as an elected officer of leader of unions	Been substantially involved in local, national, or international politics	Been a member of a community organization or participated in community-based projects	Worked with local, national, or international social service agencies	Other	Total	Count (n)
CA	49	91	25	33	7	5	39	15	6	271	1,098
US	32	72	22	31	2	15	52	21	6	252	945
FI	29	51	17	36	38	5	25	20	11	231	901
DE	26	46	32	36	2	4	0	33	4	182	577
IT	63	67	12	14	1	4	17	11	6	195	1,406
NL	32	48	19	22	3	5	33	15	12	190	744
NO	47	66	15	19	8	7	35	13	8	218	700
PT	51	54	18	31	4	7	23	7	11	205	759
UK	30	81	23	16	5	5	29	14	7	211	799
AU	33	80	23	31	3	5	49	14	7	245	1,047
JP	42	66	30	61	4	1	23	12	3	241	958
KR	83	82	62	79	4	3	24	13	12	364	882
HK	55	78	30	30	5	6	36	21	6	266	482
AR	26	49	18	20	5	8	30	20	22	197	600
BR	36	61	24	20	2	8	26	6	63	247	930
MX	78	42	16	29	6	7	32	10	8	228	1,551
ZA	34	61	17	26	5	6	48	16	6	220	574
CH	2	19	8	12	21	8	14	5	32	122	1,877
MY	43	51	30	39	18	1	47	17	7	254	979

Source: Data from the CICHER, Kassel University in September 2011.

Table 15.3 Positive Views and Activities about Teaching (Percent; responses 1 and 2)

	Your research activities reinforce your teaching	Your service activities reinforce your teaching	Count (n)
CA	82	43	1,050
US	71	51	1,109
FI	69	37	1,080
DE	64	36	1,009
IT	82	49	1,684
NL	70	60	817
NO	81	61	718
PT	73	5	1,117
UK	77	36	776
AU	75	51	865
JP	78	47	1,091
KR	85	56	909
HK	70	44	548
AR	78	59	913
BR	81	65	1,141
MX	83	74	1,857
ZA	65	48	698
CH	70	55	3,176
MY	69	37	1,120

Note: Scale of answer from 1 = Strongly agree to 5 = Strongly disagree.

Source: Data from the CICHER, Kassel University in September 2011.



*Findings from the Two National Surveys in Japan*

*Background.* Before an in-depth analysis is to be made about what changes happened to Japanese academics' service activities over 1992-2007, this chapter will make a brief introduction to the Japanese higher education system and the distinguished features of Japanese academics.

Historically speaking, in the latter part of the nineteenth century when the modern imperial universities in Japan were founded, with relation to governance arrangements at both national and institutional levels. On the one hand, the central government rigidly controlled these universities, and on the other hand, each individual imperial university enjoyed a considerable measure of internal academic freedom, which German research universities influenced. Moreover, in addition to teaching activities and writing popular articles, the tradition of conducting research by Japanese academics was also based on the German model from as early as the late nineteenth century. Until the end of March 2004, academics in all national university had been civil servants, indicating that the government could regulate almost all their missions and activities. After the Second World War, during the Occupation period the Japanese higher education system, influenced by American models, was fundamentally reorganized. Among many reforms of higher education, policies of democratization and massification were implemented. As a result, huge changes took place in the roles and characteristics of the academics in Japanese higher education institutions. One of the big changes was the widespread growth of interest in research and establishment of various academic societies: in particular academics became more research-oriented, engaging in both pure research and applied research (Cummings and Amano 1977).

Two striking characteristics of the Japanese higher education system can be identified. First, the private sector constitutes a large proportion of both institutions and students. As of 2011, there were 86 national institutions, 80 local public institutions and 542 private institutions. The percent of students in private universities and junior colleges amounted to 73.5 percent and 94.3 percent of the totals and private universities and junior colleges also comprise a similarly large share of the totals (MEXT 2012). The percent of faculty members in private universities and junior colleges accounts for an enormous share of the total.

Second, the national, public and private sectors, established by different founders, are expected to play different roles and fulfill diverse functions. The national universities are expected to facilitate the advancement of basic and applied scientific research, some of which is large-scale (with substantial funding, often supported by the national budget) and which provides students from different backgrounds with general and professional education, and provides higher education opportunities for the community. The academics in national, public and private sectors are expected to play different roles and fulfill diverse functions. The majority of the academics in the private sector are involved in educational activities. More of them belong to faculties of humanities and social sciences. In contrast, the academics in national universities are expected to undertake more research activities (Huang 2006).

Since the late 1990s, in response to the increased marketization and privatization of higher education, the academics in Japan have become involved in more diversified teaching and research activities. In terms of teaching activities, typical examples show that academics are developing curricula that are more closely related to students' concerns and more responsive to changes in the labor market. With respect to research activities, academics are asked to obtain more competitive funding and research grants, to undertake research projects focused more on community society and industry. Furthermore, as national quality assurance systems and national evaluation agencies have all been established in Japanese higher education, academics now face compulsory external evaluation by third-parties and interested stakeholders in addition to self-evaluation, peer-review, and evaluation by students. In most cases, these activities are concerned with curricular development, delivery of courses, the quality of teaching and research and so forth. In relation to the pattern of internal governance and management, in the name of enhancing efficiency, transparency and accountability, recent trends show that more power has been placed in governing bodies at the institutional level with a reduction in the autonomous rights residing in faculty meetings. Differing from the traditional style of governance and management in the national sector, after the incorporation of national universities in April 2004, non-university external experts are also expected to be involved in internal governance and management (Huang 2011).

*Data Analysis and Discussion.* As Table 15.4 shows, though no significant difference can be found about hours spent on service activities when classes are not in session, the time spent on service activities by Japan's academics while classes

Table 15.4 Hours Spent on the Following Activities When Classes are in Session and Not in Session (Arithmetic mean of hours per week)

	Years	In Session	sig.	Not in Session	sig.
<b>Teaching</b>	1992	19.2	n.	7.7	n.
	2007	20.1		8.3	
<b>Research</b>	1992	20.7	***	29.2	***
	2007	16.0		23.9	
<b>Service</b>	1992	3.8	*	4.1	n.
	2007	4.5		4.6	
<b>Administration</b>	1992	6.0	***	3.9	***
	2007	7.5		5.9	
<b>Other Academic Activities</b>	1992	3.4	*	4.0	n.
	2007	3.5		4.1	
<b>Total Hours per Week</b>	1992	50.8	n.	46.1	**
	2007	49.9		43.8	

Note: \*\*\*  $p < 0.001$ , \*\*  $p < 0.01$ , and \*  $p < 0.05$ .

Source: Created by the author based on major findings from the two national surveys in Japan in 1992 and 2007.

A COMPARATIVE AND EMPIRICAL STUDY OF ACADEMIC SERVICE ACTIVITIES

were in session increased from 3.8 percent to 4.5 percent and 4.1 percent to 4.6 percent between 1992 and 2007. As mentioned earlier, the time on service activities remained less than the time they spent on teaching, research, and administration.

In general, in the questionnaires, which were used in the international and national surveys in 1992 and 2007, the term “service” often includes such activities as paid or unpaid consulting, work with clients or patients and public or voluntary service. [Table 15.5](#) shows the data about respondents’ views on their service activities during the past year.

*Table 15.5 With Which Types of Organizations Have You Worked? (Circle all that apply)*

	1992 (%)	2007 (%)	Total (%)	sig.
Business or industry	38.0	31.4	35.6	***
Educational institutions	46.8	51.9	49.0	*
Local government bodies	18.7	41.3	28.2	***
National government bodies	26.3	24.6	25.6	n.
Private social service agencies (local and national)	27.9	18.1	23.8	***
Int’l government bodies	3.7	2.9	3.3	n.
Other international associations	5.6	2.3	4.2	***
Other	7.8	10.8	9.1	*

*Source:* Created by the author based on major findings from the two national surveys in Japan in 1992 and 2007.

As mentioned earlier in [Table 15.2](#), compared with any other 18 countries, including Hong Kong, though Japanese academics were primarily involved with academic-related service activities from the international and comparative perspectives, over 1992-2007, the service activities which were carried out by Japan’s academics for educational institutions and local government bodies increased. In particular, those activities for local government bodies grew from 18.7 percent to 41.3 percent. Interestingly, their service for business or industry, private social service agencies, and other international associations had all reduced. However, when being asked what percentage of their time they paid on such activities, as revealed in [Table 15.6](#), the percentage of time Japan’s academics spent on “paid” service activities increased from 42.9 percent to 46.3 percent during the period.

*Table 15.6 Consider the Time You Spent Engaged in Such Service Activities Last Year. For What Percentage of This Time Were You Paid? (Arithmetic mean, percent)*

1992	2007	Total	sig.
42.9	46.3	44.3	*

*Source:* Created by the author based on major findings from the two national surveys in Japan in 1992 and 2007.

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With regard to what circumstances affected academics' service activities, as shown in Table 15.7, among various circumstances or factors, except for the number of students enrolled in their classes and the amount of student advising they did in which no significant differences can be confirmed. In contrast to the decline in the percentage of changes in other items, only the data about their administrative work increased from 1.9 percent in 1992 to 2.2 percent in 2007. In a major sense, compared with what happened nearly 15 years ago, Japanese academics' administrative work had only strong positive influence on their service activities.

Table 15.7 Please Indicate How the Following Circumstances Influence Your Service Activities

	Answer	1992	2007	Total	sig.
The number of courses I was assigned to teach	Strong Positive Influence	5.4%	3.8%	4.7%	**
The kinds of courses I was assigned to teach	Strong Positive Influence	6.1%	3.1%	4.8%	***
The number of students enrolled in my class	Strong Positive Influence	1.6%	0.9%	1.3%	n.
The amount of student advising I do	Strong Positive Influence	1.9%	2.5%	2.1%	n.
My research commitments	Strong Positive Influence	9.0%	5.1%	7.4%	***
The availability of research funding	Strong Positive Influence	7.4%	3.3%	5.7%	***
My administrative work	Strong Positive Influence	1.9%	2.2%	2.0%	***
My nonacademic professional activities	Strong Positive Influence	9.3%	6.2%	8.0%	**

Source: Created by the author based on major findings from the two national surveys in Japan in 1992 and 2007.

Finally, compared with the data of 1992, Japanese academics reported that evaluation in academics' institutions increasingly played a more important role in their service activities by 2007 (Table 15.8).

Table 15.8 Please Respond to the Following Statements about Service Activities

	Answer	1992	2007	Total	sig.
Faculty in my discipline have a professional obligation to apply their knowledge to problems in society	Yes	80.9%	79.8%	80.5%	n.
	No	19.1%	20.2%	19.5%	
For me, service activity beyond the institution is a distraction and competes with essential academic work.	Yes	20.2%	12.7%	17.3%	***
	No	79.8%	87.3%	82.7%	
From an economic standpoint, it is necessary for me to engage in paid consulting work.	Yes	14.6%	8.2%	12.0%	***
	No	85.4%	91.8%	88.0%	
Service is important in faculty evaluation at this institution.	Yes	34.5%	56.8%	44.1%	***
	No	65.5%	43.2%	55.9%	

Source: Created by the author based on major findings from the two national surveys in Japan in 1992 and 2007.

To sum up, based on the discussion of major findings from the CAP international survey in 2007-2008 and the two national surveys in Japan, a general portrait of the academics' service activities and Japanese academics' characteristics in relation to their service activities can be provided as follows.

With regard to the data analysis of the international survey on the academics in the 18 countries and Hong Kong, apparently, the academics in all the participating countries spent the smallest percentage of their total hours per week on service activities in comparison with their far higher percentages of time on teaching and

research activities. Major reasons for this might include: firstly, without saying, conducting teaching and research activities are the two most fundamental functions of their institutions and their utmost important missions. Especially in many emerging countries, as the primary mission of their higher education is to produce graduates for government and society and fewer efforts are made in other academic activities, including research and service. Actually, even in numerous research-intensive universities in mature systems, teaching is also considered as the top priority for academics. In addition to research, their academics have obligation to provide lectures for their students. Second, as less than half of the academics from 19 participating regional teams believed that their service activities did not reinforce their teaching, it could be assumed that they are not willing to spend time on service activities if a majority of them could hardly profit from any service activities.

Another clear finding from the international and comparative study is that, the academics from all the participating teams were more involved with academic or educational matters rather than political activities, particularly serving as peer reviewers. This indicates that their service activities are basically related to their academic or professional background. Compared with other forms of service activities, serving peer reviewers for journals, research sponsors, or institutional evaluations are more closely connected with academics' teaching and research. In most cases, it could also be considered as part of their professional or academic obligations. More importantly, it could be easily accepted by academics because it does not require much investment of infrastructure or any intensive budgetary allocation.

Additionally, if we make a comparative study of the service activities undertaken by the academics from different countries, it seems that more proportion of the academics from the "mature" countries was involved with service activities than those from the emerging countries. Relatedly, the academics from the emerging countries engaged more in teaching activities. There are various interpretations, which could be attributed to it. For example, a vast majority of higher education systems in mature countries enjoyed more autonomous in governance and management than those in emerging countries due to the fact that almost all modern universities in emerging countries were established by the state and are rigidly regulated or controlled by government. Differing from the academics from the emerging countries, a large number of the academics from the mature countries, particularly from Canada, Germany, Japan, and the United States, enjoyed more favorable teaching and research environments, more autonomous powers in participating in departmental and institutional governance arrangements, and possess a wider international academic networking. All these may have contributed to their higher engagement in service activities.

While in the case study of Japan based on the analysis of major findings from the two national surveys, one of the most noticeable results is that the percentage of Japanese academics' time allocation on service activities, including "paid" service activities, for both educational institutions and local government bodies clearly increased from 1992 to 2007. This implies that over the last 15 years, apart

from academic-related service activities, Japanese academics had also been actively involved with local political activities. Though an in-depth and more comprehensive research needs to be undertaken, Apart from the circumstances which affected academics' service activities in [Table 15.7](#), it is worth noting that huge changes have happened in the cooperation between universities and industry or local community in recent years. To illustrate, for the last decades the dimension, forms and activities in the cooperation between university and industry or local community have been increasingly diversified. For example, the cooperation has become more institutionalized rather than at an individual level as it used to be more than 20 years ago. Its major forms and activities have been involved with not only research activities—a traditional way of cooperating between universities and industry or local community in Japan—but also in producing university graduates, and developing joint educational programs. In terms of academic field, it is not only confined to engineering and natural sciences, but also expanded to humanities and social sciences. According to the national survey by MEXT, as of 2010, compared with the previous year, the number of joint research projects undertaken in collaboration with private companies increased by 6.6 percent. The number of patent applications made by universities grew by 9.1 percent; as of 2010, while the number of venture business run by universities was 47, decreasing by 36.5 percent in comparison with the previous year (MEXT 2010). Besides, as mentioned earlier, the impact of the incorporation of national universities in 2004 and the exercise of various external and third-party evaluations on each national university corporation and individual academics upon academics' service activities and their views on such activities cannot be overestimated. Furthermore, as indicated in [Table 15.8](#), since only a very few of Japanese academics thought that service activity beyond their institutions is a distraction and competes with their academic work, it is likely to assume that it is also important for a majority of Japanese academics to engage in service activities.

#### CONCLUDING REMARKS AND IMPLICATIONS

As argued earlier, seemingly there exist some differences in the academics' hours spent on service activities between mature countries and emerging countries and their opinions of the relationship between service activities and their reaching activities, however, much more similarities could also be identified in the comparative study of the 18 countries and Hong Kong. For example, all the academics spent their least percentage of time on service activities than on teaching and research activities and their service activities were enormously related to their education or academic activities. While in the case study of Japan, the clear evidence shows that Japan's academics were not only actively involved with service activities, but also concerned with both academic-based activities and political-related activities. Besides, between 1992 and 2007, Japanese academics engaged in more service activities, especially their "paid" service activities apparently increased. Over the period, these activities have been increasingly affected by their administrative work and by the implementation of evaluation in

their institutions. Since the percentage of the academics who admitted that their service activities did not reinforce their teaching, if academics are encouraged to be more involved with service activities, perhaps further efforts should be made at both policy and institutional levels to ensure them to realize these service activities can help with their teaching or research activities. Besides, as universities are expected to be more responsive to the newly increasing needs from society, the market, and the local community, it is likely to assume that university academics' service activities will not be only limited to their discipline or academic field. They might also be expected to play more active and important roles in social, political, and cultural activities at international, national, and local levels. In this sense, national strategies and the provision of support services and faculty development for individual academics at the institutional level will become more profoundly necessary and important.

