

The Institutionalization of University-Community Engagement
Developing Uniform Metrics for Assessment

BY

CARRIE ELIZABETH MENENDEZ
B.A., Saint Louis University, 2001
M.P.A., Saint Louis University, 2003

THESIS

Submitted as partial fulfillment of the requirements
for the degree of Doctor of Philosophy
in Urban Planning and Policy in the Graduate College of the
University of Illinois at Chicago, 2015

Chicago, Illinois

Defense Committee:

David Perry, Chair and Advisor, Urban Planning and Policy
Charles Hoch, Urban Planning and Policy
Richard Colignon, Saint Louis University
David Cox, University of Memphis
Karen Mossberger, Arizona State University

ACKNOWLEDGMENTS

First and foremost, I would like to thank my dissertation committee. This work would not have been possible without the support, humor, and wisdom of my advisor, David Perry. He not only introduced me to this dissertation topic, he trusted me with this work and incorporated me into a national network of practitioners and scholars that I admire. I am grateful to David Cox, who I have been fortunate to work with over the past years. His publications and our conversations have truly enriched this research. Charlie Hoch has always been a true critic, always helpful, and never short of stories. His comments and feedback are simply the best! I am grateful to have Karen Mossberger as a reader; her presence is surely missed in Chicago. Over the years, Richard (Ric) Colignon has provided me with literature recommendations, discussions of our own “case study,” an office, and friendship—all of which I cherish. Lastly, I want to thank Debra Friedman who took me under her wing and agreed to serve on this committee. Her time was too short on this earth; but her legacy in Tacoma and at ASU will endure. I have truly missed her strength, sense of style, and frankness these past years.

Thanks and gratitude to the Coalition of Urban Serving Universities and the Coalition of Urban and Metropolitan Universities who supported the survey research in this study. In particular, I want to recognize those who have made this research possible: Wim Wiewel, David Cox, Debra Freidman, David Perry, Geoff Maruyama, Jennifer Danek, Bobbi Laur, Roz Greenstein, John Schaffer, and the many others not mentioned here. I am also grateful to the Department of Housing and Urban Development for providing me the resources to be able to travel to universities across the country and learn from administrators, faculty and staff about the work they do. I also want to thank all of those who I had the chance to talk with and interview at Case Western Reserve University, Cleveland State University, Emory University, Georgia State University, University of Puget Sound, and the University of Washington Tacoma.

My support system in Chicago has been amazing. My ambitious colleagues have taught me so much—in particular Ratoola, Andrew, Susan, Sarah Barr, Jen, Meng, Malissa, and Glenda (my most favorite writing buddy). I also want to thank Wei, Hazel, Ann, and Marcin for their guidance and assistance. Lastly, I am eternally in debt to Thea Crumb, who has held me up through this entire process providing me with insight, fascinating discussions, feedback, laughter, taco-tequila Tuesdays, and a home.

I want to thank all of my friends and family who have been there with me through this process. My sisters and brothers: Amy, Mariann, Bobby, Matt, and Kevin. My friends Johanna, Jack, Sarah, Julie, Jen, Dave and Joe. And last, but certainly not least, my Mom and Dad, Beverly and Bob Menendez, who have supported me through it all. Their patience and love mean the world to me.

Prepared under Grant Number H-21632SG from the Department of Housing and Urban Development, Office of University Partnerships. Points of views or opinions in the document are those of the author and do not necessarily represent the official position or policies of the Department of Housing and Urban Development.

TABLE OF CONTENTS

<u>CHAPTER</u>	<u>PAGE</u>
I. INTRODUCTION.....	1
1.1. Introduction and Statement of Problem	3
1.2. Study Purpose.....	7
1.3. Research Framework and Questions	9
1.4. Chapter Overview	11
II. THE ROLE OF THE AMERICAN UNIVERSITY	13
2.1. The Evolution of the American University	14
2.1.1. Trends: Privatization and Financial Change.....	18
2.2. Universities as a Public Good	22
2.2.1. The Public Funding of Higher Education	23
2.2.2. The Public Mission of the Research University	27
2.2.3. The Urban University in its Community	29
2.2.4. Place-Based Development Policy	32
2.3. The University Engagement Movement	37
2.3.1. The Engagement Mission of the Urban University	43
2.3.2. Mission Alignment	47
III. THE ENGAGED UNIVERSITY: INSTITUTIONAL ALIGNMENT	50
3.1. Planning Engagement.....	52
3.1.1. Planning and Strategizing: The Strategy Needs a Strategy	58
3.2. The Institutional Perspective	61
3.2.1. Institutional Logics	64
3.2.2. Competing Logics in Higher Education	66
3.3. Institutionalization and Legitimation	74
3.3.1. Assessing Institutional Alignment	78
3.3.2. The Interaction of Structure and Agency.....	82
3.3.3. The Operationalization of Engagement	87
IV. FINDING METRICS THAT MATTER: METHOD	91
4.1. Methodology	91
4.2. Research Questions	94
4.3. Research Design Overview: Sequential Mixed-Methods Approach.....	95
4.3.1. Secondary Data Collection.....	95
4.3.2. Primary Data Collection: The Survey	98
4.3.2.1. Survey Method and Instrument	101
4.3.2.2. Survey Sample Selection.....	103
4.3.3. Qualitative Method: In-Depth Case Studies	107
4.3.3.1. Case Study Method	109
4.3.3.2. Case Study Sample Selection.....	111

4.3.2.3.	Selection of Interviewees and Interview Process	112
4.4.	Analysis	118
4.4.1.	Quantitative Data Analysis.....	120
4.4.2.	Qualitative Data/Case-Study Analysis	122
4.4.3.	Triangulation	123
V.	SURVEY RESEARCH: HONING IN ON METRICS	125
5.1.	Survey Background	126
5.2.	Metrics for Measuring Engagement	131
5.2.1.	Lack of Existing Metrics	132
5.2.1.1.	Improving Metrics at Universities.....	134
5.2.2.	Underdeveloped Data Collection Methods	136
5.2.2.1.	Refining Internal Data Collection	149
5.2.3.	Deficient Resources Inhabit Data Collection	140
5.2.3.1.	Investment in Data Collection.....	142
5.2.4.	University-Community Engagement is Complex	143
5.2.4.1.	Unraveling the Complexity: Long-Term Solutions ...	144
5.3.	Moving Forward: Drilling Down	146
VI.	CASE STUDIES FINDINGS	148
6.1.	Atlanta, Georgia	151
6.1.1.	Georgia State University	154
6.1.1.1.	Engagement Planning and Strategies	155
6.1.1.2.	Engagement Structure and Agency	157
6.1.1.3.	Institutionalization of Engagement	159
6.1.2.	Emory University	163
6.1.2.1.	Engagement Planning and Strategies	164
6.1.2.2.	Engagement Structure and Agency	166
6.1.2.3.	Institutionalization of Engagement	168
6.2.	Cleveland, Ohio.....	171
6.2.1.	Cleveland State University	173
6.2.1.1.	Engagement Planning and Strategies	175
6.2.1.2.	Engagement Structure and Agency	178
6.2.1.3.	Institutionalization of Engagement	180
6.2.2.	Case Western Reserve University	182
6.2.2.1.	Engagement Planning and Strategies	184
6.2.2.2.	Engagement Structure and Agency	185
6.2.2.3.	Institutionalization of Engagement	187
6.3.	Tacoma, Washington.....	189
6.3.1.	University of Washington Tacoma	191
6.3.1.1.	Engagement Planning and Strategies	192
6.3.1.2.	Engagement Structure and Agency	194
6.3.1.3.	Institutionalization of Engagement	196
6.3.2.	University of Puget Sound	199
6.3.2.1.	Engagement Planning and Strategies	200

6.3.2.2.	Engagement Structure and Agency	201
6.3.2.3.	Institutionalization of Engagement	202
6.4.	Case Study Summary	204
VIII.	CONCLUSION	211
7.1.	Changing Rhetoric or Changing Institutions?	212
7.1.1.	Assessing the Institutionalization of an Engagement Logic	216
7.2.	Degrees of Institutional Alignment: Case Study Analysis	218
7.3.	Research Findings, Caveats, and Recommendations	224
7.3.1.	Planning Disconnected from Resources	225
7.3.2.	Fragmented Organizations	226
7.3.3.	Competing Logics	229
7.4.	Final Thoughts	233
	APPENDICES	235
	CITED LITERATURE	257
	VITA	282

LIST OF TABLES

<u>TABLE</u>	<u>PAGE</u>
I. TOTAL AMOUNT OF STUDENT GRANTS DISPERSED AT PRIVATE FOR-PROFIT INSTITUTIONS IN THE U.S., FISCAL YEAR 2011	26
II. COMPETING INSTITUTIONAL LOGICS IN HIGHER EDUCATION ...	68
III. NUMBER OF HIGHER EDUCATION INSTITUTIONS IN THE UNITED STATES IN 2011	93
IV. INSTITUTIONS PARTICIPATING IN NATIONAL SURVEYS	106
V. CASE STUDY SITES	111
VI. SUMMARY OF RESEARCH PROTOCOLS AND DATA	119
VII. PROFILE OF INTERVIEWEES	123
VIII. EXAMPLE OF REPORTED RESULTS AND RESPONSE RATES FROM ONE QUESTION (EDUCATION RELATED UNIVERSITY-COMMUNITY PARTNERSHIPS) IN THE SURVEY RESEARCH.....	129
IX. GENERAL CHARACTERISTICS OF CASE STUDY SITES	150
Xa. HIGHLIGHTS OF THE INSTITUTIONALIZATION OF ENGAGEMENT AT CASE STUDY SITES IN 2012-2013 ACADEMIC YEAR	206
Xb. HIGHLIGHTS OF THE INSTITUTIONALIZATION OF ENGAGEMENT AT CASE STUDY SITES IN 2012-2013 ACADEMIC YEAR, CONTINUED.....	206
XI. EXAMPLE OF REPORTED RESUTS FROM 2010 SURVEY OF THE COALITION OF URBAN SERVING UNIVERSITIES MEMBERSHIP....	218

LIST OF FIGURES

<u>FIGURE</u>	<u>PAGE</u>
1. Total Fall Enrollment in Degree-Granting Institutions in the United States by Control of Institution: 1970 through 2010	17
2. Federal Higher Education Student Aid, Fiscal Year 2012	26
3. Illustration of University-Community Engagement Model	39
4. Conceptual Framework: Influences on and the University's Commitment to Community Engagement	42
5. Representation of a Typical Logic Model	55
6. Model of Multiple Institutional Logics in a Field	72
7. Diagram of Elements of Institutionalization of University-Community Engagement Strategy	77
8. Institutionalization of Engagement at Universities: Utilizing a Structure-Agency Matrix	85
9. University-Community Engagement Variables	90
10. Sequential Mixed-Methods Research Approach	97
11. Survey Categories	102
12. Interview Question Example with Follow-Up Probes	116
13. Interview Question Example with Answers.....	117
14. Percent of Undergraduate Enrollment by Age Categories	208
15. Proportion of Enrollment by Race Categories	208
16. Proportion of Full-time and Part-time Enrollment.....	209
17. Diagram of Elements of Institutionalization of University-Community Engagement Strategy Enrollment	215
18. Variations of the Institutionalization of Engagement at Universities: Utilizing a Structure-Agency Matrix	219

ABBREVIATIONS

APLU	The Association of Public and Land Grant Universities
COPC	Community Outreach Partnership Center
CUMU	The Coalition of Urban and Metropolitan Universities
CSU	Cleveland State University
CWRU	Case Western Reserve University
GSU	Georgia State University
HUD	The United States Department of Housing and Urban Development
IPEDS	The Integrated Postsecondary Education Data System
UPS	University of Puget Sound
USU	The Coalition of Urban Serving Universities
UWT	University of Washington Tacoma

SUMMARY

University-community engagement rhetoric has been widely accepted and embedded in urban university mission statements and strategic documents across the United States. However, twenty years after the beginning of the “engagement movement,” universities are still struggling to fully institutionalize engagement. This dissertation used exploratory mixed-methods research to identify and assess “engagement” at urban universities and to clarify to what extent engagement strategies are truly embedded and institutionally aligned.

This study provides a framework for translating the construct of “engagement” into quantifiable components, including select variables focusing on (1) the internal structure (organization, resource allocation, planning, and strategizing) of universities and (2) the agency (practices, partnerships, and value from engagement efforts) that occurs on a day-to-day basis. These variables are examined through an in-depth survey about engagement efforts at urban universities across the country. Analysis of the data determined that engagement mission and strategies are in place; however, many universities could not define how the mission is materialized in university culture, structure, or resource allocation due to the dearth and infancy of existing metrics; the lack of resources for data collection; and the complexity of university-community engagement.

To fully investigate the institutionalization of engagement, six in-depth case studies were completed in three cities—Atlanta, Cleveland, and Tacoma. The case studies illustrated that each university varies in its adaptation of engagement rhetoric, strategic choices, and implementation of programs and activities. Additionally, analysis of the qualitative data revealed three main hindrances to institutionalizing engagement and

plausible solutions to overcome these issues. First, intentions described in university mission statements and strategic documents are rarely, fully realized. Thus, the strategic planning process and supporting documents at universities should explain the explicit resources and structural changes required to support its goals. Second, universities are multi-leveled, siloed, and inherently decentralized which prohibits coherent institutionalization; consequently, administrators must work with each university subgroup to plan and assist in implementing how they will internalize and assess university-wide strategies. Lastly, universities are pluralistic institutions, functioning with multiple, competing logics; therefore, universities must clearly and distinctly define who they are and attempt to communicate their mission and strategic intent and choices.

CHAPTER 1. INTRODUCTION

Even after just two weeks on the job, I was able to point with pride to examples from UW Tacoma in each of these categories that define what it means to be an urban-serving university: central to economic development; an anchor institution of a revitalized downtown; a partner in addressing social issues; and deeply involved in environmental issues. This community — you — have created and nurtured the University of Washington Tacoma to help it become what it is today. Its history, emerging from the concerted efforts of a group of citizens, elected officials, community and business leaders, makes it forever the people's university, a public university in the truest sense of the word "public."

—Debra Friedman, Chancellor, University of Washington Tacoma, excerpt from address to the City Club of Tacoma, 2011

Chancellor Friedman's sentiments are not uncommon among university presidents these days. Such leaders enthusiastically and routinely articulate the importance of their universities in their communities—from inspiring stories about inner-city youth whose lives and prospects are enhanced by innovative education-pipeline initiatives to the invaluable economic impact provided to their communities by the anchoring role their institutions serve in those communities and regions as described by econometric data detailing university expenditures. The conversation over university service, outreach and engagement has continued to spread over the past twenty years (Vortuba, 2010), and empirical and narrative evidence continues to be produced to describe the crucial role that universities play in the social, cultural and economic vitality and competitiveness of their cities.

By and large higher-education literature shows that universities *are* increasingly involved in numerous urban development practices, including economic, community, social, knowledge producing and physical land development (Perry & Wiewel, 2005; Percy, Zimpher & Brukardt, 2006; Fitzgerald et al., 2010; Hodges & Dubbs, 2012). This increasing involvement is due, in part, to interventions by the federal government, private corporations

and public and private foundations, which, through investment in such “place-based” institutions as universities, have funded and partnered with them to improve their communities¹. In addition, the presence of national and international organizations focusing on university-community partnerships, the increasing number of networks and coalitions built around the promotion of engagement, the existence of professional development opportunities, the push of individual higher-education institutions to institutionalize engagement, and various accreditation bodies’ increased support of and requirements for community engagement have brought universal attention to the concept of “engagement” in higher education and have served to legitimize its acceptance into the mission of such institutions in the United States. As a result, community engagement² has become a focal point of contemporary higher education, with many institutions intentionally pursuing outreach via university mission statements, rhetoric, strategic planning and investment in personnel and offices dedicated to this goal (Byrne, 2006; Gaffikin & Perry, 2009; Ward & Moore, 2010).

¹ Examples include: The Department of Housing and Urban Development’s (HUD) 1994 institutionalization of the Office of University Partnerships (OUP), which committed \$80 million to set up Community Outreach Partnership Centers (COPC); the establishment of the Carnegie Foundation’s Community Engagement Classification in 2006; the initiation of the Anchor Institution Task Force in 2009, which issued a white paper to advocate for the integration of anchors in the federal agenda; and a host of institutions studying and/or otherwise evaluating the role of universities as place-based urban anchors. These institutions are growing and include, but are not limited to: Living Cities; the Kellogg Foundation; Annie E. Casey Foundation; Association of Public and Land-grant Universities, (APLU); The American Association of State Colleges and Universities (AASCU); Campus Compact; The American Council on Education (ACE); the University Economic Development Association (UEDA); and The Coalition of Urban and Metropolitan Universities (CUMU).

² Community engagement can be defined as “the mechanism through which universities achieve the goals they have articulated in relation to specific communities in terms of their trinity of basic functions—i.e., teaching, research and service—whether at the strategic university level or in project-specific contexts” (Geodegebuure and van der Lee, 2006, p. 3).

1.1. **Introduction and Statement of Problem**

Higher education is in flux due to contemporary external forces such as changing demographics, new government regulation, decreasing state and federal funding of higher education, and increased competition. University leaders have unprecedented decisions to make, such as deciding whether to adapt new technologies allowing for open access courses; accepting more international students on their campuses to increase tuition revenues; or working with private development corporations to build new mixed-use student living facilities. Academic leaders know that amidst fast-paced fluctuating trends, it is vital for institutions to distinguish themselves from the pack in order to attract adequate students, faculty, staff, and resources. One way administrators have done this is by developing an “engagement” strategy—emphasizing the extent to which the university serves and engages society to enhance the economic, social, and cultural well-being of the local, regional, national, and/or global communities. In the past three decades, the regeneration of the civic mission of higher education has stimulated universities to more actively boast their “engagement” with their communities. Urban universities, in particular, are appropriately situated to respond to the needs and challenges facing their respective cities and thus they are actively partnering with businesses, schools, community organizations, government agencies, funding agencies, and communities to address societal issues. Yet, as many studies have shown (Holland, 2005; Goedegebuure et al., 2006; Calhoun, 2011; Hart, 2011; Beere et al., 2011), taking on a mission or strategy of engagement can present serious challenges to a university.

To the outside observer it seems as though most universities regard engagement as one of their core principles at the institutional level based on their mission statements,

strategic plans and websites. However, on many campuses “engagement” gets lost in translation from the mission statement to the individual or day-to-day and vice-versa. This phenomenon most likely occurs because either 1) engagement is not embedded in the culture, leadership, organizational structure, curricula, promotion and tenure, hiring guidelines and communications, or 2) the engagement work is not captured by the institution, at the university-wide level, and communicated. Many times faculty, administration, staff and students lack ways to plan, implement, measure, and reflect on engagement activities and scholarship (Franz, 2009). In the forward to the two-volume edited series, *Handbook of Engaged Scholarship*, James Vortuba declares that, “We must do a better job of aligning our colleges and universities in a way that supports the institutionalization of this [engagement] work” (2010, p. xiii). The higher-education industry has become better at goal setting and strategic planning; however, higher education has done less well in achieving the goals it sets (Scott, 1994). Substantial progress has been made to advance the engagement goals, yet universities are far from fully integrating an institution-wide “engagement” agenda. New goals and strategies will disintegrate without adequate commitment of time and resources, enhanced communication, acceptance by agents and stakeholders, new organizational structures, long-term focus, consistency and assessment.

Twenty years, after the beginning of the “engagement movement,” the struggle for institutionalization of engagement still goes on at the institutional level (Holland, 2011). In an era of increasing operating costs, decreasing budgets and growing demand for accountability, organizations are frequently called upon to justify their programs and activities. In the current social-political atmosphere, decision-makers cannot invest in

and/or improve upon those programs and activities that cannot be valued and measured. Measuring performance is an essential component of change (Meyerson & Johnson, 1994); thus, in a time when universities are adopting new strategies and missions to include community engagement, they must develop new ways to assess and measure its performance. Without performance measurement, universities cannot know where they stand, who they are, or if they have arrived at their intended destination (Scott, 1994). The viability of engagement as a long-term university mission or strategy hinges on ensuring its compatibility with other university strategies and on marshalling significant resources to achieve the stated goal.

The current development of useful assessment and evaluation tools for university-community engagement is relatively limited, and the few that have been developed lack focus on outcomes and impact (Hart & Northmore, 2011; Holland, 2005; Vortuba, 2010). Furthermore, metrics gauging the intersection of the university and the community do not currently produce data that can be used for comparable analysis among institutions of higher education. Thus, recently, university administrators, lobbyists, academics and community organizations have begun to formulate new metrics to justify their investments in engagement strategies.

Measuring “engagement” is difficult. A systematic review of the literature pertaining to published measurement frameworks for university engagement (Hart, 2011) reveals the challenges of measuring community and public engagement, especially the lack of focus on measurement and evaluation of such engagement. In her literature search for this project, Hart examined all citations and articles published between 2000 and 2010 and she, “confirmed the impression that the development of effective audit and evaluation tools

for university public engagement is still at a formative stage” (Hart, 2011, 35). Efforts by the U.S. Department of Housing and Urban Development (HUD) through the Community Outreach Partnership Centers (COPC) program; the elective Carnegie Foundation for the Advancement of Teaching, via its formation of the “Engaged University” classification; and the U.S. Department of Education (DoE), through its extensive Integrated Post-Secondary Education Data System (IPEDS) data collection and dissemination, have little nationally available data or impact analysis of the role of universities in their nearby communities. Additionally, the metrics, benchmarking tools and assessment schemes created by universities, have been used primarily to review their own programs and partnerships, internally—not allowing for comparison across programs or universities.

Many policymakers and educators would like to see metrics created and data collected that are applicable across institutions as well as information that is relevant at both the institutional and program levels. Although many campuses have included engagement as a central part of their mission, planning, and programs, there does not exist one definition of what “engagement” is. For some, engagement is embodied in scholarship that promotes a two-way, reciprocal partnership amongst university actors and community actors, for others it merely means university outreach and volunteerism in the community. Thus, solidifying what exactly universities mean by “engagement” through the increased collection of data across universities will not only help universities assess their programs and investment, it would also help legitimize “engagement” strategies in higher education.

1.2. **Study Purpose**

The objective of this dissertation is to use exploratory mixed-methods research to identify and assess the engagement strategies and practices utilized and employed in higher education. In particular, this study focuses on urban universities in the United States that increasingly publicize their ability to build partnerships with their local communities to solve mutual university-community issues and problems. This study will seek to understand various university strategies of such university-community partnerships and engagement—internally, tracking how universities plan and strategize engagement; and externally, assessing the ways universities measure and understand the range of university-community partnerships that exist. That said, it should be emphasized that this study is not a direct evaluation of such partnerships; rather, it is an investigation of how to measure and otherwise understand university-community partnerships and the institutionalized engagement strategies.

The vision for public engagement is only one piece of the puzzle. Many institutions “talk the talk”; but do not come close to “walking the walk”. In order to execute an engagement strategy or mission, an institution must take many steps. Engagement typically involves: the creation of strategic documents; the allocation of (internal and external) financial support for engagement; the appointment of offices and leaders to coordinate this mission; the implementation of programs, partnerships, and engagement activities for faculty, staff, students, and community members; the creation of rewards for engagement in hiring, promotion and tenure; and the collection of data to assess and evaluate these efforts. This dissertation examines how urban institutions of higher education in the United States

do this—from implementation to evaluation—exploring how universities are strategizing, planning, and actively involving themselves in community engagement.

My position is empirical, not prescriptive: collaboration and partnerships are governing tactics made available to universities on a daily basis. For example, for many urban universities community engagement has always been dominant strategy, but for others, the strategy is a new one. However, there is a lack of knowledge and shared understanding about the strategic intent as well as the planning process used to implement partnerships and engagement, even though it is in the interest of these universities to accurately portray and effectively convey to the public and to policymakers just what engagement and partnerships entail. Thus, I do not assert that inter-institutional collaboration is a new approach that universities should adopt; but, instead, that when collaboration occurs, we should strive to collect more data in order to understand its use as a policymaking and administrative tool.

The purpose of this research is not only to collect data from a large sample of institutions about their engagement, but also to discover the most effective and valid metrics for collecting such information. With this data in hand, consideration of the practical and theoretical issues at the forefront of inter-institutional collaboration will be addressed. This study will operate under a pragmatic approach that recognizes the ties and themes as well as the benefits of connecting both quantitative and qualitative methods (Morgan, 2007; Bryman, 2004; Cresswell, 2005). This pragmatic paradigm promotes the answering of practical problems and opts for methods and theories that are more useful within the context of higher education administration.

1.3. **Research Framework and Questions**

This study addresses four main questions:

- Question 1. What is university engagement? Theoretically, how can urban universities in the U.S. achieve institutional alignment of an engagement strategy?
- Question 2. In practice, how are universities fulfilling their mission of engagement through planning, strategies and activities?
- Question 3. Assessment and data collection are key indicators of the institutionalization of a strategy; therefore, are there metrics that can confirm university-community engagement?
- Question 4. To what extent are engagement strategies truly embedded and institutionally aligned at urban universities? Are there best practices or categories to describe engagement at universities?

In a sequential, mixed-method study, quantitative research questions will address the breadth and types of urban development that universities are involved in by examining the types of data that are/have been collected from existing sources: survey data from a national survey examining university-community partnerships and engagement of the members of the Coalition of Urban Serving Universities (USU); survey data from a revised version of the USU survey that was distributed to the Coalition of Urban and Metropolitan Universities (CUMU); a third survey of a panel of members of USU; and secondary data collected from IPEDS and other national sources. In this first phase I will determine whether the original metrics created and questions asked in the survey and the data collected via primary and secondary data are valid and robust enough to *fully* understand the university's role as an engaged institution. The data and results from this portion of the study should illustrate the breadth of both planning and strategies for engagement as well as the actual demonstrations of types of engagement in communities. They will also suggest missing data and

information regarding engagement practices and help address engagement metrics in the future.

In conjunction with the survey research, qualitative case studies utilizing in-depth interviews and document review will probe the various strategies and practices of six urban universities. This qualitative data will provide fresh knowledge of university planning and engagement efforts that are taking place across the United States. These case studies consist of background research into the engagement planning and strategies utilized by the six universities, as well as an analysis of 60 interviews with university administrators collected during case-study site visits. These in-depth interviews will garner constructive information from the perspective of university “experts” in higher education administration and the best ways in which each university can measure engagement. The narrative contributions of administrators, faculty and staff involved in the day-to-day management of these engagement activities are invaluable for capturing a sense of how different universities and different offices collect information and data.

The investigation into the engagement planning strategies and practices of a sample of these institutions in urban areas across the United States sheds light onto the myriad ways that engagement is structured and institutionalized at various universities. The investigation also contributes to methodology with its discovery, development and refinement of practical tools, techniques and methods for studying and understanding engagement. The integration of this study into the pool of national studies of university engagement will produce results that are more meaningful than those achieved prior to the integration of this study.

1.4. **Chapter Overview**

This study is organized into seven chapters. Chapter 1 has introduced the dissertation research, outlining the research problem, questions, and summary of the research process. Chapter 2 provides historical perspective on the role of the university in society. The chapter describes the changing landscape of higher education and the current state of urban universities, highlighting the current trend for universities to increasingly support university-community engagement. And while engagement is increasingly legitimated through university mission statements, investment of resources, and external organizations, it is noted that most universities are far from being able to completely show or complete metrics or data detailing their engagement. Chapter 2 begins to answer the first research question: What is university-community engagement? Chapter 3 will follow up this question, by examining how can urban universities in the U.S. achieve institutional alignment of an engagement strategy.

Chapters 3 and 4 reveal the framework of the study, describing the theoretical and methodological basis of the research. Chapter 3 provides the theoretical background, explaining the planning theories and institutional theories used to make sense of how universities plan and implement university-community engagement. As the missions of universities have become more complex, encompassing multiple goals (such as engagement) along with the traditional educational and research distinction, the nature of the university-community (engagement) practices has taken on multiple organizational and strategic forms. Therefore, chapter 3 will discuss what it means to adopt an institutional logic; how to align an engagement strategy; and the need for review and assessment of the practices and

activities associated with engagement. Chapter 4 details how the research questions are explored through mixed methods. This chapter describes the data collection process, the sample of urban universities included in this study, and analysis procedures that utilize triangulation.

Chapter 5 and 6 report the findings from the research answering the second research question: How are universities fulfilling their mission of engagement through planning, strategies and activities? Chapter 5 reveals the survey and metrics that are tested in this study in the form of survey analysis. This chapter begins by explaining the metrics created to examine engagement and a review of the data collected from the 79 collected survey responses. The chapter ends with an assessment of the survey instrument and results, examples of successful data collection, and suggestions for future measurement and assessment tools. Thus, answering the third research question: What metrics best confirm university-community engagement?

Chapters 6 illustrates how six unique universities in three very different cities have planned, strategized, and institutionalized “engagement”. Background research and over 60 interviews describe the various ways in which engagement missions are realized. Finally, analysis of the case studies sheds light on the ability of universities to institutionally align their engagement missions to the standard policies and practices across the university organization. Chapter 7 concludes the dissertation with overarching observations, including a reappraisal of legitimization of engagement as an institutional logic at urban universities across the United States. Finally, a summary the study findings support suggestions for future research.

CHAPTER II. THE ROLE OF THE AMERICAN UNIVERSITY

Traditionally, it is the responsibility of the university to teach, research and serve. Today the triad of teaching, research and service is disproportionately infused among the various types of institutions of higher education—ranging from the land-grant institutions chartered to serve agricultural science and the mechanical arts to church-related liberal arts colleges focused on teaching students to become well-rounded critical thinkers (Scott, 2006; Clark & Youn, 2007). Universities are confronted with high expectations from students, parents, business leaders, the community, and the government. These mounting duties—beyond the traditional teaching, research, and service—are relentlessly changing the expectations of higher education institutions. In spite of the fact that universities have increased in size, complexity, and price in the past century, the fundamentals of the institution remain rooted in its historical context as a learning and knowledge producing institution (Burkholder et al., 2011). This chapter examines the history of the American urban university—tracing its evolution and highlighting contemporary trends in higher education that impact urban universities. Particular attention will focus on the numerous efforts that encourage urban universities in the United States to more actively engage with their local, regional, and international communities. This push, guided by academics, foundations and national organizations, has challenged higher educational institutions to partner with businesses, industries, government agencies, community organizations, and funding agencies to address various societal problems and seek solutions to help communities flourish.

2.1. **The Evolution of the American University**³

For decades, green and well-landscaped campuses scattered with buildings that fit together like a puzzle distinguished the American university. These campuses stood out as cloistered enclaves separate from their surrounding neighborhoods. The American university followed the model of its European predecessors—starting as an intellectual affair for the elite and clergy of the colonies in the 1600s (Hollander & Smaltmarsh, 2000), followed by an opening of education beyond its previous scope to match the speed of the rapidly developing nation (Boyer, 1997). In the two centuries prior to the American Civil War, higher education in the United States focused on teaching—emphasizing an undergraduate and liberal arts education that produced men who could serve society with acquired knowledge in education, law, medicine and ministry (Beere et al., 2011). American higher education continued to expand with the Morrill Act of 1862, which allocated federal land for the expansion of higher education in the belief that such institutions would bring in new revenue to the nation (Pulliam & Van Patten, 1995). During this still largely agricultural era in the United States, higher education played a crucial role in the economic development of the nation through the sharing of knowledge and practical information to farmers about livestock, seeds and chemicals (Rudolph, 1990). The federal government recognized the crucial role of these institutions and, in addition to the original Morrill Act of 1862, funded them through the Hatch Act of 1887 and the Morrill

³ In this section, the term “university” refers to one or many institutions of higher education that offer accredited academic courses of study. “The university” will also be used to represent the university in a sociological form with specific characteristics. The term may also refer to colleges when discussing the historic characteristics of the university, as many universities were previously referred to as colleges.

Act Amendment of 1890, elevating public service to the status of a core mission of the university, equal to that of teaching and research (Boyer, 1997).

Following World War II, two major significant changes occurred in higher education: the number of students attending and graduating from college increased significantly and the federal government invested significantly in universities to bolster research and innovation. First, the GI bill, formally The Serviceman's Readjustment Act of 1944, resulted in the doubling of the number of degrees conferred in 1950 from 1940—totaling 498,586 graduates in 1950, as compared to 216,521 in 1940 (Beere et al., 2011). Second, as higher education expanded to include the middle and lower classes, it also gained significant support from the federal government to evolve the nation's scientific advancement (Lane, 2012). Research universities, in particular, became more directly involved with business, governments and industries in the fields of national defense research and social and economic development (Harman, 2012).

During the 1950s and '60s unprecedented demand for higher education led to a historic increase in enrollments in public and private universities. It also led to an emergence of new public urban universities that expanded quickly with the help of local planning authorities and federal urban renewal funding. Universities, such as Penn State and University of Illinois at Chicago, acquired and assembled properties, relocated families and businesses, and cleared slum properties to make way for the now-preferred urban universities. Higher education was to deliver to communities and regions an educated workforce and citizenry as well as economic stimulation.

In the twenty-first century, higher education is seen as the “great equalizer” as Americans recognize that college degrees are associated with upward economic mobility.

Scientific researchers, politicians and the media inundate the public with messages and data detailing the quantifiable positive personal and national impact that postsecondary education delivers—from increased income and wealth to enhanced health to increased volunteerism to a reduced reliance on social welfare programs (College Board, 2004; Institute for Higher Education Policy, 2005). As can be seen in Figure 1, the number of students choosing to attain postsecondary education is rising at an increased rate as enrollment in degree-granting institutions grew by 37 percent between 2000 and 2010 (U.S. Department of Education, 2012). Simultaneously, federal and state policies were instituted and enhanced access to higher education and supported access to variety of choices of types of institutions, creating an enormous higher education infrastructure. Today, the higher education “knowledge industry” comprises about 3.1 percent of the country’s expenditures (GDP) (National Science Board, 2012). There is a growing emphasis on the democratization of higher education—allowing all citizens to access its presumed economic and social benefits. Consequently, a range of new institutions has come to the forefront to create a marketplace for public, private not-for-profit and private for-profit institutions of every conceivable type.

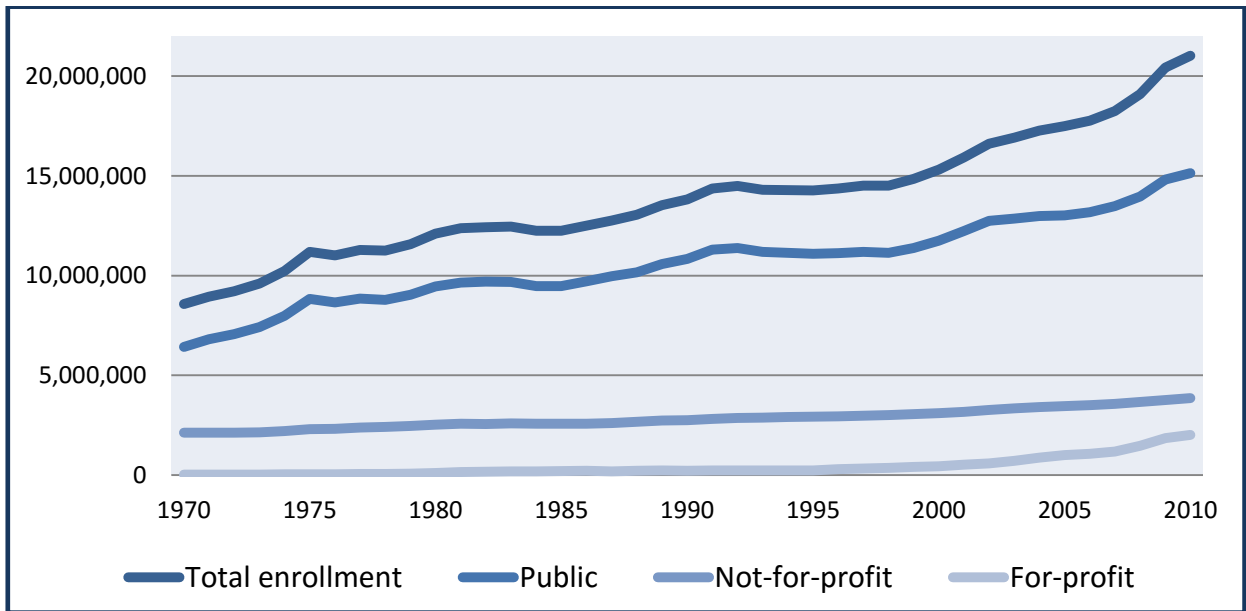


Figure 1. Total Fall Enrollment in Degree-Granting Institutions in the United States by Control of Institution: 1970 through 2010

More recently, financial constraints, in particular, have forced both public and private institutions of higher education to dramatically change the way they operate. Since the early 1980s per-student investment from government entities in higher education has dropped (Weerts, 2011; Tandberg & Griffith, 2013), forcing universities to raise revenue and supplement funding from a variety of sources, including tuition increases, grants, gifts and private-sector funds. In response to budget constraints, universities and policy-makers have responded with a variety of creative solutions to boost university funding. For example, in 1980, with the passage of the Bayh-Doyle Act (35 U.S.C. § 200-212, 1980), corporate research support, patenting and licensing led to the commercialization of research becoming an important revenue source. Universities have also taken on commercial

activities of their own with the creation and ownership of auxiliary services; investment in stocks and real estate; contracting with private-sector commercial enterprises; and taking on the role of a real-estate developer. At the same time, universities are experiencing increased competition for students and funding from other traditional universities as well as from for-profit institutions of higher education, mega-universities and online educational entities. Among traditional universities, these circumstances have introduced a sense of insecurity and urgency to attract the best and brightest faculty and students. Such institutions are pressured to expand and improve in an increasingly competitive market amid difficult economic times.

2.1.1. **Trends in Modern Higher Education: Privatization⁴ and Financial Change**

Long-term sustainability for universities depends on their administrations' ability to adapt to financial constraints; competition and commercialization of the higher education sector; the proliferation of information and communication technology; and the increasing professionalization of academic administration (Sporn, 2006). Today, "institutions are spending more than ever on branding and strategic marketing. Clever television spots, billboards, and glossy brochures tell the story of our campuses in colorful ways, and expensive economic-impact studies tout the billion-dollar impact of higher education" (Weerts, 2011). Universities are under pressure to enroll more students, graduate them in less time, conduct more research, teach more advanced courses, invest in infrastructure, partner with business and community organizations and so on.

⁴ Privatization in reference to higher education refers to the process or tendency of colleges and universities (both public and private) to take on characteristics of, or operational norms associated with, private enterprises.

The rise of the U.S. information-based economy—one that is shifting away from natural resources and physical labor—puts a premium on intellectual capital and increases the demand for higher education. Traditional public and private not-for-profit research universities are competing for students and dollars in order to remain current in a time when the number of private institutions continues to increase; Massive Open Online Courses (MOOCs) and other online courses are available for free or at little to no cost; competency-based degrees have been nationally accredited; the federal government has begun supporting alternative credentialing, among many other changes. Furthermore, cost-saving strategies have transformed universities' traditional emphasis on hiring tenured, full-time faculty, with the proportion of tenured faculty falling below 30% in 2009 from 57% in 1975 (Wilson, 2010). Higher education's alignment with private industry and capital markets over the past 20 years, discussed previously, has spawned private-public partnerships in such fields as research, technology transfer and land development. In addition, "privatization" has accelerated due to the availability of student loans, the attractiveness of higher education as a business investment, the strengthening of a knowledge-oriented economy, the expansion of the technology industry, and the decline of government commitment to public investment in higher education.

Financial data show that higher education now costs less per student for the government and that a larger percentage of the financial burden is being pushed onto the student "consumer." The rising cost of postsecondary education is disconcerting for both universities and students and their families. For the 2010–11 academic year, the last year for which figures were available, annual current dollar prices for undergraduate tuition,

room and board at all U.S. institutions of higher education⁵ were estimated to be \$18,133, whereas a student enrolled in the 1980-81 academic year would have paid an average of \$3,101 or \$7,759 in constant⁶ 2009-10 dollars (U.S. Department of Education, 2012). Moreover, the rise in cost as well as the increasing essentiality of a college degree have led to an astonishing increase in outstanding student loan debt—approaching \$1 trillion in 2012—a quadrupling of the \$200 billion figure in 2003—to over \$900 billion in 2012 (Federal Reserve Bank of St. Louis, 2013).

Even though public investment in non-private higher education in total dollars continues to rise, per-student funding continues to decrease as more and more students enter postsecondary education. Historical data for private and public institutions reveal that public institutions have always been more dependent on external support than private institutions. However, per-student state funding for public research universities dropped some 20 percent between 2002 and 2010 (National Science Board, 2012), with the amount spent per student at public colleges and universities having sunk to its lowest level in the past 25 years. Public institutions of higher education have increased their tuition and fees at rates that have exceeded both rates of increase at private universities and inflation. From 1999 to 2009, revenue from net tuition⁷ per full-time equivalent (FTE) student increased by 50 percent (Desrochers & Wellman, 2011).

⁵ For the 2010–11 academic year, annual current dollar prices for undergraduate tuition, room and board were estimated to be \$13,600 at public institutions, \$36,300 at private not-for-profit institutions, and \$23,500 at private for-profit institutions (U.S. Department of Education, 2012).

⁶ Constant dollars based on the Consumer Price Index, prepared by the Bureau of Labor Statistics, U.S. Department of Labor, adjusted to a school-year basis (U.S. Department of Education, 2012).

⁷ Net tuition revenue is defined as total revenue from tuition and fees including grants and loan aid.

Non-traditional higher education offerings are increasingly popular alternatives to the conventional two- and four-year degrees generated by coursework rooted in the physical classroom. In March of 2013 the U.S. Department of Education concluded that, “financial aid may be awarded based on students’ mastery of ‘competencies’ rather than their accumulation of credits” (Parry, 2013). In competency based education, students can earn a degree through a series of carefully designed assessments that demonstrate that they have the skills and knowledge in required subject areas, essentially “proving” they know the material whenever they are ready, theoretically without ever having to sit in a classroom or hear a lecture (Klein-Collins, 2012). In southern New Hampshire, for example, a program established with support from the Bill & Melinda Gates Foundation, is billed as the “first degree program to completely decouple from the credit hour” (Parry, 2013, p. 1), one that can provide a college education for a mere \$2,500 a year. In addition to competency-based degrees, certain professions are accepting alternatives to the four-year degree such as credentialing for Pre-K-through-12 teachers, yet another approach that is drawing away students from traditional degree-granting institutions. Nonprofit training organizations such as the federally funded American Board for Certification of Teacher Excellence, The New Teacher Project, and Teach for America train pre-secondary-education teachers, who can gain accreditation without a traditional teaching degree granted by a four-year college or university.

Perhaps the largest and most prominent change in post-secondary education is the rise of the private for-profit higher education institution. Online learning as well as growing demand for higher education has fueled vigorous enrollment increases at these for-profit colleges. The largest university in the United States is The University of Phoenix, a for-

profit four-year online college, whose enrollment reached over 300,000 in AY 2011 (IPEDS). In contrast, the largest public four-year university, Arizona State University, enrolled 72,000 students that year (IPEDS). Although the number of students enrolled at all higher education institutions has grown rapidly in the past three decades (see Figure 1), enrollment has grown at higher rates in private for-profit colleges—increasing from 200,000 students in the late 1980s to nearly 2 million students today (IPEDS).

2.2. **Universities as a Public Good**

Universities are vital to the welfare of the nation and thus are partially publicly financed. The primary underlying principle of subsidization for universities is their outputs that benefit the public good (Calhoun, 2011). The changing landscape of higher education reveals that while colleges and universities provide social benefits, they also impart private benefits (rate of return) for individual student consumers and to the benefactors of for-profit institutions. Thus, individuals, foundations and governments have provided longstanding support of higher education in the United States.

Due to the public funding of higher education, it is expected that institutions of higher education shoulder social and public responsibility—complying with the mission to serve the broader public interest by remaining current and allowing for research and knowledge to prosper (Clark, 1983; Weber et al., 2005). In the past few decades, a variety of intersecting internal and external factors have pushed these universities to pursue a mission of community engagement, including 1) external pressure to address social needs in a neoliberal climate, 2) economic instability and the need for universities to demonstrate

their relevancy, 3) an entrepreneurial search for new revenue sources, and 4) the return to the tradition of civic engagement in higher education (Dempsey, 2010, pp. 361-362).

2.2.1. **The Public Funding of Higher Education**

Public, private not-for-profit *and* private for-profit institutions obtain considerable public funding via federal, state and local government grants; research-specific grants; and student loans and student grants—primarily federal Pell Grants. Although the federal government plays a secondary role in supporting and financing American higher education, this role remains quite substantial and clearly helps shape the enterprise through providing grants, overseeing the federal loan program, and enforcing non-discrimination laws (Watson et al., 2011). In 2012, universities and colleges performed \$62.7 billion, or 13.9%, of all research and development (R&D) in the United States. The federal government subsidized approximately 60% of all university R&D, providing more than \$37 billion to universities and colleges throughout the country, compared to the approximately \$3.2 billion from private business, \$3.7 billion from nonfederal governments, \$4.9 billion from nonprofit organizations, and \$13.5 billion internally invested by colleges and universities (Borroughs, 2013). The federally funded research and development is financed through many sources, the most prominent being the National Science Foundation, the Institute of Medicine, the Department of Energy and the Department of Defense.

Universities receive preferential tax treatment because they are seen to have a public purpose—serving the needs of society by providing education and conducting research (Congressional Budgeting Office, 2010). In compliance with federal income tax⁸

⁸ The University is both an Internal Revenue Code (IRC) Section 115 organization and an IRC Section 501(c)(3) organization.

guidelines, public and private not-for-profit universities are exempt from paying federal income tax on revenue generated by activities which are directly related to the universities' educational and research missions. Moreover, institutions of higher education are eligible to receive tax-deductible charitable contributions, to take on tax-exempt debt to finance capital expenditures. The tax advantages that the federal government has granted to institutions of higher education under the Internal Revenue Code (IRC) have also allowed universities to more easily maintain and develop campus facilities. The U.S. Congressional Budget Office (CBO) estimated that the total foregone revenue on tax-exempt debt (from bonds) for colleges and universities would be about \$5.5 billion in 2010, the last year for which figures were available (Congressional Budgeting Office, 2010). Furthermore, the bonds, which are acquired at reduced interest rates, are subsidized through tax revenues. The CBO estimates that if all institutions of education (Pre-K through Higher Ed) were to pay taxes on charitable contributions, the federal government would have been \$6.6 billion richer from forgone tax revenues in 2010 alone (of which 70% is from colleges and universities).

Furthermore, individual states and localities offer universities exemptions from other taxes such as sales tax or property tax. Universities are also exempt from property tax under state law—although this varies by state—typically including taxes on all personal, real and leased properties⁹ that are used exclusively for educational purposes. For example, in Boston alone, the amount of tax-exempt property that belongs to institutions of higher education in the city is valued at over \$7 billion, which would generate more than \$190 million annually if it were taxable (Kelderman, 2010). Some universities do sign agreements to give

⁹ These typically include movable property (any property that can be transported); real property includes land or buildings; i.e., (any permanent fixture or structure above or below the surface); and personal property includes (any tangible property, such as copiers, computers, equipment or furniture).

monetary contributions or service in lieu of taxes¹⁰ (SILOTS and PILOTS) to their respective municipalities.

Public support for higher education has continued into the 21st century. In the past five years, from 2009 to 2014, state governments across the U.S. have allocated \$71 to \$76 billion to higher education annually (Grapevine, 2014). The most prominent federal role in higher education lies in government subsidies to help students obtain higher education through grants, loans, tax benefits and paid work-study programs, all of which totaled over \$193 billion in 2012 (see Figure 2). And while all of this support flows in from public funds, higher education continues to take on characteristics of the private sector. In the past decade, a larger percentage of these loans have been allocated to students attending one of the 3,483 private-for-profit institutions of higher education in the United States (IPEDS). Of those private-for-profit institutions, only 21% offer a four-year degree or above, and less than half of these institutions grant degrees. Yet, as seen in Table I., during the 2010-11 academic year the federal government granted over \$8 billion in Pell Grants to students at private for-profit institutions—both degree and non-degree granting¹¹—which, unlike other private and public loans, do not have to be repaid. All the data and research presented in this chapter has highlighted the changing face of higher education and where its resources are obtained. The remaining sections of this chapter explain why.

¹⁰ Some institutions do make payments in lieu of the taxes (PILOTS) on the property they use for educational purposes. The use of PILOTS has not yet become a systematic solution, as only some states explicitly authorize or encourage municipalities and exempt charities to make PILOT agreements. Pilot arrangements vary, not only across states but also within states and even municipalities. Some include services in lieu of taxes (SILOTS), a term that covers a variety of in-kind transactions.

¹¹ Only 41% of private for-profit institutions can grant degrees, yet nearly 98% of these institutions are able to provide their students subsidized federal student loans.

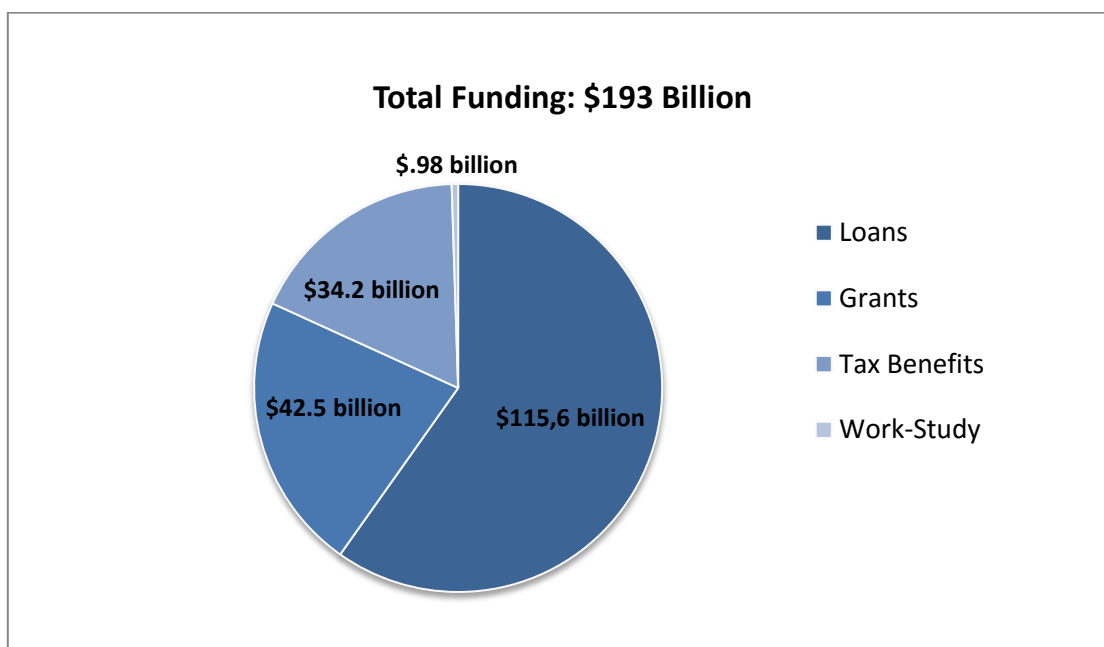


Figure 2. Federal Higher Education Student Aid, Fiscal Year 2012

TABLE I. TOTAL AMOUNT OF STUDENT GRANTS DISPERSED AT PRIVATE FOR-PROFIT INSTITUTIONS IN THE U.S., FY 2011

	Pell grants	Other federal grants	State and local grants
Total for All Private For-Profit Institutions	\$8,038,994,634	\$904,493,780	\$642,576,311
Degree-Granting Private for-Profit Institutions	\$6,408,761,786	\$834,263,008	\$577,568,461
Non-Degree-Granting Private for-Profit Institutions	\$1,630,232,848	\$70,230,772	\$65,007,850

2.2.2. **The Public Mission of the Research University**

The public mission of American universities is not always apparent; nonetheless, they have continued to receive considerable public resources (Rhoten & Calhoun, 2011). One of the foundational principles of the American university in the 17th century was the application of knowledge produced in the university that could be used for the “common good” (Veysey, 1965); however, the public and private functions of today’s research university are not always so explicit. For example, as public and non-profit universities compete with private-sector institutions and confront daunting fiscal realities, they take on the challenge of altering their public mission (Gaffikin & Perry, 2009). The university conducts a balancing act between the role of servicing the needs of the economy and civil society and that of serving as a learning institution and a generator of knowledge (Harloe & Perry, 2004; Delanty, 2001).