There are many limitations to this preliminary analysis of the academics' service activities. For example, no much data shows the co-relation between research activities and service activities in either CAP international survey or the Japanese national surveys. Besides, it is unclear of what percentage of academics' time should be spent on service activities while they can reinforce their teaching or research activities. Furthermore, research and practical issues to be addressed in future include:

- Is it necessary and important for academics to pay the same attention to service activities as they do to teaching or research activities?
- What kind(s) of service activities can reinforce academics' teaching and research activities? and
- What strategies should be developed to encourage academics to engage in more service activities which can both improve their teaching and research activities and be socially-oriented for the betterment of society?

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## **16. THE ROLE OF MAASAI MARA UNIVERSITY IN PROMOTING SUSTAINABLE DEVELOPMENT**

### INTRODUCTION

Development is considered a gradual process of moving to a relatively better state than what previously existed. The United Nations (2008) views development as an increase in well-being across the members of a society between two points in time. It is therefore a forward-looking concept in which what counts is not only how well off we are at one point in time, but also our prospects for being well off in the future. The desired state of a society is, therefore, not a static but a moving target. A key concern is the impact of development on environment since development activities inevitably are associated with consumption of natural resources. Development should be pursued based on continuing and renewable processes and not on the exploitation and exhaustion of the principal living base. It should be pursued in harmony with the changing productive potential of the ecosystem. Development must be sustainable, enduring over the long run. The maximization of our well-being today should not compromise the survival of future generations.

### SUSTAINABLE DEVELOPMENT

The Brundtland Commission (World Commission on Environment and Development [WCED] 1987) defined sustainable development as development that meets the needs of the present without compromising the ability of future generations to meet their own needs and encompassing three components: environmental protection, economic growth, and social equity. Embedded within this definition are the concepts of intra-generational and inter-generational equity. In simple terms, sustainable development principles require that we achieve our needs today without stripping future generations of the social, economic, and natural assets required for them to achieve their own needs.

Elina Zicmane (2004) describes four dimensions of sustainable development:

- Ecological: Maintenance of the natural environment includes more efficient use of the natural resources and decrease in waste production. Some of the main issues in the ecological dimension are monitoring climate change and maintaining bio-diversity.
- Economic: Economic sustainability can be reached through optimized distribution of goods and services. Income generation and poverty reduction are the main issues in this area. Improving business process efficiency and

productivity, as well as creating a balance among various regions, are issues bridging the economic and social dimensions.

- Social: Social sustainability requires a mechanism of redistribution of wealth, giving everyone an equal chance. This area is particularly wide, including such aspects as employment, health, education, and overall participation in society.
- Cultural: This dimension may be defined as a compromise between cultural diversity and common values. Protection of various cultural identities is the key to cultural sustainability.

The four dimensions are strongly interrelated and require a crosscutting approach regardless of the separate definition of each. Based on the four dimensions, development efforts across ecological, economic, social and cultural dimensions must consider inter and intra-generational equity.

#### EDUCATION AND SUSTAINABLE DEVELOPMENT

Education is widely acclaimed as a vital tool in the developmental process of any given nation (Ojiambo 2008). Theodore William Schultz (1981) noted that population quality and knowledge constitute the principal determinants of the future welfare of mankind. According to Maurice N. Amutabi (2003), education is considered the route to economic prosperity, the key to scientific and technological advancement, the means to combat unemployment, the foundation of social equality and equal wealth distribution, as well as the spearhead of political socialization and cultural diversity. Education is also seen as instrumental in cultural, economic, and political dynamics and generational developmental imperative for societies.

The Dakar Framework for Action (UNESCO 2000) proclaimed that education is a fundamental human right. It is the key to sustainable development and effective participation in the societies and economies of the twenty-first century, which are affected by rapid globalization. Guided by this critical role of education in development, the United Nations in 2005 adopted a Decade of Education for Sustainable Development [DESD] (UNESCO 2005). The goal of DESD is to integrate the principles, values, and practices of sustainable development into all aspects of education and training. The idea behind DESD was that education will encourage change in behavior that will create a more sustainable future in terms of environmental integrity, economic viability, and a just society for present and future generations. The DESD covers all levels of formal and informal education. For higher education, Anthony D. Cortese (2003) contends that higher education institutions bear a profound moral responsibility to increase the awareness, knowledge, skills and values needed to create a just and sustainable future.

#### ROLE OF HIGHER EDUCATION IN PROMOTING SUSTAINABLE DEVELOPMENT

According to Jaana Puukka (2008), higher education institutions contribute to sustainable development in their regions in many ways, for example by:

- Generating human capital in the region through their learning and further education programs in areas of sustainable development
- Acting as a source of expertise through research, consultancy, and demonstration
- Playing a brokerage role in bringing together diverse regional actors and elements of capacity to the sustainability process
- Demonstrating good practice through on-campus management and development activities, strategic planning, building design, waste minimization and water and energy efficiency practice, responsible purchasing programs and pursuing good citizen type initiatives like a “green campus.”
- Offering recognition and reward incentives for staff to be involved in sustainable development leadership groups in the regional community.

David W. Orr (1992) emphasized the influence that higher education has on sustainable development. He noted that the sector has access to and shapes the leaders of tomorrow, and in some cases, the leaders of today. It is widely respected, and capable of setting and exemplifying the development agenda to the wider society. Through research, it has a broad impact on policy and technology. The Executive Committee of the German Commission (2010) makes similar assertions. The Committee notes that universities, in their capacity as education facilities for training future decision-makers, and as centres of research, bear particular responsibility in the development agenda. They lay the foundations by delivering knowledge, competences, and values through teaching and learning and by engaging in research to generate the knowledge and innovations needed for shaping sustainable development. This has to be combined with programs and initiatives adopted by public and private stakeholders at both the national and international levels.

#### *Background to Maasai Mara University*

The demand for higher education in Kenya far outstrips the available capacity in public and private universities. For instance, only about 25 percent of those who attain the minimum grade (C+) to enter universities actually are admitted to public and private universities. In recognition of this, and driven by the need to decentralize higher education to all counties, and in its endeavor to address *Kenya Vision 2030* (Government of Kenya 2007) and the Millennium Development Goals, the government has increased access to university education by establishing new universities and constituent colleges. With a view of addressing the issues of access to university education and the unique research challenges of Narok County in Kenya, the government established Narok University College (NUC) as a constituent college of Moi University through Legal Notice 101 of July 2008. The Narok University College Order of 2008, which established the college, articulates the mandate of the college as teaching, conducting research and providing consultancy services. On 12 February 2013, NUC received a charter from the

President of the Republic of Kenya. This allowed the institution to operate as an independent university and renamed it Maasai Mara University (MMU).

In line with its mandate, the MMU vision statement is, "To be a world-class University committed to academic excellence for development." Its mission statement is "To provide quality university education through innovative teaching, research and consultancy services for development."

The vision and mission statements, which are the key elements of strategic planning, capture the mandate of MMU in promoting development through creation and dissemination of knowledge. The university also provides consultancy services to the public in various fields based on its technical capacity. MMU upholds the core values of excellence, professionalism, teamwork, creativity and innovation, transparency and accountability, equity and social justice. According to Gaylon Don Taylor and colleagues (2007), the core values of an organization are shared beliefs that guide decisions and behaviors as people conduct day-to-day work and interact with each other. Core values are the foundation of organizational culture. They communicate how people interact with one another and make decisions as they strive and work towards the strategic vision. From the core values of MMU, there is a deliberate attempt to propagate an institutional culture required to achieve its mission and vision, hence meeting its role in the development agenda. The behaviors and attitudes encompassed in the values lay emphasis on responsive management of the University, which is a requisite for institutional transformation in the face of the ever emerging local and international development challenges. For instance, in recognition of the negative impact of corruption on the economic, social, and political development in the country, MMU seeks to uphold the values of transparency and accountability in its operations.

Maasai Mara University is governed by the principles of equity, social justice, responsiveness, internationalization, subsidiarity, and asymmetry (*NUC Strategic Plan, 2009-2012*). Governance encompasses the structures, relationships, and processes through which, at both national and institutional levels, policies are developed, implemented and reviewed. Therefore, it may be construed that the University has, to some extent, institutionalized sustainable development principles in the critical dimensions of its governance. For instance, the University commits to deal with social inequities and provide opportunities for social advancement of individuals and communities through equity of access and opportunities for participation in higher education in the various academic programs available in the University.

Currently, the University has five schools: science; education; arts and social sciences; business and economics; and tourism and natural resource management. It is in the process of establishing a school of health sciences. The schools have an enrollment of slightly over 4,000 government and privately sponsored students spread across the various programs. Government sponsored students are admitted by the Joint Admissions Board (JAB). When the university was starting as a learning center in the year 2007, it had 227 privately sponsored students. It has

continued to experience constant growth in privately sponsored students with an annual enrollment of 1,647 students in the year 2012.

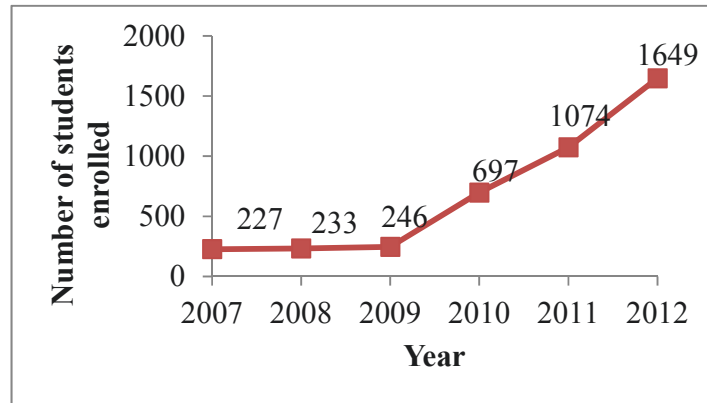


Figure 16.1 Annual Enrollment of Privately Sponsored Students in the University since 2007

The data presented in Figure 16.1 demonstrate the rising demand for higher education in Kenya. Considering that MMU is the first public university in Narok County, an area historically disadvantaged to the access of public goods such as higher education, the number of students enrolled annually is expected to rise even higher.

*Maasai Mara University setting*

Maasai Mara University is located in Narok District in Kenya; in the South Western tip of the country and lies in the southern part of the Rift Valley Province. It borders the Republic of Tanzania to the south, Trans-Mara District to the West, Nakuru District to the North and Kajiado to the East. It lies between latitudes 0°50' and 2°05' South and longitudes 35°58' and 36°05' East. The district occupies an area of over 17,128 km<sup>2</sup>. The Maasai, who are predominantly pastoralists, comprise 66 percent of the population in the district. Narok Town lies about 85 miles west of Nairobi. The district is well endowed with diverse natural resources that, if well managed, could provide sustainable livelihoods. A fast growing population and high poverty levels continue to have a negative impact on sustainable management of natural resources in the district. The district has poorly developed physical and industrial infrastructure and is prone to prolonged droughts. Fifty-two percent of the population, most of whom are females, live below the poverty line. Environmental degradation aggravates the poverty situation in the district (Price Waterhouse Coopers 2005). Education demand and supply in the district has been low. Nathalie Bonini (2006) reported that approximately 33 percent of children in Maasai communities are enrolled in primary schools

compared to a national average that was twice as high in the 1990s. Price Waterhouse Coopers (2005) provides a strengths, weaknesses, opportunities, and threats [SWOT] analysis of Narok District that is summarized in [Table 16.1](#).

*Table 16.1 SWOT Analysis of Narok District*

Strengths	Weaknesses
<ul style="list-style-type: none"> <li>✓ Well-endowed with natural capital such as livestock, water, wildlife, fertile soils, rangelands, forests</li> <li>✓ Indigenous knowledge systems that help community cope with and adapt to the environment e.g., through mobile lifestyle</li> <li>✓ Multi-ethnic and multi-racial environment</li> <li>✓ The world-famous Mara Game Reserve</li> <li>✓ Commercial orientation and culture</li> </ul>	<ul style="list-style-type: none"> <li>✓ Occasional conflict over dwindling internal resources</li> <li>✓ Weak human capital base due to low investment in education</li> <li>✓ Poor or non-existent physical infrastructure such as roads, irrigation canals, factories,</li> <li>✓ Fragile eco-system that is being pushed to the limit</li> <li>✓ Collapse of traditional pasture management practices</li> <li>✓ Land tenure system</li> <li>✓ Marginalization due to poor past policies</li> <li>✓ Cultural practices that render uptake of new ideas difficult such as attitude towards the girl child and attachment to cattle.</li> <li>✓ Uneconomic sub-division of land</li> </ul>
Opportunities	Threats
<ul style="list-style-type: none"> <li>✓ Emerging livestock rearing such as poultry, chameleons etc.</li> <li>✓ Crop farming using drought resistant/escaping crops in semiarid parts</li> <li>✓ Growing interest in eco-tourism</li> <li>✓ Increased Government and development partner interest in ASAL development</li> <li>✓ Potential for value addition from livestock products</li> </ul>	<ul style="list-style-type: none"> <li>✓ Isolated cases of insecurity in the Region</li> <li>✓ Endemic poverty and rising population</li> <li>✓ HIV/AIDS</li> <li>✓ Predominance of livestock/monoculture</li> <li>✓ Low interest in private sector investment</li> <li>✓ Rapid population growth</li> <li>✓ Growing vulnerability to climatic shocks</li> </ul>

Narok District is underdeveloped with an eminent threat to sustainable development due to a fragile and depleting ecosystem along with the collapse of traditional ecosystem management systems. Endemic poverty and rising population cannot be dissociated from the unique problems of the county. Robert W. Kates and Robert S. Chen (1993), for example, clearly show that while, on the one hand, environmental degradation leads to widespread poverty, poverty is alternatively a cause of environmental degradation as it undermines the capacity of people to manage resources wisely. However, not all is lost. The Global University Network for Innovation (GUNi), the International Association of Universities (IAU) and the Association of African Universities (AAU) (2011) noted that the rich and diverse natural and cultural environment in Africa endow the continent with a multiplicity of opportunities for development. Consequently, we emphasize that development does not simply imply economic well-being. Kates and colleagues (2005) extend development to encompass human development, including an emphasis on values

and goals such as increased life expectancy, education, equity, and opportunity. They also emphasize the values of security and well-being of national states, regions, and institutions as well as the social capital of relationships and community ties. However, all development must be sustainable.

#### THE CASE FOR MAASAI MARA UNIVERSITY IN PROMOTING SUSTAINABLE DEVELOPMENT

This section describes the role of MMU in promoting sustainable development by analyzing how it has integrated the principles, values and practices of sustainable development into its vision and mission statements, policies and practices. The University envisions becoming a world-class university committed to academic excellence for development. It seeks to fulfill its critical mandate of producing graduates with requisite knowledge, skills, and attitudes for sustainable development. Considering the low standards of education in Narok County, MMU has structured its courses from the certificate level as the starting point for students who had not achieved the minimum qualifications on the secondary school leaving exam (C+) for admission to a Kenyan university. Upon completion of the certificate courses, students can proceed to diploma, undergraduate and subsequently graduate courses in their respective disciplines. This serves to ensure that no student is denied a chance to achieve full potential. Considering that Narok County is largely rural, education and training are essential in addressing rural poverty and rural exodus among youths to ensure sustainable development.

In an effort to strengthen the County's ability to manage its natural resources, MMU has specific courses tailored to the needs of the County. The County is home to Maasai Mara Game Reserve, an internationally acclaimed tourist destination and home to the Seventh Wonder of the World, the annual migration of the wildebeest. MMU offers courses in tourism, hotel, hospitality management, and wildlife management. The university is in the process of signing a Memorandum of Understanding with Narok City Council that will see MMU establish a college of tourism and hospitality management in Maasai Mara Game Reserve. This is expected to bridge the gap between theory and practice by creating industry linkages and partnerships.