Central to such a balancing act are the various components of the public mission constructed throughout the university, whether they are detailed in their mission statement or not. For instance, public research universities, in particular, provide research and educational opportunities to the largest number of students while charging lower tuition and fees than their private counterparts. Public research universities also enroll a large percentage of students from underrepresented groups. According to a report by the Association of Public and Land-grant Universities (APLU), among the one million minority students enrolled at research universities in 2009, 80 percent attended public research universities despite the fact that these institutions represented less than 10 percent of all four-year colleges and universities in the U.S. (McPherson et al., 2010). Second, public research universities—in particular land-grant institutions—have always played an

important role in the development and protection of biological and natural resources in states and localities. Thirdly, all medical research universities and health and education programs have an insurmountable reach in society that benefits the public good. University teaching hospitals, for example, at research universities (both public and private) account for over one-quarter of all Medicaid patients and 40 percent of all hospital charity care even though they represent just over 6 percent of all hospitals in the U.S. (American Association of Medical Colleges, 2012).

Universities have, by tradition, served the public by graduating students whose education will benefit the community and through research production and innovation (Beere et al., 2011). According to Bloom, Hartley and Rosovsky (2006) higher education also provides an array of economic and social benefits, including: increased tax revenues, greater productivity, increased consumption, increased workforce flexibility, decreased reliance on government financial support, reduced crime rates, increased charitable giving and community service, increased quality of civic life, social cohesion, appreciation of diversity, and improved ability to adapt to and use technology. Even with all of the aforementioned benefits, the role of the research university at a time when higher education is in fiscal and institutional flux is still in question. Today, universities possess a large stake and an important presence in their cities and communities, affect the local and regional economy and employment, gather revenue and spend money in their communities, consume sizeable amounts of land, have relatively fixed assets and are thus not likely to relocate, attract businesses and highly skilled individuals, and are a center of culture, learning and innovation with enormous human resources (The Netter Center, 2008). But, are these features of the ‘place-based’ university, with its physical campus and local presence,

continue to be important when populations are increasing and distance is dying through the application of new technologies and distance learning? Will the American higher education see a significant change in the coming years?

2.2.3. **The Urban University in its Community**

In general, community development practices in the latter half of the twentieth century have been influenced by the systemic restructuring of society through the globalization and neoliberalization of the economy and politics, (Newman & Lake, 2006). This new competitive state of affairs has changed the focus of the community development field into one of “place,” in which communities compete for resources from government and private entities. Institutional actors in communities must recognize the resources that are available and how most efficiently to leverage them. The new “place-based” approaches involve attempts to tap into economic, social and political potential that remains idle or/and not identifiable to outside agencies, so that all institutional actors in communities can contribute to urban development (Tomaney, 2010). Today there is a variety of organizations—grassroots, non-profit, foundation funded, public and private— all of which want the same things for their community, thus creating a need for coordination and alliances. Creating and strengthening alliances and putting the pieces of community development together in a systematic way will have a stronger long-term impact on communities (Ferguson & Stoutland, 1999). Austin (2000) points out that “the twenty-first century will be the age of alliances. In this age, collaboration between nonprofit organizations and corporations will grow in frequency and strategic importance,” (p. 1).

Universities are regarded as among the more valued place-based institutions in their communities. They are also often large landholders with the capacity to play transformative

roles in local politics and planning (Van der Wusten, 1998). In addition, urban universities often provide human, cultural, academic and economic improvement to their communities. Such universities focus on serving students, faculty and staff as well as their communities. Out of self-interest (Weber et al., 2005), universities often reach beyond their educational endeavors to significantly influence the development of their communities. As place-based institutions they have a vested interest in their community. Furthermore, with the proper incentives and drive, universities have the economic potential to leverage their assets to promote local private-sector development.

Universities have begun to appreciate that to grow and prosper; they must link their futures with those of their surrounding communities (and vice versa) (Gaffikin & Perry, 2009). More and more, institutions see engagement with their communities as vital to the effective achievement of their tripartite mission to teach, conduct research and serve. In the afterward of *The University and the City*, Thomas Bender (1988, p. 290) refers to the urban university as “semicloistered heterogeneity in the midst of uncloistered heterogeneity [the city]”—interaction of the university and the city is assumed, as they intersect in economic, cultural, historical and social ways. The urban university generates both quantifiable and incalculable wide-ranging impacts on the city. Thus, many such institutions are recognizing the need to establish, market and make explicit the integral role they play in their communities, regions and planet.

Various urban institutions and change agents have recognized the benefit of having universities located in their communities. Olssen and Peters (2005) note that, “in a global neoliberal environment, the role of higher education for the economy is seen by governments as having greater importance to the extent that higher education has become

the new star ship in the policy fleet for governments around the world”. Public authorities, at all levels, expect universities to partner in a variety of strategies—playing a role in economic development, assisting in Pre-Kindergarten thru Grade 12 education, assisting health and social care, the criminal justice system, and so on (Watson et al., 2011).

Universities are able to spark development by leveraging their knowledge, resources, assets and expanding constituencies. Universities are seen as engines in the knowledge economy as they develop relationships with industry and business in a series of venture partnerships. Concurrently, while the public and private sectors view the university as an “engine” for and an “anchor¹²” of economic and community development, universities feel pressure to rethink and alter their mission and goals to reflect their role in urban development (Gaffikan & Perry, 2008). Universities recognized that as the political, economic and social environment change, they too must change in conjunction to respond to their external environments (Maurrasse, 2001; Cox, 2010; Rodin, 2010). This evolution of the university is pointedly illustrated in university mission statements, strategic planning documents, and rhetoric.

The large amounts of land and infrastructure that public universities own and operate are intrinsically related to the economic value of the surrounding land and infrastructure. Universities have become major agents in city redevelopment in that their buildings and infrastructure transform the urban landscape. Additionally, universities are increasingly engaging in partnerships with other public and private institutions to develop additional real

¹² An anchor institution has a large stake and an important presence in its city and community; has economic impacts on employment and revenue-gathering-and-spending patterns; consumes sizeable amounts of land; has relatively fixed assets and is not likely to relocate; is among the largest purchasers of goods and services in its region; is a job generator; attracts businesses and highly skilled individuals; is one of its region’s largest employers, providing multilevel employment possibilities; and is a center of culture, learning and innovation with enormous human resources (Netter Center, 2008).

estate on and around their campuses (Perry & Wiewel, 2005; Rodin, 2007; Wiewel & Perry, 2008; Haar, 2011). Universities, often by design, and at times unintentionally, attract and create multipurpose university-related commercial strips, villages or special-purpose districts. These institutional collaborations are the result, at least in part, of the ongoing fiscal squeeze and increasingly growing demands on the traditional governmental tax-and-spend solutions to community problems.

The university's distinctive position as a "knowledge producer" in numerous areas that relate to societal problems and issues has led to mounting pressure from internal university actors and external political, economic and social institutions to partner with nearby communities. These partnerships are dependent on the university's ability and expertise in designing and delivering knowledge applications that address issues as well as the knowledge dissemination and preservation that is critical to the core of higher education (Peters, et. al., 2010). These types of partnerships have multiplied in recent years and are expected to increase even more in the future (Kamensky et al, 2004; Pierre, 1998; Agranoff & McGuire, 2003).

2.2.4. Place-Based Development Policy

Recently there has been a push by both the public and non-profit sectors to promote the university as a "partner" in communities through explicit rhetoric and strategies. Concurrently, universities have begun to promote community partnerships through investment in centers, institutes, offices and personnel that address community issues through the creation of programs, offices, and research centers (Hollander & Saltmarsh, 2000; Holland, 2005; Percy, Zimpher & Brukardt, 2006; Fitzgerald et al., 2010). The number, range and scope of these partnership initiatives and the funding for them are diverse

and growing (Minkler et al., 2003). The federal government has shown interest in creating these partnerships, utilizing various agencies to carry out the work: the National Institutes of Health, the Centers for Disease Control and Prevention, the Health Resources and Services Administration and the U.S. Department of Housing and Urban Development. In addition, a number of foundations, associations and coalitions¹³ are investing in studies to examine the importance of anchor institutions, specifically universities.

University outreach and service in the community have always existed in some form; however, national and international organizations began to form in order to institutionalize and distinguish these practices. Campus Compact, a national coalition of community college, college and university presidents dedicated to civic engagement, was established in 1985. Today nearly 1,200 colleges and universities (25% of all degree-granting institutions of higher education) are members of Campus Compact, and thus claim to be committed to fulfilling the civic purposes of higher education (Campus Compact, 2013). Additionally, the federal government, through its Corporation for National and Community Service's Learn and Serve America program (1993 to 2009), has supported and funded some one thousand colleges and universities through grants intended to promote student civic service and participation. Various foundation and nonprofits have also come forward to support university-community partnerships by not only starting programs but by matching university and federal funding to make such work possible, including Living Cities, the Kellogg Foundation, the Robert Wood Johnson Foundation, the Annie E. Casey Foundation, the Association of Public and Land-Grant Universities, the American Association of State Colleges and Universities, The American Council on Education, the University Economic

Development Association, the Coalition of Urban Serving Universities, and the Coalition of Urban and Metropolitan Universities. It is with funding and programs from foundations and nonprofits such as these that universities are increasingly partnering with community groups and organizations.

The Department of Housing and Urban Development's (HUD's) decision to establish the Office of University Partnerships (OUP) and set up Community Outreach Partnership Centers (COPC) changed the conversation about university-community partnerships nationally. From OUP's inception in 1994 to 2006, over 200 institutions of higher education received COPC grants to help establish and operate offices to carry out outreach and applied-research activities to address problems in urban areas. The program created not only physical offices on campuses, but launched the institutionalization of a collaborative model informed by planning-theory ideas that emphasized higher education's role in mediating among "stakeholders" within communities. While funding for COPC has now ended, colleges and universities across the country continue to partner with communities in their planning and research pursuits.

Despite the termination of COPC and the dwindling of funding for university-community partnerships, research on anchor¹⁴ institutions' ability to leverage resources while addressing societal needs has recently gained increased attention. In April of 2009, a

¹⁴ Anchor institutions are defined as "those non-profit or corporate entities (namely, educational institutions and hospitals) that, by reason of mission, invested capital or relationships to customers or employees, are geographically tied to a certain location" (Webber, et al., 2008). The sheer size and landholdings of public urban universities make them place-based institutions. These "local stakeholders" (Bromley, 2006) are tied to their localities as their institutional histories and identities are tied to their campuses and cities. Because of the tendency of these institutions to be settled in one location, they use multiple strategies to build, develop and beautify the communities around their campuses (Rodin, 2007).

policy study from the Anchor Institutions Task Force¹⁵, “Anchor Institutions as Partners in Building Successful Communities and Local Economies,” recommended that HUD assume a new role of sponsoring anchor institutions through the implementation of an “Anchor Institutions Program Division” (HUD Working Group, 2009). This study re-envisioned the federal government’s catalytic role in improving communities and helping solve significant urban problems through the funding of “universities, medical centers, hospitals, cultural institutions and other place-based anchors to leverage their economic power for community benefit” (Harkavy et al., 2009: 151-158).

The Obama Administration has explicitly endorsed place-based policy through the creation of the White House Office of Urban Affairs (OUA), recognizing the importance of collaborations and partnerships with local communities in urban revitalization strategies (Cytron, 2010; Price, 2011). The effort to create a comprehensive strategy for urban revitalization at the federal level had not been undertaken since such reforms were institutionalized under former President Lyndon B. Johnson’s Great Society program, which included the War on Poverty (Price, 2011). The Obama initiative embodies “both a holistic and integrated approach to urban policy—an approach that appreciates that local and regional leaders often pursue interdisciplinary approaches to the highly complex and interrelated issues in their communities” (Office of Urban Affairs, 2013). The OUA makes explicit its intention to join together local, regional, and national actors to create solutions to urban problems. In the words of a White House memo, “The prosperity, equity,

¹⁵ The Anchor Institutions Task Force “has been convened as an organization to develop and disseminate knowledge to help create and advance democratic, mutually beneficial anchor- institution-community partnerships,” (Marga, 2013).

sustainability and livability of neighborhoods, cities and towns, and larger regions depend on the ability of the federal government to enable locally-driven, integrated and place-conscious solutions” (Orszag et al., 2009). The memo goes on to say that federal agencies are to coordinate with “state, local and tribal governments, faith institutions, nonprofit organizations, businesses and community members at-large as collaborators” (White House, 2009).

Although OUA has not focused on shaping policy directly, it has generated inter-agency collaboration, bringing together institutional silos at the federal level. Much collaboration has formed under the White House Neighborhood Revitalization Initiative (NRI). The NRI collaborates with the White House Domestic Policy Council (DPC), OUA, HUD and the departments of Education (ED), Justice (DOJ), Health and Human Services (HHS) and Treasury to work on supporting local solutions to revitalize and transform neighborhoods. The rhetoric of place-making is embodied in the budget that funds a multitude of programs that aim to better communities. These programs—Choice Neighborhoods, Promise Neighborhoods, Sustainable Communities, Byrne Criminal Justice Innovation, Community Health Centers, Behavioral Health Services and the Healthy Food Financing Initiatives—are all representative of this commitment to place (Cytron, 2010). Additionally, changes in regulation and funding requirements at the federal level reflect the commitment to community. One such example is the Affordable Care Act (ACA) of 2010—a health care law that influence hospital behaviors by requiring that nonprofit hospitals conduct a community needs assessment and report on how those institutions are meeting those needs (Dubb & Howard, 2012). The act’s regulatory changes and new programs have ignited new conversations around community, social and economic

development occurring in urban areas. As producers of place-based and collaborative-partnership literature, knowledge and research, universities have remained at the forefront of this conversation.

2.3. **The University Engagement Movement**

As noted, in the past three decades place-based institutions have explicitly stated their relevance to their communities, states and regions. Universities embraced this role of engagement starting in the 1980s with a push toward increased student volunteerism. This push quickly led to the rise of the service-learning movement in the early 1990s and progressed into the birth of the “engaged campus” in the late 1990s (Hollander & Meeropol, 2006). The idea of the engaged university reached new heights in the early 2000s with the institutionalization of the movement in the form of published research in academic journals¹⁶ that focus on engagement, the rise of professional associations¹⁷ for engagement, the spotlight on engagement from traditional associations¹⁸ and the desire of postsecondary accrediting associations to integrate engagement in their reviews. In addition, Colleges and Universities across the country created stand-alone centers and institutes, whose sole purpose was to promote university-community engagement and engaged research. In

¹⁶ Journals such as the Metropolitan Universities Journal, Journal of Higher Education Outreach and Engagement and the Michigan Journal of Community Service Learning have published special volumes and articles on engagement.

¹⁷ Professional associations that have formed around engagement work include Campus Compact, Higher Education Network for Community Engagement, The Engagement Scholarship Consortium, The Coalition of Urban and Metropolitan Universities, the Coalition of Urban Serving Universities, The Talloires Network and the Carnegie Foundation for the Advancement of Teaching.

¹⁸ Traditional associations such as the Association of Public and Land-grant Universities, the Council of Independent Colleges, the American Association of Community Colleges and the American Association of State Colleges and Universities have included engagement as a core component of their missions, research and conferences.

addition, many universities have entertained/and or adopted the idea of new tenure, promotion, and hiring practices that recognize and reward engaged scholarship (Cox, 2010).

Community engagement can be defined as the “mechanism through which universities achieve the goals they have articulated in relation to specific communities in terms of their trinity of basic functions, i.e., teaching, research and service, whether at the strategic university level or in project-specific contexts” (Geodegebuure & van der Lee, 2006, 3). The engagement efforts of the past two decades emphasize a shift away from the university as expert (implying the university can serve and reach out to its community) toward a collaborative, two-way model in which multiple community partners work with universities and play a significant role in creating and sharing knowledge to contribute to the populace (Weerts, 2011). Engagement can be seen as a way for research universities to bring together their tripartite mission (see Figure 3). Community engagement “is a unique opportunity to renew the civic mission of higher education and to strengthen and expand the learning and discovery that has been at the foundation of the academy” (Brinkardt et al., 2006, p. 69).

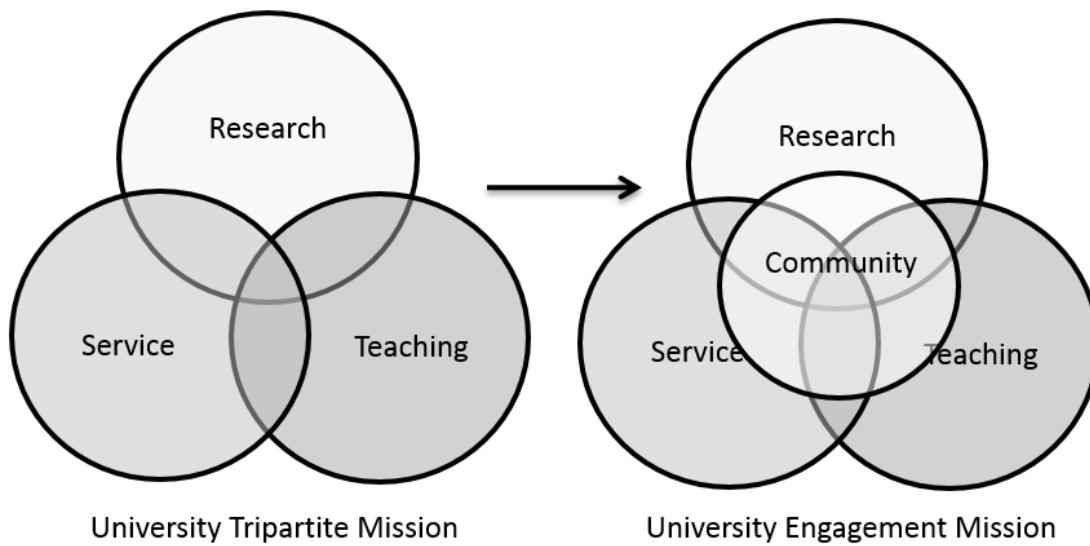


Figure 3. Illustration of University-Community Engagement Model

Engagement is not a new concept for American higher education; however, its terminology is new. The word engagement has many meanings and definitions within higher education, with the most widely accepted that of the Carnegie Foundation (Ward & Moore, 2010): “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, 2008). Nonetheless, over the past two decades, the term has morphed into an all-encompassing one that refers to a wide variety of faculty work and engaged scholarship, student involvement, community partnerships and similar activities and projects. In some institutions engagement efforts are centered on the community and economic development of a specific neighborhood, typically adjacent to the physical

campus. For other institutions, service learning has driven the engagement agenda, typically in conjunction with support from a variety of external organizations such as Learn and Serve America, Campus Compact, the Kellogg Foundation and AmeriCorps VISTA (Volunteers in Service to America) Initiative Foundation. Alternatively, engagement may be viewed in terms of knowledge production and scholarship, as described by Boyer (1996) in his groundbreaking article on the “Scholarship of Engagement”. This type of engagement is seen in the redesign of faculty scholarly work as the application of academic expertise to community-engaged scholarship that involves the faculty member in a reciprocal partnership with the community’s interdisciplinary and integrates the faculty roles of teaching, research and service.

At its core, engagement is a reciprocal relationship between university members and community members, and the original use of the term reflected this essential condition of reciprocity. One of the earlier definitions of engagement, coined by the British Association of Commonwealth Universities, offers a more detailed portrayal of university engagement (ACU, 2001, p. i):

Engagement implies strenuous, thoughtful, argumentative interaction with the non-university world in at least four spheres: setting universities’ aims, purposes and priorities; relating teaching and learning to the wider world; the back-and-forth dialogue between researchers and practitioners; and taking on wider responsibilities as neighbors and citizens.

There exist many interchangeable and overlapping terms used to describe university-community engagement. These include, but are not limited to “civic engagement,” “public engagement,” “community engagement,” “community outreach,” “community–university partnership,” “knowledge exchange,” “participatory action research,” “engaged scholarship” and “civic service”. In some contexts engagement is conceptualized as part of other

agendas, for example, volunteering, widening participation, social inclusion, public engagement with the political process and global citizenship.

Universities are connected and intertwined with their neighboring communities, as seen in Figure 4. (Bender, 1988), and are influenced by internal and external factors that can color the decision-making processes at the institutional level. Universities recognize the importance of their surrounding communities and thus many are convinced that adopting and “engagement” mission is necessary to solidify this relationship. Holland (2001), outlines the leading reasons why a university would/should adopt an engagement mission: 1) such a mission can provide a new vision and clarify the purpose of the university; 2) it is assumed that the role of higher education is to support democracy through civic work and community building and thus it should be stated; 3) strategic engagement goals can benefit society while also serving the basic function of learning, discovery and service; and 4) it may be seen as a valid response to external challenges, pressures, and problems surrounding and adjacent to the university campus.

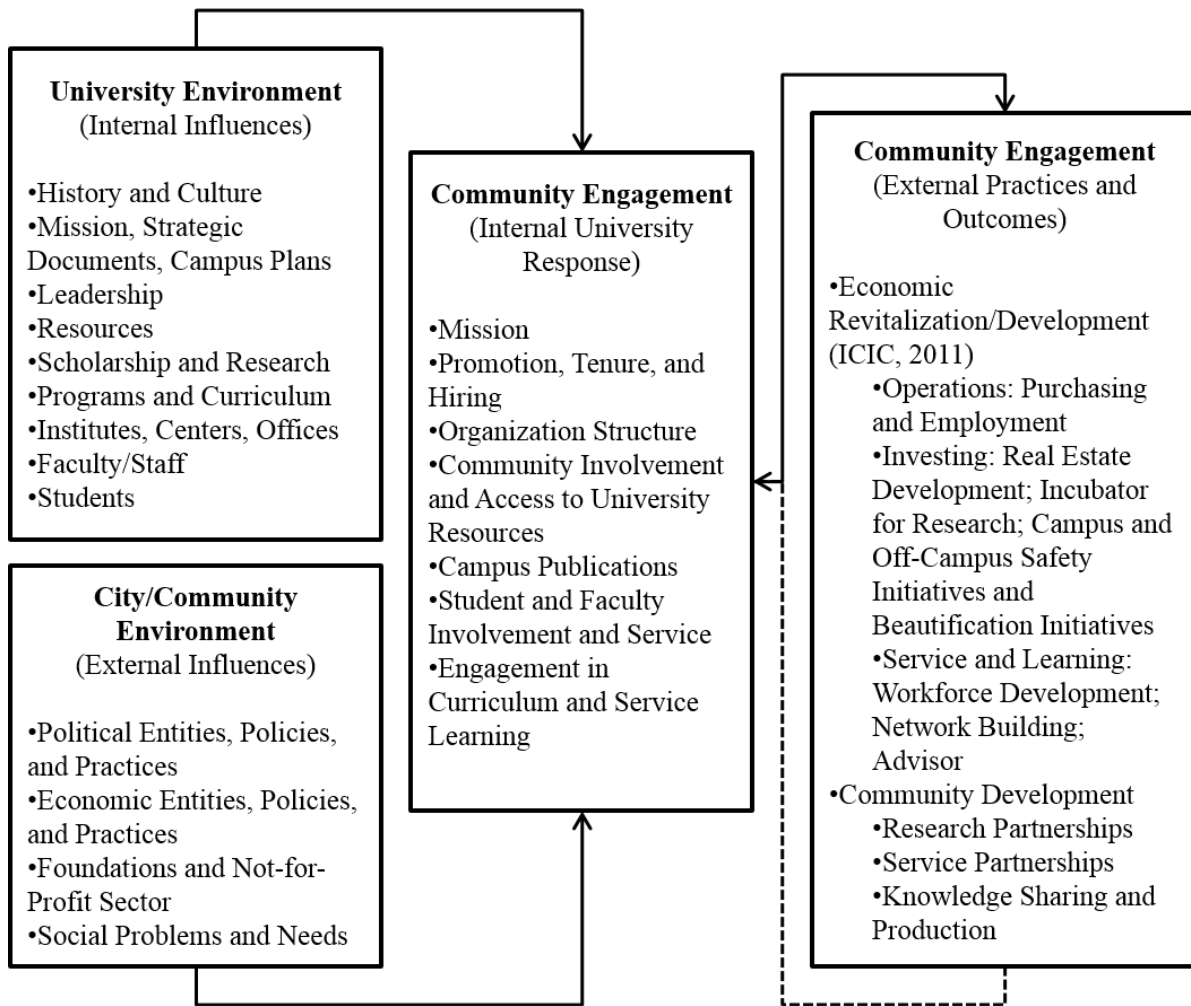


Figure 4. Conceptual Framework: Influences on and the University's Commitment to Community Engagement

For the purpose of this study, “engagement” will be utilized as an all-encompassing term that includes a variety of types of interaction and roles in the community. The author of the study recognizes that engagement goes beyond outreach and service to the community and implies a deeper relationship with community partners. While utilizing the term in a non-literal way serves as a detriment to true engagement, universities have begun to apply the term broadly to a variety of strategies, programs and activities. The term began with a

significant meaning at the forefront of the mission; however, it has digressed to represent a wide variety of strategies, activities and programs that may in some way include community. Furthermore, engagement can occur on the university campus, adjacent to the campus, within a region and even between countries. It includes students, faculty, staff, community, alumni, donors and any other actors interested in solving societal problems with a university that has knowledge resources and staying power in the community (Weerts, 2011).

2.3.1. **The Engagement Mission of the Urban University**

In the 1890s, George Trumbull Ladd, a professor of philosophy at Yale University, published a speech to the Round Table in Boston entitled, “The Development of the American University.” One-hundred-ten years later, Arizona State University President Michael Crow, arguably one of the most high-profile leaders in higher education today (Weerts, 2011), established a new initiative at ASU he called “The New American University.” Both men had visions for what the “American university” should be, and predictably they were very different in form.

Ladd claimed that a university is different from a college in that an university is an institution with plentiful resources, established scholars, sufficiently trained pupils and “large means for scientific research—libraries, museums, observatories, etc.” (Ladd, 1899, p. 49). He believed that “the vast majority of the ‘colleges,’ so called, in this country should be content to remain *colleges*—that is, places which make no pretense to carry men beyond such secondary education” (p. 49). He envisioned the American university as a knowledge-producing entity in which the choicest and most promising youth are “engaged in a university education . . . excepted to do credible original work,

and thus enrich the scientific knowledge and literature of the country; and to institute valuable courses of instruction, and thus enrich the teaching of the university” (p. 48).

Today, ASU President Michael Crow suggests that the notion of “university” goes much further, positioning inclusion and engagement at the core. Arizona State University, for example, has a mission statement, that reads:

Our mission is to establish ASU as the model for a New American University, measured not by who we exclude, but rather by who we include; pursuing research and discovery that benefits the public good; assuming major responsibility for the economic, social, and cultural vitality and health and well-being of the community (ASU, 2011).

Similarly, in his opening address at the annual National Outreach Scholarship Conference in 2009, President E. Gordon Gee of The Ohio State University stated that it is the “moral duty” of the new American university (in particular land-grant institutions) to fully address the needs of society, and stressed the need for partnerships with community stakeholders. He avowed the importance of the need for university administrators to “. . . reinvigorate and expand our commitment to communities. Doing so was one of the six strategic principles I set forth when I assumed [this] presidency in October 2007” (Gee, 2010, p.5).

University-community engagement has become a focal point of contemporary higher education and many campuses are intentionally pursuing their outreach and engagement missions (Gaffikan & Perry, 2008; Ward & Moore, 2010). More and more, institutions see engagement with their communities as vital to the effective achievement of their tripartite mission. For example, one of the five pillars of the mission at the University of Illinois at Chicago is “to address the challenges and opportunities facing not only Chicago but all great cities of the 21st century, as expressed by our Great Cities Commitment” (University of Illinois at Chicago, 2011).

ASU's commitment is a significant shift from the position of earlier ASU university presidents. J. Russell Nelson, who served as ASU's president from 1981 to 1989, believed that the educational mission was the most important part of the university, and that everything else was subordinate to it (ASU University Archives, 2000). His successor, Dr. Lattie F. Coor Jr., in 1990 highlighted undergraduate education, research, cultural diversity and economic development as the "four pillars" of the university's agenda. There is an obvious shift in university missions (ASU University Archives, 2000). Thus, if universities are moving toward new standards of engagement and community development, how do/will they fulfill their stated mission in practice? What are the expectations for universities, departments, research centers, students, faculty members and other academic professionals as they relate to off-campus engagement in civic life?

The current recognition of engagement and community partnerships stems from a variety of sources, among them 1) external pressure to address social needs in a neoliberal climate, 2) economic instability and the need for universities to demonstrate their relevancy, 3) an entrepreneurial search for new revenue sources, and/or 4) the return to the deep tradition of civic engagement in higher education (Dempsey, 2010, pp. 361-362). Engagement, in part, became widely accepted in higher education due to higher education's need for external resources in the form of grants and contracts. One means to this end was the institutionalization of university partnerships with outside community organizations to attain new revenues (Cox, 2010). As previously described, the federal government and foundations—HUD, NIH and the W.K. Kellogg Foundation, among others—have also institutionalized partnerships and engagement as a “carrot” to obtain

eligibility for program and research funding. This trend may serve to benefit universities seeking to “clarify their purpose in a new century” (Brinkardt et al., 2006, p. 7).

The purpose of a higher education institution is to serve as a place that fosters, disseminates and validates knowledge, and this should be reflected in the construction of its environment (Clark, 1983). With that said, there is a need to critically explore the rise and prominence of the third mission (service) in higher education’s institutional mission statements in recent years. Today, university mission statements give the impression that the addition of a concentration on community partnerships and civic engagement denotes a new, necessary and impressive function of the university. Gaffikin & Perry (2009) found in their exploratory review of the strategic documents of 127 top research universities in the United States that of the 93 universities with strategic plans/documents, all have community engagement mentioned in these plans. Furthermore, they found that 67 of the 93 (72%), emphasize “engagement” discourse as, “a central part of the university’s plan and explicitly mentioned as part of all elements of the plan: mission, vision, and so forth (p. 134)”. In this study, as you will see in subsequent chapters, of the 57 universities surveyed from 2009-2013, 50 (88 %) noted that university engagement was included in their institution’s mission, and 53 (93%) reported that engagement was included in their strategic plans (Perry & Menendez, 2010; Perry, Menendez, & Shaffer, 2011; Perry & Menendez, 2013). This emphasis of university engagement is prominent in American universities, and thus should be more closely examined.

2.3.2. **Mission Alignment**

In spite of the ambitious efforts undertaken to endorse “engagement”, many universities do not fully support the third mission to the extent they claim in their rhetoric. The *raison d’être* of an institution of higher education should be exemplified in its mission statement—a mission statement that guides strategic process and encourages the development of a clear sense of purpose (Peeke, 1994). According to Peeke (1994), a mission ought also to facilitate decision-making in the organization, enhance communication for internal and external stakeholders, aid in evaluation activity and clarify marketing strategy. The mission should address all university stakeholders, including faculty, students, alumni, donors, administrators and the community. The mission establishment process is the moving from abstract ideas to concrete objectives and goals (Peeke, 1994). Thus, an evaluation of the concrete decision-making processes, activities, programs and evaluation strategies of universities will allow for sound reflection of the concentration on engagement, as indicated in university mission statements.

A university’s mission statement should be clear and concise, identify the institution’s distinctive characteristics and priorities and be acknowledged and supported by administrators, faculty and staff. Drucker asserts that a clear definition of the mission is “the foundation of priorities, strategies, plans and work assignments” (1973, p. 75). The mission is the starting point for strategies, which determine the key activities and structures (Drucker, 1973). Thus, it is expected that strategic planning—integrating curricular, financial and personal goals and activities—should accompany a mission statement (Caruthers & Lott, 1981). Regrettably, at many universities, these conditions

are not met (Diamond, 1999). This failure is detrimental to universities because confidence and trust from state and federal legislators, the general public and education consumers comes from perceived performance efficiency and program effectiveness through the execution of the university's stated mission (Thompson & Riggs, 2000).

Clark Kerr, in a chapter entitled *Mission of the University Reexamined*, states, "there is no such thing as *the* one and only mission of *the* one and only university. There never has been, is not now, and never will be" (Kerr, 1994, p. 169). With the vast range of choices in higher education, it is more important for these institutions to differentiate themselves. For example, four-year liberal arts schools with one or two graduate programs should not be forced to replicate the model of the most successful research universities. In order to preserve college teaching institutions, research dollars and disciplinary research may be forgone or serve to mildly complement scholarly teaching and scholarly engagement with the community (Henderson, 2009). Veering away from the true nature and core of an institution's assets and history just to highlight a form of "mission differentiation", puts into question the issue of the institution's quality as it relates both to the purposes of higher education and to the objectives of specific institutions (Briggs, 2003).

To what extent have urban research universities altered themselves institutionally in conjunction with their changing mission statements that now include engagement and community partnerships? Critical deliberation about the institutionalization of engagement, the assurance of accountability and the creation of valid metrics to gauge the success of the engagement mission is essential in answering this question. Serious consideration should be given as to whether the mission is truly aligned with what the university is willing to invest in and support. In a time when virtually all university budgets are under pressure, it may be

constructive for universities to get back to basics by realigning their thinking and returning to their core mission, whatever that may be (Dickeson, 2010). The mission statement should serve as a starting point for budgetary decisions for administrations and governing boards to schedule programs for reallocation purposes by shifting resources to those programs that are more essential to the mission (Dickeson, 2010; Vandament, 1989). The change process of becoming an engaged institution requires more than a mere change in the university mission (Beere et al., 2011). It is an “extraordinary quest that requires taking extraordinary measures” (Rosaen et al., 2001, p. 24).

CHAPTER III. THE ENGAGED UNIVERSITY: INSTITUTIONAL ALIGNMENT

University-community engagement rhetoric has been widely accepted and embedded in university mission statements and strategic goals across all types of institutions of higher education in the United States, especially so among urban universities. Chapter 2 of this study described the growth of engagement rhetoric in higher education and the development of infrastructure to support university engagement. Institutional commitment to engagement is seen in the strategic documents, resource allocation, alterations in university culture and policies, as well as reflection of engagement in the day-to-day practices of university faculty, staff, and students. All of these components must be planned, implemented, and evaluated to ensure their credibility. Even though the literature shows that the documentation and measurement of engagement is challenging, universities and their external stakeholders (especially accreditation agencies) are becoming progressively concerned with being able to determine whether or not they are fulfilling their stated mission and strategic goals.

This chapter begins by examining planning theories that enlighten the planning process and address its integration into the success of long-term comprehensive plans or strategic documents, specifically noting communicative theories that recognize how planning can serve many functions and provide a multitude of ancillary benefits, including offering inter-disciplinary communication and interaction, spreading the symbolic nature of the plans, providing justifications for decision-making and legitimating change (Cohen and March, 1997). Planning theories can help address the planning process yet offer fewer explanations of the implementation process. Thus, in this chapter, I turn to organizational

theory—specifically, institutionalist theory—to explain the institutionalization process necessary for engagement to become a legitimate element or institutional “logic” in the field of higher education. This theoretical model focuses on how universities can understand and self-evaluate the execution of their engagement mission. This model will also explain the problems inherent to the promotion of a new strategy or institutional change, specifically addressing the greatest dilemma faced by proponents of university-community engagement—the other competing “logics” in higher education. These competing logics—research and scholarship, teaching, accreditation/rankings and market pressures—may stifle or outweigh the institutionalization of engagement. With this dilemma in mind, the remainder of this chapter will explore the types of processes and practices that will lead to successful implementation and institutional alignment of an engagement strategy at the organizational level.

The social diffusion (Alexander, 2010) and execution of an engagement mission or strategy of plans require a “translation” into practice—increases in financial support for engagement; appointments of staff and leaders to coordinate this mission; rewards for engagement in hiring, promotion and tenure; and the creation of metrics to assess these efforts. In short, the planning process and strategic documents can only be realized and solidified by practice (investment and engagement activities/programs) and a change in institutional culture. Therefore, an institutional alignment model is introduced to investigate the outcome of strategic intent on the part of universities. The framework focuses on the (1) internal structure (organization, rules, and hierarchy) of universities and the (2) agency (action and practices) that occurs on a day-to-day basis that comprises universities. Utilizing this framework will help determine whether the logic of engagement is truly

legitimized and institutionalized within universities in the subsequent chapters.

3.1. **Planning Engagement**

Most large urban research universities place strategic planning at the center of their agenda, embarking upon some form of a strategic planning process every 5 to 10 years (Rowley & Sherman, 2001). The strategic plan is intended to be a practical technique used to identify and achieve a clear mission. Each university, its leaders and stakeholders craft these strategic agendas with care, utilizing an abundance of time and resources. Hours are spent agonizing over every word and each idea in these documents. Strategizing goes beyond simple tactics and short-term plans. These strategic plans are long term—describing what the university envisions will happen in the coming years and the direction/actions it plans on taking to realize these goals. Nevertheless, regrettably, five years down the road, many portions of these strategic plans do not come to fruition. The university and its leaders may have found it difficult to align the rest of the institution with certain aspects of their vision, mission and strategic goals. Why do many of these strategies fail, and what can universities do to fulfill their desired goals and strategies?

Strategic planning, originating in the 1920s at the Harvard Business School, did not emerge in higher education until the 1970s and 1980s. Early strategic planning documents in higher education were considered “shelf documents”—describing the institution and its mission and vision, but doing little to produce change. These planning documents shifted their intent in the 1990s, when the public sector began adopting more advanced strategic planning and accountability practices. Thus, in the 1990s higher education accreditation commissions insisted that institutions develop a strategic plan and an assessment plan in

order to meet accrediting requirements. Simultaneously, foundations, states, and the federal government began tying funding and regulatory oversight to accountability measures, and many universities began creating strategic planning and institutional research/data collection offices. Higher education accrediting commissions have continued to require institutional strategic plans accompanied by assessment plans—holding institutions accountable for mission fulfillment.

Strategies are the pattern of purposes, policies, and action plans that define the organization, its mission, and its position relative to its environment (Rowley & Sherman, 2001). A strategy, as defined by Alfred (2006), is a “systematic way of positioning an institution with stakeholders in its environment to create value that differentiates it from its competitors and leads to a sustainable advantage” (p. 6). It legitimizes the intentional choices the university makes to distinguish itself from other institutions of higher education. Strategizing calls for “deliberate and focused action to propel an organization toward its goals,” (Alfred, 2006, p. 9). A new strategy commences with a strategic position that should guide and align the organization for change. Thus, strategies require a long-term commitment to bring together all of the various ideas and programs related to a concept (such as engagement) from across the institution to formulate systematic patterns and an approach to apply to the entire organization.

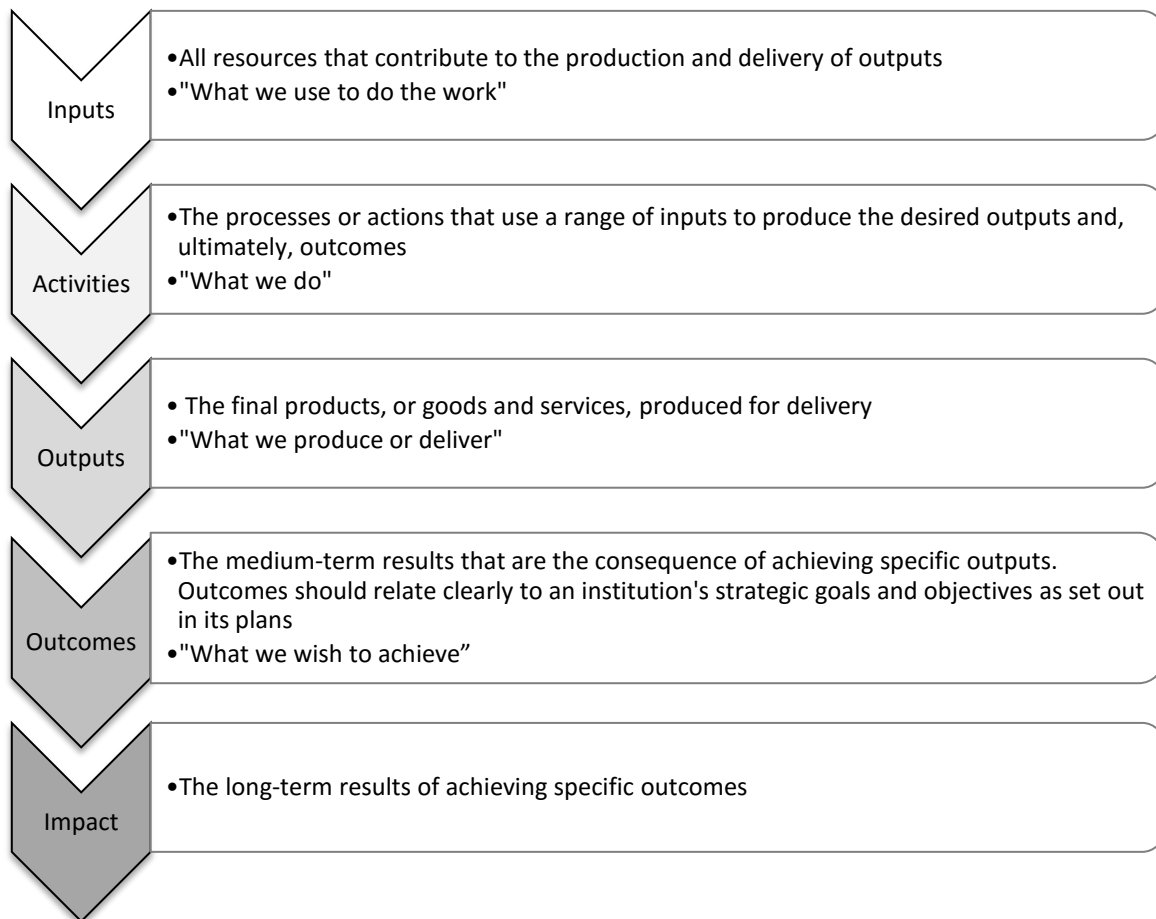
Strategy should determine structure (Chandler, 1962). Structure is the design of the organization through which strategy is administered. When a strategy, such as engagement, is centrally determined then the implementation through the appropriate organizational structure must follow. Many times at universities, the long-established organization does not allow for an overhaul of the structure, thus the organization will need to adjust, create, or

change its structure within existing departments (administration, human resources, marketing, etc.) in such manner as to achieve its strategies (Kim & Mauborgne, 2009). The organization should identify and support the natural network building capacity that exists and utilize rewards and incentives that exist within the current structure. At a time when universities have static or dwindling resources, large and established institutions may opt to alter existing structures in order to integrate new strategic goals.

It is commonly assumed that strategic goals will be met if the university invests in the plans, activities, programs, and assessment plans that support that strategy. In this vein, the real “teeth” of the university’s mission are the budgeting, planning, and evaluation processes aligned with the new mission (Kezar & Lester, 2009). Strategic planning is a process, and thus has inputs, activities, and outputs. It may be formal or informal and is typically iterative, with feedback loops throughout the process. A variety of foundations and organizations have poured resources into supporting the engagement mission of universities in past years. The resources allocated by funding organizations come with a set of standards and reporting to hold grantees accountable. Many funding organizations at the heart of engagement—for example, The Kellogg Foundation, the United Way, college extension programs, the Centers for Disease Control, and university cooperative extension programs—utilize the program action logic model developed by the University of Wisconsin Cooperative Extension to assess their grantees (Keller & Bauerle, 2009). The premise of a logic model is that if you invest in the mission of your institution, you can report the specific inputs, outputs, and outcomes of that investment.

According to a logic model, if a university invests in and plans for engagement, then the university will realize the manifestations of that effort. The "if-then" causal relationship

of implementing a new strategy or mission can easily be seen—if the resources are available for a program, then the activities can be implemented; if the activities are implemented effectively then evident outputs and outcomes are probable. Figure 5 displays the relationship that build upon one another in the simple logic model: resources, activities, outputs, and outcomes of a program (Weiss, 1972).



^aThis figure is an adaptation of a typical logic model (Cupitt & Ellis, 2007).

Figure 5. Representation of a Typical Logic Model

Logic models articulate the thinking behind an initiative's plan and detail the logic of how an intervention contributes to intended and/or observed results (Weiss, 1972). The logic model itself defines the problem or opportunity; details the steps taken and resources invested into activities and programs; and elucidates the responses to the intervention in explicit, defined steps. Proponents of the logic model argue that the assumptions and expectations of the plan are not left to chance if the model is followed. However, as many studies have shown, plans, and strategic documents rarely realize their desired outcome (Mintzberg, 1994).

Harrington and Voehl have noted that “when you complete your plan, you are only five percent of the way to your goal. The real challenge is in implementing it” (2012, p. 203). One common obstacle to implementation is the use of broad generalizations and value statements in the planning document. Another misstep in strategic documents is that university administrators are quick to react to the external environment and many times rush to fill relatively new and expanding markets or niches. Frequently, efforts to launch new missions or goals are stymied by the lack of a clear idea of best practices or how to specifically implement activities or programs that fulfill the strategy. Many strategic plans lack an actual plan for implementation and change. Thus, one of the first questions to ask when a change is made in the mission and vision of an organization is: Can the organization handle the required change and what steps need to be taken to successfully implement that change? To what extent are the strategic documents and changing missions of urban research universities leading to changes in practice and organizational structure?

In the following chapters, this study will reveal that long-term outputs, outcomes, and impact cannot be achieved by simply changing/adding university structures (adding

organizational elements or new positions) or investing resources (additional inputs and activities). Merely assessing whether the investments in university-community engagement produce outputs, outcomes, and impact ignores many of the cultural, institutional, and social aspects of engagement strategies. Additionally, logic models require the collection of this data (concrete inputs, outputs, outcomes, and impact), which is currently not uniformly gathered by institutions of higher learning. Thus, a logic model may not be the best tool for examining strategic change, specifically engagement that is heavily reliant on the external environment.

Advancing technology, globalization, demographic change, financial constraints, political scrutiny, and competition all influence the making of university strategic documents. Universities are also confronted with high expectations from students, parents, business leaders, the community, and the government. These mounting duties—beyond the traditional teaching, research, and service—are relentlessly changing the expectations of higher education institutions. This was not always the case. Prior to the late 1960s, scholars of organizational studies examined academic organizations from a closed-systems perspective (Weber, 1947; Bidwell, 1986) focusing on structural components and organizational form, such as the division of labor or investment of resources. Recognizing the critical role of the environment in shaping higher educational institutions, scholars began adopting an open-system perspective in their studies of higher education organizations (Bidwell, 1986; Peterson, 2007). Karl Weick's (1976) study of higher education organizations introduced theorists to the complexity, multiple actors, action, and political

influence found in these organizations that were formerly seen as solely rational systems.¹⁹ Clark Kerr (2001) recognized the inherent need for academic autonomy and acceptance of diversity in disciplines, which led him to describe the university's organizational form as a multiversity, harkening back to Weber's (1947) description of the collegial form of organization.

Today universities are challenged to be both historical, reliant institutions in their communities *and* flexible organizations that can adapt to both internal and external demands. In the past, American universities acted independently of their communities and were relatively free from external pressures. But as higher education became a more ingrained part of society, government policies, funders, and foundations have directed its focus toward constant growth and change such that today universities are bloated with great numbers of programs and services they must fund. The mission of the institutions matures and changes and sometimes reaches a point at which too much is expected and varying philosophical frameworks are competing. Thus, the role of planning and strategizing becomes key for organizations.

3.1.1. **Planning and Strategizing: The Strategy Needs a Strategy**

Many times the ineffectiveness of plans emerges from the fact that plans are rarely fully realized and wholly embraced by the organization (Beauregard, 2005). Beauregard (2005) recognizes that the focus on "institutional transformation" is important because planners do make great plans; however, the plans are not always implemented to their fullest because the structure of the organizations for which the plans are made is not always

¹⁹ Karl Weick was not alone in these findings. Other theorists, such as Herbert Simon (1962) and Cyert and March (1963), influenced the move of organizational studies away from the rational-actor model.

conducive to such implementation. He says, “The implicit assumption is that an improved institutional environment will be more hospitable to planning and enable the planning to be more effective” (Beauregard, 2005, p. 204). Alexander notes that “many existing institutions and organizations are survivors from a simpler past, and they are often too rigid, hierarchical, and fragmented to confront the challenges of growing complexity, increasing uncertainty, and accelerating change” (Alexander, 2009, p. 518). Planning in complex multi-organizational systems (Alexander, 2009) typically will require institutional transformation and change in order to spread the new plans or changes to the multiple individuals/stakeholders and networks that make up the organization. Furthermore, universities, in particular, have departmentalized actors and centers pursuing multiple goals in a range of disciplinary fields. And despite the fact that the various divisions and departments within the university serve the needs of the community in a multiplicity of ways, university engagement agendas are typically initiated by 1) individual drivers embarking upon engagement projects or 2) a single engagement of an outreach center/office within the larger university. Thus, the programmatic and personal nature of engagement work inhibits universities from fulfilling their “engagement” missions on an organization-wide scale.

In the previous decade, there has been an “institutional turn” in the social sciences that has greatly influenced the planning field (Healey, 2005). The planning community has acknowledged that institutional design and organizational structure are at the heart of the planning process (Mandelbaum, 1985; Innes, 1995; Healey, 1998; Beauregard, 2005; Healey, 2005). Over the past few decades, planning theorists have grappled with how to viably implement plans, paying attention to the planning process itself. Some theorists have

taken a post-positivist approach to planning—moving away from a rational, neoliberal, political economy and project-led planning—recognizing the importance of social factors and complexity issues in this process.

Most notably, the communicative approach to planning places the process of planning—in particular, participation by various stakeholders—at the heart of successful planning. The planning process itself, or what Healey (2006) refers to as “strategy-making,” is more than just coming to a consensus; it also constitutes a deliberative dialogue that can help inform stakeholders and promote buy-in. Healey’s institutionalist approach recognizes that reality is socially constructed and, thus, knowledge and social creations are produced through interaction—a social- learning process. Policies and strategies can only be realized if consensus is shared horizontally (across the institution) and vertically (by those with power). The strategic planning process is one way to promote collaboration and involve multiple stakeholders to come to a consensus and build institutional capacity, which can help in the implementation of a plan.

The recognition of an “institutional situatedness” allows planning theorists to examine planning in the larger social contexts made up of both informal and formal structures and social practices that guide practical actions and individual decisions as well as institutional changes (Healey, 2005). Social structures and processes, from an intuitionist perspective, are viewed as a multi-dimensional and multi-level—integrating the individual, organizational, and societal levels of analysis (Friedland & Alford, 1991; Thornton et al., 2012). The strategic-planning process must develop organizational buy-in, bearing in mind students, faculty, staff, tradition, resources, structure, and administrative abilities (Rowley et al., 1997). Additionally, developing an engagement strategy that addresses the needs of the

external environment is just as important as addressing the needs of the internal environment (Rowley et al., 1997). According to Healey (2006), the planning process is a “dynamic endeavor that evolves in interaction with local contingencies and external forces in order to address the agendas of those with the power to shape the design” (p. 243).

The social diffusion (Alexander, 2010) of plans requires a “translation” into practice. While planning theories can help address the planning process they offer few explanations of the implementation process. Therefore, when it comes to universities’ planning for engagement, they can draw upon organizational theories to better understand to what extent the strategies and plans are actually institutionalized and legitimized within the university. Utilizing these theories will help clear up the question, so aptly asked by Munch (2010), of “whether civic engagement is part of the ‘core business’ of the university alongside teaching and research, or whether it is simply an attractive add-on” (p. 32). In order for organizations to plan for change and make change happen, institutionalization—“a process in which fluid behavior gradually solidifies into structures, which subsequently structure the behavior of actors” (Arts & Leroy, 2003, p. 31)—must transpire.

3.2. **The Institutional Perspective**

As universities have changed from “closed” to “open” systems, institutional theory has a critical role to play in the examination of current trends and changes in higher education. Institutional theory differs from earlier organizational theories in two main ways (Heugens & Lander, 2009). First, institutional theory puts emphasis on the influence of social forces and agency on organizational action and decision making. Second, it underlines the importance of an organization’s external environment and the macro social

forces that guide its existence (Scott, 2001; Wooten & Hoffman, 2008).

In recent decades, institutional theory has become one of the most dominant theoretical frameworks in organizational analysis (DiMaggio, 1988; Oliver, 1991; Scott, 2001), as confirmed by its growing body of literature. The concept of the institution is at the heart of organizational research (in this case, university research) in both theoretical and empirical explorations of organizations. The institutionalist perspective recognizes that institutions are a major part of social life and have a profound effect on individual actors and collective groups/organizations (Scott, 2001). Institutionalists define institutions as “the rules, norms and practices, which structure areas of social endeavor” (Coaffee & Healey, 2003, p. 1982). Institutionalists emphasize the interaction of social actors and social structure and how they produce, re-produce, and change over time. According to institutionalists, cultural norms are generated and regenerated at both the micro and macro levels of organizations—from the day-to-day to formal, existing structures. In short, institutions are “historical accretions of past practices and understandings that set conditions on action” (Barley & Tolbert, 1997, p. 99).

Chapter 2 illustrated the rise in the number of universities touting the rhetoric of engagement. This rise is due, in part, because universities may feel pressure to conform to institutional norms that are present in higher education. On a symbolic level, universities may adopt a new template, such as engagement, to increase their legitimacy, reputation, or status in the eyes of accreditation bodies, funders, peer institutions, and the general public (Scott, 2001). It is here, in this institutional evolution, that universities, especially urban universities, have become more “open” and less “closed” to the external environment in which they are embedded. Conformity occurs as institutions, in this case universities, adopt

new templates for organizing in order to “fit in” and be perceived as acceptable and appropriate (DiMaggio & Powell, 1983). DiMaggio and Powell (1983) proposed that inter-organizational homogeneity, or “institutional isomorphism,”²⁰ is the logical response of organizations that are embedded in an increasingly professionalized and “structured” (Giddens, 1984) field.

Many times, external pressures give rise to increased institutional isomorphism in higher education, especially when potential resources accompany the adoption of new strategies. DiMaggio and Powell (1983) outlined the three most common isomorphic pressures all of which are readily illustrated in higher education. First, each individual university (as part of the larger field of higher education) tends to be isomorphic because they are dependent on similar external resources and institutions such as accreditation bodies, governing boards, funding sources (the federal government, foundations, individuals, and corporations), and, for public universities, governments with legislative power over them. Second, isomorphism occurs in uncertain atmospheres, thus leading organizations to mimic other organizations or follow “best practices.” Third, isomorphism takes over when fields professionalize. In the case of higher education, colleges and universities belong to a number of professional membership organizations. The professionalization of programs, departments, and schools may lead these entities to alter or change their strategies, programs, and activities in order to maintain membership or gain acceptance amongst peer universities.

²⁰ Isomorphism describes the structural and strategic resemblance of one unit in a population to other units in that population, especially those facing similar institutional- and task-environmental conditions (DiMaggio & Powell, 1983; Scott, 2001).

3.2.1. **Institutional Logics**

At the core of institutions there exists organizing principles that both guide action and are guided by some of the actions of institutional members. Institutional theorists have termed these ‘institutional logics’. Within the institutional theory literature, the concept of institutional logics has grown in popularity as a way of explaining the institutional processes that shape our organizations (Greenwood & Hinings, 1993). Friedland and Alford introduced institutional logics to organizational theorists in 1991, defining them as, “a set of material practices and symbolic constructions—which constitutes its organizing principles” (p. 248). These organizing principles (logics) guide the way one thinks about one’s environment, link purposes and processes, and help to connect meaning and behavior (Friedland & Alford, 1991). Subsequent theorists Thornton and Ocasio (1999) went on to define logics as “socially constructed, historical patterns of material practices, assumptions, values, beliefs and rules by which individuals produce and reproduce their material subsistence, organize time and space, and provide meaning to their social reality” (p. 804).

Simply, institutional logics are the frameworks of assumptions within which reasoning takes place (Horn, 1983) and serve as “guidelines for practical action” (Rao et al., 2003). They shape interpretations, define role identities, constrain and enable agency and stipulate criteria for legitimacy (Scott, 2001). Additionally, logics are capable of directing the attention of chief decision-makers on a particular set of issues and solutions, leading to logic-consistent decisions and actions (Thornton, 2002). Institutional logics are constituted through language and discourse (Carabine, 2001; Heracleous & Barrett, 2001) that provide the terminology for dissemination, establish meaning, and specify social norms. They are typically incorporated into written documents, such as strategic plans and marketing

materials that employ rhetorical tactics—persuasive language (Maguire & Hardy, 2009), rhetoric (Green et al., 2009), and institutional messages (Lammers, 2011).

Logics originate within societal sectors, or fields—such as higher education—in which individuals and organizations that regularly interrelate cohere on familiar rules and beliefs (DiMaggio & Powell, 1983; Friedland & Alford, 1991; Thornton, 2004). The organizational field is a concept introduced by DiMaggio and Powell (1983) that refers to “those organizations that, in the aggregate, constitute a recognized area of institutional life: key suppliers, resource and product consumers, regulatory agencies, and other organizations that produce similar services or products” (p. 148). The field of higher education in the United States—with its growth, transformation, and diversification, as described in the previous chapter—is comprised of all of the colleges, universities, state agencies, foundations, federal programs, and professional groups that interact to form this institution (Loundsbury & Pollack, 2001). Embedded within economic and political environments, universities are shaped by external constraints, demands, and expectations (Kaplan, 2006). In the world of higher education, there is great emphasis on shared beliefs within groups of similar universities. Symbolically, the field is guided by logics—the organizing principles which inform field participants on how they are to behave (Friedland & Alford, 1991). Organizations (in this case, universities) look to other institutions with similar characteristics in their field for “best practices” and for clues for self-improvement.

In this study, “engagement” will be considered an “institutional logic”, one that has been around for some time, but one that is also being re-introduced and accepted by universities across the U.S.—specifically urban universities that have touted engagement in the past decades. Engagement, as an institutional logic, is not merely seen in the rhetoric of

universities, it is also represented by the programs and policies that enhance the university, that may be acted upon out of “enlightened self-interest” (Weber et al., 2005). The application of the concept of institutional logics is valuable to this study because it integrates various levels of analysis—the societal, the organizational, and the individual (Thornton & Ocasio, 2008; Thornton et al., 2012). In addition, the concept of institutional logics takes into account that individual actors’ behaviors are shaped by multiple sectors in society—professional associations, community, corporations, the market, government, etc. (Thornton et al., 2012).

Institutional theorists have begun to empirically test the theory of logics. A number of studies have utilized institutional logics to examine how logics shift over time: Townley (1997) examined institutional isomorphism in the performance appraisal of academics in Canadian colleges and universities; Thorntan and Ocasio (1999) examined changing conceptions of the higher education publishing industry; Gumport (2000) looked at changing logics in academic restructuring; and Bastedo’s (2009) studied convergent institutional logics that guide state policymaking and governing board activism in public higher education. Similarly, the “engagement logic” arising in higher education can be examined—by determining the extent to which this logic is socially shared and shapes the cognitions and behaviors of actors within higher education.

3.2.2. Competing Logics in Higher Education

Institutional fields often feature multiple, contradictory, and competing logics (Reay & Hinings, 2005; DiMaggio & Powell, 1983; Hoffman, 1999). Complex institutions, such as universities, tend to be fragmented or silo-ed organizations with multiple entities functioning under varying assumptions. Theorists have recognized that an increasing

number of institutions have multiple and competing logics—called institutional *pluralism* (Kraatz & Block, 2008) or institutional *multiplicity* (Zilber, 2011). Thus, the institutionalization of a new logic in a pluralistic environment, where multiple logics already co-exist, will most likely be contested.

Institutions are social constructions and thus, over time, preferred institutional logics may change, perhaps becoming misaligned or weakened (Brown et al., 2012; Cloutier & Langley, 2013). Institutional change will occur when that logic's legitimacy is weakened or when better options are realized. However, this change has to occur both through individual agents' practice and through institutional change at the structural level. Universities are complex organizations that embrace multiple logics, often competing or contradictory logics. Chapter 2 described the wave of logics that have competed with each other over the years in higher education. Table 1 Illustrates four of these logics that have waxed and waned at various institutions of higher education over the years—the knowledge dissemination/teaching logic, the knowledge production/research logic, the public good/engagement logic; and the market/profit logic.

TABLE II. COMPETING INSTITUTIONAL LOGICS IN HIGHER EDUCATION

	Knowledge Dissemination —Teaching Logic	Knowledge Production— Research Logic	Public Good— Engagement/ Service Logic	Higher Education Market—Profit Logic
Mission	Education and Knowledge Sharing	Innovation, Production and Dissemination	Community and Economic Development	Organizational Advancement
Organization- al Identity	Teaching Institution	Research Institution	Community “Anchor”	Competitive Institution
Organizing Field	Organize Internally	Internal Organization with Possible External Partnerships	Organize Across Boundaries (Internal and External)	Executive and Administrative Levels
Focus of Attention	Existing Membership: Faculty, Staff, and Students	Existing Membership with Possible External Support	Collaboration of Members and Non- Members	Organizational- Wide and Market Competition

Multiple logics compete for dominance in a pluralistic organization (Lounsbury, 2007). Individuals and departments may choose one logic over another for their “basis for action” (Friedland & Alford, 1991). In a pluralistic environment containing multiple logics, an organization-wide attempt to imbed a new logic within a field may create internal contradictions (Clemens & Cook, 1999), especially considering the long-held complex and contradictory goals of teaching, research, and service help by universities. University leaders and change agents within an organization struggle to institutionalize collaborative initiatives because the university environment, as structured, is not conducive to such initiatives. Taking in a new pedagogical goal in higher education will resonate better in

some disciplines than others. For example, many disciplines favor more abstract, technical, or theoretical scholarship over research that is more applied, practical, or publically accessible. The traditional role of research, individualistic thinking, or lab work in some disciplines may not leave room for the integration of an engagement logic.

Many agents and components of the university are loosely coupled (Glassman, 1973; Weick, 1976), a circumstance that has both potentially positive and negative outcomes for university-wide strategic planning. A loosely coupled system allows for separate elements of the university (departments, offices, research centers, etc.) to maintain their unique identity, respond accordingly to their external environment, adapt to changes locally, persist in times when other organizational elements are failing and maintain autonomy. Tension arises in the academic environment, particularly in research universities, between the institutional framework and the individual identities of academics (Delanty, 2008). Academics and staff at research institutions earn their professional autonomy—pursuing multiple goals in their own occupational fields—while the administrators (deans, chairs, and research-center directors, who lead academic operations) are supposed to tightly couple themselves to institutional missions and strategies (Borden, 2008). Challenges will arise when administrators try to embed a new university-wide logic into their departments. Challenges include managing inconsistencies between the new logic and the historically accepted logics, establishing legitimacy of the logic in each subsystem, and dealing with internal conflict with decision-making (Kraatz & Block, 2008). Thus, new logics must be negotiated and adapted to each particular environment by those administrators.

In the midst of competing logics, Van Gestel and Hillebrand (2011) contend that in an institutional field, the various competing logics are in constant flux and are continually

changing their statuses as the dominant logic. Institutional change or the introduction of a new logic can be received at the institution-wide level and successfully legitimated. One such case where institutionalization of a new logic was successfully legitimated was when the federal government's invested growing resources in scientific research and economic production following WWII. The surge of resources and interest in the university innovation and knowledge production allowed universities to adopt and legitimate a research logic. For example, in 1953, the federal government provided universities with \$280 million in R&D support; by 1970, the figure stood at \$2.4 billion, more than an eightfold increase (National Science Foundation, 2008). Thus, securing federal grants became increasingly important to universities, both as a revenue source and as a means to enhance prestige. Government funding changed both the structure and the agency within the field of higher education. Securing federal grants became important for individuals and departments, as it added to the university's reputation and ranking as well as its bank account. The culture of many large universities changed to promote and reward faculty who were productive in their research. Multiple studies demonstrate that, from the 1960s through the 1980's, interest in teaching declined in every type of higher education institution—from liberal arts and two-year colleges to prestigious research institutions (Russell, 1992). Concomitantly, recalling the days of 'publish or perish,' the importance of research and scholarly publications produced by faculty trumped teaching as a key criterion for obtaining tenure (Beere et al., 2011). Today, some argue that research is more highly rewarded and valued than teaching and service owing to the sizable revenues it brings to the institution in question (Matthews, 2012). Research productivity, consisting of generating

research and obtaining external grants and funding, may gain higher rewards for teachers for hiring, promotion, and tenure than its teaching and service counterparts.

The interplay among institutional logics is guided by multiple elements in a field—structure/rules/roles; social actors; practices/action; and economic, cultural, social, and symbolic resources (Misangyi et al., 2008). Figure 2 illustrates a model of multiple institutional logics in a field, specifically, the field of higher education. This adaptation of the Misangyi, Weaver, and Elms model (2008) shows that social actors in a field are influenced by logics yet also produce and reproduce the logics. Economic, cultural, social, and symbolic resources determine and are determined by the programs, practices, and actions that are influenced by logics and structure.

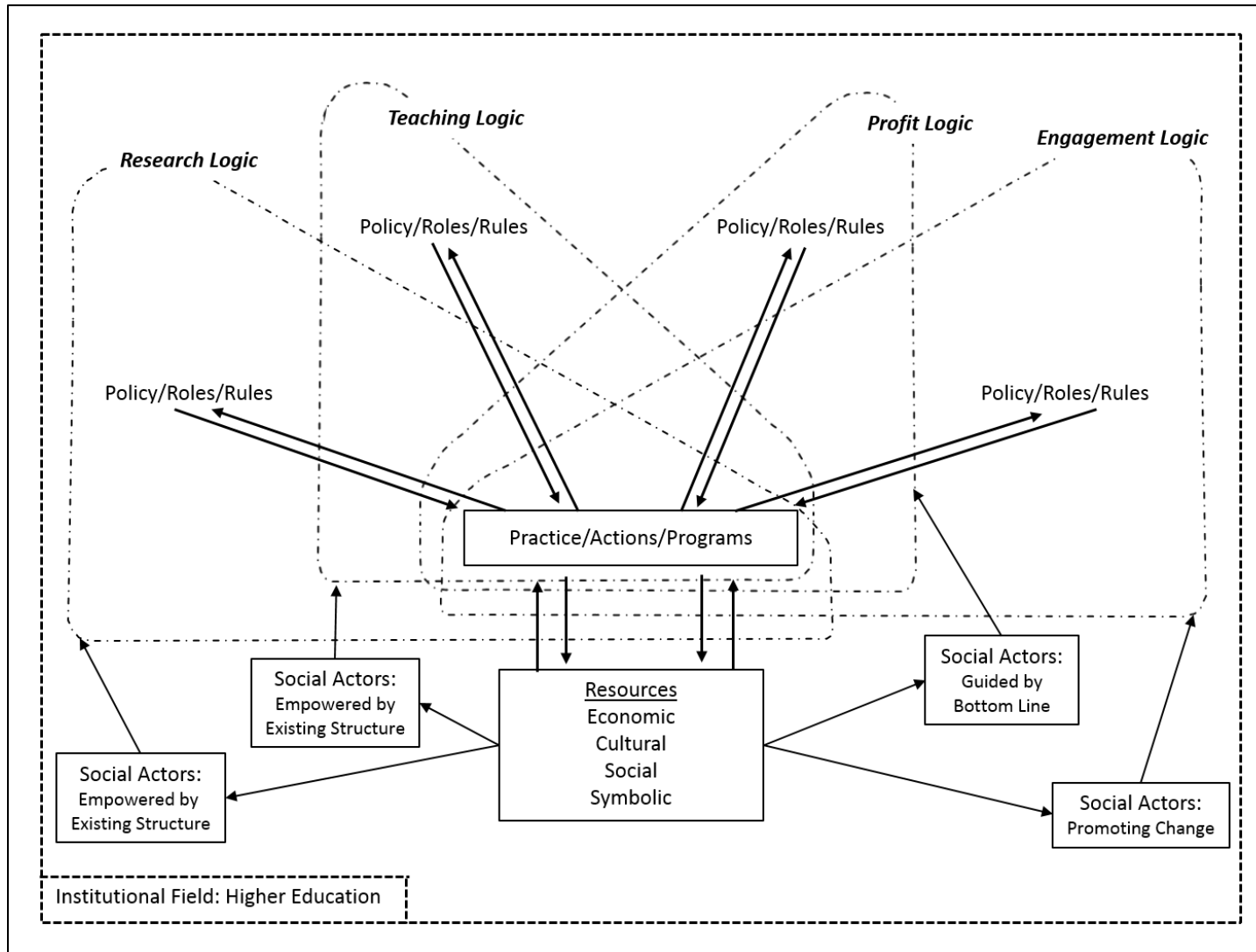


Figure 6. Model of Multiple Institutional Logics in a Field

Actors in a field will be affected by a logic to the extent that the actor interacts with that logic, the structure supporting that logic, and availability of resources sustaining that logic (Archer, 2003). According to this model, an institutional logic is not supported if any of these elements are not present. Engagement will not be legitimated if only resources are invested or if leadership enacts the policy solely in a top-down manner. It takes more. Engagement *must* be an organizational as well as an individual goal for it to become a legitimated logic. Through their extensive work to embed community engagement at Penn State in the previous two decades, Harkavy and Hartley (2012) have found that institutionalization only “occurs when organizational structures are established to support local” engagement, and when a critical mass of colleagues embraces the value of this work (p. 17). The authors go on to say that they have found that “for a higher education institution to genuinely (as opposed to putatively) embrace its civic mission, faculty members must come to see the work as central” (p.17). Thus, the institutionalization of a new logic is the product of both structural and ideological change (Hartley et al., 2005).

In order to advance a university-community engagement strategy, a systematic exploration of the planning and implementation processes that lead to the success of such an agenda would benefit universities—an exploration that specifically noted the organizational changes that produce specific, more favorable outcomes in these endeavors. However, much of the literature on the engagement practices of universities has centered on stories explaining the best practices in university/community engagement and fails to address effective methods for institutional implementation (Maurrasse, 2010). In the same vein, the literature also shows evidence of the rise in the number of “anchor” institutions engaging in their communities to address social and economic challenges (Dubb et al., 2013; U.S.

Department of Housing and Urban Development, 2013), yet that same literature falls short in explaining how and why the number of institutions has increased. In a recent report on anchor institutions, David Perry, associate chancellor of the Great Cities Mission at the University of Illinois at Chicago, poignantly asks the question, “. . . did those institutions do anything to make them more important [engaged or anchored]” (Dubb et al., 2013, p. 7)? Herein lies the crux of this chapter—what are universities *doing* to become “engaged” and how are they fulfilling this engagement mission?

3.3. **Institutionalization and Legitimation**

“Many things spread, often like wildfire, without ever becoming institutionalized. The ubiquity of a practice may suggest that it has become widely accepted, but activities that diffuse may never develop a foundation that enables them to persist. In contrast, there are procedures that are institutionalized—upheld by either law or strong beliefs—but not widely used or pursued.” (Colyvas and Jonsson, 2011, p. 27)

Colyvas and Jonsson (2011) describe the inherent problem with institutional changes and the implementation of new strategic plans. In many cases plans never become institutionalized and embedded in an organization while other institutionalized structures and practices may shine and wane and be treated as fads. Powell (1991) refers to this as *incomplete institutionalization*—when “the influence of external pressures may be partial, inconsistent, or short-lived” (p. 199). For example, a core group of scholars and administrators who advocate engagement and/or who are involved in engaged research may be able to drum up enough support and influence to encourage the adoption of an engagement strategy in their university’s long-term strategic document; however, they lack the power to mandate the strategy university wide. In this case, the strategic documents and

rhetoric may exist, but individuals and organizational departments will only embrace the strategy if it is self-serving or beneficial to the department. In other words, the strategic document may *promote* change, but does not *require* change. On the other hand, an institution may adopt an engagement strategy, invest resources in a new center for engagement, and hire multiple staff to promote engagement, yet faculty members and students do not utilize the center, nor do they know of its existence. The actual implementation of the strategy exists in a silo and, again, is not adopted university wide. As a result, in both of these scenarios the strategy and practices may become only weakly institutionalized—“incomplete,” in Powell’s depiction. Policies and strategies are introduced but not reproduced. An organization cannot adopt a strategy if the proponents of the strategy fail to secure adequate resources and institutional buy-in to create organizational-wide change. Conversely, structural elements (such as resources, exemplary engagement programs, and policies) may be inefficient if they do not alter values and day-to-day behaviors of individuals.

Upon taking on an engagement strategy, particularly one with few precedents elsewhere in higher education, universities often face the daunting task of winning acceptance either for the appropriateness of the strategy or activity in general or for their own validity as practitioners. Legitimacy emerges when an organization’s actions, values, and existence appear congruent with the socially accepted norms. The emphasis on legitimacy in institutional theory highlights the importance of social acceptance and perception in organizations (DiMaggio & Powell, 1983; Scott, 1995). Suchman (1995) considers that “legitimacy is a generalized perception or assumption that the actions of an

entity are desirable, proper, or appropriate within some socially constructed system of norms, values, beliefs, and definitions” (p. 574).

Universities consist of many divisions across the institution, each with its own organizational form or hierarchy. However, the main organizational building blocks of universities have always been centered on knowledge production and dissemination—including schools, departments, chairs, faculties, administrators, centers, and institutions (Clark, 1983). Thus, legitimation of any university policy or mission is realized through the commonplace actions and discussions among the academic staff, students, and administrators of these factions (Maassen et al., 2012). The legitimation of engagement, many times, is portrayed through symbolic responses—some of which are not embedded in the actual culture of the organization. For example, universities may create offices to give the appearance of compliance with a goal, they may implement ineffective programs that do not endure, or they may develop policies that may or may not be wholly adopted. Environmental pressures, such as ranking systems (internal and external), may create the need to supply symbolic and superficial changes that create the appearance of compliance.

The institutionalization of engagement is a process. This process has various elements that must be put into place in order for the engagement logic to become fully institutionalized. Organizations will go through various phases in the change process and they may be met with contestation. First, the institutional logic or mission must be introduced, typically in rhetoric, strategic documents, mission statements, and so on. Next, the engagement logic must be used to justify the introduction of bureaucratic practices and structural change. The introduction of this latter logic into the structure and daily practices of the university may lead to challenges to the rules and systems put into place. It is not

until “tacit agreements replace overt contestation” (Yu, 2013, p. 118) that the engagement logic can be fully institutionalized. Institutionalization of the logic of engagement will be exhibited in the university’s acceptance of engagement as part of its identity. It will be seen at the individual level, department levels, and throughout the organization in both structural and agentic components.



Figure 7. Diagram of Elements of Institutionalization of University-Community Engagement Strategy

Planned organizational change is determined or assessed by ascertaining whether the organization’s aspirations meet the feedback it receives in terms of its performance. Organizational performance feedback can in turn be determined by internally utilizing benchmarking tools for evaluation and assessment of performance in the present compared

to these indicators in the past. An organization may also look to its peers to externally compare its performance against the performance of a reference group of organizations. Figure 3 illustrates how assessment should be incorporated into an engagement strategy in order for universities to measure or demonstrate their impact within their own institution and on their communities.

3.3.1. **Assessing Institutional Alignment**

If universities do, indeed, value service and engagement, data should be collected to benchmark, assess, and reward these practices. Previously, most documentation and measurement efforts that gauge the role of the university in its community have identified exemplary instances (Lunsford et al., 2010), presented descriptive case studies, or have concentrated on one aspect of the university's role, whether it be knowledge production and scholarship, land development, or student service/learning. While some data are collected around the practices and impact of engagement activities as required by funders, university administration, and government agencies, most of the information or data known and collected by those who manage these activities are not reported to such entities. Universities are now confronting growing pressure to demonstrate accountability by collecting official quantitative data beyond the requirements of these particular entities. Achievement of more accountability and transparency manifests itself in a variety of practices: audits, assessments, benchmarking, best-practice lists, management by objective, measurement-driven instruction, risk assessment, total-quality management, and more. All of these practices rely on performance metrics and organizational measures, such as cost-benefit ratios, data and statistics, rankings, ratings, scorecards, and standardized test scores. While most disciplines have created tests and measures of certain aspects of engagement, these remain internal and

specific to programs and colleges. Many policymakers and educators would like to take these practices a step further, comparing the quality of higher education and engagement practices across institutions.

But Lee Shulman, former president of the Carnegie Foundation for the Advancement of Teaching, admits that “not everything that counts can be readily measured, but what we do elect to measure invariably counts” (2011, xii). The Carnegie Classification of Institutions of Higher Education, developed in the early 1970s, created a hierarchy of institutions of higher education and determined that the most prestigious institutions—R1 (research 1) universities that brought in the most research dollars and liberal arts colleges that attracted the brightest incoming freshmen. The categories created by Carnegie reinforced the types of metrics collected by universities and reported to the Department of Education and other federal granting agencies. These metrics—revenues, expenditures, SAT scores, grade-point averages, admittance rates, and on the like—solidified the importance of both the research and teaching missions of institutions of higher education. Thus, university administrators and leadership, guided by these metrics and classification systems, utilized their resources to strategically improve the numbers in these focus areas. As a result, service, outreach, community engagement, teaching excellence, and student success received less attention. More significantly, metrics were not created and data was not collected in these latter foci (Beere et al., 2011).

It was not until 2006 that the Carnegie introduced the Community Engagement Classification in order for colleges and universities to be recognized for their engagement work. The purpose of this new Carnegie classification was to benchmark “engagement”, rather than rating or comparing institutions (Driscoll, 2006), leading to a classification

system that is considerably different from other classification systems that the foundation has introduced. Benchmarking, unlike quantitative data collection, is the process of identifying and learning from institutions that are recognized for outstanding or “best” practices (Palomba & Banta, 1999). Recognizing the problematic nature of collecting quantitative data about engagement, the Carnegie Foundation for the Advancement of Teaching collects qualitative data from colleges and universities designed to describe “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 for the Advancement of Teaching, 2011). The data contains information about mission statements, infrastructure, leadership, and descriptions regarding the collaboration between a given university and its larger communities. Thus, the (qualitative) data that has been collected around university-community engagement is broad in scope and tends to focus on specific aspects of engagement—mainly, examples and best practices. This classification is an elective classification²¹, meaning it is based on voluntary participation by institutions, unlike Carnegie’s other classifications, which are based on secondary national data sources. Although the Carnegie Engagement Classification has provided new data, it still lacks concrete, quantitative data about university-community engagement in higher education.

²¹ According to the Carnegie Foundation, “elective classifications enable the Foundation’s classification system to recognize important aspects of institutional mission and action that are not represented in the national data. Because of their voluntary nature, elective classifications do not represent a comprehensive national assessment: an institution’s absence from the Community Engagement classification should not be interpreted as reflecting a judgment about the institution’s commitment to its community” (Carnegie Foundation for the Advancement of Teaching website, 2011).

Although collecting quantitative data and measuring engagement can prove to be difficult, many universities are interested in and have attempted to collect data around their engagement practices. Universities have created unique systems for data collection, evaluation, and reporting. Some institutions collect data through proprietary software purchased for the entire university while other institutions are silo-ed and have different data-collection software for each college. Notably The National Collaborative for the Study of University Engagement (NCSUE) at Michigan State University has excelled in data collection and engagement measuring endeavor. The purpose of NCSUE is to seek a greater understanding of how university engagement enhances faculty scholarship and community progress. To this end, Michigan State University has created the Outreach and Engagement Measurement Instrument (OEMI), which for the past seven years has collected data about outreach and engagement activities. MSU annually requests that faculty and academic staff to report any teaching, research, and service that affects or is in partnership with the external community. Many universities try to gather such information in hope of highlighting their work with local and global communities.

Many individual institutions, state university systems, foundations, and coalitions of universities have attempted to measure the important aspects of engagement and partnerships by examining institutional missions and actions that are not represented in the national data. Furthermore, many of the relevant tools and approaches currently being developed are to be found in the “gray” literature: conference proceedings, web-based audit tools, pages on university websites, and links to surveys and evaluations from a variety of organizations and accreditation bodies by tracing interactive links and internal cross-links to

websites and electronic source documents. The gray literature is a demonstrated, essential resource for such a current and widely dispersed subject matter.

Any evaluation of the effectiveness of strategic goals must include robust technical and practical components that measure and assess progress toward stated objectives. The shift to a focus on measuring university-community engagement does not fit into the already existing structures of and data collection by universities. Nor does conceptualizing and defining engagement easily translate into clear variables that can measure faculty involvement and production, student learning objectives, or national institutional evaluation and outcome measures. Thus, as Goedegebuure and Lee (2006)) suggest, “many university administrators are not aware of the breadth of community engagement that occurs within their own institutions” (p. 8). How, then, *can* an engagement strategy be measured and evaluated?

3.3.2. **The Interaction of Structure and Agency**

As previously mentioned, “university engagement” is comprised of all internal planning and strategies (structure) that take place within the university and the activities and partnerships (agency) that are formed in conjunction with the university. University-community programs and partnerships address a variety of areas in which activities, external to the university, take place—the building of human capital, social capital, physical infrastructure, economic infrastructure, institutional infrastructure, and political strength (Cox, 2000)—as well as internal university commitment—university and department missions; strategic planning; promotion, tenure, and hiring; organization structure and funding of engagement activities; university practices in research and service partnerships; student involvement; faculty involvement; community involvement and partnerships;

campus communications and publications; university off-campus community enhancements; and a variety of other areas (Holland, 1997; Axelroth & Dubb, 2010).

In order for engagement to be a true mission of the university or an institutional logic, the organization must have both the agency and structure to support that mission. If the structure does not exist, then the university is not supporting the claims of the mission. Agency does not exist if there is a lack of individuals and programs that employ the ideals of engagement. Engagement must be an organizational as well as an individual goal, embedded in the structure and adopted by its agents/stakeholders. Similarly, “reflexivity” is the ability of the agent, or actor, to alter his/her place in the social structure. The interaction between the structure and agency, or “reflexivity” attempts to describe action in the face of change or in one’s conception of reality. As Reed (1997) puts it, this interaction raises the “unavoidable and difficult questions about the nature of and link between human activity and its social contexts” (p. 21).

The idea behind the theory of institutional logics does not deviate greatly from the sociological theories of structuration (Giddens 1976, 1979, 1984) and the social production of reality (Berger & Luckman, 1967). Structuration theory (Giddens 1976, 1979, 1984) articulates how institutions and organizations are created, formulated, reproduced, and modified through the interaction of action and structure. The theory, that is to say, describes the process whereby agency and structure interact. In this relationship, the structure can act as both the medium for and outcome of agency, or action.

In a complex organization, such as a university, actors in various departments, colleges, and the like will have dissimilar responses to the social structures and institutional logics of the institution. Similarly, social actors will also have various impacts

(“reflexivity”) on the social structure. The relationship between structure and agency is unpredictable because social actors have the ability to reflect on their context and needs (Archer, 2003). However, if we examine both the structure and agency across the organization, patterns will reveal 1) whether or not social actors condition their actions based on social structures, specifically, institutional logics, and 2) whether or not social structures support the day-to-day activities of individual agents within universities.

The two basic elements of institutions—structure and agency—can be combined in different ways to produce rough categories of institutionalization of university-community engagement strategies at universities. A simple matrix relating structure and agency can help describe whether or not engagement is legitimated and institutionalized by an institution (see Figure 8). Institutional change is a process, and organizations go through stages of change. Thus, although this matrix presents four distinct categories of institutionalization, each category can be thought of as a continuum, albeit one with some degree of variance. Additionally, a university may overlap quadrants.

		STRUCTURE	
		Lack of Structure	Supportive Structure
AGENCY	Inactive	(I) Institution not engaged	(II) Engagement accepted at institutional level but not practiced/prevalent
	Highly Active	(III) Engagement practiced but not institutionalized	(IV) Fully engaged institution

Figure 8. Institutionalization of Engagement at Universities: Utilizing a Structure-Agency Matrix

The first quadrant represents a university that is not engaged, showing a lack of institutional structure being built around an engagement strategy and little to no engagement work being done by individuals and groups within the university. The stereotypical “ivory tower” or insular campus could be placed within this quadrant. The second quadrant characterizes a university that touts engagement in its strategy and mission and invests in personnel or perhaps an office for outreach and engagement but which does not embed engagement across the institution. This type of “rhetorically engaged” institution fails to include faculty, staff, students, and community in its mission and thus fails to become part of the campus culture. In the third quadrant, engagement is practiced but not institutionalized, representing a campus that is engaged with its community in a multiplicity

of ways, but whose engagement is too decentralized. Typically, in this case, faculty, staff, and students are involved in community scholarship, outreach, and service, but the university does not overtly recognize or support this work (e.g., in promotion, tenure, or financial rewards that value the work). Last, quadrant four represents the fully engaged university that provides the resources and infrastructure to support engagement while, at the same time, individuals and departments within the university accept engagement as part of the culture and participate through programs, projects, and activities.

The engagement strategy or mission of universities, if conceived as an institutional logic in a complex social system, consists of multiple structures and agencies. Although the literature on university-community engagement does not typically discuss the process and steps institutions must take to strategically promote engagement at a university-wide level (Wittman & Crews, 2012), many researchers have outlined the components that comprise engagement. The most widely cited list of factors that constitute university-community engagement is Barbara Holland's (1997) seven factors of commitment to engagement. They are:

- an institution's historic and currently stated mission;
- promotion, tenure, and hiring guidelines;
- organizational structures (e.g., a campus unit dedicated to supporting service activities);
- student involvement;
- faculty involvement;
- community involvement;
- campus publications.

The first three of these relate to the structure of the university's organization while the latter four describe the agency and actions of individuals and groups within the organization.

Drawing from Holland's factors and other studies, one can produce a list of the variables,

both structural and agentic, that comprise the engagement at universities that will help in determining the extent to which universities have legitimated their engagement strategies.

3.3.3. **The Operationalization of Engagement**

The purpose of this research is not simply to survey and collect data from a large sample of institutions about their engagement but to understand *how* such information can be collected. “Engagement,” as defined in Chapter 2, is a construct that must be broken down into measurable, tangible components in order to demonstrate its reality. Much of what social scientists do is clarify the “meaning” of propositions, in this case, clarifying the straightforward statement, “urban universities are engaged.” For example, Semler (1997) argues that organizations have the ability to evaluate and measure their strategic goals and their alignment in the structure and agency of the organization. He states that organizational alignment is the degree to which an organization’s structure, strategy, and culture are cooperating and combine to achieve the goals laid out in the organization’s strategy. According to Semler, organizational alignment is “a state rather than an outcome. It is a correlational measure of degree, from complete opposition (-1.00) to perfect harmony and synergy (+1.00)” (p. 28). He goes on to say (1997) that there are six aspects of alignment that can be measured. Alignment is determined by the extent to which the strategy(ies) correlate to 1) organizational structure, 2) reward systems, 3) organizational culture, 4) norms and values, 5) behaviors and actions, and 6) the strategic fit between organizational goals and the external environment. Semler’s hypothesis that the strongest possible alignment of these six aspects of alignment will produce the greatest probability of goal attainment. Thus, organizations that have strong alignment with their strategy will be more successful than those with weaker alignment. Building a model to definitively measure

each of Semler's six aspects of alignment would prove difficult due to the lack of data available. Nevertheless, his study provides a desirable end goal and provides a framework for examining university strategic planning utilizing a systematic and systemic approach to data collection and analysis.

The construct of engagement is inherently unobservable because it is a hypothetical abstraction, part of a theoretical realm. The central problem with explaining this construct is, first, figuring out how to translate an idea on a social matter—engagement—into variables. To what extent can “engagement” be clarified at any particular moment in time in one specific place? Second, in addition to conceptualization, a population must be defined as the most suitable group within which to study university-community engagement. Valid operationalization of university-community relations relies on the conceptual description of the construct and metrics created (Aneshensel, 2002). The construct of university engagement can be inferred from its presumed manifestations— the structure (planning, strategizing, and resources allocated) and agency (engagement activities, partnerships, added value from engagement efforts).

“The central theoretical problem for the analyst of a descriptive survey is the effective conceptualization of the phenomenon to be studied.... It is the complexity of the phenomena the survey analyst is usually called upon to describe that makes for this difficulty in conceptualization” (Hyman, 1963, p. 92).

A fundamental aspect of creation metrics for all urban research institutions is construct validity—“the capacity of the evaluation to reflect the content on the construct [engagement] that it is intended to measure” (Cisneros-Cohernour, 2012, p. 515). If the measurement instrument is valid, and the measures of the construct do indeed exist, then the observed data

show that engagement does exist. If the measured variables of engagement are not apparent, then engagement is disconfirmed and does not apply to a particular case/university. The latter outcome depends heavily upon the variables and measures of the engagement construct and their validity.

Figure 2 displays an operationalization of the variables that make up university-community engagement practices. The list was compiled by examining currently available secondary data and primary data that could potentially be collected via survey methods. In the figure, engagement plans and strategies are measured in five content areas. First, structure (internal institutional commitment to engagement) is calculated utilizing the sub-variables of internal commitment listed beneath internal commitment. Agency (activities/actions of engagement) is measured by collecting data concerned with practices of economic development, community development, knowledge production and research, and university-community partnerships determined through the associated sub-variables.

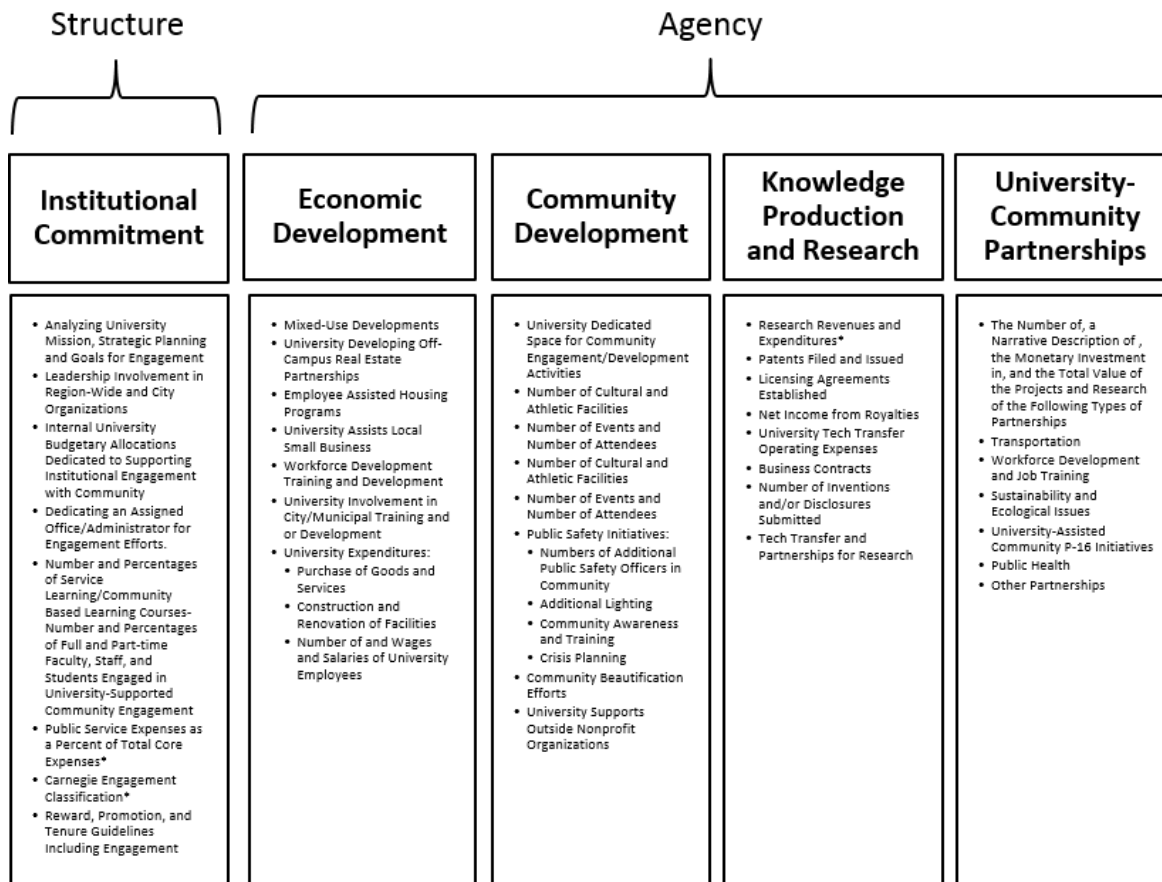


Figure 9. University-Community Engagement Variables

Actively measuring engagement and university-community partnerships is at the core of this study for considering the role of the university in its community. This can be accomplished by creating valid and reliable metrics that can be useful for both the university and its stakeholders in assessing and evaluating the university's place in its larger context. In Chapter 4, I will explain how creation of the metrics that define engagement leads to the collection of data through rigorous testing and pretesting and through the application of theories and methods of cognitive science (Presser et al., 2004).

CHAPTER IV. FINDING METRICS THAT MATTER: METHOD

This study employs a mixed-methods approach (Cresswell, 2003) to enhance comprehension of metrics to gauge the institutionalization of university-community engagement. A sequence of quantitative data collection, in the form of the creation of a secondary data repository with the addition of primary survey data, will begin to identify metrics that illustrate how universities connect to their communities. Qualitative data, gathered primarily through cognitive interviews, will enhance the quantitative data and will be used to gain an in-depth perspective on the ways in which six universities strategize, perform and assess their roles in the context of their own cities. Concurrent triangulation (Creswell, 2009) will guide the analysis—probing the quantities of data collected utilizing strategies of side-by-side comparison, confirmation, cross validation, and disconfirmation (Greene et al., 1989). The approach set forth in this chapter begins with an overview of the methodology and a description of the research questions, leading to a synopsis of the research process, followed by details of the three phases of this research and concludes with the ways in which evidence will be evaluated.

4.1. Methodology

How can the university's role in the community be measured and understood in a broader sense beyond a case-by-case analysis? Do urban research universities share planning, strategies and activities that enhance their multiple “place-based” (Netter Center, 2010; Perry et al., 2014) roles? What metrics can be used to best explore these practices? The role of the university in its community is complex and is in continuous flux through

time and space. Furthermore, the construction of engagement is contextual, and its meaning stems from an ongoing dialogue that is negotiated in each individual community and is affected by existing political, cultural and social conditions (James, 1907). Data collected under these conditions are unavoidably derived from the public, experienced and practical world and rarely are pure and empirical. Methodologically, the above questions will require the gathering of extensive, rich and diverse data, including everything from calculated statistics to observations of the university campuses themselves.

This study employs a pragmatic approach in order to examine the continuum of objective and subjective data available for collection (Cresswell, 2003; Morgan, 2008). This study will take the shape of a *process* of inquiry in which permanent results are not the end to scientific discovery, but rather a snapshot of understanding university engagement presently. Pragmatists view science as a process of continual improvement of its methods of question answering and problem solving—a departure from the logical empiricists belief that a theory is an ideal or stable explanation that is meant to hold true in all situations. James (1995) argued, "The pragmatic method in such cases [metaphysical disputes] is to try to interpret each notion by tracing its respective practical consequences" (p. 18). This pragmatic view allows multiple methodologies, or "logics-in-use," to solve problems and produce theories over time that evolve with trial and error (Diesing, 2003). Accordingly, the ever-evolving meaning of engagement in higher education, as described in Chapter 2, can only be understood as it stands in the present moment in particular contexts.

C.W. Churchman believed that "one can always achieve more precise measurement, more validity, more reliability, more representativeness, but *at a cost*" (Diesing, 2003, p. 95). Garnering a complete data set about the engagement planning, strategies and activities

of all 1,407 urban graduate, degree-granting universities²² across the United States would require substantial resources and an incalculable amount of time exceeding the allowance of traditional doctoral dissertation research. It is known that, “researchers may choose to observe lots of cases superficially, or a few cases more intensely. There are trade-offs to both” (Gerring, J., 2007). Thus, this study will examine a diversified sample of information-rich cases of the larger population of urban research universities (see Table III.) to supplement the survey data.

TABLE III. NUMBER OF HIGHER EDUCATION INSTITUTIONS
IN THE UNITED STATES IN 2011

The State of Higher Education in the United States (AY 2011)	
	n
All Postsecondary Institutions	7,473
Degree-Granting Institutions of Higher Education	4,788
Four-Year Degree-Granting Institutions	2,971
Graduate Degree-Granting Institutions	2,086
Urban Graduate Degree-Granting Institutions	1,407
Public Urban Graduate Degree-Granting Institutions	290
Private Not-For-Profit Urban Graduate Degree-Granting Institutions	856
Private For-Profit Urban Graduate Degree-Granting Institutions	261

Source: Integrated Postsecondary Education Data Statistics (IPEDS), U.S. Department of Education, AY 2011.

²² *Four-Year Urban Graduate Universities*²² (UGUs) consist of those institutions located in U.S. Census-calculated Core-Based Statistical Areas (CBSAs) of 450,000 or more and that awarded graduate degrees in AY 2010-11.

This research will accumulate quantitative and qualitative data in order to provide a comprehensive analysis of the state of engagement at urban graduate universities.

Pragmatism presents a practical starting point for a pluralist methodology integrating multiple methods (Guba & Lincoln, 2005). The combination of case-study research, particularly interview based, paired with other quantitative demographic and survey data will increase the number of strategies available and increase the depth of analysis (Bazely, 2006). Although certainty and the ability to generalize cannot be achieved in this enterprise, this research strives to collect as much empirical support as possible within the limited time and resources available (Dewey, 1931). Methodological triangulation will improve construct validity through the integration of multiple research strategies throughout the duration of this study.

4.2. **Research Questions**

There are four main research questions seeking descriptive, analytical, and theoretical explanation.

- Question 1. What is university engagement? Theoretically, how can urban universities in the U.S. achieve institutional alignment of an engagement strategy?
- Question 2. In practice, how are universities fulfilling their mission of engagement through planning, strategies and activities?
- Question 3. Assessment and data collection are key indicators of the institutionalization of a strategy; therefore, are there metrics that can confirm university-community engagement?
- Question 4. To what extent are engagement strategies truly embedded and institutionally aligned at urban universities? Are there best practices or categories to describe engagement at universities?

4.3. **Research Design Overview: Sequential Mixed Methods Approach**

The application of mixed methods to a new area or field of inquiry, such as assessing engagement, is not unusual, (Harnisch et al., 2012). A sequential mixed-method approach will be used in which secondary data is collected and paired with survey data from a national survey, which will inform and guide the in-depth qualitative case studies (Cresswell, 2009). “The basic assumption [of mixed methods] is that the combination of [quantitative and qualitative] data provides a better understanding of a research problem or practical situation than either type of data by itself” (Harnisch et al., 2012, p. 518). A proper mixed-methods design is based on the notion of mixing both qualitative and quantitative data from multiple research methods, not simply utilizing both types of data in a study (Creswell & Clark, 2007). For the purposes of this study, the data will come from multiple sources to produce more comprehensive results (see Figure 10).

4.3.1. **Secondary Data Collection**

Background research and secondary-data collection are important to understanding universities nationwide. Any attempt to describe the many ways in which urban universities make a difference in their neighborhoods, cities and regions will need first to consider the differences amongst universities as well as their cities. The first step, prior to collecting primary data, was a literature review—a thorough investigation of the existing methods used and data collected both locally, nationally and internationally related to measuring university-community engagement.

A large database was created utilizing accessible and applicable secondary data from the Integrated Postsecondary Education Data System²³ (IPEDS) and other national data sources, such as the Carnegie Foundation and the U.S. Census Bureau. The secondary database, in SPSS, is vital to gain a better understanding of subsets or samples of universities and it provides data and information that was formally collected that can describe these institutions. This database will serve as the basis for comparison to other universities and provides a baseline of information about the samples. It will also aid in sample selection of case-study sites. Last, this secondary data collection will help to determine what data is currently collected systematically at the national level and what data is not.

²³ IPEDS is the Integrated Postsecondary Education Data System. It is a system of interrelated surveys conducted annually by the U.S. Department of Education's National Center for Education Statistics (NCES). IPEDS gathers information from every college, university and technical and vocational institution that participates in the federal student financial-aid program. The Higher Education Act of 1965, as amended, requires that institutions that participate in federal student aid programs report data on enrollments, program completions, graduation rates, faculty and staff, finances, institutional prices, and student financial aid, (National Center for Educational Statistics, 2005).