The School of Sciences not only prepares graduates for technological innovations, but also offers a foundation unit of Information Technology (IT) to all undergraduates enrolled in the university. This prepares them for a global and knowledge based economy. Other courses relevant to local needs include horticultural science and management, seed science and technology, animal science and management, and human resource management. These programs are geared towards developing local capacities in policymaking, planning, management, and development of natural resources in a more sustainable way.

Apart from the government-sponsored students admitted by JAB, MMU has a Privately Sponsored Students Programme (PSSP). The admission of students to this program is de-linked from available bed spaces. The program is usually dictated by availability of academic and tuition facilities. This has facilitated the

development of human capital by increasing access to higher education regionally, but even more so to the marginalized inhabitants of the County. Considering the ongoing and expected expansion of MMU, intensive and concurrent training of graduate students is taking place in order to sustain capacity for teaching and research during the expansion period. MMU has environmental education as a core unit for all undergraduate courses. This is in line with Sessional Paper No. 6 of 1988 (Government of Kenya 1988) on *Education and Manpower Training for the Next Decade and Beyond*, which advocates the inclusion of environmental studies in the education and training curricula at all levels of education. This is expected to make students environmentally conscious and active participants in conservation efforts. Students' enrollment in the various programs offered by the university for the 2009/2010 through 2011/2012 academic years is summarized in Appendix A. One trend that emerges in the data shown in Appendix A is that there were more PSSP (1,955) than JAB (1,465) students enrolled over the three years. This captures the role of PSSP in increasing access to higher education for students who would otherwise have missed a chance through government sponsorship. However, a closer analysis reveals that the distribution of number of PSSP and JAB students across the various schools is different. This is illustrated in Figure 16.2.

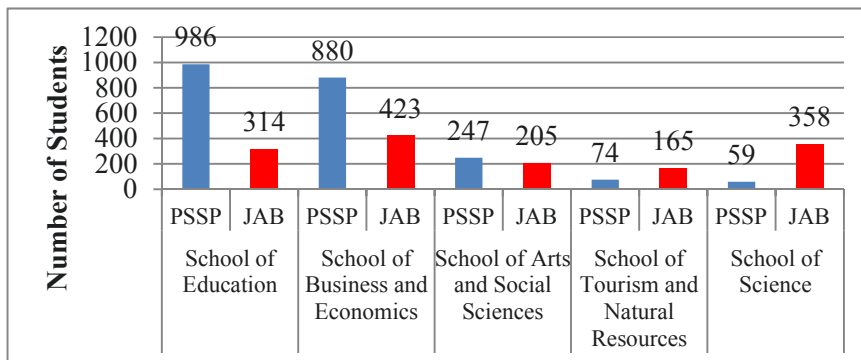


Figure 16.2 Distribution of Number of PSSP and JAB Students across the Schools

As illustrated in Figure 16.2, there are more PSSP than JAB students in the School of Education, School of Business and Economics, and School of Arts and Social Sciences than in the Schools of Tourism and Natural Resources and the School of Science. The Schools of Education and Business and Economics carry the bulk of the PSSP students. This trend suggests high demand for the programs in the schools, probably due to the marketability of the programs coupled by their relevance in the country's development agenda. In the School of Tourism and Natural Resources and the School of Science, there are more JAB students than there are PSSP students. This suggests that while the programs in the schools may have low demand by the privately sponsored students, the government still influences the demand for the programs considering their role in propagating sustainable development of a country.



Sustainable development issues to be addressed through education in Kenya are complex and interlinked. The issues include but are not limited to poor governance, corruption, ethnic animosity, gender inequality (UNESCO 2006), HIV/AIDS, all forms of violence and increased insecurity (Government of Kenya 2005), lifestyles and behavior, drug and substance abuse, and erosion of cultural values and morals, among others. MMU endeavors to address issues related to poor governance and corruption by embracing the core values of professionalism, transparency, and accountability. Inefficient and ineffective systems are a known recipe for corruption. To increase efficiency and effectiveness in its operations, MMU has embraced total quality management systems, specifically ISO 9001 Certification that is in the audit stage. The certification is expected to streamline operations and provide room for continuous improvement.

One of the aims of education in Kenya is to promote national unity. Kenya has been experiencing ethnic conflict, as evidenced by the 2007-2008 post-election violence and the emerging tribal groupings following the confirmation of International Criminal Court (ICC) charges against the suspects. Narok County also experienced the violence. To enhance the role of MMU in promoting national cohesion, the University, through the JAB and PSSP, admits students from all tribes in Kenya. This gives students the chance to experience and appreciate cultural diversity. In order to promote local cultural specificities, customs, and values and fight negative effects of ethnic difference, MMU encourages socio-cultural activities such as students' social clubs. Examples of such clubs are those formed by students from the same place of origin in order to create a sense of belonging among the members. Students also use the groups as forums to discuss and remediate issues affecting their areas. However, the biggest challenge for such groupings, despite their noble intent, is infiltration by politicians who use them to pursue political goals resulting in ethnic differentiation. Moreover, such tribal groupings become robust on the eve of students' elections in the university as they negotiate and seek power.

MMU has ensured that the college environment is safe and healthy. Apart from having an operational health facility that meets the needs of the students and staff, the college is in the process of establishing a School of Health Services. The university is seeking development partners to establish a referral medical center that will improve health service provision in the County. HIV/AIDS threatens the rubrics of our society. As a strategy to fight the scourge, MMU has sensitized its employees and students on the need to have voluntary counseling and testing (VCT) in order to know one's status and take necessary action to prevent the spread of the virus. The university has employed competent counselors and nurses in the health facility to implement this intervention. Students and staff found to be infected are encouraged to participate in a regular counseling program and to be put on antiretroviral (ARV) therapy, depending on the stage of progression of the disease. To fight drug and substance abuse among students and staff, MMU has made it clear that it is a drug free zone and clearly written signs are displayed to that effect. The students also have peer-counseling programs and the services of a full time counselor are available. MMU faculty has also played a major role in the

research and dissemination of information and statistics related to health issues in the county as part of staff professional development activities.

The full and equal engagement of women is crucial to ensuring a sustainable future. Since the pursuit of gender equity is central to sustainable development, female education is vital. Through the joint admissions board, MMU tries to achieve gender equity by ensuring that affirmative action is taken in admitting students. Female students are admitted at a lower test score point than male students. Within the University, MMU has provided separate, safe, and subsidized hostels for male and female students. This serves to reduce chances of harassment by the male students. In terms of staff employment, female candidates are encouraged to apply and, in final selection, the recruiting panel must adhere to the national 30 percent rule where no single gender should be less than 1/3 of those employed.

Universities play a critical role in regional economies and their future is inexorably tied to the health of their communities (Porter 2007). MMU has recruited and trained job seekers from the local labour pool, thereby improving the lives of local residents and meeting their demand for labour. This has helped in building stronger economic ties with the surrounding community and building political capital as well. Michael Porter (2007) also asserts that universities have substantial purchasing power. Almost half of their operating budgets are spent on procurement of goods and services. While following procurement procedures as stipulated in the Kenya *Public Procurement and Disposal Act of 2007*, it is logical that in the procurement of some goods such as perishables, the locals have a competitive edge over non-locals due to low transport costs. The local businesspersons therefore benefit. The purchasing power of the university is used to stimulate the development of local vendors and improve their capacities. In addition, MMU faculty, staff, and students have had considerable impacts on the local economy. The MMU community has increased consumer demand for goods, services, and tax income from the County.

The institution contributes significantly to the conservation of natural and cultural heritage, which includes the rich culture of the local and indigenous communities, particularly the Maasai people whose culture has withstood the test of time. In the context of conservation theory and practice, MMU has successfully conducted community outreach programs in building local capacities and creating awareness in conservation of threatened areas such as the Mau Forest. The conservation effort has attracted local and international conservationist and environmental agencies. Achieving this delicate balance has been successful through collaborating with the local communities and other stakeholders in the process of making the dream a reality. In this scenario, the institution is trying to protect the environment that forms the basis of life in this region. While the foregoing examples do not represent all the sustainable development engagements of MMU, its achievements four years after its inception are visible.

CHALLENGES THAT MMU ENCOUNTERS IN PROMOTING  
SUSTAINABLE DEVELOPMENT

In pursuit of its engagement in promoting sustainable development, MMU is encountering various challenges that include:

- Limited number of full-time faculty. All public universities in Kenya are experiencing shortages of fulltime teaching staff (Odhiambo 2002; Wangenge-Ouma 2007; Gudo et al. 2011). The experience of MMU is summarized in [Table 16.2](#).

*Table 16.2 Number of Part-Time and Full-Time Teaching Staff at MMU*

Year	School														
	Arts and Social Sciences			Business and Economics			Education			Science			Tourism and Natural Resources		
	FT	PT	N	FT	PT	N	FT	PT	N	FT	PT	N	FT	PT	N
2010/11	-	-	-	<b>23</b>	42	65	<b>10</b>	15	25	12	-	12	7	1	8
2011/12	7	50	57	<b>15</b>	44	59	<b>6</b>	17	23	16	8	24	7	23	30
2012/13	13	43	56	24	45	69	14	25	39	23	7	30	7	21	28

*Note: FT – Number of fulltime faculty; PT – Number of part time faculty; N – Total.*

Data in [Table 16.2](#) reveal that almost all the Schools in MMU rely heavily on part time faculty. Apart from the School of Science, over 60 percent of staff members in the other schools are there part-time. This constrains the MMU ability to provide quality education and to meet the needs of the ever-increasing number of students.

- Faculty turnover. Some schools in MMU are challenged with maintaining high caliber faculty. For instance, the School of Business and Economics lost eight lecturers while the School of Education lost four lecturers through voluntary resignation during the 2011/2012 academic year. Some of the reasons that the lecturers provided during exit interviews included underdeveloped infrastructure and incidents of insecurity in Narok County. While incentives would serve to reduce their occurrence, the extent to which they can be reviewed is limited by the low government capitation. The persistent industrial action by the University Academic Staff Union (UASU) that disrupts the academic programs of public universities exacerbates the gravity of the matter.
- Resource availability. Resources are essential for promoting sustainable development. Inadequate financial, human, and other resources have negatively affected the provision of quality education, especially considering the increasing demand for higher education.
- Limited human resource capacity in sustainable development. Depending on what they teach, the faculty faces a variety of specific pedagogical challenges in teaching a subject such as education for sustainable development. A study among academic staff at North German universities by Richter and Schumacher (2011) revealed that 83 percent of the staff had superficial general knowledge of the term sustainability. This is the case at MMU.

Additional in-service training is required and the financial resources to facilitate the training are inadequate.

- Low education standards in primary and secondary schools in the County. Higher education for sustainable development assumes that there are qualified students in the universities who will be used as vessels for change. MMU is located in an environment where the standards of primary and secondary levels of education (measured by grades attained in national examinations) are low. This leads to fewer locals benefiting from the presence of the university in the County. This implies that requisite attitudes, knowledge, and skills required for sustainable development will require time to become entrenched in the community. Moreover, some cultural practices such as Female Genital Mutilation, early marriages and initiation into Maasai warrior hood continue denying vibrant young people in the County a chance to pursue education.
- Limited infrastructural facilities for both staff and students.
- Serious challenges in developing the key learning facilities commensurate with the growing student population. This includes needs for a modern science laboratory, a library with e-learning, a computer laboratory with reliable connectivity, and a fully equipped medical facility.

#### INTERVENTIONS NEEDED BY MMU TO OPTIMIZE ITS CONTRIBUTION TO SUSTAINABLE DEVELOPMENT

The following interventions are needed for MMU to optimize its contribution to sustainable development:

- There is need to improve quality and access to education at both the primary and secondary levels in the county. This requires the concerted efforts of Ministry of Education officials, quality assurance, standards officers at the grassroots level, parents, and community leaders.
- There is need to establishing professional recognition by the government for staff engaged in sustainable development research and teaching.
- There is need to improve the level of awareness on sustainable development among the faculty through in-service training. The government should increase financial allocation on staff development activities in public universities.
- The government should require universities to formulate sustainable development implementation plans. This would lead to universities creating specific units to coordinate sustainable development initiatives.
- There is need for increased funding from the government and donor partners to increase the capacity of MMU to meets its obligations in delivering education for sustainable development.
- The government and development partners' need to prioritize the development of Information and Communication Technology (ICT) infrastructure in the region so that MMU can benefit from the knowledge

based economy and harness it to promote sustainable development, including the establishment of on-line distance learning systems.

- The academic department in MMU needs to establish a course on sustainable development and ensure that it is infused across other disciplines in order to enhance the multidisciplinary approach required in sustainable development.

#### CONCLUSION

The existence of Maasai Mara University in Narok County is critical for sustainable development in the area. Narok County has a growing population characterized by low education standards. The ecosystem is getting depleted due to mismanagement and breakdown of traditional environment management approaches. However, the County has untapped natural resources. Maasai Mara University continues to play its role in production of human capital that is required for local needs. Its faculty and staff continue to participate in community extension services and environmental conservancy. The direct and indirect economic impacts continue trickling down to the community. However, there is need for additional funding and a multi sector approach to sustainable development for the university to continue playing this critical role. The government needs to recognize faculty involved in sustainable development efforts while encouraging university leaders to develop their strategic plans and establish units to coordinate university involvement in sustainable development activities. As Julius Nyerere (1979, p. 193) puts it, “A university is an institution of higher learning, a place where people’s minds are trained for clear thinking, for independent thinking, for analysis, and for problem solving (including the concerns of sustainable development) at the highest level.”

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## APPENDIX A

Enrollment of Students in MMU by Program and Academic Year

PROGRAM	2009/2010		2010/2011		2011/2012	
	PSSP*	JAB**	Total	PSSP	JAB	Total
<b>School of Education</b>						
1. Bachelor of Education (Arts)	74	20	94	40	25	65
2. Bachelor of Education (Science)	8	38	46	8	48	56
3. Bachelor of Education (Guidance and Counselling)	6	8	14	2	7	9
4. Bachelor of Education (Special Education)	45	10	55	2	7	9
5. Bachelor of Education (Early Childhood & PE)	52		52	75	1	76
6. Diploma in Primary Education						
7. Diploma in Education (Arts)						
8. Diploma in Early Childhood Development						
9. Master of Education (Educational Administration)	18		18	25		43
10. M.Ed. (Executive) in Leadership & Policy Studies	14		14	7		21
11. Master of Education (Special Needs Education)						
12. Master of Education (Early Childhood Development)						
13. Master of Education (Psychology and G & C)	20		20			20
14. PhD Educational Administration	17		17	31		48
15. PhD Curriculum Development	22		22	8		30
16. PhD Educational Psychology						
<b>Total</b>	<b>276</b>	<b>85</b>	<b>361</b>	<b>196</b>	<b>83</b>	<b>279</b>
<b>School of Business and Economics</b>						
17. Bachelor of Hotels and Hospitality Management.	2	11	13	1	17	18
18. Bachelor of Arts (Economics)	4	29	33	12	23	35
19. Bachelor of Business Management	42	22	64	52	35	87
20. Bachelor of Science (Human Resource Mgmt.)	16	18	34	43	19	62
21. Bachelor of Science (Agricultural Eco. & Resource Mgmt.)		19	19	1	21	22
22. Diploma in Business Management	20		20	51		71
23. Diploma in Agricultural Economics				0		0
24. Diploma in Hotel and Hospitality Management						
25. Diploma in Economics						
<b>Total</b>	<b>85</b>	<b>85</b>	<b>170</b>	<b>104</b>	<b>146</b>	<b>320</b>





57. B.Sc. (Forestry)					2	2			
58. B.Sc. (Agr. Biotechnology)					1	1			
59. Diploma in Agriculture									
60. Diploma in Tourism and Wildlife Management	9	9	14	0	14	12	12	12	12
61. Certificate in Tourism and Wildlife Management						13	13	13	13
<b>Total</b>	<b>15</b>	<b>39</b>	<b>54</b>	<b>25</b>	<b>42</b>	<b>67</b>	<b>34</b>	<b>84</b>	<b>118</b>
<b>School of Science</b>									
62. Bachelor of Science (Applied Statistics With Computing)	2	29	31	1	23	24	5	48	53
63. Bachelor of Science (Computer Science)	2	30	32	2	25	27	4	31	35
64. Bachelor of Science (Information Science)	4	15	19	1	16	17	5	38	43
65. Bachelor of Science (General)		27	27	0	21	21		55	55
66. Diploma in Information Technology							3	3	3
<b>Total</b>	<b>38</b>	<b>101</b>	<b>139</b>	<b>4</b>	<b>85</b>	<b>89</b>	<b>17</b>	<b>172</b>	<b>189</b>
<b>Overall Total</b>	<b>315</b>	<b>382</b>	<b>697</b>	<b>698</b>	<b>376</b>	<b>1,074</b>	<b>942</b>	<b>707</b>	<b>1,649</b>

Total PSSP = 1955 Total JAB = 1465

\*PSSP – Privately Sponsored Students Program

\*\*JAB – Joint Admission Board Students

GUSTAVO GREGORUTTI, ZENO L. CHARLES-MARCEL,  
WILMA GONZÁLEZ, GÉNER AVILÉS, AND HERBERT ROEL CEA

## 17. ENHANCING COMMUNITY-UNIVERSITY ENGAGEMENT

*The Case of Montemorelos University*

### INTRODUCTION

Universities in Latin America have followed European models that evolved from cloisters or institutions detached from surrounding contexts since their inception. Resulting from that traditional approach, schools were conceived as special places where students could learn about a specific issue and then go back to the real world. Heavily influenced by Greek philosophers, among them Plato, universities developed a dualistic view of reality. Visible and invisible worlds were different from each other, as were spirit and nature or body and mind: two distinctive realities and not much related each other. These ideas marked the evolvement of academe. As Adrianna Kezar and Robert Rhoads (2001) put it, “These beliefs led to the development of institutions that enacted dualistic values and structures. Medieval universities were formed with this separation in mind, and our modern universities and colleges often reinforce these same belief systems” (p. 151). Subsequent university development endorsed, perhaps unintentionally, the same patterns of dualistic thinking. Toward the enlightenment, science exacerbated distinctions with positivistic worldviews that pretty much ruled out most of the interaction with the day-to-day world that was not under rigorous scientific procedures. Some prominent thinkers raised their voices against this specialized methodology. Perhaps John Dewey (1916/1997) was one of the most influential philosophers and educational reformers that fought against dualistic ideas. Nonetheless, higher education continued its progress along the lines of relying in itself as houses of research and discovery that are “applied to” but that do not “interact with” reality as much as may be desirable.