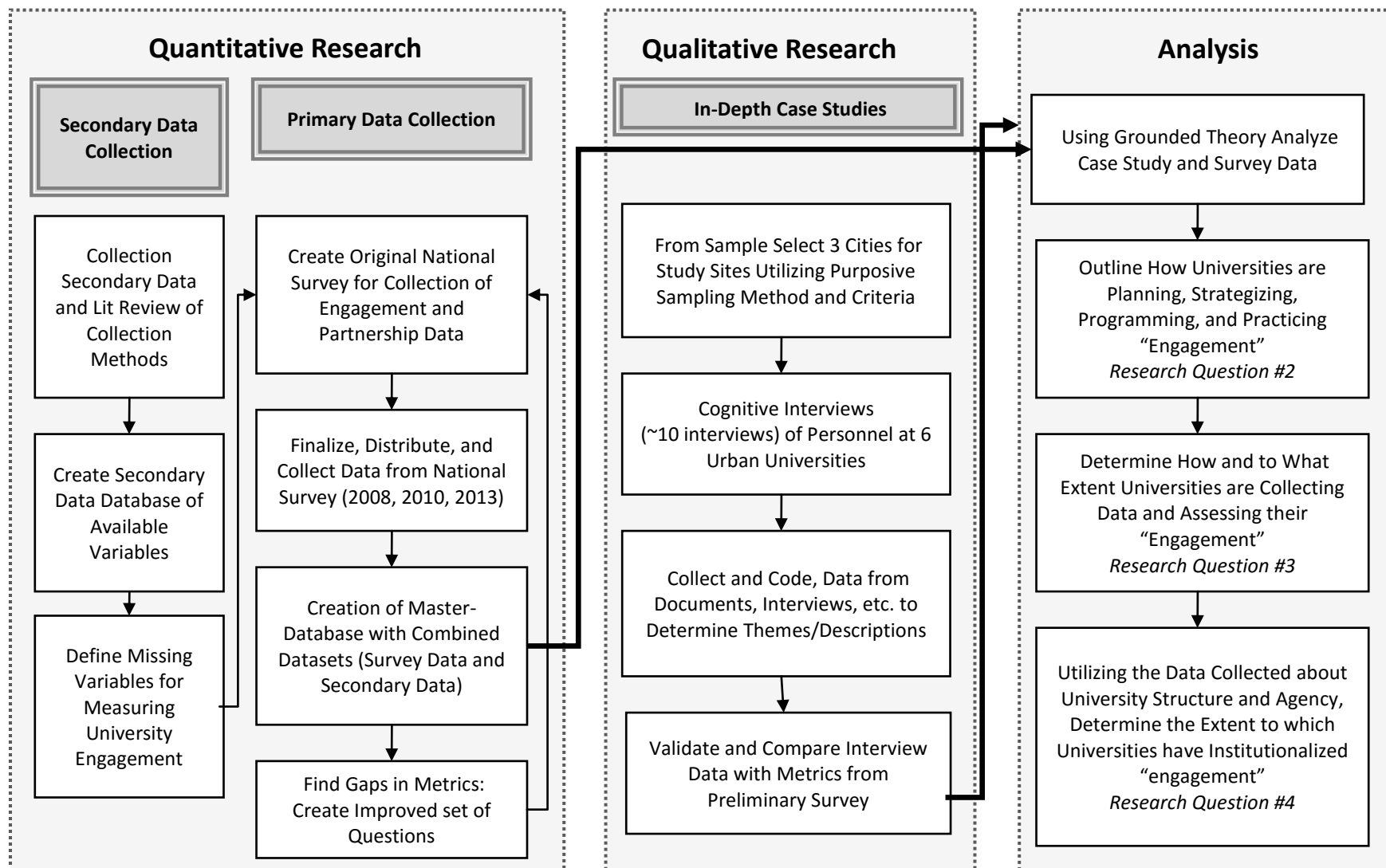


Figure 10. Sequential Mixed-Methods Research Approach

4.3.2. **Primary Data Collection: The Survey**

There are numerous advantages to working with quantitative data and statistics in the decision-making process. Quantitative methods can solve many problems faced by qualitative researchers (Brady & Collier, 2004). Metrics tend to bring precision to clarifying the main tendencies as well as the variation in a population or sample. Thus, the rhetorical claim that, “universities are “engaged” in their communities” can be verified using empirical data. The advantage of statistics is that they help administrators, policy analysts, and academics investigate and keep track of an innumerable collection of measured characteristics or attributes—i.e., variables. Collection of these variables will allow for analysis and sense making concerning the relationships among the diverse and complex universities and the differences they are making in their communities.

Examination of the literature and various studies provides a base knowledge of the different techniques in benchmarking, assessment and evaluation of engagement. The lack of comprehensive metrics of engagement, as noted in Chapter 3, is due in part to the 1) inability to make operational engagement, 2) deficiency of university time and resources to complete such work, 3) complexity and variety of engagement that occurs in various departments, institutes and centers across campuses and 4) difficulty in utilizing the same metrics across campuses nationwide. However, with the growing number of engagement offices at institutions and of national consortiums and organizations emphasizing engagement, many colleges and universities have made a conscious effort to create mechanisms for collecting engagement data (Campus Compact, 2013). Universities collect the data for self-assessment, benchmarking and comparison, as well as for informing external constituencies of their progress. Nonetheless, data collection is

not easy, it is expensive, and incredibly time-consuming. However, in an age of accountability, university administrators recognize that further research is necessary despite the complexity and difficultness of collecting the information, as they share with policymakers an interest in identifying and measuring the impact universities have on their communities. Thus, various national organizations are working to create new and better metrics to describe and define the university's role in society.

The Coalition for Urban Serving Universities²⁴—a membership organization led by presidents and chancellors of America's leading urban public research universities—wanted to collect information that “would further help in the development of an analytic framework for assessing the roles of urban research universities as ‘anchor institutions’ of cities and for discerning ways to strengthen their efforts” (Perry & Menendez, 2009). The coalition, therefore, decided to invest in the creation of a national survey that “collects and analyzes data across a network of public urban research institutions to create a reliable, factual foundation for the universities' work in cities” (USU, 2009). In 2008, a sub-committee of USU, The Strengthening Communities Strand, was charged with organizing and completing data collection to factually support the coalition's goal of “advocating for federal policies that support public urban research universities and create partnerships with them to fuel the development of the nation's cities and metro regions” (USU, 2009). The Strand contracted with the University of Illinois at Chicago's Great Cities Institute to solidify, conduct and analyze a foundational national survey that

²⁴ A nationally recognized network of urban research universities, USU is organized to report on and evaluate the role of the urban university in society and to produce strategies for responsible urban development, identifying and promoting best practices and tools for building institutions and effecting urban and community change.

outlines and describes the breadth and types of engagement that universities across the country are involved in (Perry & Menendez, 2009; Perry & Menendez, 2010).

In the summer of 2009, an in-depth survey was created and administered to all USU members to understand and measure the universities' role in a number of areas, including 1) institutional structures, practices and engagement of leadership, faculty and students; 2) partnerships to improve urban communities (in a range of areas); 3) economic development, research and technology-transfer activities; and 4) physical/neighborhood development. The survey aided in the production of a report and white paper which utilized both narrative and aggregated data resulting from the survey (described in the next section). A time- and resource-consuming investment, the survey nevertheless served as a successful, comprehensive effort to collect a wide range of information. The release of the USU reports and data led another national coalition, The Coalition of Urban and Metropolitan Universities²⁵ (CUMU), chose to invest in a similar data-collection process utilizing the same survey, with minor modifications, in 2010. Thus, in 2010, a group of researchers from the Great Cities Institute, including myself, distributes, collected, and analyzed data from CUMU respondents. The depth of the questions and the originality of the type of data collected in both studies resulted in a low response rates as well as lower response frequencies to a number of survey questions. These issues were not construed as damaging to the survey process; on the contrary, they were a testament to the commitment of the member institutions that were able to

²⁵ The Coalition of Urban and Metropolitan Universities (CUMU) was established in 1990 by metropolitan and urban university leaders in recognition of their shared mission to use the power of their campuses in education, research and service to enhance the communities in which they are located. In 2010, CUMU had 74 members—68 located in the United States and 6 abroad.

complete the surveys requiring the collection and reporting of data that had not previously been collected by many of these institutions.

The response rates illustrated that even the most “engaged” universities couldn’t easily collect such a broad scope of data pertaining to the roles of their own universities. Thus, an assessment of the research process revealed that further inquiries and studies are needed to develop more succinct, yet comprehensive, metrics that are able to gauge the public urban research university’s anchoring capacity. In 2012, the Coalition of Urban Serving Universities made the decision to invest in a long-term study in order to fully investigate the metrics of the university’s role in cities to collect data that illustrates this role. A panel of university members of USU was selected to participate in a longitudinal study of institutions to create better metrics over the next decade. This representative sample of 13 USU members was chosen based on geographic location, institutional size and willingness to spend the time, resources and energy to participate. The survey, utilizing the previous two survey rounds, was slightly modified and intensified with additional follow-up questions in a pre-test exercise. The new follow-up questions solicited additional feedback on how the answers were compiled as well as any other feedback on the questions themselves.

4.3.2.1. **Survey Method and Instrument**

The purpose of this survey was to collect data and information while beginning to produce metrics of community/neighborhood/university partnerships and development. The metrics would enable institutions to track data and progress over time in order to help university policymakers and funders make decisions. Deliberate attention was given to assuring that this survey assembled information not currently collected and

shared among colleges and universities. Realizing that universities could not/did not quantify much of their work in community, this researcher utilized a within-stage, mixed-model design (Johnson & Onwuegbuzie, 2004), including both closed-ended quantitative questions as well as open-ended questions. The survey collected both aggregate data and case studies of types of partnerships and developments that are being formed and undertaken in and by these institutions and their communities as well as institutional planning and investment in these strategies (See Figure 11). The survey itself was a 10-page document with approximately 40 questions (See Appendix A).

Institutional Commitment	Economic Development	Community Development	Knowledge Production and Research	University-Community Partnerships
<ul style="list-style-type: none"> Analyzing University Mission, Strategic Planning and Goals for Engagement Leadership Involvement in Region-Wide and City Organizations Internal University Budgetary Allocations Dedicated to Supporting Institutional Engagement with Community Dedicating an Assigned Office/Administrator for Engagement Efforts. Number and Percentages of Service Learning/Community Based Learning Courses- Number and Percentages of Full and Part-time Faculty, Staff, and Students Engaged in University-Supported Community Engagement Reward, Promotion, and Tenure Guidelines Including Engagement 	<ul style="list-style-type: none"> Mixed-Use Developments University Developing Off-Campus Real Estate Partnerships Employee Assisted Housing Programs University Assists Local Small Business Workforce Development Training and Development University Involvement in City/Municipal Training and or Development University Expenditures: <ul style="list-style-type: none"> Purchase of Goods and Services Construction and Renovation of Facilities Number of and Wages and Salaries of University Employees 	<ul style="list-style-type: none"> University Dedicated Space for Community Engagement/Development Activities Number of Cultural and Athletic Facilities Number of Events and Number of Attendees Number of Cultural and Athletic Facilities Number of Events and Number of Attendees Public Safety Initiatives: <ul style="list-style-type: none"> Numbers of Additional Public Safety Officers in Community Additional Lighting Community Awareness and Training Crisis Planning Community Beautification Efforts University Supports Outside Nonprofit Organizations 	<ul style="list-style-type: none"> Research Revenues and Expenditures* Patents Filed and issued Licensing Agreements Established Net Income from Royalties University Tech Transfer Operating Expenses Business Contracts Number of Inventions and/or Disclosures Submitted Tech Transfer and Partnerships for Research 	<ul style="list-style-type: none"> The Number of, a Narrative Description of, the Monetary Investment in, and the Total Value of the Projects and Research of the Following Types of Partnerships Transportation Workforce Development and Job Training Sustainability and Ecological Issues University-Assisted Community P-16 Initiatives Public Health Other Partnerships

Figure 11. Survey Categories

The survey was administered through the two coalitions, which are led by top university administrators—university chancellors and presidents. The survey, along with a letter from the board members, was sent directly to the university president or chancellor, who then typically designated a point of contact person to follow-up with the research team and complete the survey. The point of contact person was typically either a staff member in the university’s top administration, in an information research office or in the outreach or engagement office. In order to complete the survey, the point of contact person would either put together a team or send out dozens of requests for information via email to various offices, institutions and/or departments across campus. One point of contact person said, “to complete the survey, we engaged 16 people from nine units (not counting the people and units that they reached out to). Because of the broad focus of the survey, the data points were scattered across different administrative units, and in many cases, each unit only had one piece of the data (Email correspondence, March 7, 2013).” This experience is typical among survey participants as a variety of people from varying disciplines and backgrounds are answering specific questions from the surveys, expending great amounts of time, energy and resources. This intensity of work would not be possible without top university administration involvement and support of the project.

4.3.2.2. **Sample**

As noted, the survey research is derived from three national studies: 1) a survey distributed to all members of the Coalition of Urban Serving Universities (USU) in 2009, 2) a revised version of the survey that was distributed to the Coalition of Urban and Metropolitan Universities (CUMU) in 2010 and 3) a panel study of 13 members of USU

in 2013. The first two studies utilized a nonprobability sampling method (Shavelson, 1988) representing those among the full membership who responded to the survey. In spite of utilizing a nonprobability sample, the samples in each of the coalition studies are representative of the characteristics of urban institutions in each of these organizations. Furthermore, the samples are spatially representative of universities throughout the U.S. However, the third study utilized purposive sampling, specifically choosing panel members based on size, geographic location and willingness to participate in a time-intensive longitudinal study (refer to section 4.3.3.2. in this Chapter).

This survey administered to the full membership of 39 members of USU²⁶ in 2009 generated a 67-percent response rate with 26 surveys completed and returned. In 2010, the distribution of the survey to all 68 CUMU member institutions located in the United States garnered 40 member completions, a 59-percent response rate. In 2012, the survey was administered to a panel of 15 USU members, and 13 were returned. In the end, the survey was completed a total of 79 times by 58 separate universities²⁷ (see Table IV).

This survey and secondary resources provide a rich dataset that articulates the role of urban universities in urban areas (Perry & Menendez, 2010). However, it is noted that university-community engagement planning, practices and activities are complex and vary from institution to institutions; thus, engagement is not readily reduced to objectivist measurable metrics (Denzin & Lincoln, 1994). As one survey respondent noted,

²⁶ The Coalition of Urban Serving Universities consists of members that “public urban research universities located in metropolitan areas with populations of 450,000 or greater. They enroll 10 or more doctoral students per year and demonstrate a commitment to their urban areas. Public urban research universities have the ability—and the obligation—to provide innovative solutions to the challenge their cities face. Each USU member is actively working to address critical issues and to develop additional support for their communities (<http://www.usucoalition.org>).”

²⁷ Members of these organizations may be members of both USU and CUMU.

“The survey is very detailed. While describing the initiatives in narrative form is relatively straightforward, defining them in terms of accessible data is not as easy. The data requested often have not been collected (if they have been collected at all) in a form that corresponds readily to your data needs.”

TABLE IV. INSTITUTIONS PARTICIPATING IN NATIONAL SURVEYS

USU Survey, 2008-09 Survey 1	CUMU Survey, Spring 2010 Survey 2	USU Survey, 2012-13 Survey 3
Arizona State U.	Buffalo State College, SUNY	Cal. State U. Fresno ^a
Cal. State U. Fresno ^a	Cal. State Polytechnic U. Pomona	Cal. State U. Northridge
Cal. State U. Los Angeles	Cal. State U. Fresno ^a	Florida International U. ^a
Cal. State U. Sacramento	College of Staten Island, CUNY	Georgia State U.
Cal. State U. San Bernardino	Coppin State U.	Indiana U. Purdue U. I. ^a
Cleveland State U.	Florida International U. ^a	Morgan State U. ^a
Florida International U. ^a	George Mason U.	Portland State U. ^a
Indiana U. Purdue U. I. ^a	Indiana U. Purdue U. I. ^a	U. of Illinois at Chicago ^c
Morgan State U. ^a	Jackson State U.	U. of Memphis ^c
Ohio State U.	Medgar Evers College	U. of Massachusetts Boston
Portland State U. ^a	Metro. State College of Denver	U. of Minnesota, Twin Cities ^c
Temple U. ^b	Morgan State U. ^a	U. of Missouri-Kansas City ^a
Tennessee State U.	Northern Kentucky U.	U. of Washington Tacoma ^d
U. of Akron	Pace U.	
U. of Cincinnati ^b	Portland State U. ^a	
U. of Central Florida	Rutgers U.-Camden	
U. of Colorado Denver ^b	Rutgers U.-Newark	
U. of Houston	Temple U. ^b	
U. of Illinois at Chicago ^c	Texas State U. - San Marcos	
U. of Louisville ^b	Towson U.	
U. of Memphis ^c	U. of Arkansas at Little Rock	
U. of Minnesota, Twin Cities ^c	U. of Baltimore	
U. of Missouri-Kansas City ^a	U. of Central Oklahoma	
U. of New Mexico	U. of Cincinnati ^b	
Virginia Commonwealth U. ^b	U. of Colorado Denver ^b	
Wichita State U.	U. of Louisville ^b	
	U. of Michigan-Dearborn	
	U. of Missouri-Kansas City ^a	
	U. of Missouri-St. Louis	
	U. of Nebraska at Omaha	
	U. of North Texas at Dallas	
	U. of South Carolina Upstate	
	U. of Tennessee at Chattanooga	
	U. of Washington Tacoma ^d	
	Virginia Commonwealth U. ^b	
	Washington State U.-Spokane	
	Washington State U.-Vancouver	
	Weber State U.	
	Widener U.	
	Youngstown State U.	

^a Institution participated in all three surveys

^b Institution participated in two surveys: survey 1 and survey 2

^c Institution participated in two surveys: survey 1 and survey 3

^d Institution participated in two surveys: survey 2 and survey 3

4.3.3. **Qualitative Methods: In-Depth Case Studies**

The three iterations of survey research—based on a survey questionnaire vetted by three committees of experts in the field of university engagement (survey committees of members of USU and CUMU), pretested and altered three times based on feedback, with pretesting and results from previous surveys—yielded a lot of data; however, it also yielded high non-response rates. Due to the depth of the survey and the breadth of types of roles a university may or may not play in their communities, the survey questionnaire responses were incomplete. In order to determine why respondents did not or could not answer survey questions, further information is needed.

University-community engagement initiatives involve moving parts and multiple stakeholders with information interests that shift over time. Because of this, metrics alone cannot fully explain this work. Thus, this research aims to understand the malleable strategies utilized in this work. Through the examination of case studies, narratives, and responses to open-ended survey questions, process-related issues will be revealed that will aid in understanding the interactions, day-to-day politics, power structures, or other factors that hinder progress in this field. This kind of qualitative information is vital to finding ways to improve university community engagement practices and evaluation of those initiatives in the future.

Case studies respect the complexity of social phenomena and are useful for understanding particular problems, processes, relationships and context within each individual environment and method (Cisneros-Cohernour, 2012). For this reason, case studies are used as a supplement to the survey method in order to go beyond the countable aspects, trends and stories of engagement. The research strategy is to utilize

case studies to “drill down” in order to 1) detail and describe the range of engagement planning, practices and activities at a variety of public and private not-for-profit urban research universities and 2) to conduct cognitive interviews to explore issues of validity regarding the engagement metrics created for the survey as well as to gain insight about university engagement at each case-study site. In each study setting, the goal is to concentrate on each particular institution and its engagement planning and practices rather than pre-determine what planning and practices should or may exist. Case studies provide a temporal dimension or snapshot of a single time period that investigates six cross-sectional cases from all U.S. urban research universities (Miller & Salkind, 2002).

Universities are always changing with new technologies and directives, and thus the survey requires continual maintenance to keep pace with those changes. For example, at the turn of the 21st century, metrics and statistics recording the number and percentage of service-learning courses were customarily collected at universities that had either received funding or that wanted to receive funding for these courses. Today, this is no longer the case as most of this funding has dried up and the formerly acclaimed service-learning programs have adapted to the latest engagement and leadership programs. As a consequence of this and other changes, there is a need to reach experts at universities who are at the forefront of this type of university work. Expert-intensive interviews provide insight into how institutions and the individuals at those institutions describe and measure how their institutions intersect with their communities. Focusing on specific, bounded social systems with an emphasis in particularity (Cisneros-Cohernour, 2012) may help to clear up what questions are useful for specific universities or their departments.

From the three national surveys distributed and collected in the previous five years, it has become apparent that the data are never “perfect”. The survey has been tested a total of 79 times by 58 different universities with varying results. The institutional information collected is problematic in nature because much of the data are not collected on a uniform basis nationwide. Two major factors prohibit the reliable collection of comparative data around university impact on community: 1) some universities do not collect the data, or 2) universities collect data in each in their own ways. Many factors may affect the quality and type of information reported here—two of which are: 1) which administrative office or individual at each institution responds to this survey and 2) how each institution defines variables that are difficult to quantify (Perry & Menendez, 2010). Universities are large, fragmented institutions and without precise information on how each bit of data is collected, the validity of the questions cannot be improved. Thus, deeper investigation into how the survey questions are answered and understood “on the ground” by those collecting the data or those that could potentially collect data is needed. As noted earlier, survey questionnaires can be tested and revised in a couple of ways: through rigorous testing and pretesting, and through the application of theories and methods of cognitive science (Presser et al., 2004).

4.3.3.1. **Method**

This inquiry will take the form six in-depth case studies examining the engagement strategies, actions, and assessment techniques in each specified context and how they shape the role of the university in the broader/macro context (Ritchie & Lewis, 2003). Data will be drawn from multiple sources: expert interviews, observations, field notes, self-reports and transcripts and other documents. Triangulating multiple

perspectives, methods and sources of information will add texture, depth and numerous insights to an analysis and can enhance the validity or credibility of the engagement metrics (Cohen & Manion, 1994).

Previous analysis of the survey questionnaire (Perry & Menendez CUMU presentation, 2009) revealed that the institutional information sought in this study is “elephantine” in nature—who responds or what department/office within the university responds determines the type of data that will be collected. Universities are large silo-ed institutions with multiple offices, departments, and centers that all have their own data repositories. Thus, one of the primary goals of these case studies was to look at the university as a whole: interviewing multiple experts and exploring literature and data across the entire institution.

Each case study consisted of weeklong site visits to three cities across the U.S. During each city visit, observations and interviews took place at one public and one private not-for-profit urban research university. Prior to site visits secondary data collection, content research and a tentative schedule of interviews were made up. Various administrators, faculty and staff from each university were tapped for their knowledge in a series of semi-structured interviews ($n=60$). Semi-structured interviews were utilized and designed to allow “conversations with a purpose” (Mason, 2002) to occur naturally and to generate vivid narrative accounts that capture the nuance and detail of the interviewees’ institutional planning, programs, activities and data collection (Denzin & Lincoln, 2005). In addition, techniques, drawn from cognitive interviewing (Tourangeau, 1984; Jobe, 2003; Bradburn, 2004; Schwarz, 2007) were utilized to probe the survey questions in order to improve the validity and reliability of the survey.

4.3.3.2. Case Study Sample Selection

Purposive sampling, a nonprobability sampling method, is utilized to select three cities that contain multiple research universities will be chosen for case-study sites (Patton, 2002; Dattalo, 2008). The statistical justifications guiding qualitative sample sizes are flexible and generally emulate the intention of the study in light of its sampling frames and practical restrictions (Punch, 2006). Thus, six universities—one public and one private not-for-profit in each city—have been chosen for the information-rich case studies. Under purposive sampling the researcher’s judgment and selection criteria will yield a sample that is both representative and willing to participate. The sample will be selected using the following five criteria:

- 1) The university is located in a city that contains at least one member of USU.
- 2) The city contains at least one public urban research university and one private urban research university within its city limits (not metro area).
- 3) The public and private research universities in each city contain relatively similar enrollments.
- 4) One institution in each city has completed a previous survey administered by USU or CUMU.
- 5) The cities selected vary in size and geographic location.

TABLE V. CASE STUDY SITES

City	Public Urban Research University	Private Urban Research University
Atlanta	Georgia State U.	Emory U.
Cleveland	Cleveland State U.	Case Western U.
Tacoma	U. of Washington-Tacoma	U. of Puget Sound

The three case-study cities were not in any way chosen to represent all cities across the U.S., but do reflect a continuum of city differences. In this study, a “most-

different” (Gerring, 2007) or “dissimilar-case” (Henry, 1990) sampling strategy is utilized in order to capture and describe the central themes that cut across a great deal of variation (See Table VII in Chapter 6). The sampling is aimed at ensuring that cases that are both significant and diverse are represented (Creswell, 1998; Miles & Huberman, 1994). The sample cities chosen (See Table III) range from a smaller urban area (Tacoma), to a mid-size city (Cleveland), to large city (Atlanta). The cities represent, respectively a mid-sized port city in the Pacific Northwest, a de-industrializing city on the Great Lakes, and the economic and cultural center of the South. Moreover, as reported in Chapters 6 and 7, the universities in each of these cities are as diverse as the cities themselves and represent a reasonable starting point for identifying various ways engagement is institutionalized.

4.3.3.3. **Selection of Interviewees and Interview Process**

Interviews and subjects for participation were chosen utilizing selective sampling based on the distinctive features of each case study or identified through a snowballing process, commencing with senior executives of each university and representatives from various departments, offices and institutes affiliated with the university. The interviews were prearranged to ensure privacy and respect the time of both the interviewer and interviewee. Interviewees were targeted due to their specific function at the institution and their ability to answer specific portions of the survey questionnaire. All potential respondents received an introductory letter, via email, that included a description of the nature of the study and a statement concerning the importance of the recipient’s participation. The letter was followed up by a telephone call 7-10 days after the email

was sent, in order to arrange an appointment for a personal interview at a place convenient to the respondent.

The bulk of the interviews were conducted over a three-month period from September 2012 to December 2012 and in May of 2013. The interview schedules were designed to be intentionally open without any predetermined sense of what public engagement might be or mean or as seen to be influenced by current official accounts. The interviews included four components: 1) direct questions about institutional engagement practices from the survey, mirroring the written format; 2) follow-up questions regarding institutional data collection relating these measurements or the lack of data availability; 3) a discussion of data and metrics that do not exist that would be beneficial to consider; and 4) a general discussion of the respondent university's strategies and practices relating to community engagement. An example of the "protocol," or interview instrument, consisting of the tested questionnaire and scripted probes, can be found in Figure 12. A specific interview instrument was created prior to each interview and tailored to the specific knowledge of each interviewee, with room for open-ended questions and dialogue.

At the outset of the interview, the subject was informed that the interviewer was not only collecting institutional data, but also testing a questionnaire that contained questions that may be difficult to answer, that may not be completely applicable to his or her institution and that need further development. It was made clear that the interviewer was concerned with how the interviewee arrived at his or her answers to the questionnaire and the problems the interviewee encountered and that, therefore, any detailed help the interviewee could give the interviewer was of interest, even if it seemed irrelevant or

trivial. This “guided conversation” was intended to be fluid and open, while still being based on the questioning structure of a survey interview (Rubin & Rubin, 1995; Kvale, 1996). This open format allowed the interviewer to probe for more detail, explain unclear questions and use visual aids.

Interview techniques were drawn from survey methods developed by cognitive psychologists during the 1980s to comprehend problems occurring during the response phase of data collection (Jobe, 2003). Presently, cognitive interviews are regularly administered as a component of questionnaire design, piloting and modification in well-funded, major national evaluations (Desimone & Le Floch, 2004). Cognitive interviews are similar to intensive interviews (Belson, 1986), which refer to a set of techniques that enables a researcher to acutely analyze how respondents understand the survey questions they are to answer and the accuracy of existing questioning or measuring procedures (Tourangeau et al., 2000). Cognitive interviews are based on the notion that respondents to survey questions undertake complex cognitive processes when answering questions, including 1) understanding the question (comprehension), 2) retrieving relevant information (retrieval), 3) preparing one’s answer (judgment) and 4) formatting and editing an answer (response) (Tourangeau, 1984; Bradburn, 2004; Schwarz, 2007).

Cognitive interviews explore how respondents’ answer a question and why they have answered it in a particular way. Cognitive interviewing allows for a more thorough investigation of how universities understand their “engagement” efforts, rather than in terms of solely the proposed engagement metrics utilized in the survey. For example, the respondent to a survey or questionnaire may only provide a partial answer due to lack of data, estimate quantitative variables, or respond with only data that sheds a positive light

on their institution. Cognitive interviews intent is to ascertain if the respondents are answering a question in a socially desirable way, not answering a question due to lack of understanding, or unknowingly providing misleading responses. By understanding of the question's intent, the researcher will uncover shared or conflicted understandings as well as additional detail regarding the constructs and questions that are central to the study's conceptual framework. Cognitive-interview methodology is a particularly effective approach to remedying the most common threats to survey validity that stem from the complexity of phenomena that are conceptualized by a survey instrument—such as university-community engagement (Biemer et al., 1991).

The use of verbal probing is a technique that has increasingly come into favor by cognitive researchers (Willis et al., 1999). After the interviewer asks the survey question, and the subject answers, the interviewer then asks for other, specific information relevant to the question, or to the specific answer given, as the interviewer "probes" further into the basis for the response. These interviews consisted of the interview schedule along with the combination of scripted²⁸ and spontaneous²⁹ probes. Figure 12 shows an example of one question that is part of a multi-question interview.

Written notes were taken during interviews, and a case history was maintained of each interview. After the interviews were completed, each interview was summarized on a question-by-question basis, by entering comments directly under each question, using Microsoft Word format including questions directly from the survey questionnaire as

²⁸ Scripted probes were used in all interviews and were developed prior to the interviews.

²⁹ Spontaneous probes are probes that are usually "thought up" during the interview and add value and detail to the pre-defined questions.

well as follow up probing questions (as seen in Figure 13). Comments of the type illustrated are then be further aggregated by question, including interview from each of the case study sites. The final product from the interviews is an overall written summary of the most significant patterns of the all of the interviews as well as detailed question-by-question revisions and suggestions.

Example of Questions and Probes:

- 1) Original form of question:
During AY 10-11, how many undergraduate and graduate service-learning/community-based learning course sections were offered at your university?
- 2) Scripted Probes:
 - a) How did you arrive at the answer to the number of courses?
(To determine the overall cognitive strategy used.)
 - b) When did your university begin collecting this data?
(To test comprehension/interpretation of the question.)
 - c) Who collects or has previously collected this information and how often?
(To test recall of the relevant information.)
- 3) Possible Spontaneous Probes:
 - a) Since your office determines the number of offerings of service-learning courses, when and how do you determine which courses are indeed service learning?
 - b) How accurate do you think the data-collection method is considering XYZ?

Figure 12. Interview Question Example with Follow-Up Probes

Example of Questions and Probes:

Q.1. Original form of question: During AY 10-11, how many undergraduate and graduate service learning/community-based learning course sections were offered at your university?

A.1. We do not collect this information; but we used to. I would have to go through our list of courses in the course catalog and flag the courses and then count them. It would not be a perfect answer.

Q.2. Scripted Probe: How did you get the answer to the number of courses?

A.2. Our office [The Center of Civic Engagement and Learning] flagged courses that are service learning and reported these numbers to Learn and Serve and to the Provost.

Q.3. Spontaneous Probe: Why do you not collect this data now?

A.3. The office no longer gets learn and serve money and therefore do not track this anymore.

Q.4. Scripted Probe: When did your university begin collecting this data?

A.4. We started collecting when after we received the Learn and Serve funding.

Q.5. Scripted Probe: Who collects this information and how often?

A.5. Question previously answered.

Q.6. Spontaneous Probe: Do these courses still exist and is the program still in place?

A.6. Many of the courses still exist and some do not. They are offered intermittently and taught by all different faculty members. Our office [The Center of Civic Engagement and Learning] still provides the resources and training if professors are interested in it. We still keep training materials and syllabi online for reference.

If faculty want to incorporate service learning they can still: 1) meet with the office; borrow vans for trips, etc.; and someone from our office will come to the classroom and talk about opportunities.

Suggested Revision:

The interviewee suggested that the question itself did not need clarification. However, the question itself may be out of date due to the lack of funding of these initiatives. The interviewee did note that other universities might still keep these records; however their university no longer required this data collection.

Figure 13. Interview Question Example with Answers

4.4. **Analysis**

The multi-method study compiles data from multiple sources. The analysis is essentially an interpretation of the data garnered from secondary data, surveys and the literature and a series of interviews with university personnel (i.e. academic vice presidents, deans of colleges, chief business and financial officers, research staff, etc.). Table VI summarizes the types of primary and secondary data assembled for this dissertation, their respective research protocols, and the resultant data. The data collected and vast literature review of current university practices coupled with scholarly journals and books address the four major research questions. This section will review how each question answered through the analysis of data and literature.

TABLE VI. SUMMARY OF RESEARCH PROTOCOLS AND DATA

Method	Sample	UIC IRB #	Data Collected
Secondary Data Collection: National Data on Institutions of Higher Education in the United States	Included all 7,473 (2011) Institutions of Higher Education located in the U.S.	IRB Exemption #2012-0266	Database consisting of data from Integrated Postsecondary Education Data System (IPEDS), Carnegie Foundation & U.S. Census Bureau.
Survey 1: <i>Survey Data and Assessment Study of the Coalition of Urban Serving Universities (USU)</i>	A sample of 26 of the full membership of 39 USU members in 2009. The 67% response rate consisted of urban research universities located across the U.S.	IRB Exemption #2009-0347	Aggregate and descriptive data about engagement planning and resources; economic and community development; partnerships; outcomes; and impact.
Survey 2: <i>Survey Data and Assessment Study of the Coalition of Urban and Metropolitan Universities (CUMU)</i>	A sample of 40 of the full membership of 68 CUMU members in 2010. The 59% response rate consisted of urban and metropolitan universities in the U.S.	IRB Exemption #2010-0048	Aggregate and descriptive data about engagement planning and resources; economic and community development; partnerships; outcomes; and impact.
Case Study: Cleveland	Cleveland State U.: 10 Expert Interviewees Case Western Reserve U.: 10 Expert Interviewees	IRB Exemption #2012-0266	Data will be drawn from multiple sources: semi-structured interviews notes and transcripts, observations, field notes, & document review
Case Study: Atlanta	Georgia State U.: 10 Expert Interviewees Emory U.: 10 Expert Interviewees		
Case Study: Tacoma	U. of Washington Tacoma: 11 Expert Interviewees U. of Puget Sound: 9 Expert Interviewees		
Survey 3: <i>National Study of the Foundational Role of Universities as Anchor Institutions in Urban Development</i>	A panel of 13 USU members (public urban research universities) was selected to participate based on selection criterion, as described below.	IRB Exemption #2012-0857	Aggregate and descriptive data about engagement planning and resources; economic and community development; partnerships; outcomes; and impact.

4.4.1. **Quantitative Data Analysis**

The focus of the first portion of this research was on developing metrics that could account for the role of the university in its community, including institutional commitment to engagement, economic development, community development, research and knowledge production, and university-community partnerships. This included primary data collected from this survey was be complemented by secondary data collected from the Integrated Postsecondary Education Data System and other national sources. This data will aid in answering two of the research questions:

- Question 2. In practice, how are universities fulfilling their mission of engagement through planning, strategies and activities?
- Question 3. Assessment and data collection are key indicators of the institutionalization of a strategy; therefore, are there metrics that can confirm university-community engagement?

Secondary data, response rates to the survey, and responses to survey questions over the three iterations of survey data collection (IRB Exemptions #2009-0347, #2010-0048, and #2012-0857) were analyzed and compared to look for patterns. Survey nonresponse—when a sampled unit does not respond to the request to be surveyed or to a particular question (Dillman, et al., 2002)—revealed whether or not questions were appropriate amongst survey respondent institutions. Typically nonresponse occurred due to one of three reasons: the correct administrator did not receive the survey; the sample unit refused to participate or ignored the survey; or the sample unit was unable to answer the survey due to its length and breadth. In addition, the survey included probing questions at the end pertaining to the survey itself, in which the respondents could give

their feedback to the survey and the questions, including issues with specific questions in the survey.

The improvement of metrics that clarify “engagement” is critical to understanding how universities are institutionalizing their engagement missions and strategies.

Improving the validity and reliability of this survey questionnaire and others like it will increase the quality of the data and leads to better decision-making and policy formulation (Desimone & le Floch, 2004). Every question in this survey is a construction of a complex eliciting technique requiring the garnering of valid data. Problems may arise in such a complex survey that can have several consequences impacting validity: presumption of interpretability, perspective, and the pressure to respond which can lead to assumptions, misunderstandings, opinionated answers, lack of precision in answers, and limited perspective (Clark & Schober, 1992). Reducing the problem and increasing validity and reliability will permit researchers to distribute and collect data on a large-scale, allowing for collection of maximum amounts of data from a larger population leading to efficiency and generalizability (Ryan et al., 2012).

Thus, a longitudinal analysis of the data will reveal patterns and trends in nonresponse as well as begin to provide explanations, through follow-up questions, for why certain information cannot be collected. First, a longitudinal data report of aggregated data and response rates across the three iterations will examine overall trends of the survey over time. Comparative temporal data and frequencies will be analyzed in this section. Second, an analysis of the six universities that participated in all three surveys (See Table IV) will reveal trends and differences between survey responses from 2008 to 2013 for particular universities.

4.4.2. **Qualitative Data/Case Study Analysis**

Part 2 of this research focused on collecting rich qualitative data to illuminate types of engagement that occurs at universities, while also examining deeper issues related to strategic alignment and mission fulfillment. Using the survey questionnaire developed in Part 1 as an organizing framework, these in-depth case studies delved into the university-community engagement at six very different universities. The analysis of the data from the multiple case studies will involve an iterative process, interpretive content analysis that proceeds from more general to more specific observations (Creswell, 2005). The analysis is a fusion of qualitative and quantitative data that elaborates on “pattern analysis” (Fielding, 2008). This involves the iterative process of looking for patterns in data by importing quantitative data as a means to sort the qualitative data. Individual in-depth case studies and extensive on-going literature review will help determine whether or not the survey was robust. The expert interviewees across these campuses (See Table VII.) will aid in identifying any potential gaps in measuring engagement and enlighten issues that universities may have with assessment of their community partnerships.

TABLE VII. PROFILE OF INTERVIEWEES

Office/Department	Cleveland		Atlanta		Tacoma	
	CSU	Case	GSU	Emory	UWT	UPS
Central Administration/ University Budget	0	0	1	0	1	0
Engagement/ Outreach/ Community Partnerships	1	3	1	3	1	2
External Relations/ Government Affairs	0	1	0	0	2	1
Research Services/ Technology Transfer	2	0	2	0	1	0
Facilities Management/ Campus Planning	0	1	0	0	0	0
Institutional Research/ Information Systems	0	1	2	2	1	0
Academic Affairs/ Service-Learning	1	0	2	2	0	1
Student Services/ Volunteer Services	2	1	2	2	2	2
Other Research Institutes & Centers	3	2	1	1	2	2
Campus Safety & Security	1	1	0	0	1	1
Total # Interviews	10	10	10	10	11	9

4.4.3. **Triangulation of Data**

The third portion of this research involves synthesizing the quantitative and qualitative data on university-community engagement at urban universities across the United States. This final analysis will uncover recurring themes, patterns, and categories amongst the various data sources. Each survey and case study was analyzed in terms of structure and agency that exists around “engagement.” Thus, triangulation of the data representing variables of structure and agency will mitigate construct validity problems

(Yin, 2003) and lead to a better understanding of how “engagement” is materialized and measured at urban universities. This analysis will assist in answering the fourth and final research question:

Question 4. To what extent are engagement strategies truly embedded and institutionally aligned at urban universities? Are there best practices or categories to describe engagement at universities?

V. SURVEY RESEARCH: HONING IN ON METRICS

In recent years, as a stipulation for funding, federal and private funders have begun demanding that projects, programs, and initiatives be measured and assessed utilizing concrete data (Lubienski et al., 2014). Data collection and assessment efforts help measure institutional effectiveness—the extent to which an institution achieves its mission and goals. Assessment efforts measuring institutional effectiveness run analogous to reporting functions and data collection efforts. Thus, the identification of metrics and collection of data regarding *all* institutional missions and goals is necessary for institutional accountability and assessment. Enhanced data collection at universities not only satisfies external constituencies, it aids in the improvement of internal organizational planning, policies, and management (Colyvas, 2012). Information and data analysis facilitates and advances the university’s mission by providing evidence that improves decision-making, identifies trends, determines areas that need improvement, and predicts likely outcomes. Data driven decision-making benefits an institution’s long-term planning as well as its day-to-day routine decision-making.

As previously noted, “universities are good at tracking their teaching, scholarship, and research; however they are still in the process of determining how to best measure and assess their roles as urban or regional anchor institutions engaged with communities (Friedman et al., 2013b, p. 13).” This chapter attempts to answer the question: how can universities assess their university-community partnerships, in terms of inputs, outputs, outcomes, and impact? It begins by surveying research that has attempted to uncover metrics for gauging university-community partnerships. The last section of the chapter examines four major issues that impede the data collection process followed by an

analysis of the survey's relevance as a measurement tool for university-community engagement.

5.1 **Survey Background**

In the summer of 2008, a group of university administrators and scholars representing universities from the Coalition of Urban Serving Universities (USU), participated in a project with the *Strengthening Communities Strand* determined to find a limited but powerful set of key metrics that would provide a more comprehensive picture of the role of public urban research universities in their communities. This group of individuals hoped that creating and collecting such metrics about the USU membership would improve the public policy discussion about the benefits that urban serving universities produce in their communities. Indicative of their dedication to creating such metrics, this group, led by Wim Weiwei, President of Portland State University and Luis Proenza, President of The University of Akron, formed a “metrics working group” and pulled together funding to support the collection of such data. The working group along with a research team from the University of Illinois at Chicago, including myself, embarked on determining the types of metrics that would eventually be collected from the USU membership.

According to the working group, the purpose of this research (Menendez & Perry, 2011) was to gather information that is not generally collected and shared amongst colleges and universities in order:

1. To assess the practices of universities in light of their mission to stand as engaged, place-based institutions in their respective communities.

2. To help make the case to policymakers that the programs and initiatives that metropolitan institutions of higher education engage in warrant ongoing or new public funding.
3. To strengthen the mission and identity of the individual institutions collecting the data.

In the summer of 2009, the in-depth survey was finalized (see a version of the survey in Appendix A) and administered to all USU members to understand and measure the university's role in a four specific areas including: 1) institutional structures, practices, and engagement of leadership, faculty, and students; 2) partnerships to improve urban communities (on a range of issues); 3) economic development, research, and technology transfer activities; and 4) physical/neighborhood development (Perry & Menendez, 2010). While recognizing that the survey is primarily intended for the institutions and the membership organizations, the metrics also took into consideration the needs and interests of policymakers. Thus, the survey was broad and covered many aspects of university-community engagement efforts.

This survey, as noted in Chapter 4, was also administered to another membership organizations, CUMU in 2010, and again to a small representative group of USUs in 2013 (refer to Table IV). The purpose of this survey was to go beyond existing efforts, particularly the federal Integrated Postsecondary Education Data Systems (IPEDS) and the Carnegie Classification for Community Engagement, to capture important elements of the role of today's university in its urban and metropolitan area. To date, the survey has been administered, collected and analyzed a total of three times (In 2009, 2010, and 2013). This research was possible because these membership organizations and

participating institutions remained devoted to this work in the face of challenging data collection issues, and because they believed that a limited set of basic university performance metrics collected over time will yield far better data to inform public policy than what currently exists.

The three iterations of the survey yielded hundreds of pages of quantitative and qualitative data, which were reported in full data reports, using both narrative and aggregated data to report all of the findings (Menendez & Perry, 2009; Menendez & Perry, 2010; Friedman et al., 2013a). Due to the breadth of the survey and length of the responses, survey data reports and a white paper were produced to disperse comprehensive results and report the findings. These reports included only a portion of the total survey output, but highlighted the most concrete evidence of the anchoring roles of participating universities. Information reported consisted of analysis of secondary data, aggregated survey data, examples and case studies as well as a discussion of the survey process and recommendations for future research (Perry & Menendez, 2009; Perry & Menendez, 2010; Friedman et al., 2013b).

This survey research was the first of its kind insomuch as survey data regarding university-community partnerships could be aggregated and analyzed about a subset of universities. For example, one question from the survey asked whether or not the responding institutions are involved in community development partnerships that include university-assisted community P-16 initiatives. This one question yields response rates from each iteration of the survey, a percentage of participation in this specific kind of partnership(s), and the total amount of funds directed toward these projects. Table XIII reports the results from all three surveys for these particular questions.

TABLE VIII. EXAMPLE OF REPORTED RESULTS AND RESPONSE RATES FROM ONE QUESTION (EDUCATION RELATED UNIVERSITY-COMMUNITY PARTNERSHIPS) IN THE SURVEY RESEARCH

University Participated in Community Development Partnerships that Include University-Assisted Community P-16 Initiatives			
	USU Survey, 2008-09	CUMU Survey, 2010	USU Survey, 2012-13
Response Rate of Number of Total Participants Answering Question: (<i>n/N</i>), %	(24/26) 92%	(40/40) 100%	(12/13) 92%
Number and Percent of Respondents Who Participate in Partnership(s) Related to P-16 Initiatives that Answered Question: (<i>n/N</i>), %	(20/24) 83%	(34/40) 85%	(12/12) 100%
Response Rate of Participants with Partnerships Able to Report the Total Funds Directed Towards Partnership(s): (<i>n/N</i>), %	(14/20) 70%	(25/34) 74%	(9/12) 75%
Total Average Amount of Funds Directed Towards Partnership(s) per Respondent in Corresponding Academic Year	\$1,406,724	\$1,633,091	\$2,622,651

This survey is a way not only to share data, but also to learn more about the process of collecting such data and retaining better records in the future (Friedman et. al, 2013b). Although the intention of this survey was to benefit the participating universities, provide data to the membership organizations, and advance a policy agenda; the survey will be used in this study as a baseline for understanding whether or not metrics exist or can exist that can aid in assessing the university-community engagement mission and strategic intent of universities. In spite of the tremendous level of data

reporting that took place in each of these studies, the most unsatisfactory conclusion is that data were not readily available in all content areas surveyed. As seen in Table IX, response rates to some questions were lower than others. Low response rates or non-response occurs for a multitude of reasons (discussed later in this chapter). From the survey results, three different categories of responses can be assumed:

1. Some of the data were available or were adjusted by the respondent to fit the survey template and timelines.
2. Data were collected but did not fit into the survey template, thus were reported incompletely or would need to be input-adjusted or refined.
3. Limited or no data were collected and reported by the respondent institution (either because of lack of data or lack of time/resources invested to answer the question.)

In the first category of survey responses, data was available and the responding institution simply needed to work with multiple offices across the university to obtain the data. For example, universities typically have an office of facilities management that could provide data on land development projects and mixed-use development that occur in partnership with community stakeholders. In the second case, data was partially collected or not reported because the university could not access the data or did not collect data in the format in which it was asked for. For example, as seen in Table IX only around 70 percent of respondents who did participants in PK-16 education partnerships were able to report the total amount of fund that they directed towards these partnerships. This data probably exists in some format at the institution; nevertheless, because these data must be pulled from a variety of locations and sources, the burden to

collect this information varied among the participating institutions. Due to the lack of time, resources, or university-wide databases the responses were many times incomplete or partial. In the final case, the institution simply did not respond to the question. Therefore, in the final iteration of the survey, follow-up questions were added to the previous surveys soliciting information on how universities collect this data, why they could not collect the data, and/or how it is collected differently in different institutions (Friedman et. al, 2013b). This addition to the survey has provided useful information for examining what metrics do exist, should exist, and cannot be collected by respondent universities.

5.2. **Metrics for Measuring Engagement**

After analyzing 79 survey responses, completing a longitudinal comparative study of survey response rates, and evaluating the minor variations in survey formats from 2009, 2010, and 2013, patterns began to emerge. Most notably, the survey data and results are hindered by low response rates and non-response to particular questions. In this section, I outline the four most pressing issues and problems associated with the low response rates and inability of respondents to complete the questionnaire. After outlining each issue, I provide lessons learned from this research and suggestion on how to move forward. The main issues regarding the collection of university-community engagement data via survey research are:

1. The lack of existing metrics and data pertaining to university-community engagement is a detriment to the current collection of such data.

2. Universities have not developed, or are in the beginning phases of developing, data collection processes and repositories/databases regarding engagement.
3. Universities do not have the resources/or will not invest the resources needed to collect this type of data.
4. University-community engagement is complex—often too complex to measure.

5.2.1. **Lack of Existing Metrics**

Regardless of the excessive level of data reporting taking place to respond to this survey, many of the data were not readily available for some metrics. As one respondent to the 2010 Survey noted, “The survey is very detailed. While describing the initiatives in narrative form is relatively straightforward, defining them in terms of accessible data is not as easy. The data requested often has not been collected (if it has been collected at all) in a form that corresponds readily to your data needs. This survey was a challenge yet we learned a lot about our own institution by attempting to complete it,” (Perry & Menendez, 2010, p. 18). Many times, the data could simply not be collected because it was not collected in the same form or in any format by the responding institution. Therefore, the response rates greatly affect any analysis or conclusions that could be drawn from this data³⁰.

The lack of standardized instruments to measure engagement is well known (Rowe & Frewer, 2000; Granner & Sharpe, 2004). Measuring engagement is complicated due to the fact that engagement planning, and practices are not all observable, tangible, or quantifiable (Perry & Menendez, 2010). “Engagement” is not recorded in pre-existing

³⁰ Non-response to any of the data points skews both the sum and the mean of the participants. Furthermore, the variety of institution size in our sample also affects comparison amongst institutions.

university databases nor does the U.S. Department of Education require institutions of higher education to report engagement practices as they do with other institutional data. For example, institutions of higher education can measure teaching through the number of courses an instructor carries and the total student credit hours. Teaching can also be measured through course evaluations monitoring teaching quality required by accreditation bodies. Research expertise and productivity are understood in terms of external dollars obtained, and the type and number of scholarly publications generated. As Frank notes, “Public service contributions are among those intangible values that most assessment regimes may miss. While assessment regimes focus on graduation rates, publication rates, and external funding levels, they are unlikely to give “credit” to institutions and programs for contributions to their communities and beyond, (Frank, 2008, p. 499)”.

Recognition of engagement by national organizations and accreditation bodies has proven difficult due to the fact that universities are not required to collect data pertaining to engagement. In the United States, a centralized accreditation body regulating the higher education system does not exist. The responsibility of accreditation falls to regional accrediting bodies³¹. These six accrediting bodies evaluate its institutional members in three critical areas: assessment of student learning outcomes, assessment of overall institutional effectiveness, and ongoing strategic planning activity that is informed by those assessments (Middaugh, 2009). And although each of the six regional

³¹ According to Middaugh, “these are membership organizations comprising colleges and universities within a given geographic region who voluntarily engage in a process of peer review, wherein evaluation teams of experts from institutions in the region regularly evaluate other member institutions, determining the extent to which they are in compliance with accreditation standards articulated by each of the regional accrediting bodies to ensure academic quality within those member institutions (2009, p. 10)”.

accrediting agencies requires that member institutions have a written mission statement—crafted statements about what an institution aspires to be, the values that it embraces, and its relationship with those outside of the institution—many institutions still lack the tools to collect data regarding all portions of the mission statements.

Before the turn of the twentieth century, when engagement rhetoric crept its way into university mission statements, even the prestigious Carnegie classification system could not determine a university's level engagement from existing data. Thus, the Carnegie Foundation created an elective classification for engagement, which institutions would have to apply for due to its lengthy data collection process. The Carnegie Classification for Engagement is based on a long list of open-ended questions, containing very little quantitative data, unlike most prestigious accolades, which have clear metrics or indicators of membership or award. For example, membership assessment to become a member of the National Academies are judged based upon two phases of indicators, including: funding of federal research; membership in the National Academies (NAS, NAE, and IOM); faculty awards, fellowships, and memberships; number of citations as located in the Thomson Reuters InCitesTM; USDA, state, and industrial research funding; doctoral education; number of postdoctoral appointees; and undergraduate education. These type of clear-cut metrics do not currently exist for university-community engagement; thus, making the Carnegie's classification for engagement different from their other rankings.

5.2.1.1. **Improving Metrics**

In general, this survey research demonstrated that collection of data on a limited number of key metrics across a variety of institution types is feasible, albeit difficult.

Survey response rates suggest that much of the data currently exists at some universities—signifying potential to develop metrics that can more accurately describe engagement efforts. Over the three iterations of the survey, adjustments were made to the instrument that yielded higher response rates to questions. Not all adjustments and improvements made to the survey instrument proved successful, yet room for improvement does exist. While changing metrics may not improve every variable, applying adjustments and working with university administrators and staff to finesse some metrics may eventually prove successful.