In recent years, there has been an increasing concern among American educators and policy makers about the relevance of universities and their impact on communities. In the 1980s and 1990s, universities were perceived as progressively expensive and with some degree of elitism and detachment from society’s needs (Dubb 2007). In that context, Ernst L. Boyer’s groundbreaking book, *Scholarship Reconsidered* (1990), voiced what many may have believed in silence. There was a need for universities to re-align their priorities to include multiple dimensions of scholarship and not just focus on research. Vying for a three dimensional focus was the so-called “triple helix,” a university-industry-government collaboration that is primarily geared toward economic development (Leydesdorff 2013).

Among health science universities and medical schools, there was a simultaneous reawakening to the “social responsibility” of the physicians and health professionals. Spencer Foreman (1994) warned of the moral poverty that could result from the academic medical centers’ failure to assume the responsibility for the health of the community especially the underserved, and their neglect of this critical work in service and training. Others even urged the revival of medical faculty collective individual responsibility for teaching, research, and service, the “triple-threat” which exemplifies the complete physician, as a means of producing lasting community impact (Yukari et al. 2009). As a result of this awakening of universities and academic health science institutions of higher learning, an increasing group of scholars and spontaneous organization, such as Campus Compact<sup>1</sup> are acting to promote university more concerned with the improvement of communities and enriching students’ learning through service and interaction with nearby neighborhoods.

Concerns similar to the aforementioned have been expressed in Mexico. The Mexican government has put in place several funding systems that intentionally push higher education toward producing research, innovation, patents, and a host of spin-off activities that are expected to improve regional economies (Ordorika Sacristán 2006). These policies follow the global assumption that communities can be improved through “new-knowledge transfer,” which then create new jobs and thus reverse social inequities (Slaughter and Rhoads 2004). Although this might be true in some areas of the Mexican society and economy, the increasing pressure to be more research-oriented is pushing institutions, with isomorphic strategies, to align themselves to models that water down their unique identity and contribution to their regional communities (Arredondo Galván 2006). Alternative models of improving communities are gaining, systematic, a growing number of supporters. Administrators, faculty members, and students are realizing that they have a huge amount of resources and knowledge to change and recover bordering communities. Steve Dubb (2007) called the slow university involvement in civic issues, “a sleeping giant” referring to the potential that schools have and do not seem to be utilizing. The same author observes that community engagement is seen more often among private and religious affiliated institutions, but according to recent studies (Alvarez Mendiola 2012), these trends are part of public universities as well. For instance, *Universidad Veracruzana*<sup>2</sup> and the *Universidad Nacional Autónoma de México*’s (UNAM) medical and *Instituto Nacional de Salud Pública*’s (INSP) public health initiatives are interesting cases that show how some large public institutions are becoming very much engaged in transforming students and communities through service learning. Universidad Veracruzana has also conducted research and created centers around its interactions with communities. In the years ahead, these and several other cases may become a strong force that can transform the Mexican system of higher education.

## BACKGROUND AND APPROACH

This chapter focuses on the University of Morelos, as a case study that has been impacting its communities. The university is located in Morelos, in the State of Nuevo Leon, in the northeastern part of Mexico about 140 miles from the border with McAllen, Texas. This is a private institution affiliated to the Seventh-day Adventist Church with more than 50 programs in undergraduate and graduate levels serving students from Mexico and over 40 other countries.

At the founding of the school in 1942, serving the community was part of its stated mission and one of its core religious values. However, with the passage of time, these activities became part of a general approach that students and professors share related to their own individual and collective contribution to surrounding people's wellbeing. In the late 1990s this situation started to change as a consequence of the implementation of major academic and curricular reforms implemented by the university under the capable leadership of the administration. The idea was to merge community engagement with learning, as a Service Learning<sup>3</sup> process with credit weight. This curriculum change prompted a much more intensive interaction with neighborhoods and facilitated even regional ventures, the global results of which go beyond the scope of this chapter.

As part of the same "outreaching" spirit, the University's Hospital, La Carlota, in conjunction with the School of Health Sciences, created in 2003 a community health center called *Luz y Vida* (Light and Life) that was directed primarily toward the marginalized subpopulations of the community. This center was developed with the following purposes:

1. Facilitate health and healing: physically, emotionally, and spiritually.
2. Actively engage people in the process of preventing disease and promoting their own health and that of their family.
3. Engage trainees in the health professions with the community to facilitate their understanding of social needs and gain a proactive approach to public health.
4. Develop research projects that address community needs and find solutions to problems derived from the clinical cases.

Students, faculty members, and community leaders<sup>4</sup> formed the initial central core of the collaboration and strategic development of the center. To facilitate more authentic engagement with the public, the school leadership opened itself to being changed by the community while developing and implementing goal-oriented projects based on observations and interactions with the "real people" of Morelos. One easily observable fact, which prompted confirmation of a related felt need, was the rising levels of obesity among the women and children especially.<sup>5</sup> Key faculty members gathered and analyzed municipal, state, and national data and tried to quantify and contextualize the situation. It was concluded that the obesity was the effect of actions by regular people in an "obesogenic" culture that had little health literacy or competency and few health models. The observed predominant culture was based on sickness and attention after-the-fact

rather than prevention and well-being. Since the prevailing healthcare evidence (data and potential solutions) aligned with the religio-philosophical foundation of the university and the Center Luz y Vida, and there was consensus among the community leaders that this situation was indeed a “stress point” in Montemorelos, the faculty leadership sought out collaborators and input to address the problem in a meaningful way. The strategy employed was to develop a pre-election collaborative understanding with each of the mayoral candidates individually to find and explore their personal and “political” interest in community development should the candidate eventually become the elected official. The person who was elected mayor became very engaged in the process and facilitated a wider involvement of the university and key members of the collaboration into the healthcare strategic planning and implementation than had been experienced in the recent past. Because of this, university faculty, hospital-based physicians, community leaders, and multi-sectorial Citizen’s Council started to shape the health affairs of the community for the triennium.<sup>6</sup> The collaboration gained momentum fueled by successful data rich, short-term community interventions. Through this, the university and hospital personnel “officially” expanded access to neighborhoods and schools after obtaining the confidence of the municipal agencies in charge of education, sports, and social development, an advance that was only partial in the previous “unofficial” manner. It is important to remark that prior to these movements and strategic alliances, most of the community outreach in recent years had not been perceived as being of the community at large, since there had developed a dividing “glass wall” between “the community” and “the university,” a situation that was not present at the founding of the school and hospital. Nonetheless, there were hurdles to overcome even with this “new arrangement.” There was significant skepticism and even frank antagonism by some community leaders and groups that ranged from political and economic to religious and social spheres of influence. This new engagement and its associated ventures had to gain trust of the community and prove that it was an authentic interest in the well-being of all and not just making a way for students and professors “to practice at the expense of the townspeople” or worse, as a means of gaining economic advantage or even inroads to proselytize.

*An Emerging Project: ADELANTE Con 5 Pasos*

As the result of the initial networking, the table was set for political forces to permit and embrace the creation, in September 2010, of a multi-sectorial collaborative project titled *ADELANTE con 5 Pasos!* (Forward with Five Steps!). This program is similar to those developed and promoted by EPODE,<sup>7</sup> 5 PASOS,<sup>8</sup> and includes many of the health principle that Seventh-day Adventists<sup>9</sup> have championed. Thus, through the five steps or activities summarized below, the project aimed at not merely changing people’s weight but rather their health culture:

#### ENHANCING COMMUNITY-UNIVERSITY ENGAGEMENT

1. *Move*. Different groups of aerobic exercise from strolling to power walking to exercise with *zumba* like music, a very dynamic Latin America rhythm. These exercises are organized in various neighborhoods on a daily basis for one hour and they are free. This step is designed to improve metabolism, increase muscle strength, improving overall function, and promote fitness. Community volunteers were trained to conduct the groups.
2. *Drink water*. The team of trainers instructs people how vital water is for a healthy body. Incremental quantities of water are promoted and checked over time. This promotes no-calorie thirst quenching and displaces reliance on sugary, calorie-dense drinks.
3. *Eat vegetable and fruits*. Through this step, participants learn the benefits and healthy preparation of naturally low caloric density vegetable and fruits and the contextualized incorporation of these into their dietary regimen.<sup>10</sup>
4. *Measure yourself*. Through several workshops, people learn and explore practical ways to avoid eating junk food, and drinking intoxicating beverages, and sugar soft drinks and calories dense “juice.” Everyone is encouraged to do everything in ‘good measure’ not overdoing even what is good, to “take appropriate measures” to reframe their context and improve their health habits, and to “measure their body” with all that this implies.
5. *Share*. The final step promotes this healthy lifestyle among relatives and friends or the circle of influence, encourages accountability, and keeps enthusiasm high through the recounting of even little successes.

In addition, it is important to remark that the project also promotes eight fundamental elements that when appropriate incorporated as part of one’s overall lifestyle have been shown to promote health, namely: fresh air, sun exposure, physical exercise, adequate rest, pure water, a balanced plant-based diet, temperance, and hope. These principles are taught and practiced throughout the five steps program.

In order to promote a healthy life style based on an improving health culture among people of all ages in Montemorelos, the program employed a methodology of interacting through social organizations, such as schools, public gatherings, worksites, and community centers. In addition, the university hospital, through the Center Luz y Vida, created several outpatient offices that served as unit for organizing strategic cell of meetings and training throughout neighborhoods in a train-the-trainer network of “community” group coordinators. Local leaders, students, and physicians and other healthcare personnel worked with different teams enjoying the public support of the city hall, the State, and even the federal government.

#### IMPACTING IN DIFFERENT WAYS

Since the project’s official launch was just two years ago, there are many dimensions of its implementation that are still underway. To give at least a glimpse of the major influences the project had, this section discusses perception of

community leaders, university-hospital faculty, and students regarding the model and its usefulness. To accomplish this purpose, a pool of eight faculty members, representing a wide range of programs taught at the School of Health Sciences, were selected to conduct interviews. These professors and professionals of health were very active in engaging themselves in nearby communities with students through the Center Luz y Vida. In addition, three focus groups were conducted with students from different health programs to see how service learning has influenced their perceptions regarding communities and life. Finally, two politicians were also interviewed, namely the former city mayor and one of the Secretary for Social Development.

### *Community*

*Changing Leaders.* Although it may difficult to measure the impact this program had over multiple actors, it is possible to see some of these changes through people. One of them is how politicians have transformed their understanding of public health. According to one of the professors interviewed, the city mayor used to say, “I want one clinic in every corner of the city.” Although this idea was expensive and impractical, it demonstrated his strong desire to help people with what he perceived was needed, better access to healthcare services, one part of the prevailing after-the-fact health model. However, in the process of engaging with the university’s healthcare professionals and seeing the health picture in its broader dimensions, the same mayor expanded his views and was very active in combining multiple available resources to become a leading city in fighting obesity through culture change. In his own words,

The interplay of university and community has given a great deal of benefit to our people. Working with Montemorelos University has been the right decision to this successful outcome. I see the university as a crucial resource to develop public health strategies suitable to our population.

His actions and influence helped to put the model of ADELANTE con 5 Pasos on in both national and international arenas. He was invited to present the model at international conferences in the United States and Europe. Representatives of the European and EPODE organization, now international model of community-based prevention and reversal of childhood obesity, visited Montemorelos University and the surrounding municipal community.<sup>11</sup> They declared ADELANTE con 5 Pasos an exemplary model and they agreed to work together with Montemorelos (University and Municipality) as one of their partners in Latin America.<sup>12</sup> Put into perspective, this is a huge leap forward for a transformational leader and community.

Today, the former Montemorelos mayor is an elected State Representative for the State of Nuevo León. He is trying to implement at a state level some of the experiences he had with Montemorelos University and his town. At this point, it is possible to say that community engagement has reached unexpected levels of influence but only future will tell the full impact of it.

*Changing Community's Perceptions.* As mentioned above, the University and its hospital were very active in reaching its surrounding communities since their beginning following Christian values and the Adventist Health model. Those interactions were primarily co-curricular and partly the result of spontaneous and loosely organized groups of students and faculty members attempting to satisfy the perceived needs of the townspeople. Over time, possibly because of the unfocused and loosely coordinated approach despite the good intentions and the expended resources and energy, the “community improvement” attempts were perceived as not so helpful. According to a faculty member and active leader in the program,

When we started to visit schools and communities to implement some community outreach through our Luz y Vida Center in 2003, many people did not show real interest in our services. We noticed that they did not like our short interventions with students. They expressed that we come and go and they stay with the same old problems. Yes, we carried on our service learning activities, and it was good for our students, but people needed to be understood in their situations to be helped. At the end of every semester, all our help was gone and people felt abandoned and complained about it. With ADELANTE con 5 Pasos, our Luz y Vida Center and the School of Health Science shifted to a longitudinal intervention approach that engaged the academic and the social dimensions allowing students and faculty members to work with strategies with commitment over the long haul. That made a huge difference!

These experiences led the university and hospital to draw closer to and be changed by the community itself. With that came a greater and better reception by political and non-elected community leaders of the institutional involvement in health affairs of the people outside of the healthcare provider-healthcare consumer context. It was actually a paradigm change for the hospital and the university that used to work somehow disconnected from political and local civic leadership. Currently, Montemorelos citizens are changing their perceptions about what the university is doing in their neighborhoods, as this professor asserts that, “Today, as a consequence of the active bilateral engagement, they see us as really interested in their problems and they are eager to make us part of their lives. They believe we can help them.” This flow of positive perceptions has also helped garner some extra support from State and Federal governments. The former Montemorelos mayor is now proposing to the mayors of the three municipal administrations surrounding the university, that personnel from the university and the hospital lead the community health initiatives in the region. This gives the university and the hospital an incredible opportunity to impact the health of an even larger population.

#### *University and Hospital*

*Changing Academic Structures.* In 2010, the university's leadership implemented modifications that affected teaching and academic interactions. Students needed to attain core competencies<sup>13</sup> and professors had to rearrange their classes to make them more related to students' learning with knowledge applied and practiced. It is



not until this curriculum innovation in 2010 that community engagement was especially important, although previous interactions with community have affected academic units and students in many ways. Professors and academic leaders saw in cooperating with needy people a great occasion to advance competencies in students as well as improving neighborhoods. As the following professor expressed,

All this has impacted our school in a way that we are redirecting our efforts to the community. The school has turned to its original mission of social work. This has also changed our expectations of graduates. We want professionals who may be able to transform also communities through services like we do here. Today, we have students in several countries replicating what we've started here.

In order to manage better all community interventions, the School of Health Sciences had to create a coordinating office that would work with Luz y Vida Center to link University, Hospital, and neighborhoods. This office was the natural result of a growing demand of community outreach, as the following professor stated,

We work closely with Luz y Vida Center. They are in charge of connecting different community needs with our resources. Although we've been working with Luz y Vida since its inception, over the last two years the center has played a stronger role to connect our school and communities. For instance, we are currently working in a suburb that demands an outpatient clinic. The center has helped us linking our group with the city hall to request a small building. They gave us an abandoned police station. We, the health personnel and the neighborhood people, fixed it up. This clinic is a point of reference to approach people. This way, we want people to feel this is their clinic. From there we help them to, for instance, develop vegetable gardens and five family have been able to do so. As many studies remark. (Crabtree 2008; Wade and Demb 2009)

All these interaction must be more than a personal project with academic structures supporting exchanges, as this faculty member mentioned, "Now, it is important to remark that we can do all this because the school's leadership supports us. It takes a lot of effort to carry on community service." If leadership does not step in and change some of the academic structures, providing resources, time and support, professors tend to fall back to the traditional community-detached teaching model (Dubb 2007).

*Changing Professors.* Community services seemed to influence professors, as they perceived that these undertakings had a great grasp on them changing their practice, teaching, and research. For instance, one of them said that it helped him to develop a research agenda in collaboration with students,

We tried to bring into line multiple goals, such as better classes, supply community needs, and research to pull all this to a win-win situation. In fact,

we start our interventions with a data collection that we apply to families for diagnosing their needs. These procedures teach students “how to” approach problems with a scientific methodology that later help them to formulate strategies. Moreover, I use that data to track changes and publish studies with them.

A similar experience is expressed through this opinion, “Interacting with poor people has also speed-up my research interest. I discovered that there are tons of interesting issues understudied. These research projects contribute to my discipline, but also to people and students. All of us are beneficiaries!” This faculty member felt that students are advancing their learning,

We, as nurses, saw community service as a great help to put into practice some of our trainings. Students go out with supervision. They have to report their service and what they have learned and we give them academic grades for their service learning. This is a great opportunity to integrate all dimensions of learning.

Another professor added,

This has been a great opportunity to link classrooms with neighborhoods. When students will have to work in their clinics, they would already know how real people behave with their human needs. To me, it is very useful to expose students to patients from early stages of academic training; no question about it!

Finally, this faculty member associated his community action with improving his teaching skills. The 2010 curriculum reform set to accomplish this important dimension through service learning.

Community engagement has helped me as a professor to integrate my teaching with practice better. At the same time, I am developing new research topic trying alternative technics and products. This has actually enhanced my research agenda. In addition, it has been a great deal to me since I can help my students with new materials and “hands-on” experiences.

Throughout multiple community services, professors have experienced significant gains in better and more practical teaching approaches, advancing research with students, as well as affecting communities to achieve core mission values of the School of Health and Sciences.

*Extra Skills.* Several professors interviewed also mentioned that interaction with communities has facilitated the development of new skill in their students, since service demands several untaught abilities. In other words, students and professors have to cope with unique situations that challenge their capabilities. Those situations, to some extent, force them to be very creative. Community service helped us to know people’s needs, but also helped us to develop new skills. For instance, we had to teach exercises to schoolchildren. We did not know how to do that, so we took special training with teachers to accomplish this goal. This way, our students not only practiced some of the information they knew, but also

learned to deal with children. In the future, these students will have pediatric cases and they are going to deal with children in multiple ways.

Another example of expanding skills with services was teaching families to cultivate vegetable for their own food. Although students had learned some of the needed skills in the university as part of their general classes, it was a completely different situation when facing real gardening in the poorest communities. One professor stated, "In order to help people to grow their own vegetables, students have to put into practice some gardening skills up against all kind of limiting conditions; it was a challenge, but we made it!"

For this professor students are also learning to offer alternatives treatments, for instance, with affordable resources. The following quotation shows how a group of nurses is testing a new technic to cure some skin problems. This procedure it is very inexpensive for most of the poor people and it can be revolutionary,

Our first goal is to teach people to prevent diseases in their own homes, but when it is not possible, we try to develop affordable cures for very poor individuals. Right now, we are implementing a therapy for skin problems based on honey. We are tracking effects in order to see how effective it is. In this way, we try to provide medicines that people can afford. This is crucial for these families because many of them do not go to any hospital. We have seen simple skin problems become too severe due to lack of treatment. This is our contribution to communities and sciences.

For this nursing professor, students are learning to set up simple business related to health caring as she stated, "Interacting with the community has also provided business opportunities to students. We developed a system to offer nursing services to families that need extra care. Students help people and make some money for their expenses." Students can develop this extra skill thanks to these services.

These few testimonies suggest that community engagement is, as this professor put it, "...like a huge lab where all theory students see today in classrooms, tomorrow they can apply it in the neighborhoods." In addition, according to the following faculty member, "I see that students who are involved in community service develop better skills and competences that enable them to become better professionals." Although this is an observation that needs empirical confirmation, this may well be the case.

### *Students*

As it was mentioned, three focus groups were conducted to report students' perceptions regarding community engagement within the School of Health Sciences at the University of Montemorelos. The interviews were done to students in different stages of their studies. There was a group from the first semester of medicine, a second one from the fourth semester of chemistry, and a final group of students who will be finishing their degree in Nutrition and Dietetics next year. These groups were selected because of their involvement in community services in connection with the program ADELANTE con 5 Pasos.

*Changing Purposes.* Interaction with communities has led all three groups to experience similar changes of views about their lives, profession, and personal contributions. For instance, a student from first semester expresses, “Your character changes as you interact with poor people. You realize that their needs are so vast that what you complain about it is nothing.” This one from chemistry added, “These experiences have impacted us to have a realistic understanding of what is going on. We see that public health is a very complex issue with many interplaying parts.” The following student from the Nutrition and Dietetics Program, who will be graduating next year, said that “Most of us want a university degree to make money and very few think about service to needy people. These activities have changed my personal goals and now I don’t want to work just to make money.” From the same group, this student added,

The first time I went to do community service, I was shocked to see how people needed a simple human touch. I felt they needed love. We cannot change the whole community, but we can help a few persons improving their lives giving them love.

Community service has modified students’ perceptions and understanding of reality. Moreover, it seems that they have grown and matured as a result of these interactions. Bernacki and Jaeger (2008) suggested that students reexamine their moral beliefs and adjust them through experiences like this. These processes are evident from the very beginning, as the following two students from the first year of medicine put it,

When I see a person with a specific problem, it motivates me to study harder to know more about the situation. All these interactions are very relevant to me; they encourage me to help more people.

Interacting with people has helped me to see my potential. I can put in practice what I learn in classes. I can remember better if I see it with my own eyes.

As a result, real cases motivated students to integrate learning and practice in a more effective way.

*Adjusting to Reality.* Most of the students expressed that their understanding of people, community, government policies, and health problems had to be adjusted. This student from chemistry expressed some disenchantment, as if he had little results,

Sometimes I feel that my contribution is limited and that the problem is a lot bigger than I thought...we try to explain the mistakes they are doing, but they don’t want to change or they don’t apply what we teach them. It is puzzling!

From the same group, this one added,

I’ve noticed that people have personal problems that translate into health issues. We have the opportunity to give them a word of encouragement and counsel. This simple fact can help them more effectively to get out of the problem. But it isn’t easy! This has changed my attitude to health problems.

Advanced students, with more experience in community service, observed that some of the public health policies produced the reverse results,

I believe the same government is creating the conditions to reproduce poverty when they give to poor people lots of things that discourage personal efforts. You see many people suffering because of the policies implemented. Then I started to ask myself, what could I do to change all this?

They seemed to see how complex public health policies are and somehow get discouraged. However, another student voiced some hope, “We may not be able to change the whole city, but we can help a few persons and that is good. Little by little we can help people who want to improve and live better.” Community engagement has definitely influenced students to have a realistic understanding of what they will face as professional of health.

#### DISCUSSION

As revealed throughout this study, Montemorelos University has been interacting with communities since its foundation. Although this is a positive contribution, it does not mean the institution had a community engagement that implied a transformation of communal conditions for the betterment of people’s health. According to Dubb (2007), institutions do many good things but community engagement involves empowering communities to solve their problems, not just give them some humanitarian help. The inclusion and empowerment of the community as part of a multi-sector team, achieve a holistic outcome with increase of total participation while creating independent communities with self-accountability for the future.

The task is tremendously difficult even though universities often have vast amounts of knowledge, financial assets, and human resources that together can transform communities. Moreover, universities have multiple missions interplaying at the same time. One of them is integrating service with learning (Vogel et al. 2010). Then, what would be an ideal scenario to unleash all possible resources to advance society and universities as places of learning? An alternative approach can be found in what Montemorelos University has experienced over the last two or three years. Working together with communities and governments has empowered actors with promising outcomes. Donald Kettl (2009), along with other authors, called this interaction “governance” or a “networked government” to transform communities successfully. In short, problems are so complex that governments are unable to cope with what is required. This point can be clearly exemplified through the relationship the university, hospital, community, and politicians developed to pursue a common goal. This model of interaction allowed all of the involved parties to keep their own identity while greatly benefited through their interaction with each other. In this case, it is important to underscore that the Center Luz y Vida was a key player that facilitated community service. As a link between the university and community, this center anchored the much-needed communication to ensure successful projects achievement. If universities

lack of a well-defined academic structure, it can be very difficult to secure a teamwork that relies on community, government, and academic actors. Accordingly, Andrew Furco and Barbara Moely (2012) remarked that any innovation would require some kind of institutionalization; otherwise, natural opposition and fears may derail well-intentioned projects.

From an educational point of view, community service has affected students, professors, and academic units. As reported here, this is probably one of the most valuable outcomes that teamwork can generate within traditional academic structures. Paradoxically, the “inside academic community” was impacted by the “outside community”, situation that has prompted a flux of supportive networks with fading “boarders” as they look for reaching common goals. Students and professors seemed to modify personal and professional understanding of public health. Moreover, this process of interrelating players has also facilitated that neighborhoods with their leaders may dream, as never before, new possibilities of self-improvement. This is one of the ultimate purposes to achieve. As result of this, politicians have readjusted what they believed about solving some of the troubling health problems this community faces. The process is far from over, but the university along with the hospital has set forth some of their available resources to expand communities potential. This is a powerful means with consequences that only future will fully unveil.

### *Challenges*

Even though the university and hospital, along with community forces, have been able to develop networks to achieve academic and public health improvement, the remaining challenges are also remarkable. Universities engage in communities as part of their service mission, but want to use all these experiences as tools to advancing learning and research, as already mentioned. According to Roy Schwartzman (2011), there are at least three possible pathologies that service learning can face. The first one is structural and affects the sustainability of any project. The lack of reliable organizations is a key element to carry on activities over long periods to transform, for instance, public health. The Center Luz y Vida is a great start that helps to provide continuity as well as connections, but as service and learning are intertwined in deeper levels of engagement, the university would need to develop more mechanisms to cope with increasing and complex involvement. Up to now, these interactions are exciting but they will demand more resources along with a clear commitment. A second challenge is the cost-benefit students and professors see in community engagement. As interviews have shown, there was a positive effect on learning, advancement of research, and even personal growth, but all this has come by investing lots of private time. In addition, not all the professors are engaging in communities with their students. So far, it is more an option than a defining trait for all the classes. Students may perceive this situation and “navigate” activities without personal commitment, just to pass the requirement. Academic units need to rearrange schedules and teaching loads to effectively include all professors and students to reap the benefits of service

learning. Finally, the third pathology can be a fragile community partnership. Can really universities take care of all of what is going on in communities? The obvious answer is no. This is especially true for very poor neighborhoods. Politicians and other social organizations may rely too much on universities' willingness to help and the "cart may not be evenly pulled," so to speak. Universities need to keep in mind that even community engagement has great learning and research potential, their main task is to help people to be self-accountable working their way out.

#### CONCLUDING REMARKS

This case study has given examples of how community engagement can be a key element in higher education. Furthermore, it showed some important and positive effects on all the involved actors. For instance, the university became more relevant to surrounding communities and their needs. This was especially significant for struggling neighborhoods, where social structures are very scant. Teaming up with government was actually a way to multiply efforts, a win-win scenario for both parties. Additionally, and as result of the previous point, people started changing their perceptions of this particular university, which helped to release resources toward mutual benefit unleashing a flow of new projects and programs. Moreover, the university and its hospital made important changes in their academic structures to facilitate a better interaction with the community. These reforms also influenced many professors, who decided to reach out and advance learning as a way to promote new sets of skills. Finally, community engagement proved to modify students' perceptions regarding their professional and social responsibility. They seemed to learn to adjust to what is really happening in society, a very valuable skill that cannot be learned in labs or classes, since it requires hands-on authentic learning experiences. With the guidance of professors, conflicting situations and incidents also helped them to explore new alternatives to produce new knowledge through research as they evaluate the impact of the Project on the culture.

Cases like these evidence that higher education has a bright future ahead. This may be the beginning of regaining the leadership that universities need to exert. Actually, community engagement may well transform learning and research in unpredictable ways. Policy makers and educational administrators should dream with a university that would intertwine research and learning with surrounding communities not only to renovate them, but also to make them partners to advance knowledge. It means that higher education is at initial stages of developing a new type of triple helix model where universities, community-based organization, and government look actively to not only speed businesses, but also public health and well-being. In other words, civil engagement means transforming teaching, learning, research, and even society itself. Could this be the beginning of the "third revolution" in higher education?

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NOTES

1. The presidents of Brown, Georgetown, and Stanford universities and the president of the Education Commission of the States created this organization in 1985. Its main mission is to provide tools and organization for colleges and university to engage in communities to improve them and to educate students for civic and social responsibility. This organization has about 1,200 affiliated institutions that represent more than 6 million students of the United States. For more information, see the Campus Compact website at <http://www.compact.org>.
2. For more details about the Universidad Veracruzana, see the university website at <http://www.uv.mx>. In the same way, the National Autonomous University of Mexico (UNAM), in the medical and health arenas, has an outreach to the community through radio, television, and culture, while the National Institute of Public Health (INSP) is developing models for university-community collaboration.
3. Service Learning differentiates from Community Engagement in that it integrates curricular activities that impact learning as part of students' progress to become a professional. Amy Wade and Ada Demb (2009) defined it "as a course-based, reflective educational experience where an organized service activity meets community needs while developing students' academically-based skills and knowledge" (p. 7).
4. The *Jefes de Barrio* or "neighborhood's leaders" are in charge of a neighborhood and act as promoters of the model ADELANET con 5 Pasos within their communities. These local leaders are crucial to support people linking them with professional support.
5. According to the World Health Organization (2005), Mexico has one of the leading obese populations in the world. Díaz Villaseñor (2011) reported, through the Mexican Foundation Este País, that 72 percent of the women and 67 percent of the men have some degree of obesity. The Mexican Association for the United Nations reported that Mexico has the highest childhood obesity in the world. In 1999, one out five children had some problems of obesity; today it is one in four (UNICEF 2013). Obesity also brings with it diseases such as diabetes, which is on the rise in Mexico, according to UNICEF (2014).
6. In Mexico, city mayors are elected for three years and they cannot be reelected for a second term. This political fact may undermine processes that take longer periods, especially if another party takes control of the city.
7. EPODE *Ensemble Prévenons l'Obésité Des Enfants* (Together Let's Prevent Childhood Obesity) has been working since 2004 in more than 500 community projects in six countries to prevent childhood obesity. Using political support, community resources, and scientific methodologies, EPODE developed community-based programs to transform negative obesity trends among children. For more information see <http://www.epode-european-network.com> and [www.epode-international-network.com](http://www.epode-international-network.com).
8. The Mexican Secretary of Health also created an initiative against obesity for, in this case, all ages with the same community engagement EPODE used. This program has the basic five steps that were implemented through the program ADELANTE con 5 Pasos in Montemorelos. For more information see <http://5pasos.mx/>.
9. From the beginning, the Seventh-day Adventist Church as emphasized the important of health among members. The basic principles of health can be summarized in eight elements: flesh air, rest, physical exercise, sunlight, pure water, a balance diet, temperance, and hope. To create ADELANTE con 5 Pasos, these principles were intertwined within existing strategies to fight obesity in all ages with the community of Montemorelos.
10. To accomplish this goal, the program had to develop communal vegetables gardens in different sites. Most poor people did not have access to a healthy diet.
11. For more details regarding the visit of EPODE to Montemorelos, see the following video (Spanish and French): <http://vimeo.com/33373611>.
12. For more information about agreements and general characteristics, see: <http://www.epode-international-network.com>.
13. In Montemorelos University, competencies are understood as critical skills needed for success in jobs, disciplinary development, and social involvement within a Christian worldview framework.