The drive for better data collection in higher education has escalated in recent years with accreditations, awards, honors, memberships, and funding sources all requiring better record keeping. Thus, adding engagement metrics to already existing funded sources, surveys, and questionnaires is one way to garner better data in the future. For example, engagement is infiltrating multiple functions of the research university, including technology transfer. The data collection in disciplines intricately intertwined with technology transfer and patenting—engineering and health sciences—are beginning to see the need to integrate their knowledge production within the broader community. For example, The Association for University Technology Managers (AUTM), a not-for-profit corporation comprised of academic technology transfer professionals, surveys North American universities, hospitals and research institutions each year on technology transfer metrics. AUTM has collected 20 years of statistical academic licensing data from participating academic institutions³². AUTM recognizes the need to keep current

³² The results of *AUTM U.S. Licensing Activity Surveys* are found in their web-based research tool, Statistics Analysis for Technology Transfer (STATT). Examples of the type of information gathered include the number of patents, the number of invention disclosures, the number of startups created and the

with the needs of their members and outside stakeholders and thus their role is not only to measure pre-existing key technology transfer indicators and activities, but also to create new metrics when warranted. Accordingly, AUTM has produced a draft proposal for an Institutional Economic Engagement Index to describe and assess the economic and community impact of research institutions, which they refer to as community – institution engagement³³ (Association for University Technology Managers, 2012). Metrics, created in specific fields by national organizations that assess engagement, will lead to a rise in the body of data collected around engagement.

5.2.2. **Underdeveloped Data Collection Methods**

Most universities are not collecting data specifically regarding their “engagement” efforts. Developing methods to effectively document and disseminate engagement work presents an ongoing challenge for many universities. The activities associated with engagement, and the various results or products generated, rarely fit comfortably within existing organizational structures and data-reporting mechanisms. As the Council of Independent Colleges reports, “[this] conceptualization of engagement does not easily translate into clear objectives relative to faculty roles and responsibilities, student learning environments, or institutional benchmarks and outcome measures,” (2005, p.3). Consequently, ‘many university administrators are not aware of the breadth of community engagement that occurs within their own institutions’ (Goedegebuure &

amount of licensing income received. In FY2011, there were 186 participants in the *Licensing Activity Survey*.

³³ AUTM defines *community – institution engagement* as the, “mechanisms institutions use to interact with their communities, both formally and informally. Examples are student hiring and internships; company use of institution intellectual property; company use of institution faculty as consultants,” (Association for University Technology Managers, 2012).

Lee, 2006, p.8) and thus, cannot accurately report their engagement work to external constituents. Due to the fact that each university is involved in various “engagement” practices, it is difficult to create data collection instruments that are both specific and detailed as well as comprehensive.

Many universities have developed data collection mechanisms to record their engagement endeavors; however, many universities face common problems with the tracking mechanisms and databases that have been developed. First and foremost, most data collection tools are decentralized (at the level of individual colleges, offices, or centers), and not adopted institution-wide. While, decentralized systems may allow for data collection that is customized to specific kinds of initiatives or partnerships, they do not allow for the reporting of aggregate data related to the entire university. The survey responses from the 2013 USU survey illustrate a lack of centralized systems for data collection around engagement and partnerships, with only half of the surveyed USUs claiming to have campus-wide internal databases or documentation systems for recording and tracking its community partnerships and engagement practices. Most universities cited having multiple databases that are not compressive or compatible. For example, The University of Memphis utilizes multiple internal systems to document community partnerships and engagement practices—research partnerships are in a database maintained by the Office of Research Support Services; faculty engagement is documented in an online vitae database; and courses with community engagement requirements are documented in the institutional student information system (Friedman et. al, 2013b). Likewise, Portland State University is in the midst of consolidating several

databases that track this information to create a "partnership portal" that would be a one-stop shop for community partner/partnership activity.

Second, engagement tracking mechanisms utilized by universities typically focus on one aspect of engagement—whether it be outreach and service, engaged scholarship, or recording partnerships with outside entities. For example, the most highly recognized university-reporting system, the Outreach & Engagement Measurement Instrument at Michigan State, tracks engagement through faculty input into a university-wide database. This system tracks multiple numerical and descriptive variables such as time faculty spends on community engagement activities, external funding, types of projects and partnerships, location of engagement work, external funding, and non-university participants. This provides the institution persuasive stories, aggregated numbers and statistics regarding this work, and information on investment in this work. The problem is that this system tracks only the “scholarship of engagement” of faculty members and excludes aspects of university engagement, such as student engagement.

Third, most engagement metrics are reliant on self-reporting—meaning that data reporting is not required and is collected and aggregated from only those university participants who decide to report this work. Other times, these systems are warehoused in one college, department, or office and information is entered into the system by a group of staff and work-study students searching across the university for data to input without knowing whether the database is comprehensive.

Validity of survey data also becomes an issue because data collection about engagement practices, partnerships, and service is seldom precise. When universities report data to outside entities (accreditation bodies, funders, etc.), they often scramble to

estimate data and figures as well as find narratives and examples to correspond to probing questions. The survey, through probing questions, revealed that respondents had a difficult time quantifying their engagement practices—whether it be recording university investment in a certain type of program or counting the number of service-learning courses offered at the university. In the 2013 USU study, eight USU panel members reported that students at their institutions completed an average of over 600,000 volunteer community service hours per institution in the 2010-11 Academic Year (Friedman et. al, 2013b). Respondents were less likely to be able to report the number of community service hours of their faculty and staff. When asked about the number of service hours completed by faculty, staff, and students at the university, respondents reported that they calculated these numbers through various methods—internal self-reporting databases, the summation of department chair estimates, estimates calculated by Offices of Community Engagement, as well as calculations adjusting former estimates from 2007-08 for inflation and student body increase (Friedman et al., 2013a).

5.2.2.1. **Refining Internal Data Collection**

The intention of this survey research, in part, was meant to share and distribute “best practices” in internal data collection amongst universities. All of the respondents to the survey have invested time and resources in answering the in-depth survey, and thus wanted to gain knowledge about data collection and make better decisions based on data. Analysis of survey data reveals that most survey participants are in the process of developing systems. The implementation of university-wide data collection requires dedicated leadership, resources, and time invested to establish an effective engagement tracking system. Data collection is integrated at universities in many ways—through

annual faculty reports, faculty reviews for promotion and tenure, adding variables for collection in existing university databases, and through a whole host of innovative software being adopted across the United States.

Approximately half (6/13) of the 2013 USU panel study's respondents have review, promotion and tenure guidelines that include the scholarship of community engagement—although respondents described a varied reward process where the inclusion of community engagement in promotion and tenure guidelines differed with their academic units. Respondents also reported that they have started to integrate engagement components into their university-wide software and databases. For example, the University of Minnesota, through the work of the University's Public Engagement Council, has decided to incorporate a checkbox in proposal-routing forms for sponsored research projects that investigators check if their proposed research projects include a community-engaged component. This new checkbox identifies extramurally funded community-engaged research projects and allows the university to aggregate the data on faculty participation, types and locations of such projects, and funding garnered and allocated to community-engaged research (Friedman et. al, 2013b).

5.2.3. Resources Drive Data Collection

Resources drive data collection. Thus, if resources are not connected to university-community engagement practices and programs, then data is typically not collected. The survey data revealed that data collection appears to be enhanced in areas that currently receive ample funding for data collection and assessment and less robust in unsubsidized areas (Friedman et al., 2013b). For example, data collection around service-learning courses has weakened in recent years. In the previous survey (2009) the

response rates for the group of questions about service-learning courses ranged from 80-90% (Perry & Menendez, 2010). In the most recent survey (2013), the response rates declined to around 40% for the same questions (Friedman et. al, 2013b). This is most likely due to the impact of declining national funding of Learn and Serve America and recognition of a simultaneous weakening of the importance of service-learning courses at USU institutions.

Universities also tend to measure what they are required to measure. The survey research shows that response rates to certain questions were improved due to cross-pollination of metrics utilized by various external funding sources, accreditation bodies, or other membership organizations. For example, universities have produced better data on research and technology transfer than in other areas. Although, on average, the number of inventions and patents submitted and issued have declined the response rates to the questions about these practices have increased. This increase in response rate is most likely due to: required data reporting to the federal government and its grant-awarding agencies as well as to nation-wide data collection efforts by such groups as AUTM, the Association of University Technology Managers (Friedman et. al, 2013b). Other metrics can be improved by scouring other applications and other resources at universities. For example, when asked how data was collected about community service hours, respondents noted that they looked to previous applications and questionnaires they had completed, such as The President's Higher Education Community Service Honor Roll or the Campus Compact Annual Membership Survey (Friedman et. al, 2013b). Respondents also noted that they had to estimate their responses for these other applications, thus the metrics may be imperfect across the board.

5.2.3.1. **Investment in Data Collection**

Universities are overwhelmed with requirements to assess and advance the multiple programs and components of their missions when many of these institutions lack the funding and capacity to fully commit to data collection and analysis (Danek & Borrayo, 2013). The response rates garnered in these surveys illustrated that even the most engaged universities struggle to collect such a broad scope of information pertaining to the roles of their own universities in community. Resources could be maximized if the multiple external accreditation bodies, funders, and membership organization work together to create metrics in tandem to reduce replication. This would permit universities to spend less time and resources gathering multiple sets of data based on the similar variables.

If universities are serious about their engagement missions, they will need to invest their own funds to benchmark engagement practices and programs in order to effectively evaluate and improve. A constant commitment to continuously keep track of progress, rather than intermittently gathering varying groups of data for accreditations and awards, would prove much more valuable to universities. Constant tracking would show change and perhaps progress over time as well as long-term outcomes and impact. Universities applying for the Carnegie Classification, the Presidential Honor Roll, etc. could build upon the invested time and resources used in these discontinuous applications and continue to collect similar data collection annually that builds off of a selection of metrics pertinent to their institution.

5.2.4. **University-Community Engagement is Complex**

The complexity of each unique university and their external environment compounded by the inability to measure social things makes it difficult to analyze university-community engagement in a universal way (Perry & Menendez, 2010). The development of such metrics is also hindered by the various ways universities define what engagement is and the range of programs, activities, and partnerships that are included in their definition. To create a set of metrics that could be applied to each and every urban university would be very difficult. The data requested about engagement would have to be both robust enough and yet not too detailed for each of the respondents (Friedman et al., 2013b). At the same time, universities would have to create new mechanisms for collecting, analyzing, and reporting data (e.g. having centralized units report or aggregating individual faculty/staff/student reports).

The data collected from this survey is not “perfect” (Friedman et al., 2013b). Many factors may affect the quality and type of information collected by survey research—such as who or which administrative office(s) at each of the institutions responds to the survey questions and how each institution defines and quantifies the variables. As noted in survey follow-up questions, some institutions may calculate university investment in specific programs or projects with the inclusion of intangibles such as the estimated cost of ‘value in kind’ contributions (providing facilities or personnel without charge) and other institutions may not. Furthermore, a number of intervening and latent variables can skew the results of any statistical analysis of university-community engagement. For example, the survey data may not be comparable or aggregated without controlling for numerous variables, such as university enrollment,

size of university landholdings, and university endowment. A larger university, holding more land with a larger urban footprint may have higher revenues and expenditures and this may produce higher scores in the calculated activity levels, which can in turn generate a different outcome. Due to the complexity of each case and the inability for regression models to take into account all of the possible control, antecedent, intervening, and independent variables, further investigation into comparisons and correlations would need to occur through other, more in-depth, qualitative analysis.

5.2.4.1. **Unraveling the Complexity: Long-Term Solutions**

University-community engagement metrics will never be perfect—a balance must be struck between the collection of exhaustive, comprehensive data and the capacity for all institutions to collect the data with ease. Data must be simplified to collect, organize, summarize, and report nationwide trends in engagement. Universities are required to collect and report a variety of basic statistics regarding their enrollment, budgets, research, teaching, and learning. Universities collect and store this data electronically using various methods, programs, and software. To monitor and evaluate engagement work, universities could adopt similar systems that would simplify the task of data collection and retrieval. A university-wide data system and data warehouse would allow universities to integrate data from across the university's various schools, colleges, centers, and offices and allow for critical data analysis of the university's mission and strategies (these are discussed in Chapter 7).

Considering the challenges and complexity of measuring institution-wide community engagement using tangible quantitative data, this survey research also requested qualitative data, via open-ended questions, that allowed respondents to report

and describe several exemplary programs, projects, and/or partnerships. This survey intends to measure inputs, quantitatively; outputs and outcomes, qualitatively; however rarely garners examples of impact³⁴. This type of information is useful for universities to tell their stories and begin to create a culture that invites interest in engagement. As engagement becomes more widely accepted, the reporting and collection of this information will naturally become more widely accepted and new metrics may arise. But for now, much of the survey data collected is typically used for marketing, benchmarking and other applications that require mostly qualitative data.

This study reported an abundance of aggregate and descriptive data; nonetheless, the survey results show merely a snapshot of the types of data that can be collected to describe their anchoring roles in cities. A longitudinal look at the response rates of all three surveys³⁵ can reveal more information about the collection of this type of data over time. Analysis of all three survey iterations shows that the respondents who had previously participated in this survey were more likely to assign a monetary value to various types of partnerships, community development practices, and engagement efforts than they were in the past (Friedman et. al, 2013b). This may be due to the fact that they began collecting this information after they participated in the survey or they have become involved in other national and international studies, associations, or accreditation bodies that require the collection of this data. It is beneficial to proponents of university-

³⁴ In the past, I have taken the survey data and analyzed it ranking each of the variables of strategy/input and number of partnerships, etc. /output. I applied a proportional odds model in order to examine the relationship between university engagement activity level and the independent variable, the university's level of internal commitment to engagement. This linear model (of course) showed a relationship, with 28% of the variance being shared between the internal commitment of the university and the external activities it participated in (p was .005). However, I did not feel as though this measurement was 'good' or precise.

³⁵ However, all three iterations of the survey utilized an altered "improved" version of the original survey. Over time the instrument was altered, with several survey questions subtracted and others added to fine-tune the metrics. Thus, not all data points can be compared from one survey to the next. Additionally, the sample of respondents was different in every study (refer to TABLE IV).

community engagement that data and metrics are being further defined by various evaluation requirements and new studies. Thus, this survey has had an effect of, increasing the fiscal precision with which certain key topical metrics are represented and could be even further advanced in the future (Friedman et. al, 2013b). One survey respondent noted that, “the survey has motivated us to gather additional information about our campus activities and for that we are thankful,” (Perry & Menendez, 2010, p. 18).

5.3. **Moving Forward: Drilling Down**

From this survey research and others (Menendez & Perry, 2010; Friedman et al., 2013b; Hart & Northmore, 2011), it is evident that there is no straightforward resolution to the development of metrics for measuring university community engagement. Collecting data about a university’s service and engagement endeavors is hard work and remains a challenge, even when institutional leadership support and resources are both provided. The work is particularly difficult when assessment strategies and tools must be designed from scratch and universities have not previously collected the data required to complete the task.

Working with two national organizations (The Coalition of Urban Serving Universities and the Coalition of Urban and Metropolitan Universities), revealed that even the “most engaged” universities are only at the beginning stages of setting up mechanisms to track their work in their communities. Further research is needed to “drill down” into the metrics—examining their legitimacy and effectiveness. Assessing the extent to which engagement is institutionalized at universities will require more than a

single 'snapshot' survey. Thus, after attempting to measure engagement, via survey questionnaire; it became apparent that in-depth field research could help improve the survey through interviews with those experts at universities who are or would be charged with this type of data collection.

CHAPTER 6. CASE STUDIES AND FINDINGS

Every university has a narrative—including its, past, its current status, and its vision for the future. This chapter intends to tell six very different stories about universities located in three American cities—Atlanta, Cleveland, and Tacoma—examining how and to what extent these institutions are committed to community engagement. The stories are told through the voices of key personnel who are ‘experts’ in their university’s interaction with community and focus on each university’s community engagement agenda. Their narratives are supplemented with secondary data, literature, university documents and brochures, as well as content from university websites. The stories hone in on the university’s use of the rhetoric of engagement, strategic planning and intent, activities, programs, and practices related to engagement.

In each of the following cases, the institutions have shifted towards adopting a rhetoric of engagement; however each university varies in its adaptation of the rhetoric, its strategic choices, and its implementation of programs and activities. In this chapter, multiple data sources are analyzed thematically to describe four content areas about each of the six case studies pertaining to university-community engagement. First, a general overview of the university and its history prefaces the discussion of each university’s relationship to its community. Second, each university’s institutional commitment to engagement is discussed, including the planning processes and strategic intent. This portion specifically describes the university-community engagement rhetoric included in mission statements and planning documents. Third, this chapter will explain how the university mission and strategic documents at each institution come to fruition through

programs and activities—namely the engagement variables described in Chapter 3: economic development, community development, knowledge production and research, and university-community partnerships. This content area will also include a description of the types of data and information each university collects about these practices and programs for benchmarking, assessment, and evaluative purposes. Lastly, each case study concludes with an overall discussion of the development of structure and agency at each university and to what extent this has led to the institutionalization of their engagement mission.

Prior to the discussion of each individual case study, a brief comparative overview of the case study is outlined. The case study sample, as described in Chapter Four, consists of three public universities and three private not-for-profit universities in order to fully examine various engagement practices, programs, and assessment tools utilized at urban universities. This sampling strategy involved selecting a public and a private not-for-profit institution in each city with similar enrollment sizes and their proximity in each city (See Table IX). This type of purposive sampling allows for a comparative analysis of the different interactions and partnerships that each university has built with its respective community. Thus, a brief localized history of each city precedes the university case studies as a basis for understanding past and present planning and development of that university in its city.

TABLE IX. GENERAL CHARACTERISTICS OF CASE-STUDY SITES

Characteristics	Cleveland State U.	Case Western	Georgia State U.	Emory U.	U. of W Tacoma	U. of Puget Sound
City	Cleveland		Atlanta		Tacoma	
City Population 2012	396,815		420,003		198,397	
Core Based Statistical Area Population 2010	2,077,240		5,268,860		3,439,809	
Total Number of Institutions of Higher Education in City Limits	16		39		9	
Financial (FY 11)						
Total Core Revenues	\$290,538,463	\$1,043,984,253	\$552,846,351	\$1,941,815,000	\$62,843,229	\$116,578,000
Total Core Expenses	\$263,341,554	\$790,997,654	\$516,097,593	\$1,333,398,000	\$52,537,569	\$84,441,000
Research Revenues	\$15,118,930	\$394,955,677	\$97,452,722	\$413,831,000	N/A	\$776,000
Tuition & Fees	\$9,002	\$39,120	\$9,410	\$41,164	\$10,343	\$38,720
Campus						
Size (Acres)	85	155 (+389 farm)	48	600	46	97
Location	Downtown Cleveland	University Circle (5 mi. E of downtown Cleveland)	Downtown Atlanta	Druid Hills (Atlanta suburb, 6 mi. NE of downtown Atlanta)	Downtown Tacoma (Warehouse District on southern edge of downtown)	North End Neighborhood (Residential area 3 mi. NW of downtown Tacoma)
University Founded	1964	1826	1913	1836	1990	1888
Statistics						
Full-time Enrollment 2011	10,277	8,404	22,768	12,773	2,758	2,819
Part-time Enrollment 2011	6,952	1,232	9,254	1,120	899	99
Total Full-time Staff	1,761	4,558	3,743	9,933	353	660

^aSources: IPEDS and University Websites

^bEmory, as a University that also owns and operates hospitals, has more FTE staff reported in this table; yet the core revenues and core expenses reported here do not include hospital revenues. Core revenues and expenses consist of only the essential education activities of the institution.

6.1. **Atlanta, Georgia**

Atlanta, Georgia is considered the cultural and economic hub of the South—ranking as the 10th largest metropolitan economy in the US by gross domestic product as well as the fifteenth highest grossing city in the world (Metro Atlanta Chamber, 2013). Boasting the world’s busiest airport, since 1998, Atlanta remains the transportation hub of the Southeastern US, helping to establish the city as a regional center of commerce and finance, encompassing some of the world’s most well-known companies, such as Coca-Cola, Cable News Network (CNN), and United Parcel Service (UPS). Atlanta has seen a reinvigoration of metropolitan population growth since the mid-1990s due, in part, to the 1996 Centennial Olympic Games—growing from just over 2 million in 1980 to 3.5 million at the time of the Olympics in 1996 to 5.3 million in 2010 (Ambrose, 2014). The Games had a large economic impact on the city, including the revitalization of the twenty-one-acre Centennial Olympic Park and the Olympic Stadium (now Turner Field). Nonetheless, the City of Atlanta is relatively small, covering just over 131 square miles, housing 420,003 people in 2010—making Atlanta the fortieth largest central city in the United States. However, most of the recent growth in the Atlanta metropolitan area has occurred in the suburbs and regions surrounding the city, not in the city proper (New Georgia Encyclopedia, 2014).

Atlanta’s sprawling metropolitan area has spawned economic and racial disparity, with poverty centralized in the inner city and downtown area. This is highly evident, as the poverty rate for the City of Atlanta was 24.4 percent, while the poverty rate for the entire metropolitan area was 9.4 percent, (U.S. Census, 2010). The twenty-first century has also seen Atlanta’s resident population become more ethically and culturally diverse,

as residents continue to move to Atlanta from Central and South America, Asia, Africa, and the Caribbean. Nonetheless, the demographic makeup of Atlanta is still dominated by two races: African Americans and Whites, with African Americans constituting a majority presence within the city (54 percent of the city population in 2010, down from 61.4 percent in 2000). Thus, in 2010, Atlanta was the nation's 4th largest black-majority city and it embraced the second most minority businesses of any city in the country. Atlanta, many times labeled a “black mecca”, continues to be a center for black wealth, political and social power, historically black colleges and universities (HBCUs), and black culture including film, television and music (King, 2013).

Since the turn of the twentieth century, the city of Atlanta and its surrounding metropolitan area continues to grow as a vibrant, economically robust region. A budding innovation and high tech scene has ballooned in Atlanta in the previous decade, spawned in part from its many institutions of higher education, who filed more than 3,400 invention disclosures and received over 500 U.S. patents from 2007 to 2011 (Metro Atlanta Chamber, 2013). Atlanta’s economic innovation is enriched by strong partnerships working towards similar goals. Two organizations, in particular, have driven scientific research and education agendas that benefit with city and State of Georgia. First, the Georgia Research Alliance (GRA), an independent not-for-profit entity governed by leaders from industry and academia across Georgia, plays a clear role in Atlanta’s economic development. Through multiple programs, most notably the Georgia Research Alliance Eminent Scholars®, GRA has helped to launch more than 300 companies, created more than 6,000 highly skilled science and technology jobs in Georgia, and leveraged the State’s funding of this organization five-fold. Following the

success of the GRA model, in 2012 the Metro Atlanta Chamber created the Business Higher Education Council as part of its new five-year strategic plan in order to benefit the Atlanta region's economy by working to help commercialize research from local universities and colleges and support the Atlanta startup community that stems from institutions of higher education.

Atlanta boasts five research universities and the region ranks in the top 10 amongst US metropolitan areas for the number of students enrolled and degrees earned. Metro Atlanta has over 275,000 students enrolled at 66 institutions of higher education and is ranked fifth in the nation for its amount of university research and development expenditures (Metro Atlanta Chamber, 2013). The city of Atlanta, proper, has an active student population attending a range of 39 institutions of higher education—from historically Black colleges to technical colleges to schools of art to top research institutions. In the heart of downtown lies the Georgia State University campus with its buildings integrated into the bustling urban core. Scattered about downtown are smaller liberal arts colleges such as Oglethorpe University and Agnes Scott College, as well as Historically Black Colleges and Universities, including Morehouse and Spelman colleges. A near two miles north of the Georgia State University Campus in Midtown sits the research powerhouse Georgia Tech, while Emory University's sprawling green campus is 6 miles due northeast of downtown Atlanta in Decatur. As Atlanta continues to grow and prosper, so too do its institutions of higher education and the research generated by these institutions. The following two case studies presented show two universities that have grown and prospered along with Atlanta, albeit in two very distinct ways.

6.1.1. **Georgia State University**

Buildings scattered throughout downtown Atlanta embellished with GSU logos and banners form Georgia State University (GSU), invoking the sense that you have arrived at the emblematic embedded urban campus. Originally established in 1913 as the Georgia Institute of Technology's "Evening School of Commerce", GSU has had a long history of name, affiliation and location changes. The university, as it currently stands, was established in the 1960s intended to serve the citizens of Atlanta. Today, GSU enrolls approximately 32,000 undergraduate and graduate students in 250 degree programs with 100 fields of study at the bachelor's, master's, specialist and doctoral levels. Georgia State received its research university status in 1995 and is now recognized as the Southeast's leading public urban research institution.

Georgia State is experiencing rapid growth in terms of reputation, quality and size (Georgia State University, 2014a). Since its inception, Georgia State has mirrored the explosive growth of metropolitan Atlanta, which has experienced a tenfold population increase since the end of WWII (Crimmins, 2013). Once solely a commuter school, GSU now houses more than 4,000 students in its residential halls and has been integral in the economic development of downtown Atlanta through its campus expansion, public safety, and beautification efforts. Additionally, in 2010, GSU established a Division 1 football program, bringing a new stadium and liveliness to a once quiet part of the city. Constant construction is apparent on campus at Georgia State University as additional research buildings and centers, student housing, classrooms and teaching labs continue to be erected, guided by the 2012 Campus Master Plan. Senior Vice President for Finance and Administration, Jerry Rackliffe, contends that physical growth is essential at GSU as,

“research has grown 30 percent in three years and we’re getting to the point where we don’t have enough research labs,” and, “over the next decade we could grow as high as 40,000 students” (Georgia State University, 2014b).

Georgia State has strived to become a competitive research university in the hopes of attracting the best and brightest students, faculty, and staff. It calculates that it has an economic impact of more than \$1.5 billion annually (Georgia State University, 2014b). Georgia State’s prosperity can be attributed to strong leadership and attention to making decisions based on data and facts. Mark Becker, the current president of Georgia State appropriately states that, “We’re still providing relevant, practical education for students who are driven to succeed. The spirit of perseverance, pragmatism and independence that defined our founding continues to shape our future (Becker, 2013, p. 4)”.

6.1.1.1. **Engagement Planning and Strategies**

The mission statement of GSU is both direct and unique, emphasizing diversity, research, and its beneficial location in a “global city”. The mission statement reads,

“Georgia State University, an enterprising public research university in the heart of Atlanta, is a national leader in graduating students from diverse backgrounds. The university provides its world-class faculty and more than 32,000 students with unsurpassed connections to the opportunities available in one of the 21st century’s great global cities (Georgia State University, 2013a).”

Georgia State’s mission reflects the pride it takes in its racial diversity, which reflects the diverse population of the Atlanta region, specifically the central city. Georgia State prides itself on being a university for the people, emphasizing its commitment to minority populations. Accordingly, GSU graduated more African-American bachelor’s degree graduates than any non-historically black college in the country in 2011, through the

implementation of programs to support economically disadvantaged, first generation, and minority students (Burns, 2013).

Georgia State's mission is championed in Strategic Plans, that are developed every five years. Similarly, GSU creates an annual Action Plan, a derivative of the five-year Strategic Plan, which explains the specific strategies they will use to execute the five-year plan. The university's website clearly displays the strategies outlined in the annual Action Plan and it provides commentary on the advancement of these strategies annually (Georgia State University, 2013a). The 2011-2016 Strategic Plan's five major goals are:

(1) To become a national model for undergraduate education by demonstrating that students from all backgrounds can achieve academic and career success at high rates; (2) to significantly strengthen and grow the base of distinctive graduate programs that assure development of the next generation of researchers and societal leaders; (3) to become a leading public research university addressing the most challenging issues of the 21st century; (4) to be a leader in understanding and addressing the complex challenges of cities and developing effective solutions; and (5) to achieve distinction in globalizing the University. (Georgia State University, 2013a)

Georgia State's goal of promoting university-community engagement is one of the five strategic goals for the university. Specifically to, "be a leader in understanding the complex challenges of cities and developing effective solutions" (Georgia State University, 2013a). The focus on engagement is centered on the fact that GSU is located in a "Global City" with similar issues seen in like cities. The plan states that, "to accomplish this we will connect the talent and resources of the University with individuals and resources in public and private agencies, governments, and local community organizations. Additionally, as part of the University's engagement with

Atlanta, we will expand our contributions to the economic and cultural development of the city and of Georgia,” (Georgia State University, 2013a). This sentiment traces back to Georgia State’s first master plan, published in 1966. The forward to this report stressed the inherent public good that higher education provides for a community by stating that, “Indeed, the great universal questions of our day, such as poverty, ignorance, unemployment and social unrest, can be best solved by putting the best education possible in the center of the largest population areas. Thus, great urban universities are mandatory,” (Georgia State University, 2013a). Thus, in the past two decades, various academic programs have been established that can educate the populace to deal with urban issues, including: the formation of the Andrew Young School of Policy Studies in 1996; the Byrdine Lewis School of Nursing in 2003; the Institute of Public Health in 2011; and the Honors College in 2011.

6.1.1.2. **Engagement Structure and Agency**

Georgia State has established itself as an ‘anchor institution’ vital to the success and rejuvenation of downtown Atlanta. The setting of the campus at the urban core gives GSU the unique capacity to, “deal with the issues of an urbanizing planet,” says current Georgia State president, Mark Becker (Burns, 2013, p. 34). He continues to explain that, “for Georgia State to become a major player in this area means taking advantage of breadth of strength of faculty and students. Not only finding solutions, but using Atlanta as a place — working with partners — to implement solutions (Burns, 2013, p. 34-35).” Georgia State engages with its local community and the global community in a number of ways. First, through its commitment of resources to support and staff in the Office of Community Engagement. Second, through educational programs, research, and applied

practicum programs in each of its colleges. Third, through its increasing research agenda and partnerships through its four established university-level centers and dozens of college-level centers and institutes. Together these centers and institutes secured gifts, contributions and grants from individuals, private organizations, and public agencies for sponsored research, development, or other programs by the university totaling over \$66 million in the 2012 fiscal year (Georgia State University, 2014b).

Internal budgetary allocations to support civic engagement through the Office of Civic Engagement and its full-time staff that are funded through student activity fees and the general operating budget (Lemons, Interview, 2012). All incoming freshmen work with the Office of Civic Engagement to complete their “Learning Communities” requirement, which consists of completing a 3-4 hour project in the community. Over 1,900 participate each year. The office also helps the students in the School of Policy Studies find locations to complete their 15-20 hours of community work and they do the same with the department of African American studies. The office also sets up the about 50 work-study students to complete about 20 hours a week. The Director of the Office of Civic Engagement at GSU noted that the current Office of Civic Engagement was formerly called the Office of Community Service and before that it was Community Service Learning (Lemons, Interview, 2012).

Across each of the colleges and many centers and institutes at GSU, engaged scholarship is practiced; however, only a few initiatives of the many are discussed here. For example, across GSU there is the Cities Initiative—an interdisciplinary effort to expand on GSU’s strengths in Law and Policy (Ravini, Interview, 2012). The Department of Public Management and Policy is also deeply intertwined with the City

and Region through its research projects and through its student presence in the community. Internships alone in the Department of Public Management and Policy resulted in over 30,000 hours of community service and engagement by 150 students in the undergraduate and master's program in 2010. Similarly, Georgia State's Partnership for Urban Health Research has initiated research partnerships to help alleviate health disparities in urban communities and since 2005, generating over \$12 million in external awards (Georgia State University, 2014b). Georgia State's Office of International Initiatives has more than 100 International Cooperation Agreements for partnerships with institutions in 35 countries that provide opportunities for engaged scholarly research, teaching, student and faculty exchanges, and collaborative economic development programs in developing countries. These agreements are accessible to the public through an online database that organizes data for each of these international partnerships with other universities and international organizations.

6.1.1.3. **Institutionalization of Engagement**

Clear, concise, data-driven websites and brochures are a key component in the effort to maintain Georgia State's distinct identity. According Avani Raval, Business Manager of Andrew Young School of Policy Studies, "the university administration wants data-based decision-making. This rhetoric was started at GSU by former University President Ron Henry and is continued on by President Becker, who is a bio-statistician" (Raval, Interview, 2012). Georgia State works diligently to stay the course of their strategic intent and how they will accomplish these goals. Thus, the five goals of the 2011-2016 five-year strategic plan is clearly drafted, publicly presented, and tracked for progress. Additionally, Georgia State's strategic plan website openly describes the

multiple initiatives that fall under each of the five goals. Each of these initiatives has specific benchmarks, “key performance indicators”, that denote when successful implementation is fulfilled (Georgia State University, 2013a). The “key performance indicator” for the university–community engagement goal is:

The Council for the Progress of Cities will be established by the end of FY 2013. By the end of FY 2016, the Council will have partners from academics, business and government that are actively engaged in the collaborative activities of the Council. It will also have identified several areas of collaborative research and those areas will have received funding from external sources. (Georgia State University, 2013a).

To date, GSU has established the “Council for the Progress of Cities” that began with 9 faculty and staff members divided evenly into three coordinating council groups:

Governance, Planning & Infrastructure; Economic & Business Development; and Human Capital Development. The Council is in its early development phases and is just now beginning to bring together stakeholders from across the university and community to address urban issues.

Georgia State University takes pride in its clear vision and leaves little room for meaningless rhetoric. In an interview with Charles Gilbreath, Director of the Office of Institutional Research (OIR), he states that GSU is committed to, “integrating data and making data accessible, so accessible that it makes people want to look at it and use it” (Gilbreath, Interview, 2012). He goes on to say that, “at Georgia State University there is a long tradition of centrally providing data to administrators and making data accessible. This makes it easier for individuals to access information centrally so that they can make connections with other separate colleges,” (Gilbreath, Interview, 2012). University leadership works closely with OIR to collect pertinent information, create surveys, and

analyze data to assist in data-based decision making at the institutional level. For example, the administration came to OIR to find out why undergraduate retention rates were so low. A large number of students were not graduating because their GPAs were so low and they could not take upper level classes to graduate. Thus OIR produced a survey for undergraduates and found that the low retention rates were due, in large part, to bad academic advising. The survey found disconnect between the students and their academic advisors. Therefore, the provost, with the survey evidence in hand, was able to go to the Board of Regents and get 2 million dollars to hire 42 new academic advisors to address this issue (Ravel, Interview, 2012).

The Office of Institutional Research coordinates university-wide compilation, analysis and interpretation of data that supports institutional management, assessment, planning and decision-making at GSU. The office attempts to integrate as many of the databases used by various departments, colleges, and centers to a central system, because, “having reciprocal [data] relationships makes everything easier” (Gilbreath, Interview, 2012). In the past few years, OIR has invested in a variety of proprietary software to facilitate this data collection, including *DigitalMeasures*, *Weave Online*, and *OrgSync*. OIR is able to run extractions and populate data from all of these systems (such as Banner, PeopleSoft, and the aforementioned databases) and they have created a one-stop shop for university data, called Iport (Gilbreath, Interview, 2012). Iport is a web-based application that provides access to data stored in the University Data Warehouse, containing over 100 reports, charts and worksheets that allow users to view, analyze and download data. Georgia State inaugurated their new faculty activity reporting system in the fall semester of 2013, *DigitalMeasures*. This new system has been custom-made for

GSU faculty and replaces the MS Word-based annual report template that has been in place for the past several years. DigitalMeasures enables faculty to record their activity throughout the year, it produces customized reports, and can provide access to data and information amongst colleagues to produce an interdisciplinary atmosphere.

Additionally, all grants and research are recorded online in a Database—Spectrum 8.9 (PeopleSoft Financials Software). Involvement in community service has been reported through *Volunteer Solutions*, a self-reporting licensed software that allows students and faculty to report their engagement work. Recently, Georgia State has also adopted *OrgSync*, a web-based Campus Engagement Network, that allows students to search and sign-up for volunteer opportunities for themselves and their organizations as well as log their service hours and activities. Lastly, GSU utilizes *Weave Online*, a software that, “serves as an advisor, technology provider and strategic planning consultant,” in the hopes of tracking and aligning future strategic documents. In the end, the conglomeration of all of this data should help Georgia State’s administration in aligning their strategic choices.

It is too soon to determine the institutionalization of engagement at GSU; however, these newly established data-collection systems will allow GSU to truly analyze the institutionalization of each of their strategic goals in the near future. Georgia State is located in the heart of downtown, amidst urban core issues of poverty, homelessness, and crime. Thus, there is ample opportunity to partner and engage with the community in order to create place-based solutions. Time will tell if data will be successfully collected on university-community engagement and partnerships. GSU’s strategic intentions and choices place emphasis on diversity, retention rates, and research. It is not clear whether

the institution will place as much emphasis on university-community engagement in the coming years.

6.1.2 **Emory University**

Emory is a university with resources that are the envy of universities around the world. Located in the historic Druid Hill suburb of Atlanta, Emory's traditional campus sprawls over 600 green, well-maintained acres of land scattered with academic buildings donning marble exteriors. Walking through the campus, one can stumble upon a local farmers market that is highly attended by faculty, staff, and students; university gardens producing herbs, vegetables, and local flowers; and energetic students scurrying to get to their next class. The stunning physical campus is only enhanced by the university's impact on the region and various academic accomplishments, as illustrated in the many colorful brochures and publications tout the impressive economic impact and community development endeavors.

Emory University, the not-for-profit corporation, owns and operates educational and research facilities, a healthcare system³⁶, Clifton Casualty Insurance Company Ltd. and Emory Medical Care Foundation. Emory is the third largest employer in Atlanta, with over 27,000 employees—over half of which are Emory Healthcare staff. Emory clinicians provide expertise through 5 million patient services a year, and provided charity care in fiscal year 2012 that totaled \$72.1 million (Emory University, 2013a). Emory has an annual operating budget of over four billion dollars (the majority belonging

³⁶ The Emory Healthcare system (the System or Emory Healthcare) consists of (i) four general and acute care hospitals, (ii) a geriatric hospital and a long term care hospital, (iii) an intermediate care nursing home and an independent and assisted living facility for seniors, (iv) three physician groups, (v) Emory Healthcare Corporate (EHC), and (vi) Saint Joseph's Translational Research Institute.

to healthcare) and its endowment exceeded \$5.4 million in 2012 (Emory University, 2014). Emory generates more research funding than any other Georgia university—bringing in \$518.6 million in new research funding in the 2012 fiscal year (64% awarded to the School of Medicine) (Emory University, 2013a).

Emory College was originally founded in 1836 in Oxford Georgia by the Methodist Episcopal Church, and was relocated to Atlanta and reestablished as Emory University in 1915. Today, Emory enrolls around 14,000 students, with about half enrolled as undergraduates, in its nine academic divisions. The student population is diverse, with students enrolled from all 50 states and from 65 different countries. Only a quarter of students enrolled at Emory come from the Southeastern United States (Emory University, 2014).

6.1.2.1. **Engagement Planning and Strategies**

Emory University's mission is to, “create, preserve, teach, and apply knowledge in the service of humanity, (Emory University, 2013b)”. In 2003, the university began a two-year strategic planning process, and produced *The Emory University Strategic Plan: 2005-2015, Where Courageous Inquiry Leads*. This document was supplemented with a ten-year fundraising effort, *Campaign Emory*, which raised the projected \$1.6 billion necessary to move Emory's plan forward. This plan outlined five university-wide themes and initiatives that were to be accomplished in the next ten years: 1) strengthening faculty distinction; 2) preparing engaged scholars; 3) creating community and engaging society; 4) confronting the human condition and human experience and 5) exploring new frontiers in science and technology (Emory University, 2013).

One of the strategic initiatives outlined in Emory's ten-year plan is 'Engaged Scholars'—a program intended to graduate socially conscious leaders who have engaged themselves in the community (Emory University, 2014). Emory's 'Engaged Scholars' program specifically lays out its community engagement strategy for participants, which is based on a continuum of types of engagement and practices ranging from required student volunteerism for freshmen to a capstone project utilizing engaged research and scholarship (Emory University, 2014). In order to realize this strategic goal, an advisory board was selected and commissioned to outline recommendations concerning how this goal was to be carried out, including organizational structure and governance, programs, and funding sources. In 2008, the advisory group published its strategic goals in a document entitled *A Unified Vision for Preparing Engaged Scholars*. The vision emphasizes five areas in which the university would invest: 1) creating infrastructure (i.e. the Office of University-Community Partnerships); 2) invest in Emory's faculty university-wide service learning initiative; 3) promoting volunteerism through the enhancement of Volunteer Emory; 4) ensuring that all students can participate in community engagement programs and activities; and 5) using technology to enhance engagement (Emory University, 2014). Thus, the university and the provost brought the Office of Community Partnerships back to the university level from its location in Arts and Science, in order for the university, as a whole, to be able to coordinate its engaged research and projects (Grace, Interview 2012).

Emory also made the strategic choice to target its community engagement efforts and resources on distressed neighborhoods further away from the university that struggle with issues relating to poverty and economic distress. Emory's 'place-based' strategy

targets five priority areas to concentrate their long-term engagement efforts. These are neighborhoods in which Emory, “already has significant programmatic and scholarly partnerships and where the potential is high for successful cross-sector, multidisciplinary collaborative community building. These communities also have needs and opportunities that map well with Emory's expertise in healthcare, affordable housing and equitable development, K-12 education, safety and justice, economic development, and the environment, (Emory University, 2014)”.

6.1.2.2. **Engagement Structure and Agency**

Emory organizes its engagement at the institutional level in four main ways. First and foremost, Emory’s “central resource for coordinating, aligning, and enhancing much of the university's engagement and outreach (Emory University, 2014),” is the Center for Community Partnerships created by the Office of the Provost in 2000. Second, the university relies on the Office of Student Leadership and Service—specifically Volunteer Emory, established in 1980—to promote volunteerism and social justice opportunities for Emory students, primarily undergraduates, and student organizations throughout the Atlanta region. Third, students and faculty at Emory are involved in the community through applied research and service learning opportunities, particularly practicum and internships. Lastly, Emory has forged partnerships with multiple local and regional organizations in the areas of research and tech transfer, community development, economic development, and education.

The Center for Community Partnerships (CFCP) (previously named the Office of University-Community Partnerships) was established in 2000 by the Office of the Provost to become Emory’s centralized resource for integrating teaching, research, and

service that directly benefits the Atlanta community. First, CFCP promotes engaged learning and teaching through a variety of programs: Community Building and Social Change Fellows, Community Engaged Learning Initiative, Community Engaged Faculty Fellows, Community Engaged Teaching Mini-Grants, Community Partnership Graduate Fellows, Graduation Generation, Health Education via Airwaves by and for Refugees, and Project SHINE. Second, CFCP works with a variety of community partners to produce a wide array of projects, research, and publications in the areas of housing, neighborhood development, and social policy. Lastly, CFCP is involved in the Atlanta community through a wide range of activities with area community groups, nonprofit organizations, and government agencies to address societal issues and problems.

The Office of Student Leadership and Service, promotes civic engagement for students at Emory through a multiplicity of programs, including Volunteer Emory which promotes service and social justice. Community Engaged Learning is also supported in each of the nine schools at Emory. For example, the Rollins School of Public Health, through their Office of Leadership & Community Engaged Learning, coordinates student and faculty community efforts through 22 service-learning courses, certificate programs and other special programs through grants provided by the Emory's Center for Community Partnerships. In addition, Emory is involved in a number of partnerships in tandem with outside research and medical organizations. For example, The Atlanta Clinical & Translational Science Institute was created in 2007 as a partnership between Emory, Morehouse School of Medicine and Georgia Institute of Technology to create synergetic ideas to improve the way biomedical research is conducted across the country. Emory also works in partnerships to enhance the areas surrounding its campus and

economically improve upon existing infrastructure by adding mixed-use developments, residential facilities, new research facilities, road improvements and public amenities in these neighborhoods.

6.1.2.3. **Institutionalization of Engagement**

The strategic intent to promote and invest in engagement has resulted multiple national awards and accreditations for Emory for its community service, outreach, and engagement. In 2006, Emory was amongst the group of first-time recipients of the Carnegie Foundation’s Community Engagement Classification. Emory also received the 2008 Presidential Award for General Community Service from the Corporation for National and Community Service; the President’s Higher Education Community Service Honor Roll with Distinction in both 2010 and 2013; Emory has also been selected twice for the New England Board of Higher Education’s list of 25 “Saviors of Our Cities,” and is a member of multiple national and international organizations that recognize engagement—including The Research University Civic Engagement Network and Campus Compact (Emory, 2014b)

All of these accolades are also met with roadblocks for the full institutionalization of “engagement” work at Emory. Michael Rich, Executive Director of the Center for Community Partnerships (CFCP) at Emory University, has been with CFCP since its inception in 2000 and continues to fight for resources. He says that, “people underestimate the amount of time and money it takes to begin to get embedded in the community to work side by side. Building partnerships takes a lot of effort in terms of timing, multiple meetings, and logistics to build the trust. It takes more effort and energy on university side (Rich, Interview, 2012)”.

The \$1.6 billion raised through *Campaign Emory* allowed the university to support its strategic goals, one of which was to increase engagement. In 2006, as part of the strategic plan, the central administration dedicated \$12 million to CFCP (Hodges & Dubb, 2012) and CFCP went from 7 to 20 in one year (Sweatman, Interview, 2012). The Director of CFCP contends that, “the support is there intellectually from the central administration but from the implementation side it is harder to get the funding. At the end of our previous funding campaign at Emory, we noticed that much of the fundraising is aligned along the schools or is geared towards financial aid for students; thus, CFCP got pushed out of agenda. (Rich, Interview, 2012).”

Despite the fact that CFCP receives hard university dollars, most of programmatic work at CFCP is driven by grants, contract, and investment from outside foundations (Rich, Interview, 2012). At the beginning to the 21st century, the hay day of funding for university–community engagement efforts, Emory received funding from multiple sources, including: a 3-year seed gift from the Kenneth Cole Foundation in 2002 to initiate the Kenneth Cole Fellows in Community Building and Social Change; Learn and Serve grant funds in 2003 provided resources for Emory to mirror Temple University’s Project SHINE (Students Helping in Naturalization and English); and in 2004, a three-year Community Outreach Partnership Center (COPC) grant was secured from the U.S. Department of Housing and Community Development focused on education-based activities in high-risk neighborhoods in Northwest Atlanta.

According to Kate Grace, Director of Community Building Fellows Program, “the community organizations that the partner with the university typically have centralized systems of reporting and know what the organization does and who they are working

with. Emory, on the other hand, consists of 9 schools doing work with a variety of partners. Each one, in its own silo, is not aware that other university entities might be partnering with the same organization. (Grace, Interview, 2012).” CFCP has recognized this gap, and has worked over the past few years to create a better system and thus a central place for all community relationships and partnerships to be recorded. Thus, in 2009, CFCP initiated The Community Partnerships database, a comprehensive inventory of Emory University’s community-engaged scholarship, learning, and service activities. This public database is an online information resource for anyone interested in Emory’s community engagement activities. This database can be searched by type of project (teaching, research, or service), topic area, Emory schools, geographic area, community partner, and Emory faculty or staff member. As remarkable as this database is, the upkeep and maintenance of such a database is overwhelming (Moriarity, Interview, 2012). Without mandatory input of partnerships by all faculty and staff on campus—the Center for Community Partnerships had to retain staff that would contact faculty and staff across all nine schools and then gather and input this information. Thus, the database of 313 engagement activities only has entries from December of 2009 to August of 2012. Investment is key to the maintenance of such a database and if it produces no return on investment, the database gets left behind.

The sustainability of engagement efforts are put into question, when efforts, such as the partnership database, are too difficult to maintain without constant investment from administration. In a time when the university collected over \$1.6 billion in a campaign, the university was able to dedicate resources to the “engagement” pillar of their strategic plan. But, will they continue to support this goal in the future?

Similar concerns about the institutionalization of an engagement agenda arise due to the fact that the nine separate schools at Emory are silo-ed both physically and socially. They run on different financial structures, promotion and tenure requirements, and assessment requirements which makes it difficult, for example, for The School of Public Health to work with CFCP or any other department (Rich, Interview, 2012). Emory has a host of resources, yet still struggles with how to coordinate and organize the activities and partnerships of nine successful and unique colleges into one united university. In order to increase interdisciplinary work and inclusive university-wide projects and programs, the CFCP, has a full-time staffer whose job is to reach out to all nine colleges at Emory to coordinate engagement efforts. And in September of 2012, CFCP created CWG, The Community Engagement Working Group, which is comprised of a representative from each college that meet once a month to work on getting some sort of university-wide system for reporting what each college does.

6.2. **Cleveland, Ohio**

Once a thriving manufacturing city, the city of Cleveland boasted a population of about one million people in 1950, only to see both the population and industry halved within the next 50 years. Today, Cleveland is the 16th largest metropolitan area, with over two million residents, of which approximately 400,000 live in the city proper. Urban sprawl, high vacancy rates, and unemployment have stifled development of Cleveland's downtown, requiring Cleveland to reinvent itself. Today, Cleveland is experiencing a renaissance period, with the business community, universities, hospitals, neighborhood organizations, and foundations working together to develop and grow its

key assets—strong health-care and biotechnology industries, professional sports teams, and cultural facilities including the Cleveland Orchestra and the Rock and Roll Hall of Fame.

Cleveland benefits from unusually strong philanthropic support from the non-profit and corporate sectors, including the Cleveland Foundation, the nation’s oldest and second largest community foundation and the model for community foundations worldwide. An example of the power of partnerships in Cleveland can be seen in the revitalization of the University Circle neighborhood and its surrounding communities. In 2005, the Cleveland Foundation brought together a number of “anchor institutions”—including Case Western Reserve University, The Cleveland Clinic, and University Hospitals—to stabilize and revitalize the economically disadvantaged neighborhoods³⁷ surrounding the affluent University Circle neighborhood (Dubb & Howard, 2012).

According to the most recent city plan the City of Cleveland’s vision for the year 2020 begins with the goal to become, “a national leader in biomedical technology and information technology—with connections to the Cleveland Clinic, University Hospitals, Case Western Reserve University, NASA and other world-class innovators (Cleveland City Planning Commission, 2006, p. 8)”. The second goal is to become, “a center for advanced manufacturing advanced manufacturing advanced manufacturing – a national model for connecting new technologies to traditional industries (Cleveland City Planning

³⁷ The neighborhoods surrounding the University Circle neighborhood—Glenville, Hough, Fairfax, Buckeye/Shaker, Little Italy, and the eastern portion of East Cleveland—have a low annual median household income, high unemployment rates, low educational attainment, and relatively few job opportunities in their communities (Dubb & Howard, 2012).

Commission, 2006, p. 8)”. Both of these goals are not possible without an educated population and investment in research.

The Cleveland region has 29 colleges and universities with over 175,000 students, awarding 26,000 BA/BS degrees annually (City of Cleveland, 2013). Nonetheless, according to 2011 Census data, only 13.8 percent of Cleveland’s adults 25 and over have a bachelor’s or associate’s degree. Cleveland’s most central downtown college campus, Cleveland State University, provides educational opportunities for students from a variety of cultural, academic and demographic segments and is critical in transitioning the workforce to the knowledge-based economies Cleveland seeks to grow. Most prominent amongst Cleveland institutions of higher education is Case Western Reserve University, the only independent, research-oriented university in the region.