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## **18. ACTION LEARNING AS AN APPROACH FOR DEVELOPING LEADERS, SOLVING PROBLEMS, AND BUILDING SUCCESSFUL TEAMS**

*A Case Study of Princess Nora Bint Abdul-Rahman University*

After 20 years of experience in training and developing women leaders in Saudi Arabia, I have become more confident that traditional training programs are no longer effective to meet the challenges of the twenty-first century. This is characterized by a rapid change, high degree of uncertainty, and a high rate of competition and other economic, political, and social challenges, as well as the increasing demands of the society. These challenges need leaders who are willing to take risks, respond positively to change, and even facilitate change, so that the rate of organizational transformation matches or exceeds the rate of environment change.

On the other hand, action learning has emerged as a powerful tool used by the organization for developing leaders, solving problems, and building successful teams. A 2009 study by the Corporate Executive Board noted that 77 percent of learning executives identified action learning as the top driver of leadership bench strength. Business Week identified action learning as the “latest and fastest growing organizational tool for leadership development” (Marquardt 2011, p. 1).

By searching and reviewing extensive literature of action learning: books, research papers, articles, case studies and best practices, I have reached the conviction of the importance of introducing action learning as an approach for leadership development in higher education institutions (HEIs) in Saudi Arabia.

The beginning was in January 2012 when I was nominated to work as a part-time consultant for the deanship of development and skills enhancement at Princess Nora Bint Abdul-Rahman University. I thought about introducing action learning as an approach that can help the university leaders in achieving their goals, solving problem, and building successful teams, during the process of change and development that university leaders are going through.

This chapter aims to investigate, and discuss the effectiveness of action learning as an approach for developing leaders, solving problem, and building successful teams in community engagement in the higher education institutional context in Saudi Arabia. Based on feedback of 20 academic leaders whom participated in an introductory workshop about action learning that designed and delivered by the researcher in Princess Nora Bint Abdul Rahman University on 8-9 May 2012.

## THEORETICAL FRAMEWORK

The theoretical framework of this case study will focus on the action learning concept definition, the philosophical background of action learning, principles of action learning, the benefit of using action learning, and why action learning is key for leadership development.

### *Action Learning Concept*

Action Learning can be defined in several ways upon the perspectives of the authors, but generally, it can be defined as a type of learning through doing, that involves participants in reflecting on their experiences.

Michael Marquardt (2004, p. 2), the author of several books and papers on action learning, states that, "Action learning is defined as a powerful problem-solving tool that has the amazing capacity to simultaneously build successful leaders, teams, and organizations. It is a process that involves a small group working on real problems, taking action, and learning as individuals, as a team, and as an organization while doing so." While others define Action Learning as "An approach to working with and developing people that uses work on actual project or problem as the way to learn. Participants work in small groups to take action to solve their problem and learn how to learn from that action. Often a learning coach works with the group in order to help the members learn how to balance their work with the learning form that work" (O'Neil and Marsick 2007, p. xvii).

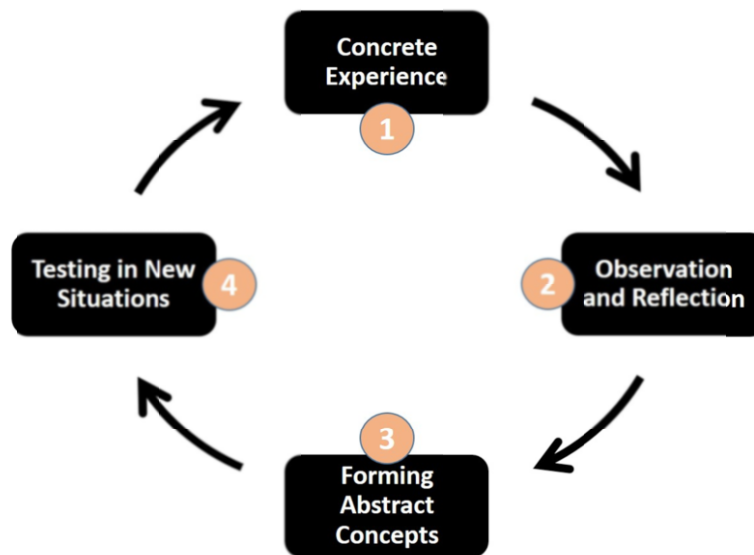
However, Reg Revans (1978), often referred to as the father of action learning, described it as an educational method whereby the participants study their own action and experiences in order to improve performance. According to Revans, the learning formula is  $(L) = P + Q$ , where (L) is Learning, (P) is Programmed Knowledge, and (Q) is Questioning to Create Insight. Revans believed that active questioning is a necessary ingredient in all learning; it enables each person to reflect on and review the action that he or she has taken and the learning points arising. This would then guide future actions and improve performance (Revans 2011, p. 2).

Action learning is to make useful progress on the treatment of problems and opportunities where no "solution" can possibly exist already because of different managers. All honest, experienced, and wise managers, will advocate different courses of action in accordance with their different value systems, their experiences and their different hopes for the future (Boshyk and Dilworth 2010, p. 7). The researcher can conclude that action learning is an effective method for building leadership competencies and developing important skills required for solving complicated problems, and to maintain a continued skills development.

### *The Philosophical Background of Action Learning*

Action learning is often used as a synonym for "experiential learning" since the implications of these terms are similar, and the two share philosophical assumptions. Learning through reflection that questions one's own insights and

actions assumes that people can gain and create knowledge, as well as their own personal theory for learning problem-solving task, on the basis of their own concrete experience. This is done through learner observing and reflecting on that experience, forming abstract conceptualizations and generalizations, and testing the implications of these concepts in new situations. The last stage will produce new concrete experience for the learner and hence the beginning of a new cycle of observation, reflection, conceptualization, testing and new action experience. The following figure illustrates this cycle (Zuber-Skerritt 2002, p. 118).



*Figure 18.1 Kolb Experiential Learning Model, 1984*

Source: Michael J. Marquardt and colleagues (2009, p. 27). Reprinted with permission.

#### *Principles of Action Learning*

Action learning brings together a group of diverse participants, with different backgrounds experiences, and professions, to solve problems, and learn together. To achieve the action learning goals, the group should be governed by some principles. Mary Stacey has identified four principles as follows:

- *Leader centered*: The leader who brings a current challenge is responsible for subsequent action in the workplace. Therefore, they are in control of their learning time and their action commitments (Stacey 2007, p. 3).

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- *Inquiry based*: The method does not seek one right answer. Learning is strengthened by the diverse experiences of participants. Through group inquiry, participants see their blind spots and broaden their perspectives.
- *Accountability focused*: In an environment that respects diverse perspectives participants can set aside turf protection and the need to have all the answers. This level of trust enables them to openly reflect on underlying assumptions and more easily focus on accountabilities.
- *Systemic learning*: The commitment to learn together over time enables leaders and teams to discover the common patterns in the challenges they face and translate these insights into systemic change.

#### *Benefits Derived from Using Action Learning*

Action learning is about real people, tackling real problems in real time, learning while doing, and learning from past actions and mistakes. Also due to its collective nature, several benefits can be derived from using action learning such as:

- Solving complex problems;
- Meeting challenges due to the rapid changes in the environment more effectively;
- Improving team-work and relationships;
- Breaking down internal barriers and encouraging collaboration between team members;
- Sharing knowledge and experience;
- Developing self-confidence and readiness to take responsibility and initiative;
- Increasing awareness and enable individuals to identify personal development challenges;
- Helping people to relate, communicate, and network with others more effectively;
- Enabling individuals and teams to learn while working;
- Building leadership competencies;
- Developing system thinking, creativity, flexibility and problem solving skills;
- Providing structured peer support; and
- Providing flexible personal development goals, particularly in the area of behavioral change.

On the other hand, Joseph A. Raelin and David Coghlan (2006) have identified nine advantages:

- The education is relevant to the learner's situation, and projects are derived from the participant's own setting, focusing on the real issue.
- The Learning experience can be immediately transferred back to the work setting.

- It encourages the adaption of collaborative leadership.
- The process promotes continued education by encouraging a “learning to learn” mindset that persist even after project completion.
- It provides time for interaction, network building, and sharing.
- The process counter cynicism by focusing on outcomes desired by the organization.
- It encourages working with a diverse workforce, as dialogue is encouraged, allowing many perspectives to come to light.
- It reduces the cost of training by using internal resources and minimal commercial products. In addition, projects can also contribute to considerable cost savings within the organization.
- The process promotes critical reflection as learners create their own knowledge, perform their own research, and share ideas.

#### *Why Action Learning for Leadership Development?*

The new global environment of the twenty-first century with its complexity, uncertainty, and rapid change requires leaders with new competencies and skills. Leadership skills that have worked in a more stable and predictable environment will not be appropriate for the new century.

Traditional training programs are not effective enough to develop the required competencies and skills needed for the twenty-first century, which includes four groups of skills: *Cognitive skills*: Skills and competencies in this cluster includes seasoned analytical skills, strategic thinking, creativity, and global perspective. *Execution skills*: Skills and competencies in this cluster include customer focus, planning, program management, and focus on results. *Relationship skills*: Skills and competencies in this cluster includes, influencing, engaging and inspiring, managing talent, creating open communication, collaborating, and building relationships. *Self-management skill*: Skills and competencies in this cluster include the ability to establish trust, adaptability, impulse control, curiosity, and love of learning (Marquardt et al. 2009, p. 9).

On the other hand, action learning which derives its power from the fact that it does not isolate any dimension from the context in which the leaders work, rather it develops the leader for the whole organization; contributes to the growth and development of most of those skills.

Robert Dilworth (1998) noted how action learning provides leadership skills that encourage fresh thinking, and thus enables leaders to avoid responding to today’s problems with yesterday’s solutions while tomorrow’s challenges engulf us.

Ian McGill and Liz Beaty (1999) pointed out how action learning provides managers the opportunity to take “appropriate levels of responsibility in discovering how to develop themselves.”

Action Learning differs from normal leadership development programs in that it requires members to ask questions regardless of the risk, rather than to find answers that have already been defined by others, that do not allow for ambiguous

responses because the examiners have all the approved answers. In addition, most leadership development programs occur away from the organizational environment, and participants work on case studies that offer more information than real-world cases. If individuals make mistakes, there are no real consequences (Marquardt 2009, p. 120).

Alan Mumford (1995) believes that action learning is effective because it incorporates the following element necessary for leadership development:

- Learning for leaders should mean learning to take effective action; this is the focus of action learning.
- The best form of action in order to learn is by means of working on a specific project or an ongoing problem that is significant to the leaders themselves.
- Leaders learn best with and from each other.
- As “colleagues in opportunity,” leaders can share problems on which to take action.
- In action learning, the people providing help are crucially different from inexperienced professors found in many management training programs.
- Participants in action learning learn from exposure to problem and to each other’s insights.

Most leadership development programs happen away from the organizational environment, and the participants work on case studies that offer more information than real-world cases. If individuals make mistakes, there are no real consequences. In addition, fellow learners are relative strangers who have limited stake and commitment to provide honest and frank feedback (Marquardt 2009).

On the other hand, action learning differs from the traditional leadership training programs or workshops in that its “primary objective” is to ask appropriate questions in conditions of risk, rather than find answers that others have already defined. Moreover, action learning does not allow for ambiguous responses because the examiners have all the approved answers (Marquardt 2003).

In addition to all the above-mentioned advantages of action learning as an approach for leadership development, the researcher would like to highlight on some other important advantages of using action learning for leadership development, such as:

- Exchange and transfer the accumulative knowledge and experience between the team members.
- Benefit from the collective thought instead of individual thought in solving problems and finding solutions that are more creative.
- Take advantage of the collective creativity rather than individual creativity.
- Investigate and establish the principle of cooperation among colleagues.
- Teamwork helps team members identify their strengths and weaknesses, while interacting with each other.

## ACTION LEARNING AS AN APPROACH

- Learning from the current experience while dealing with the problem, allows team members to learn from each other, in addition the using of experience gained in future situations.
- Action learning can help the organization to maintain its intellectual capital since it requires the team to document its meetings, and the plans the team has developed to solve the problem.

## RESEARCH QUESTIONS

The Deanship of Development and Skills Enhancement in Princess Nora Bint Abdul-Rahman University (the largest women's university in the Middle East), conducted a pilot introductory workshop on action learning. During this workshop, a number of the following research questions were addressed regarding the effectiveness of action learning as an approach of developing leaders, solving problems, and building successful teams in the context of HEIs in Saudi Arabia.

- Can action learning be accepted as an approach for developing leaders in the context of HEIs in Saudi Arabia?
- Can action learning be a suitable approach for solving complicated problems and dealing with challenges of HEIs in Saudi Arabia?
- Will applying action learning contribute to building successful teams in our HEIs?
- Will applying action-learning help in knowledge and expertise transfer, and exchange between the colleges in our HEIs?
- Will applying action learning help in benefiting from the collective thought instead of individual thought, while dealing with the challenges and problem solving?
- Will applying action learning contribute to maintaining the intellectual capital of our HEIs?

## RESEARCH METHODOLOGY

To achieve the goal of this research, a descriptive survey method was used to build the theoretical background of research, and design the introductory workshop about action learning. In addition, a case study method was used to identify the effectiveness of action learning as an approach for developing leaders, problem solving, and building a successful team. It was the appropriate method to collect qualitative and quantitative data through discussion with the participants during the workshop, as well as to investigate their opinion through a questionnaire, after the workshop completion.

## WORKSHOP FRAMEWORK

The workshop was titled, "Action Learning as an Approach for Developing leaders, Solving Problem, Building Successful Teams." The primary goal of the



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workshop was to introduce the concept of action learning as a new approach of leadership development, solving problems, and building successful teams in HEIs in Saudi Arabia. At the end of the workshop, participants were able to accomplish the following sub-goals:

- Define and understand the concept of action learning and its importance in dealing with the challenges of HEIs,
- Understand the philosophical assumptions of action learning,
- Understand the action learning cycle,
- Determine the benefits derived from the application of action learning,
- Identifying the six components of action learning,
- Decide when to use action learning, and
- Provide an overview to use action learning in their jobs.

Various training methods and activities were used during the workshop, including group discussions, action learning teams, PowerPoint presentations, and other relevant exercises. The targeted audience of the workshop was for academic leaders such as deans, vice deans, department chairpersons, and directors. The workshop last for two, full days from 9:00 AM to 2:00 PM. The schedule is replicated in [Table 18.1](#).

#### DATA COLLECTION METHOD

Data was collected during the workshop at the end of each session; the facilitator gathered the data from the participants themselves and from her observations of the participants while they were working together as teams. The last hour of the workshop implementation, ten questions were raised and discussed with the workshop participants, to explore their views and opinions about the effectiveness of action learning as an approach for leadership development, problem solving, and building successful team in HEIs in Saudi Arabia.

#### RESULTS

To achieve the goal of this research in assessing the effectiveness of action learning as an approach for developing leaders, solving problems, and building successful higher education leadership teams in Saudi Arabia, researchers completed three levels of assessment. The first level was performed during the workshop; the second was performed during the last hour of the workshop; and the deanship of skills development and enhancement at the university performed the third assessment as a part of their evaluation process. Feedback data was collected and analyzed and it is summarized in the following three workshop results sub-sections.

Table 18.1 Workshop Schedule

Day (1)	Time	Subject
8 May 2012	9-9:30	Workshop Opening & Introduction
	10-12	<ul style="list-style-type: none"> <li>Action Learning Concept &amp; Importance</li> <li>Theoretical background</li> <li>Comparison between traditional training and action</li> <li>Learning</li> </ul>
	12-1	<b>Lunch break</b>
	1-2	<ul style="list-style-type: none"> <li>Benefits of Action Learning</li> <li>When Action Learning can be a suitable approach for leadership development and problem solving?</li> <li>Will action learning be applicable as an approach for developing leaders and solving problem in our university?</li> </ul>
Day (2)	Time	Subject
9 May 2012	9-12	<ul style="list-style-type: none"> <li>Action learning cycle</li> <li>Six Components of Action Learning</li> <li>Principles of action learning</li> </ul>
	12-1	<b>Lunch break</b>
	1-2	Groups, Discussions, and Conclusions Workshop closing

#### *During the Workshop Assessment Results*

During the workshop, the facilitator observed and collected feedback about several aspects, including:

- General interaction with action learning concept and their interest in the application of the concept,
- Communication skills,
- Team building and collaboration skills,
- Questioning skills, and
- Knowledge sharing.

Results showed that the participants have a high degree of interest in action learning as an approach for leadership development, problem solving, and building successful teams. Participants believe that it will help, especially during the current situation. Princess Nora Bint Abdurrahman University is undergoing a

restructuring process, and a lot of changes are happening. Its leaders believe action learning will be a powerful tool that will assist in solving problems that will result from the restructuring and to go over the challenges of the transformational period.

In addition, they believe that action learning is applicable in their university and generally, they consider it a useful method for dealing with the fast changes, and challenges of HEIs in Saudi Arabia. They have confirmed that they will try to spread and apply action learning, when they get back to work after summer vacation. Furthermore, participants have showed a higher degree of awareness about the importance of communication skills for their leadership role; they strongly believe it helps primarily to achieve their business goals. Most participants have good communication skills, in listening, speaking.

On the other hand, team building and collaboration skills that requires a high degree of trust between team members, as well as mutual interest about the issue that the team is engaged in, participants have showed high levels of collaboration, they've built four diverse successful teams consisting of five members, and achieved their tasks successfully. However, they pointed out that in reality, sometimes joining a team is not their choice; appointed by top management people, and this leads to demotivation and lack of interest.

Participants have shown minimal degree of questioning skills, and this may be due to lack of familiarity with the use of questioning skill and the lack of training. Due to the great diversity among the members of the team, some belong to different departments, majors, different generation seniors, new appointed deans and vice deans), the facilitator noted that there is a large degree of experience and knowledge exchanging during the discussion between the members throughout the workshop. "One of the participants shared with the group her story of using action learning in her class, she divided the class in groups of eight students, each group was assigned a real problem to solve, each did their task successfully, and after three years, she met with some of them at an academic event, they told her they never forget what they have learned in her class."

#### *Workshop Discussions Results*

The last session of the workshop was devoted for discussion about the effectiveness of action learning as an approach for leadership skills development, problem solving, building successful teams, and its applicability at the university, and in HEIs in Saudi Arabia in general. In order to identify the participants opinions ten question were raised by the facilitator to collect their feedback. Results are summarized in [Table 18.2](#). In addition to answering questions listed in [Table 18.2](#), the overall comments about the workshop were documented. It includes positive comments such as:

The concept is new, and excellent to know about it, action learning has many benefits for any organization. It can be applied in our university, action learning can help in enhancing teamwork skills, the workshop was an excellent one, the workshop helped us in learning how to document our experiences and reflect on them.

*Table 18.2 Participant Opinions on the Effectiveness of Action Learning as an Approach for Leadership Development, Problem Solving, Successful Team Building*

No.	Question	Rating Average
1	Action learning is a suitable approach for solving complicated problems and dealing with challenges of HEIs	3.3
2	Action learning will contribute to the development of problem solving skills in our university	3.3
3	Applying action learning will contribute to the development of leadership skills in our university	3.4
4	Applying action learning will contribute in building successful teams in our university	3.5
5	Applying action learning will contribute in the development of good communication skills	3.5
6	Applying action learning will contribute to the understanding of our strengths and weaknesses and allow work on self-development	3.6
7	Applying action learning will help in knowledge exchange and transfer of expertise between colleges	3.7
8	Applying action learning will benefit from the collective thought instead of individual thought while dealing with challenges and solving problems	3.8
9	Applying action learning will contribute to maintaining the intellectual capital of the university	3.1
10	Applying action learning will improve over all the organizational performance in our university	3.4

On the other hand, there were some negative comments such as:

We need more time for practice, break time was late, room temperature was very cold, in reality team members, who are assigned to solve problems, are not given the authority to take actions, and this decreases the level of enthusiasm between team members. Also, Participants have recommended that to re conduct the workshop for all university faculty members and administrators, as the concept is important for everyone.

#### *Final Assessment Results*

At the end of the workshop, the deanship of development and skills enhancement at Princess Nora Bint Abdul-Rahman University conducted an assessment to assess the workshop as a part of their program evaluation process. The results are summarized in [Table 18.3](#).

In addition to the questions asked in [Table 18.3](#), participants were asked to provide their opinion about the workshop in general, what they liked most about it, and whom would they suggest to attend this workshop in the future. The majority of responses were positive, that confirms their interest in the concept. In addition, the responses showed their willingness in the implementation. The following is a summary for the responses, using the participants' words:

*Table 18.3 Assessment Performed at the End of the Workshop*

No.	Statement	Agree %	Agree to some extent %	Do not agree %
1	Is the workshop related to your work?	87	12	0
2	Did the workshop contribute to your professional development?	75	25	0
3	Do you have any difficulty understanding the workshop content?	-	-	100
4	Would you recommend to your colleges to attend this workshop?	69	25	6
5	Have the workshop objectives been achieved?	81	19	-
6	How would you evaluate the exercises?	37	57	6
7	How would you evaluate the workshopsscientific materials?	56	44	-
8	How would you evaluate the duration of the workshop?	19	81	-

- This workshop is excellent, very beneficial, teaches an awesome new subject; with a powerful method that has many advantages.
- The training materials are excellent.
- Exercises were related to our work environment.
- It will help us in formulating the work teams.
- It is applicable, simple, not costly way of developing skills.
- The examples, case studies, and practices were related to our work.
- The workshop has created very good relationships between the participants.
- The facilitator involved and engaged every participant in discussions.

This workshop is recommended for all university faculty members, department chairs, vice deans, managers, and department directors.

#### CONCLUSION AND RECOMMENDATIONS

The introductory action-learning workshop has the potential of being an effective approach for developing leaders, solving problem, and building successful teams in the context of HEIs in Saudi Arabia. Action learning is applicable in the higher education context in Saudi Arabia. Princess Norah Bint Abdul-Rahman Academic leaders are aware of the importance of communication skills for their leadership role, and they strongly believe it primarily helps in achieving their business goals. Developing leaders through action learning will generate relationships and strong bonds among the leaders and this will be an advantage for the work environment. The action learning workshop has proved to the participants and the facilitator, the

effective role of action learning in knowledge sharing, and experience exchange among team members. Action learning will contribute in maintaining the intellectual capital of the university. Questioning and reflective skills are very important to the success of action learning teams. They need to be given more attention in our next workshops.

Based on the findings of this chapter, the following eight recommendations are important for community engagement in Saudi Arabia going forward. First, based on the findings of the pilot introductory workshop of action learning in Princess Nora Bint Abdul-Rahman University, in Saudi Arabia, action learning can be considered a powerful approach for leadership development, problem solving and building successful teams in HEIs in Saudi Arabia.

Second, it is recommended that the culture of action learning be promoted in HEIs in Saudi Arabia. This can be sponsored and planned by the Academic Leadership Center, at the Ministry of Higher Education in Saudi Arabia. Since one of its goals is to advance effective leadership behaviors and practices through services and programs on matters of higher education leadership and management.

Third, HEIs can incorporate the action learning in all their activities, such as teaching, research, and community services. Fourth, HEIs in Saudi Arabia should host experts and send some of their faculty members for training experiences and attend conferences on action learning. Fifth, HEIs should offer their leaders and faculty members training courses about questioning and reflection skills. Sixth, to achieve effective results from action learning teams, it is recommended that the team should be given the power to act and make decisions. Seventh, the workshop duration should be extended to three days instead of two days. And finally, there is a need for further experimental studies for the application of action learning in Saudi Arabian HEIs in order to explore the results of this study.

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## NOTES ON CONTRIBUTORS

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**Maria ADAMUTI-TRACHE** is Associate Professor of Educational Leadership and Policy Studies at the University of Texas at Arlington. She has 35 years of experience as faculty member and researcher, starting first in theoretical physics and switching to higher education over the past 15 years. She has expertise in the fields of sociology of education, economics of education, and higher education, with a particular interest in life course research that explores the impact of gender, age, social class, immigrant status, ethnicity, and disability on education and work trajectories. A long-standing involvement with sciences underlies her motivation to continue research related to STEM education. She has about 30 peer-reviewed journal articles and book chapters that present original research on various aspects of education and labor market policy, including: gender and science-related careers, socioeconomic integration of highly-educated immigrants, access to and retention in post-secondary education, labor market outcomes of graduates, and continuing education. In her research, she employs advanced quantitative methodologies in the analysis of large-sample survey data. She advises doctoral students in the K-16 leadership and policy studies program, and actively engages them in collaborative research on STEM educational and career pathways, international doctoral education, and labor market outcomes for doctorate recipients in science and engineering. She is currently involved in an international comparative study on post-secondary access pathways of marginalized youth in gateway cities.



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**Géner AVILÉS** studied medicine at Montemorelos University in Mexico. As part of his commitment to service, he has worked as Coordinator and Health Program Manager for Montemorelos County. He also played a key role as Research and Education Coordinator for the *ADELANTE con 5 Pasos* Project that the *Luz y Vida* (Light and Life) community health clinic launched with the support of the Carlota Hospital in Montemorelos. He is also a founding member of GANA Salud AC, a nongovernmental organization focused on health education, promotion, and research in Mexico. He is now Head of the Health Office in General Terán city, Nuevo León, México. In addition, he is an active member of the Biomedical Research Lab housed at Montemorelos University where he conducts research and teaches classes.

**Kathryn BETHEA** is Chair of the College Success 101 Collaborative, a college preparatory program at Carnegie Mellon University. She has worked for over 10 years in higher education to provide resources and support so that all students can access college. As an advocate of diversity and inclusion, she has collaborated on programming initiatives to promote social equity in higher education in departments at Carnegie Mellon University, University of Pittsburgh, Community College of Allegheny College, and Carlow University. She continues to lead by example to embody the shared values of scholarship, diversity, service to others, and student development. She has a Bachelor's degree in Psychology and Africana Studies from the University of Notre Dame, a Master's in Human Development (EdM) from Harvard Graduate School of Education, and is currently pursuing her doctorate in Higher Education Management at the University of Pittsburgh. Thus far, the sum of her experiences are combining her ongoing education and professional career to research the higher education perspective of the college access gap impacting underrepresented students of color in Pittsburgh. She's working with Pittsburgh Public Schools, community-based organizations, and colleges/universities to institute a city-wide collaborative for higher learning through the College Success 101 program. She has presented her work at various professional conferences such as the Association for the Study of Higher Education, American Educational Research Association, and National Association for College Admission Counseling conferences.

**Herbert Roel CEA** came from El Salvador to study medicine at Montemorelos University in Northern Mexico where he decided to remain engaged in many community activities as he developed his professional health services. He was also a founding member of the *ADELANTE con 5 Pasos* Project that has facilitated an overall and internationally-recognized community health improvement initiative in Montemorelos and surrounding cities. As Director of the *Luz y Vida* (Light and Life) community health clinic based at the Carlota Hospital, he helped to integrate an innovative teaching-practice system for medical students at Montemorelos University. Currently, he serves as the Director of Health for the city of Montemorelos. He is also an active Professor and researcher at Montemorelos University.

**Zeno CHARLES-MARCEL** lived and worked in Mexico for over 10 years and was the Dean of the Faculty of Health Sciences, Coordinator of the School of Public Health, and Executive Director of the Montemorelos University Carlota Hospital. He was a consultant to the municipal government of the City of Montemorelos, and the Nuevo Leon state government in Mexico. Additionally he served as the Senior Advisor and Project Director of the community engagement project *ADELANTE con 5 Pasos*. He holds faculty appointments at Montemorelos University (Mexico), Andrews University (USA), and Loma Linda University (USA). He is currently the Vice President for Medical Affairs at Wildwood Lifestyle Center and Hospital in Georgia, USA and Senior Consultant with the Health Made Simple and Healthy Me – Easy! and the *Quiero Vivir Sano* community-engagement projects.

**Lina DOSTILIO**, EdD, directs the Center for Community-Engaged Teaching and Research at Duquesne University (USA). In this capacity, she facilitates teaching and research collaborations that involve university stakeholders in public problem solving across an array of social and environmental issues. Under her leadership, Duquesne University's approach to community engagement is evolving from the implementation of a service-learning requirement for undergraduates to a refined strategy of encouraging community-engaged teaching and research as a core priority of the university. Dostilio is part of the national dialogue about civic education. In 2011, Dostilio participated in the civic learning roundtable discussions held by the U.S. Department of Education that led to a national task force report on college learning and democracy's future. In 2013, Dostilio garnered Bringing Theory to Practice funding (via the Association of American Colleges and Universities) to develop a programmatic model for civic learning at the undergraduate level. Dostilio is currently part of the New England Resource Center on Higher Education's Next Generation Engagement Project. Dostilio also served as Past-Chair of the Board of Directors of the International Association for Research on Service-Learning and Community Engagement and is on the Advisory Board for Pennsylvania Campus Compact. Dostilio's research interests include community-university partnerships and democratic engagement. Her doctorate is in educational leadership and she holds a certificate in qualitative research.

**Tatyana DUMOVA** received her PhD from Bowling Green State University and is an Associate Professor in the School of Communication at Point Park University, Pittsburgh. She teaches undergraduate and graduate courses in communication theory and research methods, technology mediated communication, and technology and culture. Her research centers on educational, social, and cultural implications of communication technology. Dumova is a member of the Pittsburgh Technology Council and presents on technology issues at the meetings of professional and academic associations, including the Pennsylvania Communication Association, Eastern Communication Association, National Communication Association, Educational Innovation in Economics and Business, and Association for the Advancement of Computing in Education, among others. She has published two edited books, *Blogging in the Global Society: Cultural,*

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*Political and Geographical Aspects* (2012) and the *Handbook of Research on Social Interaction Technologies and Collaboration Software: Concepts and Trends* (2010) and serves as an Editor-in-Chief of the interdisciplinary *International Journal of Interactive Communication Systems and Technologies*. Dumova evaluates grant proposals in information and communication technologies. She has served as Co-Director of the Keystone Innovation Zone Program Grant to Point Park University from the Pennsylvania Department of Community and Economic Development aimed to develop a community and university partnership. She was also a recipient of a community partnership support grant at Bowling Green State University.

**Kassie FREEMAN** currently serves as the CEO and President of a newly formed organization, The African Diaspora Consortium. In partnership with leading universities and organizations, the organization exchanges research and best practices, students, and artists across the African Diaspora. She formally served as the Interim President of the Southern University System, the nation's only Historically Black College System, where she provided leadership and oversight for five campuses. Previously, she served as the Dean for Academic Advancement at Bowdoin College and the Dean of the Division of Educational and Psychological Studies and Professor of Education at Dillard University. She is considered a leading scholar on African Americans and college choice and comparative/international issues in higher education, having authored or edited four books and published in some of the top journals in the field. She was a Clinton appointee to the White House Board of Advisors on Historically Black Colleges and Universities and is former President of the Comparative and International Education Society, the second African American elected as President.