6.2.1. **Cleveland State University**

In 1964 Governor James Rhodes proposed a bill that would establish a public institution of higher education in Cleveland intended to serve the entire population of the Northeast Ohio region. On September 27, 1965, classes officially began at Cleveland State University (CSU) in the Central Neighborhood, bordering Downtown Cleveland (Wickens, 2014). Historically, Central was the home to a number of immigrants working in the nearby steel mills and foundries which later became the landing spot for African Americans moving north in the 1930s. Central was once the most densely populated neighborhood in Cleveland; however, it eventually became distressed and exhibited signs of urban decay. Most of the population left, housing stock was razed, and highways replaced the once thriving neighborhood. Thus, when Cleveland State established its presence in the Central neighborhood in the 1960s, the campus was built in isolation from

the exterior community. Today, Central still boasts the largest concentration of public housing in Cleveland; however, Cleveland State recognizes that its urban location is a source of opportunity for both physical land development and engaged learning in the community.

Cleveland State has always had deep roots in Cleveland community. The Cleveland State campus covers more than 85 acres, the largest institutional footprint in downtown Cleveland, with over 40 buildings for teaching, research, housing, administration, and recreation and it continues to have the ability to grow and prosper with a changing downtown Cleveland. Amidst the blight and struggles apparent in the surrounding neighborhood, Cleveland State serves as an anchor in the heart of the city touting its urban mission and building upon community assets, such as the arts and entertainment district in close proximity. Cleveland State has always been considered a commuter campus; however, Cleveland State's reputation is changing due to a recent push and investment to change this image through a \$500 million-plus "campus makeover", including the expansion of residence halls and new state-of-the-art campus facilities. The revitalization of the CSU campus is leveraging development in other downtown areas. As student housing increases, Cleveland State is investing in building a "Campus Village"—a \$50 million mixed-use development containing 278 apartments, retail, restaurants and green spaces and this project is considered the largest residential development in Cleveland in the past 30 years (Cleveland State University, 2013). Cleveland State's campus borders Euclid Avenue, the city's main artery, and CSU has recently invested in improved lighting, new landscaping, public art and water features that activate the edges of campus.

Historically, Cleveland State was known for attracting students in “working class” majors and other universities, namely Case Western Reserve, attracted students geared towards engineering, medicine, and the sciences. Today, Cleveland State attempts to align its teaching and research to prominent local industries: health advocacy, health-care, and engineering (Mendel, Interview, 2012). The evolution of the campus and its educational offerings has been met with demand from potential students, with a 20 percent increase in freshmen enrollment in 2012. Cleveland State enrolls around 17,000 students (12,000 undergraduates) in its eight colleges that offer Bachelor’s, Master’s, and Doctoral degrees. Recently, CSU has seen an increase in the academic standing of incoming students, more racial and ethnic diversity, and an increase of students that come from outside the Cleveland metropolitan area to attend CSU (Cleveland State University, 2013).

6.2.1.1. **Engagement Planning and Strategies**

As an urban public university, President Ron Berkman believes that, “Cleveland State has a special obligation not only to serve the community in a traditional sense, but also to contribute to the city's redevelopment in ways that many institutions cannot (Cleveland State University 2013)". The mission statement of the Cleveland State reflects this sentiment:

Our mission is to encourage excellence, diversity, and engaged learning by providing a contemporary and accessible education in the arts, sciences, humanities and professions, and by conducting research, scholarship, and creative activity across these branches of knowledge. We endeavor to serve and engage the public and prepare our students to lead productive, responsible and satisfying lives in the region and global society (Cleveland State University 2013).

Cleveland State University's mission statement is supported by strategic initiatives in seven content areas outlined in the 2012-2015 Strategic Plan: "enhancing undergraduate student education; enriching research in priority areas; pursuing initiatives in signature programs; increasing tuition revenue through focused growth initiatives; implementing strategies to maintain a stable budget model; fostering leadership within the University community; and improving the physical environment of campus (Cleveland State University, 2012)". These focal priorities are embedded into eight specific goals which will be realized through multiple initiatives that will be assessed through the metrics outlined in this document (Cleveland State University, 2012).

One of the eight goals outlined in the 2012-2015 Strategic Plan is to, "promote engaged learning to connect students to real-world experiences," (Cleveland State University, 2012). Five explicit initiatives are proposed to achieve this goal. They are to, "1) increase opportunities for internships and experiential learning activities with employers; 2) increase opportunities for student participation in civic engagement activities outside the classroom; 3) enhance resources to increase student participation in research initiatives; 4) encourage faculty to incorporate active learning opportunities in coursework; and 5) foster broader participation in extracurricular activities (Cleveland State University, 2012)". These initiatives will be monitored by collecting data in three areas: 1) increased enrollments in internships and partnerships; 2) improved student satisfaction and engagement; and 3) higher rates of employment in discipline-related fields (Cleveland State University, 2012).

In accordance with this goal, Cleveland State has also adopted a brand tagline, Engaged Learning™. At Cleveland State, "Engaged Learning" refers to the many ways

students are engaged—“inside the classroom, throughout the community and around the globe,” (Cleveland State University, 2013). This definition of student engagement follows the type of engagement measured by NSSE,³⁸ The National Survey of Student Engagement³⁸, which is defined by the time and energy spent on opportunities presented to students to participate in learning and other purposeful educational activities, (National Survey of Student Engagement, n.d.).

Walking around the campus, the “Engaged Learning” tagline surfaces high and low, giving visitors a sense of its utmost importance to Cleveland State. Cleveland State’s webpage specifically notes that, “at the core of everything we do is our philosophy of ‘Engaged Learning’ (Cleveland State University, 2014)”. In fact, the Cleveland State website states that,

It's more than a marketing promise. It's the mantra that gives purpose to Cleveland State's mission of providing a contemporary and accessible education in the arts, sciences, humanities and professions, and conducting research, scholarship and creative activity across these branches of knowledge. (Cleveland State University, 2014)

To tell the story of Engaged Learning™, Cleveland State brightens up the walls of campus buildings with artwork from internationally renowned artists that depict various students’ personal engaged learning stories, hangs large banners on the exterior of buildings to promote Engaged Learning, includes this tagline on most marketing materials, and has added the slogan to the university logo.

³⁸ NSSE®, a self-supporting auxiliary unit within the Center for Postsecondary Research in the Indiana University School of Education, annually collects information at four-year colleges and universities about student participation in programs and activities that institutions provide for their learning and personal development. Currently, NSSE is used around 675 institutions annually and at more than 1,500 different schools since 2000. (National Survey of Student Engagement, 2012)

6.2.1.2. **Engagement Structure and Agency**

“Engagement” at CSU is embedded in its programs and activities related to the creation of learning opportunities and internships in the community as well as retaining collaborative research, educational, or service oriented partnerships with organizations in Cleveland and around the globe. First, and foremost, Cleveland State focuses on provided a variety of co-op, practicum, and internship opportunities to students enrolled in all 200 major fields of study at the undergraduate and graduate levels. Cleveland State has worked diligently to secure these opportunities across the Cleveland area at organizations such as the Cleveland Clinic, University Hospitals, NASA, Sherwin-Williams, Eaton Corporation, Parker Hannifin, KeyBank, Lubrizol and Progressive Insurance (Cleveland State University, 2013). In addition, CSU has a variety of programs to connect students to hands-on opportunities in specific fields. One example is *CSUteach*, which allows connects students in the education field to connect to the local school districts for year-long project-based STEM learning and teaching innovation projects. Not only does this program supply an invaluable experience for students, the program proven success in post-graduation job-placement of participants of this program.

Each of the eight colleges at Cleveland State has established its own version of “successful” innovative partnerships. In particular, the Maxine Goodman Levin College of Urban Affairs, which is nationally recognized by *U.S. News and World Report* as the #2 program in City Management and Urban Policy and the #12 program in Non-Profit Studies, supplies current students and

competent graduates to the public, private, and nonprofit sectors. Additionally, the Levin School provides support services and research in various fields, including government, community development, human services, housing, healthcare, environmental advocacy and public safety. The Levin School continues to work at the local level, focusing local grants and contracts. Cleveland State University has a hard time competing for large federal grants, such as NSF grants, thus many of the faculty and staff, “stick to what they are good at, working locally (Mendel, Interview, 2012),” procuring numerous smaller grants and contracts. In the 2013 Fiscal Year, The Levin School’s dozen research centers brought in more grants than any of the other colleges at CSU, totaling 34 research grants with revenues of over \$1.6 million (Cleveland State University, 2014).

Unique to Cleveland State is its collaboration with the PlayhouseSquare and the Cleveland Play House to create a new Arts Campus in PlayhouseSquare, the nation’s largest theater district west of Broadway. Starting in 2012, the University's Department of Theatre and Dance and the Play House were able to build three versatile performance spaces in the historic Allen Theatre, utilizing the \$30 million raised by this partnership. In addition, CSU has expanded space dedicated to the Art Campus and opened The Galleries @ CSU, a modern exhibition space in the historic Cowell & Hubbard Building. The Campus International School, Cleveland State’s partnership with Cleveland Metropolitan Schools utilizes the assets of the School of Education, providing CSU students and professors hands-on experience in education. Currently, The Campus

International School offers grades K-4 and plans on slowly expanding to K-12, adding an additional grade each year. Cleveland State has also established a partnership to address the changing health care needs within urban metropolitan areas with Northeast Ohio Medical University (NEOMED). This program places pre-med and medical students in the most underserved, inner-city communities for clinical training. These students take on specialized care for individuals and families in the community for an extended period of time to fully address all of their health-care needs (Northeast Ohio Medical School, 2014).

6.2.1.3. **Institutionalization of Engagement**

“Cleveland State University has always been about engaged learning. It just was not always called that,” claims Stuart Mendel, Director of the Urban Center and the Center for Nonprofit Policy & Practice. He goes on to say that Cleveland State has always, “deliberately tried to connect with areas around itself—partnering with whoever will work with them (Mendel, Interview, 2012).” Ned Hill, Dean of the Maxine Goodman Levin College of Urban Affairs explains that in the past the State of Ohio allocated \$2.5 million annually to Cleveland State University to promote community partnerships. This funding was cut in 2008. (Hill, Interview, 2012). Thus, when the funding from the State seceded, CSU faculty and staff continued to search for and obtain grants and contracts from outside agencies to continue this work. Even though the State does not allocate as many resources in the past, Cleveland State University has continued to invest in their engagement agenda. In 2012, CSU hired Byron White to be Vice President for University Engagement, where he is responsible for developing

strategic plans for community engagement to enhance Cleveland State's numerous partnerships. The goal of this new Office of University Engagement is, "to establish a sustainable university structure that expands engaged work, while also working to differentiate engagement in a way that is relevant for our institution (White, Interview, 2012)".

Cleveland State seemingly uses engagement rhetoric liberally, even though there are many different ways in which the term "engagement" can be interpreted (refer to Chapter Two). Byron White recognizes this and states that, "with engaged learning there is a point where the term becomes shallow and is attributed to all things—service, outreach, learning, etc. There are many ways of institutionalizing engagement; yet a university needs to be able to frame what they mean by it (White, Interview, 2012)." For that reason, Cleveland State has clearly laid out what its engagement agenda means to them in terms of the goals it wants to achieve. According to their 2012-2015 Strategic Plan, "Engaged Learning" will be supported through five means: increasing opportunities for internships and experiential learning activities with employers; increasing student participation in civic engagement activities outside the classroom; enhancing resources to support student participation in research initiatives; encouraging faculty to incorporate active learning opportunities in coursework; and increasing student participation in extracurricular activities. The intention of these initiatives are clearly to better the university experience, learning curve, and future employment opportunities that will serve to benefit the students enrolled at Cleveland State. Nonetheless, the latent functions of these initiatives should not be overlooked—such as supplying talented labor to the local work force and strengthening collaborations and networks with the

community. Therefore, an assessment of the “Engaged Learning” agenda at CSU, should be based on the criteria and metrics laid out in the strategic planning document, which are: to increase enrollments in internships and partnerships; improve student satisfaction and engagement; and lead to higher rates of employment in discipline-related fields (Cleveland State University, 2012).

Cleveland state may not have the strong research agenda or endowment as many of its competitor universities, but it has the strong will and grit to use the assets it has to succeed. These assets are greatly intertwined with the school's historical ties to the city and are illustrated in some of the programs and activities described above. So, although, CSU does not invest in or promote its engaged scholarship and research, CSU does work towards integrating its physical presence in the community and its student population into the Cleveland community through learning and vocational opportunities.

6.2.2. Case Western Reserve University

Traveling five miles east down the Euclid Corridor from downtown Cleveland, will land you at Case Western Reserve University located in the middle of University Circle, one of the city's most energetic and culturally robust communities. University Circle boasts 550 park-like acres showered with a concentration of educational, medical, and cultural institutions—including Cleveland Orchestra at Severance Hall, Cleveland Museum of Art, Cleveland Botanical Garden, Children’s Museum of Cleveland, Cleveland Museum of Natural History, Cleveland Clinic, MetroHealth, and University Hospitals of Cleveland. These institutions and other business in the neighborhood draw over 3 million visitors annually, produce \$14 billion in economic output, and creates 80,000 jobs (University Circle, Inc., 2014).

Case Western Reserve University (also referred to as Case Western Reserve, Case Western, Case, Reserve, and CWRU) was formed in 1967 through the merger of Case Institute of Technology (founded in 1881) and Western Reserve University (founded in 1826). Case Western Reserve enrolls about 10,000 students and employs over 6,000 faculty and staff on its 150 acre campus. It remains the largest private university in Ohio and contains nine schools (three of which are undergraduate), and maintains partnerships for cross-registration with the Cleveland Institute of Music and the Cleveland Institute of Art (Case Western Reserve University, 2014b). In U.S. News & World Report's 2013 rankings, Case Western Reserve's undergraduate program ranked 37th among national universities and is the best university in the State of Ohio. In addition, many of Case Western Reserve's graduate and professional programs have topped *U.S. News and World Report's* Best Graduate Schools in the nation charts including—Health Law and Social Work at number eight, Biomedical Engineering at number ten, and School of Medicine at 22nd.

Case Western Reserve is considered an anchor to the University Circle's Development, due to its role as a pivotal research-university that strengthens this major medical and research complex (Gaffikin & Morrissey, 2011). University Circle is essential in the economic development of Cleveland and the region and Case Western Reserve's top notch programs and dedication to research enhance this importance. In the 2012-2013 Fiscal Year, Case Western Reserve had research revenues totaling \$398.8 million (with \$243.3 million of that from the National Institutes of Health) and an operating budget of \$1 billion (Case Western Reserve University, 2013).

6.2.2.1. **Engagement Planning and Strategies**

Constituents of Case Western Reserve were tasked in 2008 with determining where the university should be in five years. The result was the document "Forward Thinking," approved by the Board in June 2008, which outlines the mission, vision and core values that would guide Case Western Reserve thru 2013. Case Western Reserve University's mission was to:

Improve people's lives through preeminent research, education and creative endeavor. We realize this goal through:

- 1) Scholarship that capitalizes on the power of collaboration.
 - 2) Learning that is active, creative and continuous.
 - 3) Promotion of an inclusive culture of global citizenship.
- (Case Western Reserve University, 2011)

The key goals and initiatives associate with this strategic document were to: 1) advance our academic programs to increase the University's impact; 2) develop a strong, vibrant and diverse University community; 3) expand and deepen the University's relationships with the larger community; and 4) strengthen institutional resources to support the University's mission (Case Western Reserve University, 2008). From the inception of the strategic planning process, the guiding mission, vision, and core values presented were not intended to represent a classic strategic plan (one with extensive detail and defined metrics), yet a document that would define the institution's purpose and direction and can help guide decision-making.

Latisha James, director of the University's Center for Community Partnerships, is responsible for representing the Case Western Reserve to community, civic and business representatives and functioning as a liaison and catalyst to enhance university-community relations. James contends that, "people on campus and people everywhere have the

mentality that it is not *I*, but *WE* and that it is natural to desire to serve the community and be part of the solution,” (James, Interview, 2012). A similar viewpoint is felt by Jean E. Gubbins, Director of Institutional Research, who has been employed at Case Western for over 20 years. Gubbins states that she has seen significant changes at the university. She rode through the waves of negative town-gown relationships and has seen the university open up socially and physically to the community over the years. She explains, “the university has always had partnerships within the community; now they are making an effort to define their relationships and nourish them through trainings, information sharing, etc. (Gubbins, Interview, 2012)”.

6.2.2.2. **Engagement Structure and Agency**

Case Western Reserve University integrates civic engagement into many of its programs as well as providing a stand-alone office to coordinate engagement opportunities across the university. The Center for Civic Engagement & Learning (CCEL) was established in 1994, “to create an engaged campus by providing and supporting opportunities for community service and collective action while promoting civic awareness and leadership, (Case Western Reserve University (2014a))”. The Office connects students at Case to work-study opportunities across Cleveland³⁹. CCEL has a variety of programs such as The Civic Engagement Scholars Program in which selected

³⁹ The Center for Civic Engagement & Learning, “promotes civic engagement and active learning through the following: 1) one-time and ongoing projects and programs that introduce students and faculty to community service opportunities that support learning and benefit the community; 2) curricular and logistical assistance to faculty utilizing service learning as a pedagogical tool; 3) assistance to students seeking community-based capstone projects and service learning coursework; 4) work-study and paid placements in the community; 5) support of the community service efforts of student organizations, residence halls, Greek Life organizations, and Student Affairs committees; 6) opportunities for community organizations to raise awareness of service events at their sites; and 7) information about local, national, and international service opportunities, including post-graduation programs (Case Western Reserve University (2014a)).”

undergraduate civic engagement scholars receive training, complete a minimum of 50 community service hours, attend three community-focused events or programs, write about their experiences, and thus are recognized for their achievement. In 2011-2012, 110 students completed the Civic Engagement Scholar program and contributing over 7,600 community service hours to nonprofit organizations and schools with a focus on the greater Cleveland area.

Case Western Reserve's number one partner for engagement is The Cleveland School District, even though Case does not have a school of education (Banks, Interview, 2012). The Center for Community Partnerships, claims that the Cleveland School District is the number one partner for faculty, staff, and students, because the university believes that, "It is most important to devote university resources to the next generation," (James, Interview, 2012). Hospitals are the second biggest partner, due to the university's emphasis on medicine and the close proximity to a number of medical facilities—University Hospital, Cleveland Clinic, and the Free Clinic. The Medical School's *Western Reserve2 Curriculum* (WR2) allows med-students to become "civic engagement scholars" by receiving training in the classroom and in the community throughout their four-years, uniting the disciplines of medicine and public health into a single, integrated program (Banks, Interview, 2012).

Volunteerism, internships, and hands on practical experience are offered across disciplines in each college at Case Western Reserve Culture and appears to be an embedded part of the university culture. In the School of Nursing all freshmen, sophomores & juniors spend time each semester in the Cleveland Municipal School District providing services, totaling over 20,000 hours of health care in 2009. Similarly,

The School of Applied Social Sciences collaborates with 350 affiliated Northeast Ohio social service agencies, with students and faculty volunteering over 176,000 hours in the 2012-2013 Academic Year, which is equivalent to 90 full-time social workers (Case Western Reserve University, 2013). In that same academic year, the Milton A. Kramer Law Clinic provided the community 16,040 pro bono hours of assistance and worked on 141 cases spanning civil, criminal, community development, intellectual property and health law (Case Western Reserve University, 2013). In the School of Dental Medicine, The Department of Community Dentistry provides high quality oral health education, examinations, preventive services, and referrals for children in the Cleveland Metropolitan School District (CMSD) while exposing dental students to the needs of underserved children and the communities in which they live.

6.2.2.3. **Institutionalization of Engagement**

Director of The Center for Community Partnerships claims that, “we are no longer an institution in a neighborhood; but we are engaged. We are not self-serving in our community” (James, Interview, 2012). Case Western Reserve University is a unique example of a global university that engages its diverse students in the Cleveland community during their tenure at the university. Around 19 percent of the undergraduate, graduate, and professional students are from 91 countries outside the US and only 33 percent of students are from the State of Ohio (Case Western Reserve University, 2015); yet the large majority of students dedicate their time and energy to apply their skills and knowledge in the Cleveland community. Granted, many students engage out of self-interest for credentials and experience; yet, the university works with community

organizations in order to target neighborhoods and organizations with the most need (i.e. The Cleveland School District).

Multiple interviewees shared the same concerns when it came to the overall institutionalization of engagement at Case Western Reserve—the university does great work in the community; however the efforts are fragmented. Amy Sheon, Executive Director of the Urban Health Initiative explains that, “we need to know what each other are doing. We need to harmonize information systems (Sheon, Interview, 2012)”. Each of the eight schools have different reporting mechanisms for faculty, staff, and students. There is no coding that is done at the university-wide level and it would take too much effort to put together because each school and their practices are so different (Gubbins, Interview, 2012). Some colleges use specific electronic reporting systems, such as Digital Measures™ and other departments just turn in word documents (Sheon, Interview, 2012)”. Jean E. Gubbins, Director of Institutional Research is focusing on bringing some sort of continuity to recording and tracking research on campus. She says that the university is on its way; but it is so horribly fragmented that it will be a long time before they have a uniform system for reporting research (Gubbins, Interview, 2012).

The strategic planning of the mission, vision, and core values at Case Western Reserve University were intentionally configured as guiding documents open for interpretation by individuals and university units. Case Western Reserve’s separate units are all seemingly engaged in the community through various service and internship programs as well as through applied research. Perhaps, the mission to, “improve people’s lives through preeminent research, education and creative endeavor, (Case Western Reserve University, 2011)” is genuinely guiding various departments to engage in the

community, or perhaps the programmatic nature and educational content guides the faculty and staff to work closely with the community to gain hands-on, instructive experience.

6.3. **Tacoma, Washington**

Tacoma is an urban port city located in Pierce County, Washington located 30 miles southwest of Seattle on the Puget Sound. With a population around 200,000, Tacoma is a center of business activity for the South Puget Sound region (population 1 million). Industry is comprised largely of business and professional services, military, transportation and logistics (wholesale distribution), information technology, health care, manufacturing (aerospace, plastics, machinery, food products, and electronics), and government. Joint Base Lewis-McChord (with over 55,000 active duty military) and The Port of Tacoma and comprise the traditional economic components of the local economy. The Port is a major economic engine for the region—handling more than \$28 billion in annual trade in 2010 from its 2,400 acre footprint—through its shipping, terminal activity and warehousing, distributing, and manufacturing (Biles, 2011).

The City of Tacoma has flourished since the turn of the century. In the once blighted and desolate Warehouse district of Tacoma, three new museums have opened, the state's first light-rail line was built, and a new University of Washington branch campus was established in the City. In addition to the cultural and educational developments, the city bought and reclaimed a 26-acre waterfront superfund site, developers added 2,700 new downtown housing units, and a convention center with adjoining hotel was erected (City of Tacoma, 2010). The renaissance of Tacoma is

attributed to innovative development negotiations and partnerships prompted by the city manager, the constant cooperation and financial support of the business community, the input of the citizens, and the need for new development to support the rising service industry.

The State of Washington, formerly ranked 49th of 50 US states in the number of graduates with 4-year degrees in 1980, has worked diligently to improve the condition of higher education in the State (Raff, 2006). The Higher Education Coordinating Board in Washington State knew that there was a lack of institutions of higher education in the state to serve its citizens—particularly in the western part of the state. Accordingly, they planned the creation of a network of branch campuses to serve the needs of the population. At the same time, the city of Tacoma was looking for an economic development tool that could revitalize a lifeless, deteriorating downtown. This natural fit prompted the University of Washington to place campuses in Tacoma and Bothel. At the same time, Washington State University filled the needs of the Washington population in Vancouver by creating a new campus and in Spokane and Tri-Cities area with the expansion of their existing programs (Zumeta, 2006). The planning by the State of Washington and the Higher Education Coordinating Council led the State of Washington to rise in the higher education ranks, placing 10th out of all US states in the number of graduates with 4-year degrees, with 31 percent of the population over the age of 25 holding a bachelor's degree (US Census Bureau, 2011).

Today, Tacoma is home to several institutions of higher education, including four-year universities (University of Washington's Tacoma, University of Puget Sound, The Evergreen State College Tacoma Campus, and Pacific Lutheran College located in

Parkland, just south of Tacoma) as well as several two-year colleges (including Tacoma Community College and Bates Technical College). The City of Tacoma has taken note of the economic and social benefits that higher education brings to the city. Thus, in 2007, the Office of Community and Economic Development with the City of Tacoma developed a plan to promote Tacoma as a great college town, aimed at attracting business and talent to Tacoma. Additionally, representatives from each of the institutions collectively plan an annual Sustainability Exposition that serves as a forum for residents and business owners to discover local services, products, companies, and agencies in the Tacoma region—promoting the community’s economic sustainability.

6.3.1. **University of Washington, Tacoma**

Formerly blighted warehouses, an old mattress factory, Snoqualmie Falls Power Company’s old transformer house, former hotels, and groceries make up what is today the University of Washington Tacoma (UWT). The birth of UWT came out of collaborative conversations in the 1980s amongst the business community of Tacoma who yearned for redevelopment of blighted pockets of Tacoma, Pierce County Director of Economic Development, Ryan Petty, and the Washington State University System administrators (Sierra Club, 2005). Upon establishing UWT, the State of Washington’s Higher Education Coordinating Board envisioned a branch campus that could induce higher education to all citizens of Washington and tailor the programs provided to meet the needs of the local economy and region (Zumeta, 2006). This new campus was designed to enroll community college transfers and older students seeking to complete degrees and providing needed master’s programs in applied fields (such a business, teacher education, nursing, and computer fields) and not intended to compete with State’s

established research universities. Not only is the campus a physical feat of planning and preservation, the university is home to diverse non-traditional and traditional students attracted to this institution that values the importance of supporting the Puget Sound, Tacoma region.

The University of Washington Tacoma commenced its first classes in rented office space in 1990 to serve third- and fourth-year undergraduates seeking a Bachelor of Arts degree. By 1997, UWT moved into six refurbished historic buildings, commencing the presence of the physical campus in Downtown Tacoma. The 46-acre campus is situated on a hillside with a view of the Port of Tacoma as well as Mount Rainier. The UW Tacoma campus continues to grow and prosper with the construction of university buildings leveraging additional development of housing and condominiums, commercial construction, and transportation extensions linking the Campus to wider Tacoma. As one journalist eloquently states, the once decaying corner of downtown Tacoma has gone from streets lined with “addicts, prostitutes, and pigeons” to streets full of students socializing in Huskies gear (Cosgrove, 2010). The university has sparked the urban renewal of a once-feared corner of Tacoma.

6.3.1.1. **Engagement Planning and Strategies**

Entering the small conference room in the administrative building at UW Tacoma, the walls paint a picture of the UW Tacoma Spirit. On one wall hung an aerial view of the campus and on another wall hung a dry-erase board. On the white board a variety of statistics were written as a reminder of the successes and distinctive character emblematic of UW Tacoma:

- 35.5% of total undergraduates are 1st generation students

- 59% of freshmen are 1st generation students
- Total enrollment is 3,900 (AY 2012-13)
- UW Tacoma has 11,400 alumni

These numbers tell the story of a different type of university—a young and growing university that is proud to be a university serving the local population. The university’s official mission statement reflects this outlook: The University of Washington Tacoma educates diverse learners and transforms communities by expanding the boundaries of knowledge and discovery (University of Washington Tacoma, 2014). This mission is supported by a list of four values, created by the UW Tacoma community, to guide university endeavors: Excellence, Community, Diversity and Innovation. Additionally, UW Tacoma has established a vision for the future of this young campus:

Within the next ten years, UW Tacoma will become a more comprehensive institution that will respond with distinction to the needs of the region, state, nation and the world. UW Tacoma will achieve distinctiveness as an urban campus of the University of Washington through its commitment to three principles:

- 1) Access to an exceptional university education;
- 2) An interdisciplinary approach to knowledge and discovery in the 21st century;
- 3) A strong and mutually supportive relationship between the campus and its surrounding communities.

(University of Washington Tacoma, 2014).

UW Tacoma is socially, physically, and economically engaged with Tacoma and the Puget Sound Region. The former Chancellor Debra Freidman repeatedly stated that UW Tacoma is an “urban-serving” university—providing a space for teaching and research for the community and region, while at the same time serving its community by generating positive social change and spawning economic development.

6.3.1.2. **Engagement Structure and Agency**

UW Tacoma has an embedded history of development with its community, including partnerships with both public and private organizations, as well as with the help from large private donations. As a young campus in the heart of downtown Tacoma, the University has physically developed in conjunction with its surrounding community and has revitalized a formerly abandoned portion of the City (Friedman et. al, 2013b). Many of the campus buildings were built in the early 1900s and have been rehabilitated in the past two decades. Engrained in the Campus Master Plan at UW Tacoma (2008) is the explicit goal to, “honor the stature of the University of Washington and the historic structure of downtown Tacoma through a harmonious marriage of environmental design, planning, spaces, and form with the surrounding community”. The university also, “explores opportunities for public-private partnerships particularly for buildings and spaces that lend themselves to such ventures such as student union, performing arts, library, or sports and recreation facilities, (University of Washington Tacoma, 2008).” For example, in 2013, the University and the local YMCA forged a partnership to construct a new facility for both organizations to share. Under this collaboration, the university will fund the construction of the building and maintain the exterior shell and landscaping. Operating through a long-term agreement, the YMCA will administer the recreation and wellness facility, providing exercise equipment and management expertise, as well as maintaining the interior spaces (University of Washington Tacoma, 2013). The University is also working on redeveloping the portion of the old Prairie Rail Line railroad that runs through the University of Washington Tacoma campus that will

provide open space for the community and the university, while also maintaining its historical significance.

The partnerships UW Tacoma builds with the community do not end with physical land development. Vice Chancellor for Finance & Administration, Harlan Patterson states that, “UW Tacoma looks to neighborhood partners to develop in conjunction with one another in the production of knowledge, real estate, and community assets, (Patterson, Interview, 2012)”. He goes on to say that, “the University is even working in conjunction with local organizations, such as the Children’s Museum [of Tacoma], to develop a joint daycare program so that both organizations will be able to further their mission through collective action,” (Patterson, Interview, 2012). UW Tacoma has worked in coordination with military bases (namely, Joint Base Lewis-McChord) to tailor UWT programs and degrees to align with the skills and assets of these particular students. Thus UWT has invested in a number of programs, including: Transition Service Centers to advise potential students located on military bases; an Entrepreneurial Incubator for Veterans to support community-focused based enterprises and small business development in engineering, computer science, and the life sciences; and an innovative master’s degree program in Cybersecurity and Leadership.

UW Tacoma focuses on regional issues including K-12 educational improvement, environmental sustainability and student access. For example, faculty and students are engaged in research to improve Puget Sound urban water quality, and students teach local middle-schoolers how to monitor the quality of streams flowing in their own backyards. UWT has also established the Center for Urban Waters—a collaboration with the Port of Tacoma, the City of Tacoma, and SSA Marine—providing valuable research around local

water issues such as understanding the region's water sources, pathways, and chemical contents to determine pollution levels.

The university reaches out to local businesses, non-for-profits, and government agencies and its personnel through The KeyBank Professional Development Center established in 2003. The KeyBank Center provides continuing educational opportunities in the public, not-for-profit, and private sector in a range of disciplines, from management to Geographic Information System to IT Security Courses. This program is a joint venture between the South Puget Sound community and UW Tacoma and is made possible through funding from the Key Foundation.

6.3.1.3. **Institutionalization of Engagement**

As a young school with blank canvas, UW Tacoma intertwined its physical and social development with the community, and thus has become a key anchor in downtown Tacoma. Today, UW Tacoma's website poignantly articulates:

UW Tacoma is an urban-serving university providing access to students in a way that transforms families and communities. We impact and inform economic development through community-engaged students and faculty. We conduct research that is of direct use to our community and region. And, most importantly, we seek to be connected to our community's needs and aspirations. (University of Washington Tacoma, 2015)

Through multiple conversations with staff and administrators, it was apparent that the Lisa Hoffman, the university's special assistant to the chancellor for community engagement conveys that, "the engagement mission is a latent function of everything that the university does. We are a University of 'the people', (Hoffman, Interview, 2012)". The university would not invest in engagement through a separate office, but instead

spread the responsibility throughout the institutions and making it a priority across the board. In this sense, engagement is part of the culture, not an add-on.

In a 2013 Op Ed column in the Tacoma News Tribune, UW Tacoma Chancellor Debra Friedman voiced her concern to be a college for ‘the people’—the people of Tacoma. The traditional student coming from the community may not be able to afford UWT, thus Chancellor Friedman writes, “We want to make sure that a college education is attainable for all students who have worked hard to prepare themselves for it, regardless of their financial circumstances,” (Friedman, 2013, 4). The university has since initiated their “Institution-to-Institution” program, which matches students with local agencies for year-long paid internships that emphasize community-based learning and offer reciprocating benefits to the students of the university and community organizations. This program helps current student pay tuition while gaining practical experience. The University also initiated its “Pathway to Promise” partnership with the local public school districts to provide access and information to young students with the ambition to attend college. This program is considered the first of its kind in Washington State and the second in the nation that formalizes a partnership between a four-year institution and its local school district. Students who graduate from the local Puyallup and Tacoma School Districts in the Class of 2014 will be the first to automatically qualify for admission at the University of Washington-Tacoma, should they meet four criteria, including a 2.7 or higher grade-point average. Since its inception in 2013, “Pathways to Promise” has increased applications from the neighboring school districts by about 70 percent; which was much higher than predicted (Garner, 2014).

Chancellor Friedman once said that UW Tacoma used to just tell stories about their community work, but with their current experience and track record, UW Tacoma is able to, “create solutions for problems and translate those into funding priorities,” (Friedman, 2013, 4). She went on to say, “we will create programs around spouses and stay at home wives who need to be trained for internet-based, portable jobs,” (Friedman, 2013, 4). UW Tacoma’s student body consists of mostly older local transfer students (average student age is 26.7), of which 53.4 percent come from local community colleges. Additionally, 63 percent of all undergraduate students are from Pierce County, and another 24 percent from adjoining King County. The concentration of studies are aligned with the local industry and economic needs of the Puget Sound Region, such as the Institute of Technology, which quickly develops high-technology academic programs to serve the needs of the state of Washington (University of Washington, 2014).

UW Tacoma is a small school, which allows for greater mobility and quicker decision-making. The university Chancellor works frequently with a circle of close, key administrative personnel to make all decisions and keep each other informed. This agility, along with innovative planning and strategies, has allowed UW Tacoma to grow quickly and uniquely in downtown Tacoma. UW Tacoma has also worked tirelessly to forge partnerships and external support for the majority of its programs and physical land development. Joe Lawless, Executive Director of the Center for Leadership & Social Responsibility, notes that, “the leadership at UW Tacoma has made a concerted effort to transform the budget committee think strategically—with the former allocation funding model transforming into a strategic management and growth model. This purposeful investment is seen in the way resources are allocated to faculty and staff salaries,

scholarships, fundraising, and towards leveraging additional external funding (Lawless, Interview, 2012).

Moving forward, UW Tacoma will continue to expand its program offerings and enrollment. Currently, the campus occupies only one-third of its total footprint, thus leaving considerable room for expansion. In 2016, UW Tacoma's agreement with local community colleges, that dictates the percentage of students who must be accepted as upper-classmen transfers, will officially end, allowing UW Tacoma to enroll more incoming freshmen. Thus, in due time, it is predicted that UW Tacoma will mirror the traditional university, with 18-year-olds enrolling as freshmen and graduating four years later. Outlined in their "7 in 7" Initiative, UWT has proposed to double their student population to 7,000 students by 2020. This big change may weigh heavily on exactly how UW Tacoma moves forward as a "university for the people" and maintaining its strong connection to the Tacoma Region.

6.3.2. **University of Puget Sound**

The City of Tacoma also houses the University of Puget Sound (UPS)—a well-established predominantly residential undergraduate college with a small number of graduate programs that compliment its liberal arts foundation. With a student to teacher ratio of 12 to 1 and more than 100 student-run organizations on campus, UPS is able to maintain a freshman retention rate over 86 percent. UPS serves a vastly different population than the University of Washington Tacoma, over 76 percent of the 2,600 students enrolled at UPS come from outside Washington State—from 49 of the US States and 14 other countries around the world. Therefore, over 65 percent of enrolled students live on the University of Puget Sound campus, creating a close-knit community.

The majority of the traditional 97-acre landscaped campus consists of district red brick Tudor-gothic architectural buildings positioned around three well manicured quads. Since 1924, the UPS campus has been positioned in the middle of the residential North End neighborhood. Surrounding the campus, on all sides, are clean and well-maintained streets featuring attractive homes built from the late 1800's through the latter 1900's. The North End remains the second wealthiest part of the city, with a highly educated population (around 25 percent of the population possesses a graduate or professional degree) working in the fields of education, health, social, and human services (US Census, 2000).

6.3.2.1. **Engagement Planning and Strategies**

The University of Puget Sound has made a concerted effort to more fully engage with the Tacoma community since, July of 2003, when Ronald Thomas became President. Since then, a new mission has been adopted that frames UPS's commitment to their community engagement program. (University of Puget Sound, 2014a). The mission of the university is to:

Develop in its students' capacities for critical analysis, aesthetic appreciation, sound judgment, and apt expression that will sustain a lifetime of intellectual curiosity, active inquiry, and reasoned independence. A Puget Sound education, both academic and co-curricular, encourages a rich knowledge of self and others; an appreciation of commonality and difference; the full, open, and civil discussion of ideas; thoughtful moral discourse; and the integration of learning, preparing the university's graduates to meet the highest tests of democratic citizenship. Such an education seeks to liberate each person's fullest intellectual and human potential to assist in the unfolding of creative and useful lives. (University of Puget Sound, 2014b)

This new emphasis was recognized in the strategic plan, which was presented to the Board of Trustees by President Ronald R. Thomas in 2006, where it received full

approval and endorsement. The strategic plan is based on four objectives: Innovate, Inspire, Engage, and Invest (University of Puget Sound, 2014c).

INNOVATE: Enhance and distinguish the Puget Sound experience.
INSPIRE: Build an inspiring physical environment for learning.
ENGAGE: Forge lifelong relationships.
INVEST: Strengthen our financial position.

Engagement, according to the strategic plan, is described as UPS, “being a first-choice college that instills intense pride and fosters membership in the Puget Sound family as an enriching, lifelong investment, (University of Puget Sound, 2014c)”.

Assessment of this goal requires UPS to do three things:

- 1) Reorient the alumni office from a program-based operation to a strategic center for cultivating mutually beneficial relationships
 - 2) Develop and manage a network of volunteer opportunities to generate an array of connections and services for alumni, parents, and friends
 - 3) Enhance external and internal campus programs and communications to reflect and promote our mission, vision, values, and strategic goals
- (University of Puget Sound, 2014c).

6.3.2.2. **Engagement Structure and Agency**

Engagement at the University of Puget Sound materializes through a range of campus initiatives, student volunteerism, and a staffing commitment to community engagement. UPS is working to increase its engagement efforts in its areas of strength—arts and music, education, health sciences, and business and leadership that engage regional and national issues of significance. (University of Puget Sound, 2014a). The majority of engagement work at UPS resides in three places: 1) the Center for Intercultural and Civic Engagement (formerly the Community Involvement and Action Center); 2) the Civic Scholarship Project; and 3) in through two administrative staff

members (an Executive Director of Community Engagement and a Community Engagement Manager) (Segawa, Interview, 2012).

The Center for Intercultural and Civic Engagement is intended to serve as the main connector between UPS and the City of Tacoma for community service, social justice, and service learning activities. The Center aligns interested students with community organizations for service work, organizes alternative breaks, promotes tutoring programs, and organizes a university-wide day of service (MLK Jr. Celebration Day). UPS also provides cultural entertainment and educational experiences to the community through its performances and classes offered in music, theatre, visual arts, and dance. In addition the local community is welcome to attend the many guest artists, speakers, policy makers that UPS brings in to give presentations. Lastly, the Civic Scholarship Project is an internal grant program at UPS that aims to connect the university's faculty and students with citizens of the south Puget Sound. The university provides \$10,000-\$20,000 annually to selected faculty who request resources to support programs that bring the community and university together in productive and supportive collaboration. The director of the Civic Scholarship Program, Bruce Mann claims that the small amount of funding, allocated from the president and provost, validate the work of faculty who are involved in engaged scholarship (Mann, Interview, 2012).

6.3.2.3. **Institutionalization of Engagement**

It is widely noted that, "since the current university president Ron Thomas came to UPS, the university works more intentionally with the community and community organizations," (Hickey, Interview, 2012). The President established two full-time staff designated to carry out their community engagement mission across the university.

Typically, UPS engages with the community to relieve ‘town-gown’ relationship and student problems in the community and with neighbors. UPS interacts with the community through meetings with the local community group, the North End Neighborhood Council, held at UPS. In addition, each semester the UPS tries to convene the University District Committee to address community issues with community members and stakeholders at the university—including staff from the Office of Community Engagement, Security Services, Facilities Services, and Student Affairs.

Community Engagement Manager, Rachel Cardwell, describes a university in transition. “We have gone from having town-gown relationships to being an engaged university. We just needed an extra push to start engagement. We were reactive, and now we are proactive in positioning ourselves [the university] in conversations to lend a hand in the community (Cardwell, Interview, 2012).” Executive Director of Community Engagement, John Hickey, concurs, by stating, “we strategically look for sweet-spots in the community to strategically engage, (Hickey, Interview, 2012)”.

It is recognized that liberal arts colleges, such as UPS, located in residential neighborhoods typically have long-established links with their communities, with students being encouraged into volunteerism (Ward & Moore, 2010). UPS is part of this trend in that it sees volunteerism as its main strategy in promoting student engagement. Jack Pearce-Droge, former director of Community Involvement and Action Center, recognizes that university-community relationships have changed in the past 30 years with efforts and strategic intent to make this relationship more positive. Pearce-Droge was charged with creating the center in January of 1986 to smooth over the relationship the university and its students have with the community. It has evolved over the years to

deal less with town-gown relationships and more with student volunteerism (Pearce-Droge, Interview, 2012).

6.4 **Case Study Summary**

Each of the case studies in this chapter describes an assortment of strategic intentions, a wide range of programs and activities, and a variety of structures that support “engagement”. The missions and strategic plans range from non-descript, inspirational statements to specific strategic goals targeting specific actions steps to be assessed using outlined metrics. Table Xa and Table Xb provide highlights regarding each case study university’s structure (planning, strategizing, and resources allocated); agency (engagement activities, partnerships, and programs); and how they assess “engagement” across the university. These highlights represent only a snapshot of “engagement” at these institutions, as a product of the data and information collected in this study in the 2012-2013 academic year.

Analysis of the case studies shows that different types of student bodies and types of programs offered by universities produce different types and levels of engagement. An examination of case study sample reveals shared distinctions amongst the sample of public institutions that vary from commonalities amongst the private not-for-profit universities. In all three cities, the private not-for-profit universities were established in the 19th century, thus having deeper historical roots in their cities than the public universities that were established in the 20th century. The private not-for-profits tend to have larger land holdings, be located further away from the heart of their city’s downtowns, and have tuition and fees that are, on average, four times higher than the

public universities in the sample (See Table IX). The public universities, located in the urban core, tend to cater to more non-traditional students—where enrolled students tend to be older (Figure 14.), more racially diverse (Figure 15.), and less likely to enroll full-time (Figure 16.) than their private not-for-profit counterparts. On average, 32 percent of students are enrolled part-time at public universities, as compared to the 9 percent of enrolled part-time students at private not-for-profit universities. Despite the fact that the populations of the public universities are more diverse, the private not-for-profits had enrolled twice as many foreign students in the 2011 academic year. These differences in student population and location ultimately affect the types of programs, practices, and partnerships that the university creates and maintains with the external community as described in the case studies.

**TABLE Xa. HIGHLIGHTS OF THE INSTITUTIONALIZATION OF ENGAGEMENT
AT CASE STUDY SITES IN 2012-2013 ACADEMIC YEAR**

Structure	Agency	Assessment
Georgia State University		
<ul style="list-style-type: none"> • Strategic documents with support specific engagement goal—to increase research to solve problems of global cities through the establishment of The Council for the Progress of Cities • Resources for “engagement” are decentralized • Investment for data collection at institution-wide level through the Office of Institutional Research 	<ul style="list-style-type: none"> • Office of Civic Engagement organizes service, outreach, and internships for undergraduates • Council for the Progress of Cities established in 2012. • Applied research partnerships established throughout research centers and institutes 	<ul style="list-style-type: none"> • Future analysis of mission utilizing data collected through use of newly integrated university-wide software • GSU fulfilled strategic goal by establishing the Council for the Progress of Cities; however its effect is yet to be determined • Emphasis on centralized data collection and assessment to influence decision making at university-wide level. Beginning to integrate various new software packages across institution.
Emory University		
<ul style="list-style-type: none"> • Mission and strategic plan includes engagement • Internal (and external) resources support a centralized office, Center for Community Partnerships (CCFP), to coordinate engagement for the entire university • Investment of university resources in place-based initiatives in distressed communities through the funding of the Center for Community Partnerships. 	<ul style="list-style-type: none"> • CFCP has a number of programs and activities • Colleges have a variety of service and internship opportunities • Volunteer Emory organizes service and outreach for undergraduates • Multiple research partnerships in health and medicine 	<ul style="list-style-type: none"> • CFCP is a valuable resource for community, faculty, and student—however, it does not have capacity to reach out to entire institution • Attempt to collect data at institution-wide level by CFCP; yet it is stifled by the various systems and requirements of each separate college
Cleveland State University		
<ul style="list-style-type: none"> • Strategic documents support “Engaged Learning”—promoting engaged learning to connect students to real-world experiences • Resources to accomplish this goal are decentralized and organized by colleges and their research institutes • The “Engaged Learning” goal of the strategic plan promotes engaged learning to connect students to real-world experiences. 	<ul style="list-style-type: none"> • Cleveland State provides a variety of co-op, service, practicum, and internship opportunities for students in all fields—specifically in education, health, and engineering • Each college has a variety of centers that established research partnerships with the community and its organizations 	<ul style="list-style-type: none"> • Concerted effort by administration to align the colleges and programs at CSU to community needs and assets. • Future time-series assessment of the strategic goal will be assessed by metrics: increased internships and partnerships; improved student satisfaction; and higher rates of employment • Assessment of the strategic goal is based upon increased enrollments in internships and partnerships; improved student satisfaction; and higher rates of employment in discipline-related fields.

TABLE Xb. CONTINUED HIGHLIGHTS OF THE INSTITUTIONALIZATION OF ENGAGEMENT
AT CASE STUDY SITES IN 2012-2013 ACADEMIC YEAR

Structure	Agency	Assessment
Case Western Reserve University		
<ul style="list-style-type: none"> •The university provides a mission, vision, and core values to guide CWRU, directed by the mission to, “improve people's lives through preeminent research, education and creative endeavor”. 	<ul style="list-style-type: none"> •Multiple partnerships with The Cleveland School System, local hospitals, and other organizations in which faculty and students provide services and apply their skills and knowledge. •Research partnerships with community organizations and hospitals 	<ul style="list-style-type: none"> •Decentralized data collection. •Data collection varies by college, thus current efforts are underway to begin to collect university-wide data on university-community partnerships.
University of Washington Tacoma		
<ul style="list-style-type: none"> •Engagement is at the core of the university’s mission and strategic planning: influencing the campus plan, enrollment, educational offerings, and research. 	<ul style="list-style-type: none"> •Engagement embedded in administrative decision-making •The community recognizes UWT as a partner in redevelopment of downtown Tacoma •Academic programs are tailored to meet the needs of the student population and the community’s needs •Enrollment services reaches out to local community 	<ul style="list-style-type: none"> •Student and Enrollment Services estimates student engagement and involvement. •Additionally, In 2011, a Campus Engagement Activities Inventory, (with a response rate of 18.8 %), provided an overview of engagement work.
University of Puget Sound		
<ul style="list-style-type: none"> •Engagement is interpreted as, “forging lifelong relationships” by taking pride in UPS and treating it like family, volunteering in the community, and investing in UPS in the future. 	<ul style="list-style-type: none"> •Center for Intercultural and Civic Engagement (CICE) provides opportunities for community service, social justice, and service learning activities. •UPS provides arts and entertainments events for the community. •UPS representative attend community meetings. 	<ul style="list-style-type: none"> •Data collection mechanisms do not appear to exist. •The Center for Intercultural and Civic Engagement produces a bimonthly newsletter and has estimated the percentage of students that volunteer each year.