**Dan GETKIN** is the Assistant Director for Partnerships and Operations in the Center for Community-Engaged Teaching and Research at Duquesne University (USA). He has worked on academic community engagement activities at Duquesne since 2011, most recently focusing on building strong partnerships between teaching faculty and community partners in order to foster co-beneficial relationships. Getkin earned his Masters of Divinity from Pittsburgh Theological Seminary and his BA in History from Allegheny College.

**Wilma GONZÁLEZ** graduated from the University of Texas with a dual PhD in International Social Welfare Policies, a program that was in connection with several Mexican universities. This doctoral training opportunity allowed her to engage in several multicultural experiences that later opened doors for her to serve in different developing countries. As part of those service opportunities, she worked as Director of the Graduate School of Social Work and Chair for the Accreditation Committee of the Master of Social Work Program at Pontifical Catholic University in Puerto Rico. More recently, she was invited to serve as a full-time Professor at Montemorelos University. There she has chaired the Master in Public Health Program and also served as Director of the International Health Wellness Center, which is located within the Carlota Hospital, Montemorelos,

Mexico. González has also presented and conducted multiple research studies on many important community and public health issues.

**Gustavo GREGORUTTI** worked until recently as an Associate Professor of the School of Education at the Montemorelos University in Mexico. As part of the Montemorelos graduate program, Gregorutti visited several Latin American universities where he conducted presentations on higher education leadership and management. Gregorutti also completed post-doctoral research at the Humboldt University Center for Higher Education in Berlin, Germany. Currently, he is an Associate Professor in the School of Education at Andrews University in Michigan. His research focuses on faculty research productivity, private higher education in Latin America, and quality issues that impact accreditation. Gregorutti is currently the Chair of the Awards Committee of the Higher Education SIG of the Comparative and International Education Society.

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**David HOOVLER** is Vice President for Integrated Communications at Cuyahoga Community College (Tri-C) in Cleveland, Ohio (USA), where he coordinates the College's communications efforts. He was previously Chief of Staff and Executive Assistant to Tri-C President Alex Johnson. Hoovler was also Johnson's Executive Assistant and Director of Public Relations at the Community College of Allegheny County in Pittsburgh, where he served as the institution's chief spokesperson and lead public relations officer. Prior to that role, Hoovler taught English language and literature for three years at Weinan Teachers' College in Shaanxi Province, China. He also worked as part of the communications department at Asbury College in Wilmore, Kentucky. Hoovler holds a Master's degree in Intercultural Studies and Teaching English to Speakers of Other Languages from Wheaton College, Wheaton, Illinois, and a Bachelor's degree in English and Journalism from Asbury College.

**Futao HUANG** is Professor at the Research Institute for Higher Education, Hiroshima University, Japan. He earned his BA, MA, and PhD at Chinese universities. Before he came to Japan in 1999, he taught in several Chinese

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universities. His major research fields are concerned with university curricular development in the comparative perspective, internationalization of higher education, the academic profession, and a comparative study of higher education in China and Japan. Since the late 1990s, he has published widely in Chinese, English, and Japanese languages in many international peer-reviewed journals, including *Higher Education*, *Studies in Higher Education*, *Higher Education Policy*, *Higher Education Policy and Management*, *Journal of Studies in International Education* and so on. In 2014, he co-edited *The Internationalization of the Academy: Changes, Realities and Prospects* which was published by Springer. For the last decade, he has been invited to make speeches in many countries in Asia, Europe, North America, the Pacific, and various international conferences organized by UNESCO, OECD, European University Association, German Academic Exchange Service (DAAD), the German Rectors Conference, Nuffic, and the National Science Foundation. Furthermore, he is member of the Editorial Advisory Board of *Higher Education* and *Journal of Studies in International Education*.

**Adrienne E. HYLE** is Professor Emeritus of Educational Leadership and Policy Studies at the University of Texas at Arlington, having served the College of Education and Health Professions as Chair of the Department of Educational Leadership and Policy Studies and Associate Dean for Academic Partnerships and International Programs. She has over 25 years of experience as a faculty member researching and writing in the areas of leadership, organizational change, K-12 and higher education faculty and gender issues as well as international studies. She has over 30 peer-reviewed journal articles and book chapters in addition to co-authored books exploring the socialization of women faculty (*From Girls in Their Elements to Women in Science: Rethinking Socialization through Memory-Work*), international uses of the research method memory-work (*Dissecting the Mundane: International Perspectives on Memory-Work*), and women leaders in higher education (*Women at the Top: What Women University and College Presidents Say about Effective Leadership*). Currently, her work focuses on the influences of ties and their impact on the development of expertise in faculty and administrators as well as the developmental levels of gender awareness in the discipline of leadership. Additional interest in educational globalization have grown from her work with international doctoral cohort programs, two in Thailand and one each in the United Kingdom and Belize. She has advised and graduated over 85 doctoral students.

**W. James JACOB** is Associate Professor of International and Higher Education Management in the School of Education at the University of Pittsburgh. His research interests include higher education leadership; HIV/AIDS multisectoral prevention, capacity building, and principles of good governance; indigenous education issues of culture, language, and identity as they relate to post-secondary education; quality assurance; organizational development; higher education strategic planning; and organizational effectiveness. He is the co-editor of two book series related to the development of comparative, international, and

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**Alex JOHNSON** is President of Cuyahoga Community College (Tri-C) in Ohio and is currently focusing on strengthening the college's 50-year mission of providing high-quality, accessible and affordable educational opportunities and services. Since becoming President in July 2013, he has promoted access, equity, success, and completion for the nearly 60,000 credit and non-credit students who attend Tri-C's four campuses and other locations throughout Cleveland and its suburbs each year. Johnson currently serves locally on the boards of the United Way of Greater Cleveland, Hospice of the Western Reserve, Northeast Ohio Council on Higher Education, Rock and Roll Hall of Fame and Museum, IdeaStream, PlayHouseSquare, MAGNET, and the Greater Cleveland Partnership. Nationally, he is a member of the boards of the Community College Survey of Student Engagement and the Association of American Colleges and Universities (AAC&U), Higher Education Research and Development Institute, and Viridis. He has served in numerous capacities with the American Association for Community Colleges including member of the board and executive committee; Chair of the Committee on Community College Advancement; member of the Voluntary Framework on Accountability Steering Committee; member of the Twenty-first Century Commission on the Future of Community Colleges, and Co-chair of the Implementation Committee for the Commission's report *Reclaiming the American Dream*. He is the recipient of numerous awards and honors including The Frank G. Jackson Visionary Award, the *Pittsburgh Business Times* CEO of the Year, and the Simon Green Atkins Distinguished Alumnus Award from Winston-Salem State University. Prior to coming to Ohio's largest community college, Johnson served as President of the Community College of Allegheny County, a multi-campus college in and around Pittsburgh. He served a two-year term as President of the Pennsylvania Commission for Community Colleges and was on the Governor's Advisory Commission on Postsecondary Education. He was previously Chancellor of Delgado Community College in New Orleans and President of Tri-C's Metropolitan Campus. Johnson earned a PhD from the Pennsylvania State

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**Anne KAPLAN** is Vice-President for Outreach, Engagement and Regional Development at Northern Illinois University. Her division is responsible for four outreach centers; the delivery of university programs to place-bound and part-time students; a wide range of P-20, economic development, public management, and STEM initiatives; and the university's public radio station—units and programs which are all actively engaged with communities across the region, the nation, and sometimes the world. An historian by training, Kaplan has been part of NIU's administrative team for 40 years and has served in managerial roles related to most central university functions. She has worked actively with state and national agencies supporting the humanities, public history, engagement, and outreach. She is currently NIU's representative to both the Council on Engagement and Outreach and the Commission on Innovation, Competitiveness, and Economic Prosperity. She is also a member of the Advisory Board and Executive Steering Group of the PASCAL International Observatory ([www.pascalobservatory.com](http://www.pascalobservatory.com)), an international network of policy makers, practitioners, and researchers devoted to regional development, place management, and social inclusion. With her leadership in the division and across the university, NIU has received the Carnegie designation for both Outreach and Partnerships and Curricular Engagement and was recently designated an "Innovation and Economic Prosperity Institution" by the Association of Public and Land-grant Universities. Kaplan holds a BA in History from Carleton College and a PhD in History from Washington University in St. Louis.

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**Seth S. POLLACK** is Professor of Service Learning, and the founding faculty Director of the Service Learning Institute at California State University, Monterey Bay (CSUMB). Pollack's academic interests are in civic engagement, social change, and the role of educational institutions as facilitators of societal transformation. He has a PhD in International Development Education from Stanford University and an MA in Organizational Sociology, also from Stanford. In 2005, he received the Thomas Ehrlich Faculty Award for Service Learning, recognized as the nation's outstanding faculty in the field of community service

and civic engagement, for his contributions to integrating service learning with issues of diversity and social justice in higher education curriculum. In 2008-2009, Pollack was a Fulbright Scholar in Cape Town, South Africa, at the University of Cape Town and the University of the Western Cape, and worked on integrating service learning and social justice more explicitly in the higher education curriculum in South Africa. In 2013, California Campus Compact awarded Pollack the Richard E. Cone Award for Excellence and Leadership in Cultivating Community Partnerships in Higher Education. Pollack is the author of numerous articles and studies on service learning and civic engagement. He has provided the intellectual and organizational leadership for CSUMB's Service Learning Institute, nationally recognized as a leader in the field. CSUMB is the only two-time recipient of the prestigious White House President's Award for Community Service in Higher Education (2006, 2010), and is the 2013 recipient of the Higher Education Civic Engagement Award.

**David K. SEREM** holds a Doctor of Education (EdD) degree in Administration of Higher Education from the University of Wyoming, USA. He is a seasoned educational administrator and researcher with a bias in educational leadership and management. Serem was a pioneer Principal of Narok University College, which he nurtured until it was awarded university status in February 2013. He is a member of several professional associations, among them the Kenya Institute of Management where he currently serves as a Council Member. Serem has served as a Board Member of Kenya Airways and the National Housing Corporation. In 2000, he was awarded the Order of the Golden Warrior of Kenya in recognition of his distinguished service to Maseno University College by the former President, Daniel Toroitich Arap Moi. Serem has undergone several courses and seminars in management including on corporate governance. He is also a Board Member of the Kenya Industrial Research and Development Institute. Serem serves as a Chairman of Kipkeino High School and is also on the Board of Management of Kapsabet Boys and Kapsabet Girls secondary schools. He currently lectures in the Department of Educational Management and Policy Studies, School of Education, Moi University (Kenya).

**James SETTELE** is Director of the University of Maine School of Policy and International Affairs (SPIA), Captain, U.S. Navy (Ret.). SPIA is a fairly new graduate program at the University of Maine, only in its 5th year of students, offering an MA in Global Policy with concentrations in International Security and Foreign Policy, International Environmental Policy, and International Trade and Commerce. Settele's interest is in environmental security, with a focus on climate change security. SPIA's students are engaged in the global community. He retired from the Navy in 2009 after 27 years of active duty service, where his last assignment was as Professor of Naval Science and Commanding Officer of the Naval Reserve Officers Training Corps Unit at the University of Maine and Maine Maritime Academy. Prior to coming to the University of Maine, he served in Naples, Italy as the Director of Operations and Director for Policy and Strategy for Naval Forces Europe and Sixth Fleet. He spent one year on a Fellowship at St.



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Antony's College at Oxford University and two years as a Military Assistant to the Secretary of Defense. Settele was a Naval Flight Officer and commanded an E-2C Hawkeye squadron (VAW-126) aboard the USS Harry S. Truman. He has over 3,000 hours of flight time and 660 arrested landings.

**Carolyn M. SHIELDS** is Professor in the College of Education at Wayne State University. Her career has focused on cross-cultural understanding, cross-cultural leadership, and democratic education and leadership. She was a teacher in K-12 public education for 18 years and has been an administrator, teacher, researcher, and professor for over 20 years in higher education. Shields works collaboratively with colleagues in many countries and has supervised numerous international graduate students. Her teaching and research focuses on leadership for academic excellence and social justice, including the creation of environments in which democratic organizations can effectively prepare students for participation, engagement, and citizenship in a pluralistic civil society and global community. With over 100 publications in a wide variety of formats, Shields research outlets include seven books, discipline-leading refereed journals, practitioner-owned publications, policy documents, invited book chapters, and consulting reports.

**Linda SILKA** is a social and community psychologist by training, with much of her work focusing on building community-university research partnerships. Silka was the former Director of the University of Maine's Margaret Chase Smith Policy Center and is now Senior Fellow at the University of Maine's George Mitchell Center for Sustainability Solutions and Visiting Scholar, New England Resource Center for Higher Education. Prior to moving to the University of Maine, Silka was a faculty member for three decades at the University of Massachusetts Lowell, where she directed the Center for Family, Work, and Community, served as the Special Assistant to the Provost for Community Outreach and Partnerships, and was Professor of Regional Economic and Social Development. Recent research partnerships she has facilitated include the National Institute of Environmental Health Sciences-funded Southeast Asian Environmental Justice Partnership and the New Ventures Partnership, the HUD-funded Community Outreach Partnership Center and Diverse Healthy Homes Initiative, and the Center for Immigrant and Refugee Community Leadership and Empowerment. She has been principal investigator on over US\$16 million of federal grants from the National Institutes of Health, National Science Foundation, U.S. Housing and Urban Development, Environmental Protection Agency, and Department of Education. Silka has written extensively on the challenges and opportunities of building research partnerships with diversity and has consulted internationally on how to build community-university research partnerships. Silka received her PhD in Social Psychology from the University of Kansas in 1978.

**Tracy M. SOSKA** is Assistant Professor, Chair of the Community Organization and Social Administration Program and Director of Continuing Education at the University of Pittsburgh's School of Social Work. He teaches courses in human service management, community organizing, economic justice, and social work for civic engagement. He co-directed the University's Community Outreach

Partnership Center from 2000-2012, and he has continued to work on numerous campus initiatives to enhance community engagement and service-learning. In 2000, he received the Chancellor's faculty distinguished public service award. He also maintains faculty affiliations with the University Center for Social and Urban Research and its Pittsburgh Neighborhood/Community Information System and the University Center for International Studies and its European Union Center of Excellence. Soska is co-author (with Alice Johnson Butterfield) of *University-Community Partnerships: Universities in Civic Engagement* (Haworth Press, 2004); (with John Trudeau) *Bridging University and Community (Professional Development)*/Temple University, Summer/Fall 2005); and a special issue of the *Journal of Community Practice* on Service Learning: Community Engagement and Partnership for Integrating Teaching, Research, and Service (2010); as well as numerous conference papers and presentation on university-community engagement, community development, and service learning. He was National Chair of the Association for Community Organization and Social Administration, in addition to serving as an Editor of its *Journal of Community Practice* since 2007. Prior to joining the University of Pittsburgh faculty in 1993, Soska was a nonprofit executive for over 15 years leading organizations in neighborhood revitalization, workforce development, criminal justice and re-entry, human service co-location and collaboration.

**Stewart E. SUTIN** joined the faculty of the University of Pittsburgh in August 2007 as Clinical Professor of Administrative and Policy Studies. Between 2003 and 2007 Sutin was President and Chief Executive Officer of the Community College of Allegheny County. Sutin's principal research, publication, and public presentation focus is leadership in higher education, and the correlation between education quality and business models. He is Associate Director of the Institute for International Studies on Education at the University of Pittsburgh, and has served on advisory boards for Carnegie Mellon University, University of Pittsburgh, Brandeis University, Duquesne University, and the University of Miami. Sutin also served on the Board of Trustees for St. Thomas University and the International Fine Arts College of Miami. Prior to higher education, Sutin worked for 29 years in the financial services industry where he served as Senior Vice President and International Department Head of Mellon Bank and President of the Bank of Boston International. Sutin holds a PhD in Latin American History from the University of Texas at Austin (1975), an MA in Latin American Studies from Georgetown University (1969), and a BA in History from Penn State (1966). He was an Adjunct Faculty at the Katz Graduate School of Business Administration of the University of Pittsburgh and at Babson University. He helped found and served as Chair of the Global Trade Institute (Pittsburgh), and the New England Export Academy, both of which focused upon applied curriculum to help businesses become more competitive in global markets.

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