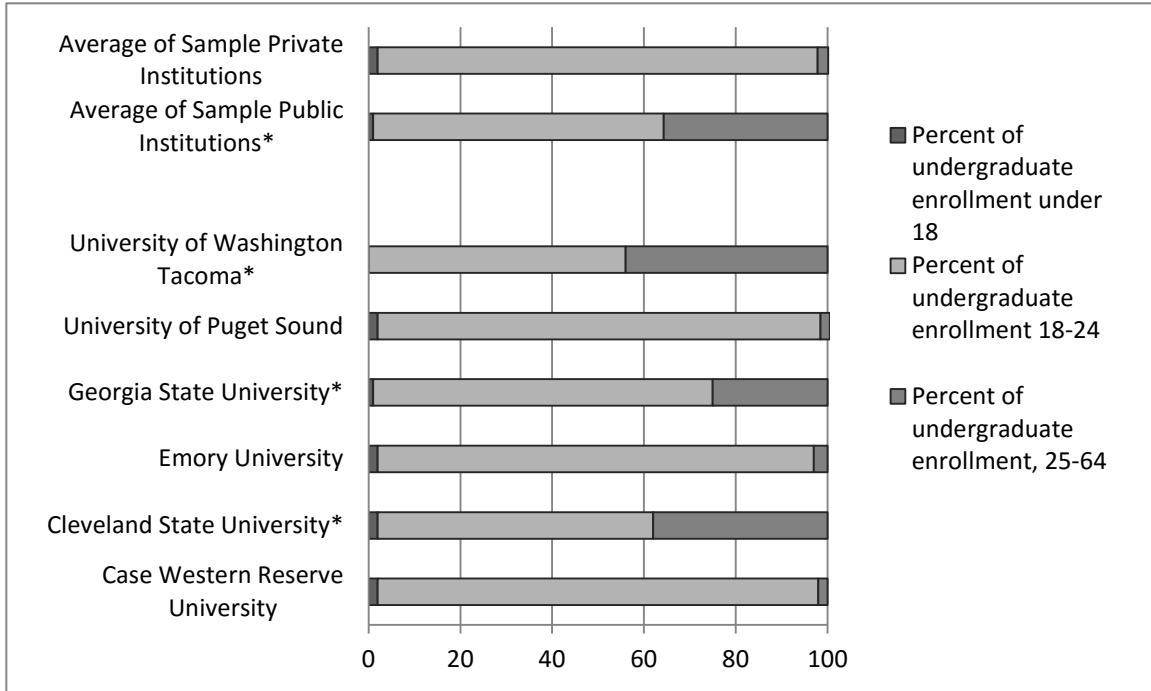


Figure 14. Percent of Undergraduate Enrollment by Age Categories, 2011 IPEDS

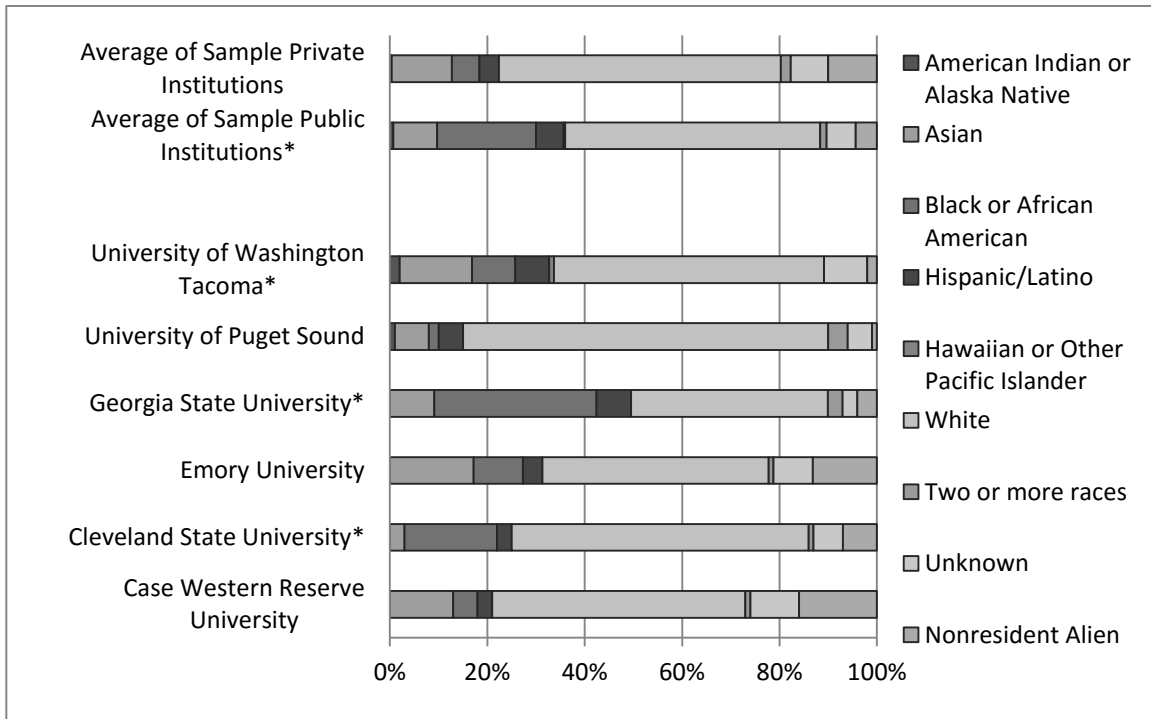


Figure 15. Proportion of Enrollment by Race Categories, 2011 IPEDS

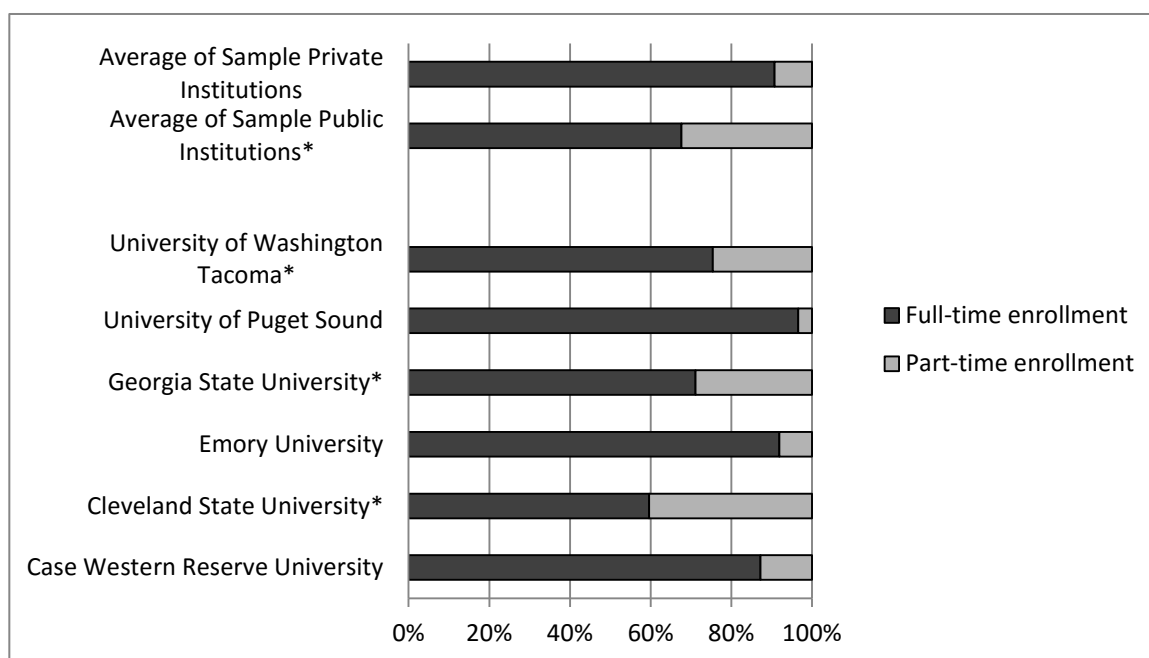


Figure 16. Proportion of Full-time and Part-time Enrollment, 2011 IPEDS

Findings suggest that engagement has become central to and supportive of the teaching and research missions of the urban university and that each university's engagement mission does not follow a rigid or uniform mold. From the various case studies, we see that each institution serves a different student population, with varying skills and interests, in a distinct location within a specific community. All of these institutions have distinguishable practices that can shape a unique vision and for its time and place. Data and information can bring clarity to the actual institutionalization of "engagement". Each institution can and must find its own path to their engaged missions and define it as such. Chapter Seven will examine how these case studies and the survey

findings can enlighten our understanding of what institutionalization of “engagement” means at urban universities.

CHAPTER VII. CONCLUSION

This dissertation concludes by answering all four research questions proposed in this dissertation, in particular the fourth and final set of research questions: 1) to what extent are university-community engagement strategies truly embedded and institutionally aligned at urban universities; and 2) are there best practices or categories to describe engagement at universities? The beginning of this chapter reviews the necessary components for successful institutional alignment of an “engagement” strategy—the stated “engaged” mission and goals followed by structural changes and action steps that are assessed and reevaluated to ensure legitimation (answering research questions #1, #2, and #3). Next, the chapter will focus on how the quantitative and qualitative research data illustrates the variety of ways institutionalization transpires at urban universities. The structure-agency matrix, outlined in Chapter 3, will be applied to specific universities to facilitate the analysis of case study data and narratives, producing a categorization of numerous “types” of engagement. Lastly, this analysis of the institutional alignment of “engagement” at universities has led to, perhaps, the most important findings from this study: the problems and hindrances that universities face in their institutionalization process. These problems, along with caveats, are outlined along with recommendations and examples “best practices” or ways in which universities have successfully dealt with these issues.

7.1. **Changing Rhetoric *or* Changing Institutions?**

The use of the term “engagement” in society today is widespread; thus the term often gets overused, misused, and watered-down. Initially, in higher education, the term was taken quite literally to mean, a reciprocity—“the negotiated process of working with a partner as opposed to doing something to or for a partner,” (Sandmann et al., 2010, p. 5). Reciprocity and mutuality are fundamental values inherent goals of community-engaged partnerships (Sandmann et al., 2010). However, studies about university-community engagement have found that, “most institutions could only describe in vague generalities how they had achieved genuine reciprocity with their communities,” (Driscoll, 2008, p. 41). Similarly, many universities have simply changed administrative titles and names of offices or centers to describe the university’s involvement in community—adopting the rhetoric of “engagement” without changing the majority of their actions and functions. For example, at Georgia State University, the current Office of Civic Engagement was formerly called the Office of Community Service and prior to that it was the Office of Community Service Learning; however the functions and outputs of the Office of Civic Engagement has hardly transformed over these years (Lemons, Interview, 2012). Thus, as evidenced through the literature and case studies, engagement at universities today tends to represent Boyer’s definition of engagement, which frames engagement as “application to” rather than “engagement with” communities (Saltmarsh, et. al, 2009). Thus, in this study, engagement is broadly defined to include all types of university interaction in and with the community, because, as the case studies and surveys show, one rigid model of engagement does not exist.

The survey and case study research find that the mission and strategies pertaining to “engagement” are in place at the sample of universities; however, many times these universities could not define how this mission is materialized in the university culture, the university structure, or through resource allocation. Twenty years after the initial federal investment in university-community partnerships clear, concise metrics still do not exist to measure university-community engagement. Hart and Northmore suggest that, “...there is no simple solution to the development of audit and evaluation tools for measuring community engagement (2010, p. 4). Without reliable mechanisms for data collection, especially in a field where most data collection is self-reported, university administrators must be pragmatic and use a ‘what fits best’ approach. In the effort to benchmark and measure “engagement,” many universities simply reorganize data about existing teaching, scholarship, and research—repackaging it as “engagement” work.

Most universities collect and utilize many cumulative records that are stored on paper or electronically and have a plethora of data and information on student demographics, enrollment, teaching, and research. Yet, they typically do not collect data or metrics that accommodate the magnitude and types of information that describes their engagement projects, activities, etc. Analysis of the six case study universities, demonstrates that the metrics for engagement are typically collected on an “island” or are “cobbled together” using various methods and metrics in various institutes, offices, or colleges across the university. At Case Western Reserve University, the director of Center for Civic Engagement and Learning admits that data gathering and collection around student engagement consists of, “the university ‘cobbling’ together stats to come up with numbers for reports, such as the president’s honor roll for community service

(Banks, Interview, 2012)”. Similarly, the Director of Institutional Research at Case Western Reserve University revealed that many times universities have to “manipulate” data to fulfill reporting requirements (Gubbins, Interview, 2012). This lack of existing methods for data collection around “engagement” coupled with deficient investment by universities in the creation of new data repositories to collect such data creates a barrier to institutionalizing an “engagement” logic.

In Berger and Luckmann’s theory of institutionalization, they note that, “the edifice of legitimations is built upon language (1966, p. 64),” suggesting that compelling and persuasive rhetoric is a necessary component of institutional change. Rhetoric is “discourse calculated to influence an audience toward some end,” (Gill & Whedbee, 1997, p. 157). However, rhetoric alone does not produce change—true legitimation is supported with policies, action, and material practices. From an institutionalist perspective, if university-community engagement matters and universities are serious about institutionalizing this ‘logic’, then evaluation and assessment must become more than just a tool or practice intended just for grants, awards, and accreditation. Collecting information and data regarding engagement practices must become an integral part of the overall assessment in the formal organizational structure. It must shape the way that faculty, staff, and students view their practices and performance on a day-to-day basis. The formality of assessment not only provides structure for the university and its separate units, it also makes available information and data that creates a sense of identity and culture reflecting the university’s mission. As illustrated in Figure 17, evaluation must be embedded in the university structure to provide legitimation and validation of the “engagement” logic through feedback loops. Assessment and evaluation offer

accountability checks to ensure university mission statements and strategic goals are being supported and fulfilled.



Figure 17. Diagram of Elements of Institutionalization of University-Community Engagement Strategy

Data and assessment are crucial for universities in order to gain continued support and funding for “engagement,” both internally from the university and from external funding sources, such as the federal government and foundations. Thus, universities must find a way to measure what matters. University leadership, involved in this university-community work, recognize the need for tools to evaluate and describe their efforts. Accordingly many universities have contributed to funding such data collection efforts, such as the research described in Chapter 5. The survey research in this study

focuses on how the term “engagement” is converted into visible and tangible inputs and outputs, as seen through examining multiple universities’ planning process, strategies, goals, programs, and activities. This research finds that the “engagement” rhetoric is similar at most of the universities in this study; however, each university has their own unique interpretation and application of the term. Furthermore, analysis of response rates to the survey reveals that universities have a difficult time collecting this data. Thus, how do universities, accreditation bodies, and funding agencies determine whether or not universities are fulfilling their engagement missions and goals? A university’s commitment to “engagement” and the true institutionalization of the “engagement” can only be realized if there is a clear understanding of what constitutes an “engaged” institution, and what does not.

7.1.1.1. Assessing the Institutionalization of an Engagement Logic

The analysis of the engagement as an institutional logic is examined through the legitimization of the rhetoric (that articulates the logic), and the structure and agency or ‘institutional work’ (Lawrence & Suddaby, 2006) that enables both structural and cultural institutional change (Brown, Ainsworth & Grant, 2012). The literature presents plentiful exploratory evidence supporting the rhetoric of “engagement,” typically seen in best practices, case studies, and through specific programmatic stories about university-community partnerships. Nevertheless, if engagement is to be fully realized as an institutional mission then a deeper level of commitment is required across the institution that moves beyond model programs and isolated initiatives. Conceptualization of “engagement,” as noted in Chapter 3, can be seen through manifestations of structure and agency at universities that are embedded in a number of defined variables. The extent to

which universities institutionalize their engagement logic can be inferred from the presence of both adequate structure (planning, strategizing, and resources allocated) and agency (engagement activities, partnerships, added value from engagement efforts). Thus, in order to determine the whether or not “engagement” is institutionalized, information must be available that represents both the manifestations structure and agency.

The findings from this research conclude that urban universities are adopting engagement as part of their missions and strategic documents, representing a portion of the university structure. In both the 2009 and 2013 surveys of the Coalition of Urban Serving Universities, every one of the USU member respondents reported that their institution has a stated commitment to “engagement” as part of their mission statement, which is concurrently integrated into their active strategic plans. Survey respondents in the most recent survey showed that most USU members have specific internal budgetary allocations for engagement, with an average investment of over \$1.2 million dollars in AY 2010-11. In addition, 70% of responding members receive external funding for engagement efforts, averaging \$13 million per institution (Friedman et. al, 2013b). These total investments, calculated by the responding institutions are a total of the following: state-funded or direct university funding/investment in operating or personnel support; state-funded or direct university funding/investment in space, facilities, utilities; and grant-funded investment or allocations administered by the university. Survey respondents noted that most of the funding, which is primarily external, comes from research grants and partnerships for specific purposes, as seen in Table XI.

TABLE XI. EXAMPLE OF REPORTED RESULTS FROM 2010 SURVEY OF THE COALITION OF URBAN SERVING UNIVERSITIES MEMBERSHIP

Percentage of Respondents Involved and Dollars Invested in the Following Types of University-Community Partnerships:		
	Percentage of USUs Involved	Average USU Investment (in millions)
Partnerships with Nonprofits	90%	\$1.2
PK-12 School Initiatives and Partnerships	80%	\$1.4
Public Health Care Partnerships	80%	\$9
Local Small Business Partnerships and Programs	76%	\$2.1
Sustainability Partnerships	77%	\$4.4

7.2. Degrees of Institutional Alignment: Case Study Analysis

Chapter 6 outlines the mission statements, strategic goals, structure and agency, along with the assessment data collection, taking place around university-community engagement, illustrating varying depths and manifestations of structure to support engagement (planning, strategizing, and resources allocated) and varying degrees of agency (programs and activities). All six case study universities had introduced “engagement” into their missions and strategic documents around the turn of the twentieth century. Thus, to what extent do the six case study universities institutionalize the “engagement” logic?

Utilizing the structure-agency matrix, presented in Chapter 3 (Figure 8, p. 85), each university can be analyzed in terms of its supporting structures and level of agency in university-community relations. A university’s structural support of engagement range from an overall lack of structure to a fully supportive structure including resources,

personnel, offices, and data collection directly associated with “engagement” efforts. In the same vein, a university’s agency ranges from a lack of activity and programs associated with “engagement” to a very active engagement with the community. Envisioning this matrix on a continuum, similar to the levels of citizen involvement described by Sherry Arnstein’s ladder of participation (1969), we can begin to place universities into categories or ranks. Figure 18 provides an example of typologies of universities—based on the perceived levels of structure and agency achieved.

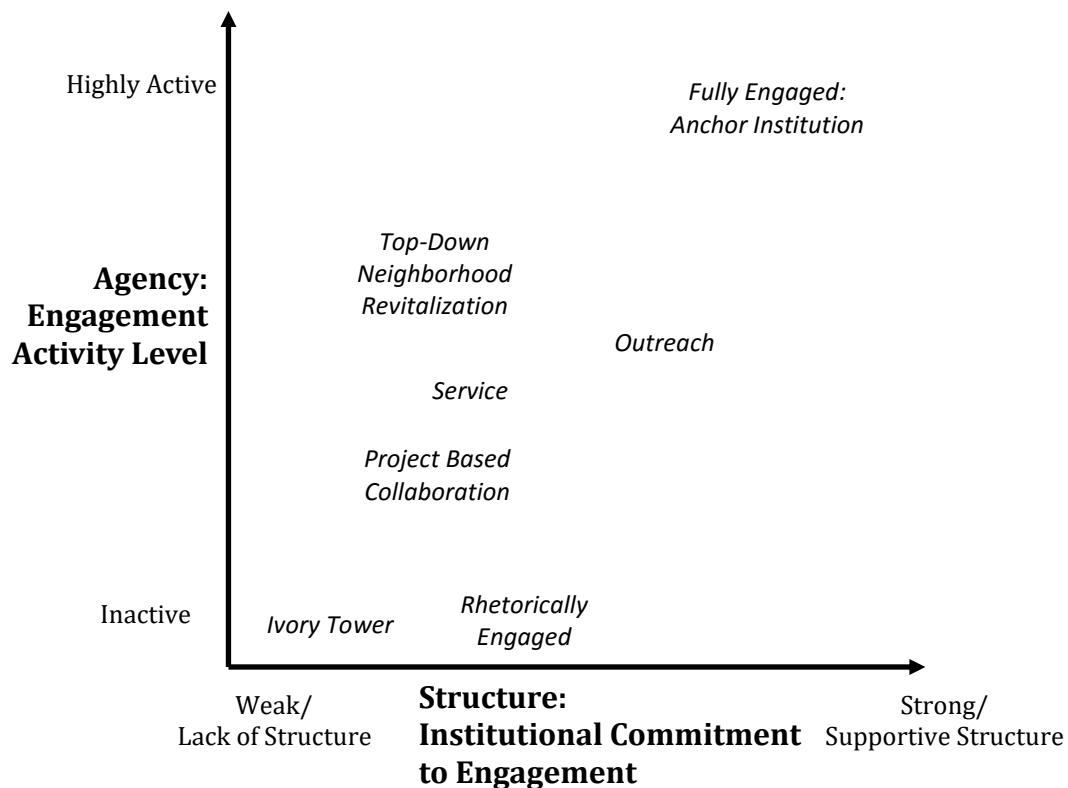


Figure 18. Variations of the Institutionalization of Engagement at Universities: Utilizing a Structure-Agency Matrix

The newly adopted “engagement” agendas at most universities have yet to be embedded fully into the university—specifically in terms of accountability and assessment. In each of the case study sites, the universities lacked comprehensive metrics and data collection for benchmarking and assessing institutionalization of engagement at the university-wide level. Therefore, concrete, tangible evidence does not exist to fully compare these complex institutions or rank them in terms of their engagement agendas.

It must also be noted that this study provides merely a snapshot of each case study’s “engagement” efforts—specifically during the 2012-2013 academic year. Universities are complex organizations that are continuously, albeit slowly, changing; thus, university adoptions of “engagement” agendas fall on a spectrum in the structure-agency matrix. To fully answer the final question in this research—assessing the extent to which university-community engagement strategies are truly embedded and institutionally aligned at urban universities—additional data would need to be collected over a longer period of time to truly determine the institutionalization of “engagement”. Thus, the analysis of these universities is based on the available and collected data, which may not fully represent all activities and characteristics of each university. The following analysis of the institutionalization of engagement, instead, can only be said to have partially legitimated in each of the sample institutions in specific ways, as outlined in Tables Xa and Xb in Chapter 6.

In Tacoma, Washington, the two case study sites illustrate two universities with very different histories, embedding engagement in two very different manners in the 2012-2013 academic year. The University of Puget Sound (UPS)—a long established

liberal arts college catering to traditional students in a residential neighborhood—has recently adopted the rhetoric of engagement. Engagement has just recently begun to materialize at UPS through marginal engagement activities carried out in an ad hoc manner through various offices on campus—most notably through the newly reorganized Center for Intercultural and Civic Engagement. Engagement with the community at UPS can be described as “Service”. The University of Washington Tacoma (UWT), on the other hand, is a young University of Washington branch campus intended to serve the local Puget Sound Region population, consisting of many nontraditional students. Founded in 1990, UWT embraced “engagement” with the community of Tacoma from its inception—integrating the physical campus into the community, attracting local partnerships for academic programs and research, and overtly serving the needs of the Puget Sound Region through enrollment and programmatic choices. Due to leadership and innovative decision-making, UWT has been able to fully integrate the logic of engagement into both its structure (planning and resource allocation) and agency (activities and programs), making it a prime example of the “fully engaged” institution (quadrant IV of the structure-agency matrix).

The case study sample included two universities that carefully drafted precise and focused engagement strategies—stating specifically how they were to measure their strategies in strategic planning documents. These universities, Georgia State University and Cleveland State University, were able to track achievement of their specific strategic engagement goals. However, these universities only measured very specific types of engagement, leaving the analysis of a full university-wide adoption of an “engagement logic” unfeasible. Cleveland State University, for example, has worked hard to develop

Engaged Learning™, an integral component of the university’s mission and an influential and vibrant marketing strategy. And although, individuals may interpret Engaged Learning™ in their own way, the strategic documents clearly state that Engaged Learning™ is: increasing opportunities for internships and experiential learning activities with employers; increasing student participation in civic engagement activities outside the classroom; enhancing resources to support student participation in research initiatives; encouraging faculty to incorporate active learning opportunities in coursework; and increasing student participation in extracurricular activities (Cleveland State University, 2012). Thus, Cleveland State University can determine whether or not they have institutionalized this mission through the collection of specific metrics to gauge its institutionalization. This case study illustrates that universities can shape their own distinctive, individual conception and application of “engagement” consistent with their own internal and external structure and environment. However, this type of engagement does not necessarily fulfill all of the requirements of becoming a “fully-engaged” university, according to most national organizations, including the Carnegie Foundation⁴⁰ and Campus Compact.

Both Cleveland State University and Georgia State University recognize that they have a vested self-interest in university-community partnerships to enhance their curriculum, student retention, and student job-placement and program success. Thus, on the structure-agency matrix, both of these universities would be placed in the medium

⁴⁰ On October 8, 2014, the Carnegie Foundation for the Advancement of Teaching announced that it transferred responsibility for the Carnegie Classification of Institutions of Higher Education to Indiana University Bloomington's Center for Postsecondary Research. The Classification will continue to retain the Carnegie name after the Center for Postsecondary Research takes over responsibility on Jan. 1, 2015.

range of both structure and agency—with concentration on specific collaborative partnerships and outreach in the community.

Over the past few decades, Case Western Reserve University has been involved in neighborhood revitalization due to its location in University Circle. But, like Cleveland State and Georgia State, its engagement strategies are embedded in service, outreach, research partnerships, and experiential learning. Case Western successfully utilizes its student population and its prolific research to benefit the neighborhoods surrounding the campus. They are involved with multiple partnerships; including the Cleveland School System, local hospitals, and other organizations. They are highly active and present in their community; however, the central university administration does not invest abundant resources in specific university-wide strategies above and beyond their Civic Engagement Scholars Program and undergraduate student outreach in the community.

With a budget over four billion dollars, over 27,000 employees, and medical charity care in fiscal year 2012 that totaled \$72.1 million, Emory University has a strong presence in Atlanta. Over the years, Emory's central administration has made the effort to strategically invest resources, knowledge, and student service in distressed communities near its campus. The university created the Center for Community Partnerships, with internal and external resources, to coordinate engagement for the entire university. Despite the fact that CFCP receives hard university dollars, most of programmatic work at CFCP is driven by grants, contract, and investment. Both of these sources of funding are dwindling—which affects the sustainability of Emory's engagement work. Similar concerns about the institutionalization of an engagement agenda arise due to the fact that the nine separate schools at Emory are silo-ed both

physically and socially. And although Emory has a host of resources for engagement, the university as a whole struggles with how to coordinate and organize the activities and partnerships of nine successful and unique colleges into one united university. Emory University is involved in a number of ways in its community through its specific office for engagement; however, all components (students, faculty, and staff) across the campus may not even be aware of the work that Emory does in its community.

7.3. **Research Findings, Caveats, and Recommendations**

The institutionalization of “engagement” at urban universities has proven difficult to assess, due to the breadth and complexity of what constitutes engagement and the lack of existing metrics for assessment. The analysis of the six case studies and 79 surveys regarding engagement at urban universities have produced multiple reoccurring themes that stifle the institutionalization of “engagement.” In this section, three of the major hindrances to institutionalization will be laid out and followed by a discussion of plausible recommendations. They include:

- 1) Intentions described in university mission statements and strategic documents are rarely, fully realized. The strategic planning process and supporting documents at universities should explain the explicit resources and structural changes that are required to support its goals.
- 2) Universities are multi-leveled, siloed, and inherently decentralized which prohibits coherent institutionalization of university logics. University leadership must make a concerted effort to plan and assist in implementing

how each university subgroup will internalize and assess university-wide strategies.

- 3) Universities are pluralistic institutions, functioning with multiple, competing logics. Universities must clearly and distinctly define who they are and attempt to communicate their mission and strategic intent to their various stakeholders.

7.3.1. **Planning Disconnected from Resources**

The strategic plan cannot be implemented without a well thought out financial plan. If we look back at the literature on strategic planning presented in Chapter Three, most experts emphasize the need for resources and investment in order to make a strategy a reality. “Organizational success hinges on selecting strategic goals correctly, on ensuring their compatibility, and on marshaling the resources to achieve them, (Scott, 1994, p. 15)”. According to Dickeson, an average of only 20 percent of the hundreds of strategic planning documents he has reviewed, mention where the required resources to achieve the goals come from and even fewer discuss the, “reallocation of existing resources” as a source of funding (Dickeson, 2010, pp. 20-21). Universities typically spend months, and even years, putting together a strategic plan full of new programs and initiatives, that serve as “wish lists,” not embedded in reality. Strategic objectives and priorities should be aligned with resource allocations, as required and monitored by higher education accreditation associations. During the case study site visits, many of the engagement experts and program coordinators voiced their frustration with their administrations mandate to practice and embed engagement without providing the

adequate resources to do so. As one community engagement director states, “They [administrators] don’t want to invest in the inputs, but they want me to show the outcomes” (Rich, Interview, 2012).

The level of engagement activities at most urban universities is directly associated with the type of external funding that is available for community outreach, service, and research. During the 1990s and 2000s, faculty, students, centers, institutes, and institutional leadership were beginning to reap benefits and recognition from the federal government (through HUD’s OUP), local and national foundations, the private sector, and local municipalities for their work and positive impact on community. However, this funding has begun to dry up, threatening the sustainability of “engagement” work. As Steve Mendel, the Director of the Urban Center and the Center for Nonprofit Policy and Practice at Cleveland State, poignantly states, “You can’t just prime the pump. If you take away the money, university-community partnerships will fall apart. If the partnerships do not produce, then it will be cut from funding or will simply vanish (Mendel, Interview, 2012)”. Engagement came about at a time when the public institution was expected to do more. However, with the disinvestment from states and the federal government in higher education, how will urban universities be able to afford community work?

7.3.2. **Fragmented Organizations**

Universities are said to be loosely-coupled organizations (Weick, 1995) that leave adequate leeway for subsections of the organization to adopt university-wide policies locally with substantial discretion. Universities are multi-leveled, and inherently more decentralized than other organizations (Clark, 1983). Within the university, different

structures (models of conduct and performance indicators) exist in the various subsectors or units and these directly shape the agency (the way participants act and react) to larger institution-wide directives. Furthermore, the formal university organizational structures are often quite different from the actual informal structures and practices, with the day-to-day work of individuals often detached from the overall structure of the organizational environment. University policies are, many times, ambiguous. Significant authority within universities lies in the individual faculty members and staff. Often, the leadership capacity of university administrators is reliant upon the support of individual departments, schools, colleges, and faculty members. The internal political processes practiced by highly independent intellectuals make universities highly resistant to change. In addition, universities are multipurpose organizations that serve multiple markets (Middaugh, 2010).

The siloed structure of various offices and disciplinary units within the university are not going to merge or change. Therefore, organizational change in a university is typically more successful when the key formal and informal leaders recognize the need for change and incorporate it into their own portion of the university in meaningful ways. University-wide change processes take an abundance of work and communication, because each of those units must interact with organization-wide administrative leadership and offices. Rather than each college or department creating and maintaining its own way of communicating with administrative units, a far more effective approach to improve the flow of information both up the line of command and across the organization would be the integration of systems (Neilson, Martin, & Powers, 2007).

One way that subsectors of universities can effectively communicate, benchmark, and assess their strategic choices is through universal university-wide reporting systems. In most cases, each silo in a university collects data and information that is reported “up” the chain and not across. This stifles interdisciplinary work, particularly when it comes to partnerships with external stakeholders. According to the Director of Community Building Fellows Program at Emory, “the community organizations that partner with the university typically have centralized systems of reporting and know what the organization does and who they are working with. Emory, on the other hand, consists of 9 schools doing work with a variety of partners. Each one, in its own silo, is not aware that other university entities might be partnering with the same organization. (Interview Grace, 2012).” Thus, universities can begin to build university-wide reporting systems (annual faculty reports, student reporting, etc.) to create a system that stems from the central leadership office and reaches all centers, departments, and colleges. This allows for the existing mandated university reporting to function more fluidly across the university, while still allowing for each department or college to tailor additional data collection and reporting to their standards.

Over the past few decades, information technology has evolved to become an important element in university institutional research. The characteristics and possibilities created by information technology have given institutional research departments at universities a new opportunity to achieve the organizational vision and objectives (Mohapatra & Singh, 2012). The case studies provided multiple lessons that can be learned from individual attempts to integrate university-wide systems to track engagement. Many universities have created their own databases to track community

partnerships, and they have found that they are hard to maintain or inaccurate if: 1) they are based on non-mandatory self-reporting by faculty, staff, and students; and 2) the data is entered into the database by one or two staff members. This lesson was learned by the Center for Community Partnerships at Emory, who created their own partnerships database that was maintained, in-house, by staff members who had to seek out all of the university-community partnerships across the institution. This method is not only time-consuming and overwhelming, it may also provide inaccurate data due to the lack of knowledge about all partnerships that occur across the nine colleges (Moriarty, Interview, 2012). On the other hand, at Georgia State University, their Office for University Research attempts to integrate as many of the databases used by various departments, colleges, and centers to a central system. Recently, they have adopted a variety of new software packages (*DigitalMeasures*, *Weave Online*, and *OrgSync*) that will be adopted institution-wide and they will be able to run extractions and populate data from all of these systems to create reports and provide a wealth of data for decision making.

7.3.3. Competing Logics

Should urban universities strive to accept and legitimize engagement?

Universities are pluralistic institutions, juggling multiple competing logics—teaching, research, writing, advising, administrating. Agents within the university must confront and overcome different and conflicting interests. Within the university there are many agents acting and interacting with various goals and objectives—teaching, research, writing, advising, planning, organizing, learning, participating in social activities, leading, etc. The multiplicity of logics in an organization makes the nature and outcomes

of reflexivity of each logic for individual actors neither fixed nor certain. Reflexivity allows the actors/agents to interact with the ‘logic of engagement’—choosing whether or not they will adopt the myriad of engagement strategies and practices. Each individual, department, or college has to, “respond to these influences; which being conditional rather than deterministic, are subject to reflexive deliberation over the nature of the response,” (Archer, 2003, p. 8).

Higher education, embedded in postmodernity, is another pluralistic field with various competing logics. Proponents of various logics can celebrate this diversity in established contexts of conflict and collective action. At the organizational (university) level various contrasting logics can coexist and endure. However, the organization’s structures and policies must respond to and reflect all institutional logics. In this study, the university must respond to the engagement logic in order to establish legitimacy (Greenwood et al., 2011). This can be accomplished through changes in culture and individual actions (DiMaggio & Powell, 1983; Friedland & Alford, 1991). However, many institutional theorists have contended that legitimation must involve the use of organizational rules and structures—including the allocation of resources, rules, policies, and programming (Kraatz & Block, 2008). Therefore, if the engagement logic is to have a fighting chance at survival, universities will have to alter existing resources and structures. Legitimation of engagement will not occur without change—change of promotion, tenure and hiring policies; teaching and learning objectives, resources, etc.

Throughout this research, evidence that the once marginalized “engagement” research and practices became a legitimate component in the missions of urban universities across the US. The authors of the literature on engagement imply the

normative position that engagement is good, illustrating success stories and describing how universities can better partner with their communities and regions. Not surprising, the literature implies the assumption that engagement is institutionally accepted across the board at universities. However, is it possible for urban universities to sustain this “engagement” mission amongst the historically-rooted logics of teaching and research, or the increasing privatization logic, in the field of higher education?

This research was conducted at the end of the height of interest and investment of the “engagement” agenda. The major push at many institutions to start an office of engagement was HUD’s OUP grants to universities starting in the mid-1990s. These grants were leveraged with other funds and grants from foundations, States, and internal university investment. Today, many universities, in particular public universities, are no longer receiving the large sums of State appropriations for their engagement work. The federal government has not reinvested in this work and previous, highly invested foundations, such as the Kellogg Foundation and Living Cities, have withdrawn sums of money and grants connected to university-community partnerships. Today, federal funding is tied to initiatives to increase retention rates at institutions of higher education and tomorrow it might be something else. Therefore, tomorrow, will “engagement” be at the center of university missions?

In universities, the individual identities of colleges, department, and specializations are so varied, that “engagement” fits differently or better into some subsets of the university. In a department such as Social Work (a niche), “engagement” can produce great outcomes. When engagement does not suit a specific endeavor or department, enforcing engagement can come at a cost. There is resistance to institutional

change across the board that change does not benefit everyone. One way that universities can begin to institutionalize “engagement” is through the promotion, tenure, and hiring process. However, research universities, in particular, are extremely resistance to change in promotion and tenure guidelines, because not all departments can benefit from the addition to engaged scholarship in these guidelines (Britner, 2012). Ned Hill, Dean of the Maxine Goodman Levin College of Urban Affairs at Cleveland State University, who promotes engaged research and continues to build university-community partnerships, also contends that promotion and tenure should be derivatives of one’s research and not their engagement. “However, engagement can and should be reflected in the scholarship (Ned Hill, Interview September 2012)”.

Universities that make the strategic choice to become “engaged” institutions should strive to be fully engaged—investing resources, providing organizational supports and structures, practicing engagement through programs and activities, and assessing the extent to which university units, across the board, are legitimizing this mission. If the university, as a whole, is not going to support a “logic” of engagement, then perhaps specific colleges, departments, or institutes can continue to do this work and promote it in their own missions and goals. “Engagement” strategies and missions are achieved through institutionalization—integrating the fundamental values and objectives into the organization's culture and structure, while also changing the daily activities of students, faculty, and staff.

7.4. Final Thoughts

Moving forward, it is apparent that collecting data around engagement is challenging. However, both the institutions, coalitions, accreditation bodies, foundations, and governmental agencies remain committed to this effort and believe that a limited set of key institutional performance metrics collected consistently will yield a better data framework to inform public policy. Additionally, analysis of the results of this study will be used to identify strategies likely to increase the quality, impact and sustainability of engagement practices in a time of budget constraints. The documented strategies and practices will aid in the formulation of best practices and suggestions that could potentially advance university-community engagement at urban universities—focusing on institutional and organizational structure as well as programs and activities that support faculty, researchers and students involved in engaged research and/or engaged teaching and learning.

Lastly, this study is part of a larger inquiry to the study of competing institutional logics. The research serves to inform future logics introduced in higher education—such as distance learning (MOOCS) or privatization. Additional research is required, which investigates how rhetoric is used to maintain and support existing logics, and how rhetoric is used to introduce new logics in a pluralistic institution. The analysis illustrates the arbitrary nature of university mission statements that introduce multiple institutional logics that are embedded in complex, even contradictory, understandings that make reference to alternative logics. This finding, and the analysis which supports it, has two broad sets of implications for research. First, it suggests that further attention should be given to the role of rhetoric in processes of institutional change—specifically the need to

scrutinize closely how shifts in dominant logics are initiated and sustained. Second, this study suggests an increased need for metrics to measure and validate the engagement work that universities are involved in order to convince university stakeholders of the legitimacy of an engagement mission. Engagement does not have to be an alternative mission for higher education. It is and can be integrated into the teaching, research, and service that universities provide. However, if universities do want to claim “engagement” as a guiding mission; then universities can and need to do a better job in planning, strategizing, and assessing their goals—striving for a legitimate institutionalization of “engagement”.

Appendix A. Copy of Survey Instrument from Coalition of Urban Serving Universities Study, 2013

This survey is part of an effort by the Coalition of Urban Serving Universities (USU) to collect and aggregate data on the impact of universities on U.S. cities. Information is requested on your university's partnerships and investments that are improving urban/ metropolitan communities and driving regional economic growth.

The data from this survey will be the basis for a Coalition report on the ways that USUs anchor the development of cities and metro regions. It will help the Coalition to identify the partnership practices that are achieving measurable outcomes in cities. The results will allow the Coalition to develop the framework for urban/metropolitan research universities as "anchor institutions," and will aid the Coalition in making the case to federal policymakers that these programs warrant ongoing or new public funding.

Before developing this survey, we have mined all available national data sources. The following questionnaire seeks information that is not easily accessed by the public or from any one source in each of our institutions. We are grateful for the ongoing work of your leadership related to the development of this survey and for the efforts required to supply this data.

Data is requested for the academic year 2011–2012; financial reporting information is requested for fiscal year 2011. If your institution does not have data for this year, please provide the best data you have and specify the data source and year. If your institution does not collect this data or is not involved in the questioned activity, please answer accordingly. Each question is followed by a question that allows you to explain how you have collected the data, why you could not collect the data, or how you collect the data differently. This additional information you provide about how your institution collects data or assesses programs will aid in creating better metrics for future data collection.

Again, we thank you for your time. If you have any questions regarding this survey, please contact Carrie Menendez at cmenen3@uic.edu.

I. CAMPUS MANAGEMENT AND COMMUNITY DEVELOPMENT

University Real Estate. The questions in this section ask about how much real estate your university has developed or currently holds for potential development as of your latest audited financial statement. Please include information on real estate on the campus located within the city/metropolitan region limits and considered part of the main campus.

1a. In the table below, please tell us about the acreage, building space square footage, and value of the real estate your university owns, leases, and leases out as of FY 2011.

	Acreage of Land	Gross Square Footage of Building Space	Value of Land & Buildings
Total university real estate	Fully owned		\$
	Leased to the university		\$
	Mixed use		\$
Total undeveloped real estate	Fully owned		\$
	Leased to the university		\$

- **Mixed-use real estate** includes buildings or property utilized by both the university and the community. They may be owned by the university or leased out to other sectors. Examples include dorms owned by nonprofits on campus or a theater that serves and functions for both the university and as a community theater.
- **Gross Square Footage** is total square footage and includes all Assignable and Non Assignable Space for those campuses that have done the assignable space calculation.
- **Value of Land** is the original cost. **Value of Buildings** is the original cost of the building net of depreciation for 2011-2012. Public campuses generally follow GASB guidelines and private campuses follow FASB guidelines when valuing land and buildings.

1b. Please describe how you have collected the data, why you could not collect the data, or how you collect the data differently.

University Spending and Visitors. This section addresses university spending and attraction of visitors to university facilities and events.

2. During FY 2011, how much did your university spend on...

- Total expenditures at the urban/metropolitan campus? *(include amounts for b, c, d, & e below)*..... \$
- Construction and renovation of facilities? \$
- Taxes (federal, state, and local taxes on property, payroll, etc.)? \$
- Wages and salaries of all university employees? \$
- Purchase of goods and services? \$

- **Total expenditures at the urban/metropolitan campus** refers to all salaries and wages, benefits, operating, capital, renovation expenditures from all funding sources.
- **Construction and renovation of facilities** refers to all construction and renovation of facilities in capital and operating expenditures.
- **Taxes paid (federal, state, and local taxes on property, etc.)** refers to taxes paid by the institution and will apply normally to private institutions, not public. Employer share of payroll taxes are reported with gross salary under item d.
- **Gross salary plus employer benefits of all university employees** refers to gross salaries, which includes salaries, benefits, and employer share of payroll taxes.
- **Purchase of Goods and Services** refers to all expenditures on goods and services.

2f. Please describe how you have collected the data, why you could not collect the data, or how you collect the data differently.

3a. During the previous 3 years (FY 2009, 2010, and 2011) how much did your university spend on...

Construction and renovation of facilities? \$

3b. Please describe how you have collected the data, why you could not collect the data, or how you collect the data differently.

4a. During the previous 5 years (FY 2007, 2008, 2009, 2010, and 2011) how much did your university spend on...

Construction and renovation of facilities? \$

4b. Please describe how you have collected the data, why you could not collect the data, or how you collect the data differently.

5a. During the previous 5 years (FY 2007, 2008, 2009, 2010, and 2011) has your institution participated in collaborative partnerships for land-use development or mixed-use developments (i.e. public-private partnerships or public-public partnerships for campus or facility construction)?

- ☐ University has collaborated with other institutions for development
☐ University has NOT collaborated with other institutions for development → SKIP TO #6a

5b. Please describe 1 – 3 key examples of this type of collaboration.

5c. Please describe how you have collected the data, why you could not collect the data, or how you collect the data differently.

6a. Does your university make a contribution to the local municipality in lieu of taxes, or does it not?

- ☐ Does make such a contribution
- ☐ Does not make such a contribution → SKIP TO #7a

6b. Does your university have a formal written agreement with the local municipality regarding the contribution, or does it not?

- ☐ Does have formal written agreement
- ☐ Does not have formal written agreement

6c. Please describe the agreement and the contribution.

Community Development Programs. This section asks USU member institutions to describe the innovative programs related to community development in which they participate.

7a. Does your university have Employee Assisted Housing (EAH) programs, or does it not?

- ☐ Has EAH programs
- ☐ Does not have EAH programs → SKIP TO #7d

7b. During FY 2011, how much money did your university invest in EAH programs? *(see survey worksheet for calculation details)*..... \$

7c. Please list and describe 1–3 key examples of EAH program(s).

7d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

8a. Does your university provide support to outside nonprofit organizations related to community and neighborhood development, or does it not?

- ☐ Provides support to outside nonprofit organizations *(see survey worksheet for details)*
- ☐ Does not provide support to such organizations → SKIP TO #9a

8b. During FY 2011, how much money did your university invest in providing support to outside nonprofit organizations related to community and neighborhood development? *(see survey worksheet for calculation details)*..... \$

8c. Please list and describe 1–3 key examples of your university's support to outside nonprofit organizations.

8d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

9a. Has your university invested in beautification efforts (e.g., streetscaping, signage) in the neighborhoods adjacent to the campus, or has it not?

- ☐ Has invested in beautification efforts in surrounding neighborhoods (*see survey worksheet for details*)
- ☐ Has not invested in such efforts → SKIP TO #10a

9b. During FY 2011, how much money did your university invest in beautification efforts in the neighborhoods surrounding the campus? (*see survey worksheet for calculation details*).....\$

9c. Please list and describe 1–3 key examples of your university’s investment in beautification efforts in the neighborhoods surrounding the campus.

9d. Describe the importance of your campus in stabilizing and/or enhancing the surrounding neighborhood.

9e. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

10a. What is the total number of cultural facilities owned or used by your university?

- **Cultural facilities** refer to university leased or owned land, buildings, or structures used to provide educational, cultural, and informational services to the general public, including but not limited to art galleries, museums, theatres, and concert venues.

of facilities on campus

of facilities off campus

10b. How many people attend these cultural facilities each year for events/exhibits/meetings (total count, not unduplicated)? people

10c. What is the total capacity of the cultural facilities? people

10d. To how many organizations/community groups were cultural facilities rented or loaned during FY 2011?

10e. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

11a. What is the total number of athletic facilities owned or used by your university?

of facilities on campus

of facilities off campus

11b. How many people attend these athletic facilities each year for events/ exhibits/meetings (total count, not unduplicated)?

people

11c. What is the total capacity of the athletic facilities?

people

11d. To how many organizations/community groups were athletic facilities rented or loaned during AY 2011-2012?

organizations/groups

11e. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

Public Safety Initiatives. The questions in this section ask about safety initiatives at your university.

Public Safety Initiatives refer to the department or unit expenses for campus security including personnel, lighting, emergency phones, equipment, and operating costs. Also report public safety technologies, crisis planning, safety maintenance costs, and other safety initiatives.
or safety maintenance costs.

12a. What is the total amount spent during FY 2011 on public safety initiatives at your university? (see survey worksheet for calculation details) \$

12b. Does your university provide or participate in any of the following activities for either the adjacent community or other off-campus neighborhoods? (CHECK ALL THAT APPLY.)

- ☐ Provision of lighting
☐ Block watch initiatives

- ☐ Public safety awareness and training
☐ Crisis planning

12c. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

13a. Does your university currently provide sworn police officers or noncertified security personnel (over and above city or municipality police and patrol) either in the adjacent community or other off-campus neighborhoods to maintain a strong public safety presence in the community, or does it not?

- ☐ Currently provides police officers or security personnel
☐ Does not currently provide police officers or security personnel → SKIP TO #13c

13b. How many sworn police officers or security personnel does your university employ?

- # full-time sworn police officers
part-time sworn police officers
full-time security officers
part time-security officers

13c. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

II. UNIVERSITY-COMMUNITY PARTNERSHIPS AND ENGAGEMENT

The questions in this section ask about partnerships with the local, state, and federal governments, nonprofit agencies, and private entities where your university is contributing expertise, capital, or other resources to a joint project.

14a. Is your university currently engaged in urban/metropolitan planning and development partnerships in off-campus housing, commercial or mixed-use real estate, or is it not?

- ☐ Is currently engaged in such partnerships
☐ Is not currently engaged in such partnerships → SKIP TO #15a

14b. What is the total amount of funds your university directed toward these projects in FY 2011? (see survey worksheet for calculation details) \$

14c. What is the total value of these projects (including funds from partners)? .. \$

14d. What is the total university investment in these projects (total of investment over duration of the projects)? \$

14e. Please describe 1–3 key examples of these types of partnerships and your university's role.

14f. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

15a. Is your university currently engaged in urban/metropolitan planning and development partnerships in transportation, or is it not?

- ☐ Is engaged in such partnerships
- ☐ Is not engaged in such partnerships → SKIP TO #16a

15b. What is the total amount of funds your university directed toward these projects in FY 2011? (see survey worksheet for calculation details)\$

15c. Please describe 1–3 key examples of these partnerships and your university's role.

15d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

16a. Is your university currently engaged in urban/metropolitan planning and development partnerships in workforce development and job training, or is it not?

- ☐ Is engaged in such partnerships
- ☐ Is not engaged in such partnerships → SKIP TO #17a

16b. What is the total amount of funds your university directed toward these projects in FY 2011? (see survey worksheet for calculation details)\$

16c. Please describe 1-3 key examples of these partnerships and your university's role.

16d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

17a. Is your university currently engaged in urban/metropolitan planning and development partnerships related to sustainability/ecological issues, or is it not?

- ☐ Is engaged in such partnerships
- ☐ Is not engaged in such partnerships → SKIP TO #18a

17b. What is the total amount of funds your university directed toward these projects in FY 2011? *(see survey worksheet for calculation details)*\$

17c. Please describe 1–3 key examples of these partnerships and your university’s role.

17d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

18a. Is your university currently engaged in community development partnerships that include university-assisted community P-16 initiatives?

- ☐ Is engaged in such partnerships
- ☐ Is not engaged in such partnerships → SKIP TO #19a

18b. What is the total amount of funds your university directed toward these projects in AY 2011-2012? *(see survey worksheet for calculation details)*.....

18c. Please describe 1–3 key examples of these partnerships and your university’s role.

18d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

19a. Is your university currently engaged in community development partnerships that include a public health project as a key component?

- ☐ Is engaged in such partnerships
- ☐ Is not engaged in such partnerships → SKIP TO #20a

19b. What is the total amount of funds your university directed toward these projects in FY 2011? *(see survey worksheet for calculation details)*.....

19c. Please describe 1–3 key examples of these partnerships and your university’s role.

19d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

20a. Is your university currently engaged in urban/metropolitan research for government or community agencies, or is it not?

- ☐ Is engaged in such research
- ☐ Is not engaged in such research → SKIP TO #21a

20b. What is the total amount of funds your university directed toward these projects in FY 2011? *(see survey worksheet for calculation details)*.....

20c. Please describe 1–3 key examples of the types of urban/metropolitan research that your institution has undertaken for government or community agencies.

20d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

21a. Is your university engaged in professional development and technical training programs for the benefit of municipal governments or community agencies, or is it not?

- ☐ Is engaged in such programs
- ☐ Is not engaged in such programs → SKIP TO #22a

21b. What is the total amount of funds your university directed toward these projects in FY 2011? *(see survey worksheet for calculation details)*.....

21c. Please describe 1–3 key examples of the types of urban/metropolitan research that your institution has undertaken for government or community agencies.

21d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

22a. Is your university currently engaged in urban/metropolitan planning and/or community development partnerships in other areas, or is it not?

“Other areas” refer to any other type of partnership in which the university is involved, such as legal clinics, occupational therapy, speech/linguistic clinics, etc.

- ☐ Is engaged in such partnerships
- ☐ Is not engaged in such partnerships → SKIP TO #22d

22b. What is the total amount of funds your university directed toward these projects in FY 2011? *(see survey worksheet for calculation details)*\$

22c. Please describe 1–3 key examples of these partnerships, the amount invested in these partnerships, and your university’s role.

22d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

III. INSTITUTIONAL POLICY, PRACTICE, AND LEADERSHIP

This section requests information on institutional policies, practices, and investment related to engagement.

23a. Does your university's mission statement identify community engagement as a priority, or does it not?

- ☐ Mission statement identifies community engagement as a priority
- ☐ Mission statement does not identify community engagement as a priority → SKIP TO #24a

23b. Please provide the on-line location of the document(s) or the text that describes community engagement as a priority.

24a. Does your university's strategic plans define and plan for community engagement, or do they not?

- ☐ Strategic plans define and plan for community engagement
- ☐ Strategic plans do not define and plan for community engagement → SKIP TO #25a

24b. Please provide the on-line location of the document(s) or the text that defines and plans for community engagement as part of your university's strategic plans.

25a. Does your university have internal budgetary allocations dedicated to supporting institutional engagement with community (i.e., allocations to special organizations, institutes, or other organizations), or does it not?

- ☐ University has such budgetary allocations
- ☐ University does not have such budgetary allocations → SKIP TO #25c

25b. What is the amount of these allocations in FY 2011? *(see survey worksheet for calculation details)*..... \$

25c. What is the source of these allocations and how was the total amount calculated?

25d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

26a. Does your university have external funding sources dedicated to supporting institutional engagement with community (i.e. allocations to the university, institutes, or other projects), or does it not?

- ☐ University has such budgetary allocations
- ☐ University does not have such budgetary allocations → SKIP TO #26c

26b. What is the amount of these allocations in FY 2011? *(see survey worksheet for calculation details)*.....\$

26c. What is the source of these allocations and how was the total amount calculated?

26d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

27a. Does your university have assigned an office(s) and/or administrator(s) with the primary responsibility of leading university engagement efforts?

- ☐ University has assigned office(s) and/or administrator(s)
- ☐ University does not have assigned office(s) and/or administrator(s) → SKIP TO #27c

27b. Describe this office and/or position.

27c. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

28a. Does your university have a campus-wide internal database or documentation system for recording/tracking its community partners/partnerships and/or engagement practices?

- ☐ University has such database.
- ☐ University does not have such database... → SKIP TO #28c

28b. Describe the database or system and how your institution uses it. Is this database accessible to the public? Please provide URL.

28c. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

29a. Does the institution have mechanisms for systematic assessment of community perceptions of the institution's engagement with community?

- ☐ University has mechanisms for assessment of community perceptions.
- ☐ University does not have such mechanisms → SKIP TO #29c

29b. Describe these mechanisms and how your institution uses or assesses this data.

29c. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

30a. Does your university have review, promotion, and tenure guidelines that include the scholarship of community engagement?

- ☐ University has review, promotion and tenure practices that include community engagement.
- ☐ University does not have practices that include community engagement → SKIP TO #30c

30b. Describe this office and/or position.

30c. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

31a. Does your university dedicate space for community engagement activities, or does it not?

- ☐ Dedicates spaces for community engagement
- ☐ Does not dedicate spaces for community engagement → SKIP TO #31e

Community Engagement Activity Spaces refer to university space dedicated to community engagement, such as administrative offices for service learning, nonprofit agencies, government sponsored organizations, neighborhood centers, P-16 initiatives, other outreach OR for collaboration with community partners, activities, and events.

31b. During FY 2011, how many spaces on campus?

31c. During FY 2011, how many spaces off campus?

31d. Please list and describe 1–3 key examples dedicated spaces for community engagement.

31e. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

- Number**
- 32. During AY 2011-2012, how many undergraduate and graduate service learning/community based learning course sections were offered at your university?**
- Number** **%**
- 33. During AY 2011-2012, how many and what percentage of full and part time faculty taught service learning/community based learning courses at your university?**
- 34. During AY 2011-2012, what is your unduplicated headcount and percentage of students that participated in service learning/community based learning courses at your university?**
- 35. During AY 2011-2012, how many and what percentage of full and part-time faculty and staff were engaged in university-supported community engagement other than service learning?**
- 36. During AY 2011-2012, in how many total hours of volunteer community service did each of the following participate?**
- | | <u>Total # of hours</u> |
|-------------------|--------------------------------|
| a. Students | |
| b. Faculty..... | |
| e. Staff | |
- 37. How does your university collect the information for questions 32, 33, 34, 35, and 36? Why could you not collect the information? How do you collect the information differently?**

IV. REGIONAL AND ECONOMIC DEVELOPMENT

Technology Transfer

Please refer to definitions at the end of the questionnaire for clarification.

- 38. In the table below, please tell us about your university's inventions/disclosures submitted, patents filed and issued, and licensing agreements established in FY 2011.**

During FY 2011...	Total
a. How many inventions and/or disclosures did your university submit to the technology transfer office (or its equivalent)?	
b. How many U.S. patents did your university file with the patent office (provisional and full patent applications)?	
c. How many U.S. patents were issued to your university?.....	
d. How many foreign patents did your university file with the patent office (provisional and full patent applications)?	
e. How many foreign patents were issued to your university?	
f. How many licensing agreements did your university establish?.....	

- 38g. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.**

- 39. In the table below, please tell us about your university's income and expenses associated with technology transfer contracts in FY 2011.**

During FY 2011, what was your university's...	Total
a. Net income from royalties?.....	\$
b. Operating expenses?	\$
c. Net legal expenses?	\$
d. Legal fees reimbursed?	\$
e. Income associated with technology transfer activities available for distribution?	\$

- 39f. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.**

- 40. In the table below, please tell us about the number of your university's business spin-offs, joint ventures, and contract and collaborative research contracts in FY 2011. Also, please indicate the total value/income of each.**

	Number of contracts	Value/income of contracts
a. Business spin-offs		\$
b. Investment in spin-offs		\$
c. Joint ventures.....		\$
d. Contract research		\$

e. Collaborative research.....\$

40f. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

41a. Does your university own incubator space, or does it not?

- ☐ University owns incubator space
☐ University does not own incubator space → SKIP TO #41d.

41b. How many incubator spaces or centers does your university own?.....

41c. What is the total square footage of your university's incubator space?

41d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

42. In detail, please describe 1–3 exemplary technological innovation or research projects that showcase the impact of technology transfer. Specifically, how has it impacted the community?

43a. Does your university currently participate in regional industry cluster development partnerships?

- ☐ Is participating in industry cluster development partnerships
☐ Is not participating in such partnerships

43b. Please describe 1–3 key examples of these partnerships and your university's role.

44a. Does your university provide local small business assistance, or does it not?

- ☐ Provides small business assistance (*see survey worksheet for details*)
☐ Does not provide such assistance → SKIP TO #44d

44b. During FY 2011, how much money did your university invest in providing local small business assistance, such as in direct funding, low interest loans, etc.? (*see survey worksheet for calculation details*).....\$

44c. Please list and describe 1–3 key examples of your university's provision of local small business assistance.

44d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

45a. Does your institution have mechanisms to track the impact of its alumni on the local or regional economy?

- ☐ Does track alumni impact.
- ☐ Does NOT track alumni impact.

45b. How is this information collected? Describe and provide the impact data. If your institution does not track alumni campus-wide, please provide 1–3 examples of alumni impact data from various schools, disciplines, or departments.

45c. If your institution does not track alumni campus-wide, please provide 1–3 examples of alumni impact data from various schools, disciplines, or departments.

45d. Please describe how you have collected the information, why you could not collect the information, or how you collect the information differently.

DEFINITIONS

- **Contract research:** Research arising from collaborative interactions that specifically meets the research needs of the external partners.
- **Collaborative research:** A structured research project that involves two or more partners in addition to the Higher Education Institution, where all parties work together toward a common goal by sharing knowledge, learning and building consensus.
- **Inventions and/or disclosures:** Inventions or disclosures submitted to the technology transfer office, to account for other forms of intellectual property that may require management beyond patent rights, such as copyright, trade secret, and trademark. Any and all inventions or disclosures may be counted by the university.
- **Investment in spin-offs:** An outlay of a sum of money to be used in such a way that a profit or increase in capital may be expected.
- **Joint venture:** A contractual agreement resulting in the formation of an entity between two or more parties to undertake economic activity together. The parties agree to create a new entity by both contributing equity, and they then share in the revenues, profits or losses, expenses, and control of the enterprise.
- **Licensing agreements:** A formal agreement that allows the transfer of technology between two parties, where the owner of the technology (licensor) permits the other party (licensee) to share the rights to use the technology, without fear of a claim of intellectual property infringement brought by the licensor.
- **Net income from royalties:** Income that includes license issue fees, payments under options, annual minimums, running royalties, termination payments, the amount of equity received when cashed-in. Does not include research funding, patent expense reimbursement, a valuation of equity not cashed-in, or trademark licensing royalties from university insignia, or any income received in support of the cost to make and transfer materials under Material Transfer Agreements.
- **Spin-offs:** From a higher education perspective, spin-offs are defined as companies set up to exploit IP that has originated from within the higher education institute.
- **Technology transfer:** The process of developing practical applications from the results of scientific research; usually involves the identification of research, typically by dedicated technology transfer offices in universities, governmental organizations, and companies, that has potential commercial interest and the design of strategies for exploiting it (such as the creation of

7b. During FY 2011, how much money did your university invest in Employee Assisted Housing (EAH) programs?

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

8b. During FY 2011, how much money did your university invest in providing support to outside nonprofit organizations related to community and neighborhood development?

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

9b. During FY 2011, how much money did your university invest in beautification efforts (e.g., streetscaping, signage) in the neighborhoods surrounding the campus?

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

12a. What is the total amount spent during FY 2011 on public safety initiatives at your university?
(Include police/security unit, lighting maintenance or installation, public safety technologies, crisis management /response)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

14b. What is the total amount of funds your university directed toward these projects in FY 2011?
(Include off-campus housing, commercial or mixed-use real estate)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

15b. What is the total amount of funds your university directed toward these activities in FY 2011?

(Report urban planning and development partnerships in transportation)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

16b. What is the total amount of funds your university directed toward these projects in FY 2011?

(Report urban/metropolitan planning and development partnerships in workforce development and job training)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

17b. What is the total amount of funds your university directed toward these projects in FY 2011?

(Report urban/metropolitan planning and development partnerships related to sustainability/ecological issues)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

18b. What is the total amount of funds your university directed toward these projects in FY 2011?

(Include community development partnerships such as university-assisted community school initiatives, P-16?)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

19b. What is the total amount of funds your university directed toward these projects in FY 2011?

(Include community development partnerships in public health)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

20b. What is the total amount of funds your university directed toward these projects in FY 2011?

(Include urban/metropolitan research for government or community agencies)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

21b. What is the total amount of funds your university directed toward these projects in FY 2011?
(Include professional development and technical training programs for government or community agencies)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

22b. What is the total amount of funds your university directed toward these projects in FY 2011?
(Include all other urban/metropolitan planning and /or community development partnerships)

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

25b. What are the internal budgetary allocations dedicated to supporting institutional engagement with community in FY 2011?
(Include allocation to special organizations, institutes, or building in the community)

Activity	State-funded or Direct University Funding Allocations to operating or personnel support	State-funded or Direct University Funding Allocations in space, facilities, utilities	Grant-funded Investment or Allocations administered by the University	TOTAL \$ Allocated
Total of Activity	0	0	0	0

26b. What are the external budgetary allocations dedicated to supporting institutional engagement with community in FY 2011?
(Include allocation to special organizations, institutes, or building in the community)

Activity	State-funded or Direct University Funding Allocations to operating or personnel support	State-funded or Direct University Funding Allocations in space, facilities, utilities	Grant-funded Investment or Allocations administered by the University	TOTAL \$ Allocated
Total of Activity	0	0	0	0

44b. During FY 2011, how much money did your university invest in providing local small business assistance, such as in direct funding, low interest loans, etc?

Activity	State-funded or Direct University Funding/Investment in operating or personnel support	State-funded or Direct University Funding/Investment in space, facilities, utilities	Grant-funded Investment (or low- interest loans) administered by the University	TOTAL \$ Invested
Total of Activity	0	0	0	0

CITATIONS

- Aberbach, J.D. & Rockman, B.A. (2002). Conducting and coding elite interviews, *Political Science and Politics*, 35(4), 673-676.
- Agranoff, R. & McGuire, M. (2003). *Collaborative Public Management: New Strategies for Local Governments*. Washington D.C.: Georgetown University Press.
- Alexander, E. R. (2009). Symposium discussion: planning in complexity—institutional design implications. *Journal of Planning Education and Research*, 28, 518-524.
- Alexander, E. R. (2010). Introduction: does planning theory affect practice, and if so, how? *Planning Theory*, 9(2), 99–107.
- Alfred, R. L. (2006). *Managing the Big Picture in Colleges and Universities: From Tactics to Strategy*. Westport, CT: Greenwood.
- Ambrose, Andy. "Atlanta." New Georgia Encyclopedia. 05 June 2014. Web. 20 January 2015.
- American Association of Medical Colleges. February 15, 2012. Memorandum to M. Tavenner, DHHS, Centers for Medicare & Medicaid Services. Retrieved from <https://www.aamc.org/download/273860/data/aamccommentletteronmedicaiddshuninsureddefinition.pdf>.
- Aneshensel, C.S. (2002) *Theory-Based Data Analysis for the Social Sciences*. Thousand Oaks, CA: Pine Forge Press.
- Archer, M. (2003). *Structure, Agency and the Internal Conversation*. Cambridge, UK: Cambridge University Press.
- Arnstein, S. R. (1969). A Ladder of Citizen Participation, *Journal of the American Planning Association*, (35): 4, pp. 216-224.
- Association of Commonwealth Universities (ACU) (2001). *Engagement as a Core Value for Universities: A Consultation Document*. London: ACU.
- Association for University Technology Managers: AUTM. (2012). AUTM's *Proposal for the Institutional Economic Engagement Index*. Retrieved February 22, 2013, from http://www.autm.net/New_Metrics/4063.htm.
- Austin, J. E. (2000). *Collaboration Challenge: How Nonprofits and Businesses Succeed Through Strategic Alliances*. San Fransisco, CA: Jossey-Bass.

- Axelroth, R. & Dubb, S. (2010). *The Road Half Traveled: University Engagement at a Crossroads*, College Park, MD: The Democracy Collaborative at Maryland State University, 6, 50.
- Bastedo, M. N. (2009). Convergent institutional logics in public higher education: state policymaking and governing board activism, *The Review of Higher Education*: 30 (2), 209-234.
- Bazely, P. (2006). The contribution of computer software to integrating qualitative and quantitative data and analysis. *Research in the Schools*, 13(1), 63-73.
- Beamer, G. (2002). Elite interviews and state politics research, *State Politics and Policy Quarterly*, 2(1), 86-96.
- Beatty, P. C. & Willis, G. B. (2007). Research synthesis: The practice of cognitive interviewing. *Public Opinion Quarterly*, 71, 287–311.
- Beauregard, R. A. (2005). Introduction: Institutional transformations. *Planning Theory*, 4(3), 203–207.
- Becker, M. P. (2013). A Century of Enterprise. *Georgia State University Magazine*. Special Edition, p.4.
- Beere, C. A., Vortuba, J. C. & Wells, G. W. (2011). *Becoming and Engaged Campus: A Practical Guide for Institutionalizing Public Engagement*. San Francisco: Jossey-Bass.
- Belson, W.A. (1986). *Validity in Survey Research*. Brookfield, VT: Gower Publishing Company.
- Bender, T. (Ed.). (1988). *The University and the City: From Medieval Origins to the Present*. New York: Oxford University Press.
- Berger, P. L. & Luckmann, T. (1966), *The Social Construction of Reality: A Treatise in the Sociology of Knowledge*. Garden City, NY: Anchor Books.
- Bidwell, C. E. (1986). On organizational studies. In J. Hannaway & M. E. Lockheed (Eds.) *The Contributions of the Social Sciences to Educational Policy and Practice* (pp.183-196). Berkeley, CA: McCutchan Publishers.
- Biles, Robert K. (2011). *Comprehensive Annual Financial Report for the Year Ending December 31, 2011: City of Tacoma, Washington*. Tacoma, WA: City of Tacoma, Department of Finance.
- Bloom, D. E.; Hartley, M. and H. Rosovsky (2006). Beyond Private Gain: The Public Benefits of Higher Education. In Lane, J. E. & D. B. Johnstone (Eds.) *Universities and*

Colleges as Economic Drivers: Measuring Higher Education's Role in Economic Development. Pp. 293-308. Albany, NY: State University of New York Press.

Bogner, A., Littig, B. & Menz, W. (2009). An introduction to a new methodological debate. In A. Bogner, B. Littig, & M. Wolfgang (Eds.). *Interviewing Experts*. New York: NY: Palgrave Macmillan.

Borden, V. M. H. (2008). The role of professional associations in the formation of professional identity. In R. Barnett & R. Di Napoli (Eds.) *Changing Identities in Higher Education* (pp. 145 – 162). New York, NY: Routledge.

Borouh, M. (2013). U.S. R & D Resumes Growth in 2011 and 2012, Ahead of the Pace of the Gross Domestic Product. An Infobrief for the National Center for Science and Engineering Statistics. December 2013. (NSF 14-307).

Borouh, M. (2013). InfoBrief: *U.S. R&D Spending Resumes Low Growth in 2010 and 2011 but Still Lags Behind the Pace of Expansion of the National Economy*. Washington D.C.: National Science Foundation, (NSF 13-313).

Bourdieu, P. (1977). *Outline of a Theory of Practice*. London: Cambridge University Press.

Bourdieu, P. (1990), *The Logic of Practice*. Cambridge: Polity Press.

Boyer, E. L. (1997). *Scholarship reconsidered: Priorities of the professoriate*. San Francisco: Jossey-Bass.

Bradburn, N. M. (2004). Understanding the question-answer process. *Statistics Canada*, 30, 5–15.

Briggs, S. R. (2003). The Importance of Mission Differentiation. In a report by The National Center for Public Policy and Higher Education, *Purposes, Policies, Performance: Higher Education and the Fulfillment of a State's Public Agenda* (National Center Report #03-1). San Jose, CA: The National Center for Public Policy and Higher Education.

Britner, P.A. (2012). Bringing Public Engagement into an Academic Plan and Its Assessment Metrics, *Journal of Higher Education Outreach and Engagement*, 16 (4): pp. 61 – 77.

Bromley, R. (2006). On and off campus: Colleges and universities as local stakeholders. *Planning Practice & Research*, 21(1), 1-24.

Brown, A. D., Ainsworth, S., & Grant, D. (2012). The rhetoric of institutional change, *Organizational Studies*, 33(3), 297-321.

- Bryman, A. (2004). *Quantity and Quality in Social Research*. London: Routledge.
- Brukardt, M.J., Holland, B., Percy, S., & Zimpher, N.L. (2006). The Path Ahead: What's Next for University Engagement? In S. L. Percy, N. L. Zimpher, & M. J. Brukardt, (Eds.) *Creating a New Kind of University: Institutionalizing Community-University Engagement* (pp. 242-267). Bolton, MA: Anker Publishing Company, Inc.
- Brukardt, M.J., Holland, B., Percy, S. & Zimpher, N.L. (2006). Moving forward along new lines. In S. L. Percy, N. L. Zimpher, & M. J. Brukardt, (Eds.) *Creating a New Kind of University: Institutionalizing Community-University Engagement* (pp. 3-22). Bolton, MA: Anker Publishing Company, Inc.
- Buchanan, D. and Badham, R. (1999) *Power, Politics and Organizational Change: Winning the Turf Game*. London: SAGE.
- Burkholder, J. P., & Palisca, C.V. & Grout, D. (2011). *Innovative University: Changing the DNA of Higher Education from the Inside Out*. Hoboken, NJ: Jossey-Bass.
- Burnham, P., Gill, K., Grant, W. & Layton-Henry, Z. (2004). *Research Methods in Politics*. Basingstoke: Palgrave Macmillan.
- Burns, R. (2013). Expanding: Locally and Globally. *Georgia State University Magazine*. Special Edition, pp. 33-35.
- Byrne, J.V. (2006). *Public Higher Education Reform Five Years after the Kellogg Commission on the Future of State and Land-Grant Universities*. Battle Creek, MI: W.K. Kellogg Foundation.
- Calhoun, C. (2011). The Public Mission of the Research University. In Rhoten, D., & Calhoun, C. (Eds.). *Knowledge Matters: The Public Mission of the Research University*. New York: Columbia University Press, 1-33.
- Campus Compact. (2013) *Campus Compact: Creating a Culture of Assessment*. Retrieved from <http://www.compact.org/wp-content/uploads/2013/04/Campus-Compact-2012-Statistics.pdf> on December 2, 1014.
- Carnall, C.A. (2003) *Managing Change in Organizations*, 4th ed. Harlow: Pearson Education.
- Carnegie Foundation (2008). *Carnegie Foundation for the Advancement of Teaching, 2008 Community Engagement Classification*. Retrieved from http://classifications.carnegiefoundation.org/descriptions/ce_2008.php on June 17, 2010.

- Caruthers, J.K. & Lott, G.B. (1981). *Mission Review: Foundation for Strategic Planning*. Boulder, CO: National Center for Higher Education Management Systems.
- Case Western Reserve University (2008). *Forward Thinking: Our Strategic Plan for Case Western Reserve University: 2008-2013*.
- Case Western Reserve University. (2011). *About Case Western Reserve University: Mission, Vision and Core Values*, retrieved from www.case.edu/stage/about/mission.html on April 2, 2014.
- Case Western Reserve University (2013). *Think By Numbers: Annual Report 2012-2013* (Report UMC-2836). Cleveland, OH: Case Western Reserve University.
- Case Western Reserve University (2014a). Center for Civic Engagement and Learning: About the Center for Civic Engagement and Learning. Retrieved on December 15, 2014 from <http://students.case.edu/civicengagement/about/>.
- Case Western Reserve University (2014b). The Encyclopedia of Cleveland History: Case Western Reserve University. Retrieved on December 2, 2014 from <http://ech.case.edu/cgi/article.pl?id=CWRU>.
- Case Western Reserve University (2015). Enrollment Trend by State and Country. Retrieved on January 2, 2015 from: <http://case.edu/ir/media/caseedu/institutional-research/documents/students/Enrollment-Trends-by-State-and-Country.pdf>
- Chandler, A. D. (1962). *Strategy and Structure: Chapters in the History of the American Industrial Enterprise*. Cambridge, MA: MIT Press.
- Cisneros-Cohernour, E. J. (2012). Case Studies and Validity. In C. Secolsky & D. B. Denison, (Eds.). *Handbook on Measurement, Assessment, and Evaluation in Higher Education* (pp. 510-517). New York: Routledge.
- City of Cleveland. (2013). Higher Education in the Cleveland Region. Retrieved on December 10, 2014 from: <http://www.rethinkcleveland.org/Living-Here/Education.aspx>.
- City of Tacoma. (2010). *Downtown Tacoma 2001-2010: A Storybook from the City of Destiny*. Tacoma: Community and Economic Development Department.
- Clark, B. R. (1983). *The Higher Education System: Academic Organization in Cross-national Perspective*. Berkeley, CA: University of California Press.
- Clark, B. R., & Youn, T. I. K. (2007). The historical emergence of American academic organization, in P. J. Gumpert, (Ed.) *Sociology of Higher Education: Contributions and their Contexts*. Baltimore, MD: The Johns Hopkins University Press.

Clark, H. H. & Schober, M.F. (1992). Asking Questions and Influencing Answers. In Tanur, J. M. (Ed.). *Questions about Questions: Inquiries into the Cognitive Bases of Surveys*. New York: Russel Sage Foundation.

Cleveland City Planning Commission. (2006). *Connecting Cleveland: 2020 Citywide Plan Summary*. Cleveland Ohio: City of Cleveland. Found at: http://www.city.cleveland.oh.us/clnd_images/mayor/initiatives/DevelopmentStrategy.pdf

Cleveland State University. (2012) *Strategic Planning: Priorities for 2012-2015*. Retrieved on November 28, 2012 from: <http://www.csuohio.edu/sites/default/files/Strategic-Priorities-2012-2015.pdf>.

Cleveland State University. (2013). *About Cleveland State University*. Retrieved January 12, 2013 from <http://www.csuohio.edu/aboutcsu/>.

Cleveland State University. (2014). *Cleveland State University: 2014 Book of Trends*. Cleveland, HO: Cleveland State University Office of Institutional Research and Analysis.

Cloutier, C. & Langley, A. (2013). The logic of institutional logics: insights from French pragmatist sociology. *Journal of Management Inquiry*, 22(4), 360–380.

Coaffee, J. & Healey, P. (2003). ‘My voice: my place’: tracking transformations in urban governance. *Urban Studies*, 40 (10), 1979-1999.

Coalition of Urban Serving Universities. (2010). *Urban Universities: Anchors Generating Prosperity for America’s Cities*. A report written for the Coalition of Urban Serving Universities. Full White Paper located at: http://www.usucoalition.org/downloads/part6/USU_White_Paper_Report_2010.pdf

Cohen, M. D. & March, J. G. (1997). Decisions, presidents, and status. In T. I. K. Youn, & P. B. Murphy (Eds.), *Organizational Studies in Higher Education* (pp. 224–205). New York, NY: Garland Publishing, Inc.

College Board (2004). *Education Pays 2004: The Benefits of Higher Education for Individuals and Society*. Washington, DC: College Board.

Congressional Budget Office (2010). *Tax Arbitrage by Colleges and Universities (Pub. No. 4015)*. A CBO Study for the Congress of the United States. Washington, D.C.: Congressional Budget Office.

Cohen, L. & Manion, L. (1994) *Research Methods in Education (4th Ed.)*, London: Routledge.

- Colyvas, J. A. (2007). From divergent meanings to common practices: the early institutionalization of technology transfer in the life sciences at Stanford University. *Research Policy*, 36, 456-476.
- Colyvas, J. A. (2012). Performance Metrics as Formal Structures and through the Lens of Social Mechanisms: When Do They Work and How Do They Influence? *American Journal of Education*, 118: pp. 167–197.
- Colyvas, J. A. & Jonsson, S. (2011). Ubiquity and legitimacy: disentangling diffusion and institutionalization. *Sociological Theory*, 29(1), 27-53.
- Colyvas, J. A. & Powell and W. W. (2006). Roads to institutionalization: the remaking of boundaries between public and private science. *Research in Organizational Behavior*, 27, 315-363.
- Conrad, F. G. & Blair, J. (2009). Sources of errors in cognitive interviews. *Public Opinion Quarterly*, 73, 32–55.
- Cosgrove, C. (2010). After 20 years, UWT mission just getting started. *The News Tribune*, Oct. 3, 2010.
- Cox, D. (2000) Developing a framework for understanding university-community partnerships, *Cityscape*: 5(1), 9-26.
- Cox, D. (2010). History of the scholarship of engagement movement. In H. Fitzgerald, C. Burack, S. D. & Seifer. (Eds.), *Transformation in Higher Education: Handbook of Engaged Scholarship: Contemporary Landscapes, Future Directions, Volume 1: Institutional Change* (pp. 25-38). East Lansing, MI: Michigan State University Press.
- Creswell, J. W. (2005). *Educational Research: Planning, Conducting, and Evaluating Quantitative and Qualitative Research*. Upper Saddle River, NJ: Pearson Prentice Hall.
- Creswell, J. W. & Plano Clark, V. L. (2007). *Designing and Conducting Mixed Methods Research*. Thousand Oaks, CA: Sage.
- Crimmins, T. (2013). Alongside Atlanta: In the second half of the century, Georgia State grew in lockstep with its city. *Georgia State University Magazine*. Special Edition, p. 30.
- Cyert, R. M. & March, J. G. (1963). *A Behavioral Theory of the Firm*. Englewood Cliffs, NJ: Prentice-Hall.
- Cytron, N. (2010). Improving the Outcomes of Place-Based Community Investments. *Community Investments: A Publication of the Federal Reserve Bank of San Francisco*, 22 (1), 3-7.

Danek, J. & Borrayo, E. (2013). Urban Universities: Developing a Health Workforce that Meets Community Needs. A report written for the Coalition of Urban Serving Universities and the Association of Public and Land-Grant Universities.

Dattalo, P. (2008). *Determining Sample Size: Balancing Power, Precision, and Practicality*. New York, NY: Oxford University Press.

Delanty, G. (2001). Challenging Knowledge. *The University in the Knowledge Society*. Buckingham: Society for Research in Higher Education and Oxford University Press.

Delanty, G. (2008). Academic identities and institutional change. In Barnett, R. & Di Napoli, R. (Eds.) *Changing Identities in Higher Education* (pp. 124 – 133). New York, NY: Routledge.

Dempsey, S. E. (2010). Critiquing community engagement. *Management Communication Quarterly*, 24(3), 359-390.

Denzin, N. K. & Lincoln, Y. S. (1994). *Handbook of Qualitative Research*. Thousand Oaks, CA: Sage

Denzin, N. K. & Lincoln, Y. S. (Eds.) (2005). *The Sage Handbook of Qualitative Research*, 3rd ed. Thousand Oaks, CA: Sage.

Desimone, L. M. & Le Floch, K. C. (2004). Are we asking the right questions? Using cognitive interviews to improve surveys in education research. *Educational Evaluation and Policy Analysis*, 26(1), 1-22.

Desrochers, D. M. & Wellman, J.V. (2011). *Trends in College Spending 1999-2009*. Delta Project on Postsecondary Education Costs, Productivity, and Accountability. Retrieved April 24, 2013, from:
http://www.deltacostproject.org/resources/pdf/Trends2011_Final_090711.pdf.

Dewey, J. (1931). The development of pragmatism. In H.S. Thayer (Ed.), *Pragmatism: The classic writings* (pp. 23-40). Indianapolis, IN: Hackett.

Dexter, L. A. (1970). *Elite and Specialized Interviewing*, Evanston, IL: Northwestern University Press.

Diamond, R. M. (1999). *Aligning Faculty Rewards with Institutional Mission*. Bolton, MA: Anker Publishing Company, Inc.

Dickeson, R. C. (2010). *Prioritizing Academic Programs and Services: Reallocating Resources to Achieve Strategic Balance*. San Francisco, CA: Jossey-Bass.

Dillman, D. A., Eltinge, J. L., Groves, R. M. & Little, R. J. A. (2002). Survey nonresponse in design, data collection, and analysis. In R. M. Groves, D. A. Dillman, J. L. Eltinge, & R. J. A. Little, (Eds.). *Survey Nonresponse* (pp. 3-26), New York, NY: John Wiley & Sons, Inc.

DiMaggio, P. J. (1988). Interest and agency in institutional theory. In L. G. Zucker (Ed.), *Institutional Patterns and Organizations: Culture and Environment*, (pp. 3–21). Cambridge, MA: Ballinger.

DiMaggio, P. J., & Powell, W. W. (1983). The iron cage revisited: Institutional isomorphism and collective rationality in organizational fields. *American Sociological Review*, 48, 147–160.

Doberneck, D. M., Glass, C. R. & Schweitzer, J. (2010). From rhetoric to reality: A typology of publically engaged scholarship, *Journal of Higher Education Outreach and Engagement*, 14(4), 5-36.

Driscoll, A. (2008). Carnegie's Community-Engagement Classification: Intentions and Insights. *Change: The Magazine of Higher Learning*, 40(1): 38-41.

Drucker, P. (1973). *Management: Tasks, Responsibilities, Practices*. New York: Harper & Row.

Dubb, S. & Howard, T. (2012). *Leveraging Anchor Institutions for Local Job Creation and Wealth Building*. Berkeley, CA: A report for the Institute for Research on Labor and Employment.

Emory Creative Group. (2013). *Point of View: 2012. The Annual Report of Emory University*. A Report created for the Department of Communications and Marketing #113036-2.

Emory University. (2013a). *About Emory: Emory Healthcare*. Retrieved October 10, 2013 from: <http://www.emory.edu/home/about/healthcare.html>

Emory University. (2013b). *The Emory University Strategic Plan, 2005–2015*. Retrieved March, 2014 from www.emory.edu/president/governance/mission_statement.html.

Emory University. (2014). Center for Community Partnerships: Community Engagement Strategy. Retrieved September 10, 2014 from: http://oucpc.emory.edu/about_oucpc/index.html.

Fielding, N. (2012). The Role of Computer-Assisted Qualitative Data Analysis: impact on emergent methods in qualitative research. In Nagy Heese-Biber, S., and Leavy, P. (eds.) *Handbook of Emergent Methods*. New York: The Guilford Press.

Federal Reserve Bank of St. Louis (2013). *Economic Snapshot: Student Loan Debt*. Retrieved from <http://www.stlouisfed.org/publications/itv/articles/?id=2355> on April 12, 2013.

Ferguson, R. & Stoutland, S. (1999). Reconceiving the community development field. In R. Ferguson & W. Dickens, (Eds.). *Urban Problems and Community Development*, (pp. 33-76). Washington, DC: Brookings Institution.

Frank, N. (2008). Measuring public service assessment and accountability: To ourselves and others. *Journal of Planning Education and Research*, 27(4), 499-506.

Friedland, R. & Alford, R.R. (1991). Bringing society back in: Symbols, practices, and institutional contradictions. In W. Powell & P. DiMaggio (Eds.), *The New Institutionalism in Organizational Analysis*, Chicago: The University of Chicago Press. Pp.232-266.

Friedman, D. (2013). The value of education: Many are still kept from the benefits of a college degree. *The News Tribune*. September 1, 2013.

Friedman, D., Menendez, C. & Perry, D. (2013a). *Data Report: 2012-13 Panel Study for the Strengthening Communities Strand*. A report for the Coalition of Urban Serving Universities.

Friedman, D., Menendez, C. & Perry, D. (2013b). *The Foundational Role of Universities as Anchor Institutions in Urban Development: A Report of National Data and Survey Findings*. Retrieved from http://usucoalition.org/images/APLU_USU_Foundational_FNLlo.pdf on January 1, 2015.

Gaffikan, F. & Perry, D. (2009). Discourses and strategic visions: The U.S. research university as an institutional manifestation of neoliberalism in a global era. *American Educational Research Journal*, 46 (1), 115-144.

Gaffikin, F. & Morrissey, M. (2011). *Planning in Divided Cities: Collaborative Shaping of Contested Space*. West Sussex, UK: Wiley-Blackwell Publishing.

Garner, J. (2014) Cleaning up pollution. Delivering health care. Improving education. Just a routine day at UW Tacoma. *Columns: The University of Washington Alumni Magazine*, Sept 14, 16-19.

Gee, G. E. (2010). Opportunity and purpose: Outreach's changing mission. *Journal of Higher Education Outreach and Engagement*, 14(3), 5-12.

Georgia State University. (2013a). Georgia State University Strategic Plan: 2011-2016/21.

Georgia State University. (2013b). The First Master Plan. *Georgia State University Magazine*. Special Edition, p. 24.

Georgia State University (2014a). Construction projects to add more housing, classrooms and research space. *Our Community*, September 29, 2014 Issue. Retrieved December 12, 2014 from <http://pr.gsu.edu/2014/09/26/sept-29-2014-issue/>.

Georgia State University. (2014b). About Georgia State University, retrieved from <http://www.gsu.edu/about/> on April 2, 2014.

Gerring, J. (2007). *Case Study Research: Principles and Practices*. Cambridge, MA: Cambridge University Press.

Giddens, A. (1984), *The Constitution of Society: Outline of the Theory of Structuration*. Cambridge, MA: Polity Press.

Gill, A. M., & Whedbee, K. (1997). Rhetoric. In T. A. van Dijk (Ed.), *Discourse as structure and process: Discourse studies: multidisciplinary introduction* (pp. 157–184). Thousand Oaks, CA: Sage.

Goedegebuure, L., van der Lee, J.J. & Meek, V.L. (2006). *In Search of Evidence: Measuring Community Engagement —A Pilot Study*. Eidos, Brisbane.

Grapevine (2014). *State Fiscal Support for Higher Education, by State*. Retrieved from <http://grapevine.illinoisstate.edu/tables/index.htm> on March 13, 2014. Normal, IL: Center for the Study of Education Policy, Illinois State University.

Greene, J. C., Caracelli, V. J., & Graham, W. F. (1989). Toward a conceptual framework for mixed-method evaluation designs. *Educational Evaluation and Policy Analysis* 11(3), 255 -274.

Greenwood, R., Raynard, M., Kodeih, F., Micelotta, E. R. and Lounsbury, M. (2011). Institutional Complexity and Organizational Responses. *Academy of Management Annals*, (5): 317–371.

Granner, M., & Sharpe, P. (2004). Evaluating community coalition characteristics and functioning: a summary of measurement tools. *Health Education Research: Theory & Practice*, (19): 514-532.

Groves, R. M., Fowler, F. J. J., Couper, M. P., Lepkowski, J. M., Singer, E., & Tourangeau, R. (2009). *Survey Methodology* (2nd Ed.). New York, NY: Wiley.

Guba, E., & Lincoln, Y. S. (2005). Paradigmatic controversies, contradictions, and emerging confluences. In N. K. Denzin & Y. S. Lincoln, (Eds.). *Handbook of Qualitative Research* (pp. 191-215). Thousand Oaks, CA: Sage.

- Gumport, P. J. (2000). Academic restructuring: Organizational change and institutional imperatives. *Higher Education*, 39(1), 67-91.
- Haar, S. (2011). *The City as Campus: Urbanism and Higher Education in Chicago*. Minneapolis, MN: University of Minnesota Press.
- Harkavy, I. & Hartley, M. (2012). Integrating a commitment to the public good into the institutional fabric: Further lessons from the field. *Journal of Higher Education Outreach and Engagement*, 16(4), 17-36.
- Harloe, M. & Perry, B. (2004). Universities, localities and regional development: The emergence of the “mode 2” university? *International Journal of Urban and Regional Research*, 28(1), 212-223.
- Harman, G. (2012). Research and scholarship. In J. E. Lane & D. B. Johnstone (Eds.), *Universities and Colleges as Economic Drivers: Measuring Higher Education's Role in Economic Development* (pp. 309-328). Albany, NY: State University of New York Press.
- Harnisch, D. L., Creswell, J. W. & Guetterman, T. (2012). Mixed Methods Specialists in Action: Linking Mixed Methods Research to Learning and Classroom Assessment. In C. Secolsky & D. B. Denison, (Eds.), *Handbook on Measurement, Assessment, and Evaluation in Higher Education* (pp. 518-538). New York: Routledge.
- Harnish, R. J., & Snider, K. J. (2013). Understanding community engagement motives: A “functional” approach. *A Journal of Regional Engagement*, 2(2), 133-142.
- Harrington, H.J. & Voehl, F. (2012). *The Organizational Master Plan Handbook: A Catalyst for Performance Planning and Results*. New York: CRC Press, Taylor & Francis Group.
- Hart, A. & Northmore, S. (2011), Auditing and evaluating university-community engagement: Lessons from a UK case study. *Higher Education Quarterly*, 65(1), 34-58.
- Harvey, W. S. (2011). Strategies for Conducting Elite Interviews, *Qualitative Research*, 11(4): 431-441.
- Healey, P. (2005). On the project of ‘institutional transformation’ in the planning field: commentary on the contributions. *Planning Theory*, 4(3), 301-310.
- Healey, P. (2006). *Collaborative Planning: Shaping Places in Fragmented Societies*. New York, NY: Palgrave Macmillan.
- Henry, G. T. (1990). *Practical Sampling*. Newbury Park, CA: Sage.

- Henderson, B. B. (2009). Mission creep and teaching at the master's university. *College Teaching*, 57 (4), 185-187.
- Heugens, P., & Lander, M. (2009). Structure! Agency! (and other quarrels): A meta-analysis of institutional theories of organization. *Academy of Management Journal*, 52, 61-85.
- Hodges, R. A. & Dubb, S. *The Road Half Traveled: University Engagement at a Crossroads*. East Lansing, MI: Michigan State University Press.
- Holland, B. A. (1997). Analyzing institutional commitment to service. *Michigan Journal of Community Service Learning*, (4): 30-41.
- Holland, B. A. (2001). A comprehensive model for assessing service learning and community-university partnerships. *New Directions for Higher Education*, (114): 51-60.
- Holland, B. A. (2005). Real Change in Higher Education: Understanding Differences in Institutional Commitment to Engagement. In A. Kezar, T. Chambers, & J. Burkhardt (Eds.), *Higher Education for the Public Good: Emerging Voices from a National Movement*. San Francisco, CA: Jossey-Bass Publishers.
- Holland, B. A. (2009). Will it last? Evidence of institutionalization at Carnegie classified community engagement institutions. In L. R. Sandmann, C. H. Thornton, & A. J. Jaeger (Eds.), *Institutionalizing Community Engagement in Higher Education: The First Wave of Carnegie Classified Institutions* (pp. 85-98). San Francisco, CA: Jossey-Bass/Wiley Publishing.
- Hollander, E. & Meeropol, J. (2006). Engagement in teaching and learning. In S. L. Percy, N. L. Zimpher, & M. J. Brukardt, (Eds.). *Creating a New Kind of University: Institutionalizing Community-University Engagement* (pp. 69-91). Bolton, MA: Anker Publishing Company, Inc.
- Hollander, E. & Saltmarsh, J. (2000). "The engaged university." *Academe: Bulletin of the American Association of University Professors*. July/August, 86(4), 29-31.
- Holstein, J. A. & Gubrium, J.F. (1995), *The Active Interview*, London: Sage.
- Hyman, H. (1963). *Survey Design and Analysis: Principles, Cases and Procedures*. Glencoe, IL: The Free Press.
- Innes, J. E. (1995). Planning theory's emerging paradigm: communicative action and interactive practice. *Journal of Planning Education and Research*, 14, 183-189.

Institute for Higher Education Policy (2005). *The Investment Payoff: A 50-State Analysis of the Public and Private Benefits of Higher Education*. Washington, D.C.: Institute for Higher Education Policy.

James, W. (1995). *Pragmatism*. New York: Dover.

Jobe, J. B. (2003). Cognitive psychology and self-reports: models and methods. *Qual Life Res*, (12), 219-27.

Johnson, R. B., & Onwuegbuzie, J.A. (2004). Mixed methods research: A research paradigm whose time has come. *Educational Researcher*, 33(7), 14-26.

Kamensky, J. M., Burlin, T. K. & Abramson, M.A. (2004). Networks and partnerships: collaborating to achieve results no one can achieve alone. In J. M. Kamensky, & T. K. Burlin, (Eds.), *Collaboration: Using Networks and Partnerships*. pp. 3-21. Lanham, MD: Rowman & Littlefield Publishers, Inc.

Kaplan, G. E. (2006). Institutions of academic governance and institutional theory: a framework for further research. In J. C. Smart, (Ed.), *Higher Education Handbook of Theory and Research, Vol. XXI* (pp. 213-281). Netherlands: Springer.

Kelderman, E. (2010). Colleges and cities square off over tax demands. *The Chronicle of Higher Education*, 56(21), A30-A32.

Keller, A., & Bauerle, J.A. (2009). Using a logic model to relate the strategic to the tactical in program planning and evaluation: An illustration based on social norms interventions, *American Journal of Health Promotion*, 24, (2). 89-92.

Kerr, C. (1994). *Higher Education Cannot Escape History: Issues for the Twenty-First Century*. Albany, NY: State University of New York Press.

Kerr, C. (2001). *The Uses of the University*. Cambridge, MA: Harvard University Press.

Kezar, A. J. & Lester, J. (2009). *Organizing Higher Education for Collaboration: A Guide for Campus Leaders*. San Francisco, CA: Jossey-Bass.

Kim, W. C. & Mauborgne, R. (2009). How strategy shapes structure. *Harvard Business Review*, 87(9), 72-80.

King, K. (2013). The Black Mecca 50 Years Later: Did Black Atlanta Get to the Promise Land? *Atlanta Daily World*, retrieved from <http://atlantadailyworld.com/2013/10/07/the-black-mecca-50-years-later-did-black-atlanta-get-to-the-promise-land/>.

Klein-Collins, R. (2012). *Competency-Based Degree Programs in the U.S.: Postsecondary Credentials for Measurable Student Learning and Performance*. Council for Adult and Experiential Learning (CAEL).

Kraatz, M. S. & Block, E. S. (2008). Organizational implications of institutional pluralism. In R. Greenwood, C. Oliver, K. Sahlin-Andersson, & R. Suddaby (Eds.), *Institutional Work: Actors and Agency in Institutional Studies of Organizations*. Cambridge, MA: Cambridge University Press.

Krippendorff, K. (2004). *Content Analysis: An Introduction to its Methodology* (2nd Ed.). Thousand Oaks, CA: Sage.

Kvale, S. (1996). *Interviews: An Introduction to Qualitative Research Interviewing*. Thousand Oaks, CA: Sage.

Ladd, G. T. (1899). *The Higher Education*. Cambridge, MA: University Press, John Wilson and Son.

Lammers, J.C. (2011). How institutions communicate: Institutional messages, institutional logics, and organizational communication. *Management Communication Quarterly*, 25(1), 154-182.

Lane, J. E. (2012). Higher Education and Economic Competitiveness. In J. E. Lane & D. B. Johnstone (Eds.) *Universities and Colleges as Economic Drivers: Measuring Higher Education's Role in Economic Development* (pp. 1 – 30). Albany, NY: State University of New York Press.

Lawrence, T. B. & Suddaby, R. (2006). Institutions and institutional work. In S. Clegg, C. Hardy, T. Lawrence & W. R. Nord (Eds.), *Handbook of organization Studies*, 2nd edition (pp. 215–254). Thousand Oaks, CA: Sage.

Lilleker, D. G. (2003). Interviewing the Political Elite: Navigating a Potential Minefield. *Politics* 23(3), 207–214.

Loundsbury, M. & Pollack, S. (2001). Institutionalizing civic engagement: Shifting logics and the cultural repackaging of service-learning in US higher education. *Organization*, 8(2), 319-339.

Lubienski, C. Scott, J. & E. DeBray. (2014). The Politics of Research Production, Promotion, and Utilization in Educational Policy. *Educational Policy*, 28(2): pp. 131-144.

Maassen, P., Nerland, M., Pinheiro, R., Stensaker, B., Vabø, A., & Vukasović, M. (2012). Change dynamics and higher education reforms. In M. Vukasović, P. Maassen, M. Nerland, R. Pinheiro, B. Stensaker, & A. Vabø (Eds.), *Effects of Higher Education*

Reforms: Change Dynamics (pp. 1-18). Boston, MA: Sense Publishers.

Mandelbaum, S. J. (1985). The institutional focus of planning theory. *Journal of Planning Education and Research*, 5(3), 3-9.

Massy, W. F. (2003). *Honoring the Trust*. Bolton, MA: Anker Publishing Company, Inc.

Marga, Inc. *Anchor Institutions Task Force: Background*. Retrieved on March 5, 2013, from: <http://www.margainc.com/initiatives/aitf/>.

Mason, J. (2002). *Qualitative Researching*. London: Sage.

Matthews, C. M. (2012). *Federal Support for Academic Research*. Washington D.C.: Congressional Research Service, (CRG 7-5700).

Maurrasse, D. J. (2001). *Beyond the Campus: How Colleges and Universities Form Partnerships with their Communities*. New York, NY: Routledge.

Maurrasse, D. J. (2010). Standards of practice in community engagement. In H. Fitzgerald, C. Burack, & S. D. Seifer (Eds). *Transformation in Higher Education: Handbook of Engaged Scholarship: Contemporary Landscapes, Future Directions, Volume 2: Community-Campus Partnerships* (pp. 223-233). East Lansing, MI: Michigan State University Press.

Mayer, M. (1995). Urban governance in the post-fordist city. In P. Healy, S. Cameron, S. Davoudi, S. Graham, & A. Madani-Pour. (Eds.) *Managing Cities: The New Urban Context* (pp. 231-250). New York, NY: John Wiley & Sons.

McPherson, P., Gobstein, H. J. & Shulenburger, D. (2010). *Ensuring that Public Research Universities Remain Vital*. Retrieved from <https://www.aplu.org/NetCommunity/Document.Doc?id=2819>.

McRoy, I. & Gibbs, P. (2003). An institution in change: A private institution in transition. *The International Journal of Educational Management*, 17(4), 147-54.

Menendez, C. & Perry, D. (2009). *Full Report of USU Survey Data 2009: Survey Data and Assessment Study of the Coalition of Urban Serving Universities (USU)*. Research Protocol #2009-0347, a report for the Coalition of Urban Serving Universities.

Menendez, C. & Perry, D. (2010). *Full Report of CUMU Survey Data 2010: descriptive data, frequencies and case studies*. Research Protocol # 2010-0048. A Report for the Coalition of Urban and Metropolitan Universities Survey Steering Committee.

- Metro Atlanta Chamber. (2013). *Metro Atlanta's Future: Educate. Innovate. Collaborate*. A Report by the Business Higher Education Council of the Metro Atlanta Chamber.
- Meuser, M., & Nagel, U. (2009). Experts and changes in knowledge production. In B. Alexander, B. M. Littig, & W. Menz, (Eds.). *Interviewing Experts*. New York: NY: Palgrave Macmillan.
- Meyerson, J. W. & S. L. Johnson. (1994). Change in Higher Education: Its Effect on Institutional Performance. In Meyerson, J. W. & W. F. Massey (Eds.) *Measuring Institutional Performance in Higher Education*. Princeton, N.J.: Peterson's.
- Middaugh, M. F. (2009). *Planning and Assessment in Higher Education: Demonstrating Institutional Effectiveness*. Hoboken: Wiley.
- Middaugh, M. F. (2010). *Planning and Assessment in Higher Education*. San Francisco, CA: Jossey-Bass.
- Mikecz, R. (2012). Interviewing elites: Addressing methodological issues, *Qualitative Inquiry*, 18(6), 482-493.
- Minkler M. & Wallerstein, N. (2003) *Community-Based Participatory Research for Health*. San Francisco, CA: Jossey-Bass.
- Mintzberg, H. (1994). *The Rise and Fall of Strategic Planning*. New York: The Free Press.
- Misangyi, V., Weaver, G., & Elms, H. (2008). Ending corruption: the interplay among institutional logics, resources, and institutional entrepreneurs. *Academy of Management Review*, 33(3), 750-770.
- Mohapatra, S. & Singh, R. P. (2012). *Information Strategy Design and Practices*. New York, NY: Springer Science+Business Media, LLC.
- Morgan, D. L. (2008). Paradigms lost and pragmatism regained: Methodological implications of combining qualitative and quantitative methods. In V. Plano-Clark, & J. W. Creswell, (Eds.). *The Mixed Methods Reader* (pp. 29-65). Thousand Oaks, CA: Sage Publications.
- Munck, R. (2010). Civic engagement and global citizenship in a university context: core business or desirable ass-on? *Arts and Humanities in Higher Education*, 9(1), 31-41.
- National Center for Educational Statistics. (2005). *About IPEDS*. Alexandria, VA: U.S. Department of Education. <http://nces.ed.gov/ipeds/about/>, last accessed March 10, 2012.

National Science Board (2012). *Diminishing Funding and Rising Expectations: Trends and Challenges for Public Research Universities, A Companion to Science and Engineering Indicators 2012*. Arlington, VA: National Science Foundation (NSB-12-45).

National Science Board. (2012). *Science and Engineering Indicators 2012*. Arlington VA: National Science Foundation (NSB 12-01).

National Survey of Student Engagement. (n.d.). What is Student Engagement? *About NSSE®*. Retrieved February 18, 2013, from <http://nsse.iub.edu/html/about.cfm>.

National Survey of Student Engagement. (2012). *Promoting Student Learning and Institutional Improvement: Lessons from NSSE at 13*. Bloomington, IN: Indiana University Center for Postsecondary Research.

Newman, R., & Lake, R. (2006). Democracy, bureaucracy and difference in US community development politics since 1968. *Progress in Human Geography*, 30(1), 44-61.

Neilson, G.L.; Martin, K.L.; & E. Powers. (2007). The Secrets to Successful Strategy Execution. *Harvard Business Review*, 86 (6): 60-70.

Northeast Ohio Medical School. (2014). NEOMED-CSU Partnership for Urban Health. Retrieved on November 20, 2014 from <http://www.neomed.edu/admissions/medicine/csu>.

Office of Urban Affairs. (2013). *Urban Policy Working Group: About Us*. Retrieved from <https://www.whitehouse.gov/administration/eop/oua/initiatives/working-groups> on September 2, 2014.

Oliver, C. (1991). Strategic responses to institutional processes. *Academy of Management Review*, 16, 145–179.

Olssen, M. & Peters, M. A. (2005). Neoliberalism, higher education and the knowledge economy: from the free market to knowledge capitalism. *Journal of Education Policy*, 20(3), 313-345.

Orszag, P. R., Barnes, M., Carrion, A., & Summers, L. (August 11, 2009). *Developing Effective Place-Based Policies for the FY 2011 Budget*. A Memorandum for the Heads of Executive Departments and Agencies (M-09-28). Washington D.C.: The White House.

Parry, M. (2013) Competency-Based Education Advances with U.S. Approval of Program. *Wired Campus: The Latest News on Tech and Education: The Chronicle of Higher Education*. Retrieved from <http://chronicle.com/blogs/wiredcampus/u-s-education-department-gives-a-boost-to-competency-based-education/43439> on April 20, 2013.

Patton, M. Q. (2002). *Qualitative Research & Evaluation Methods (3rd Ed.)*. Thousand Oaks, CA: Sage.

Peeke, G. (1994). *Mission and Change: Institutional Mission and its Application to the Management of Further and Higher Education*. Bristol, PA: Open University Press.
Urban Universities as Anchor Institutions: A Report of National Data and Survey Findings. Located at:
http://www.usucoalition.org/downloads/part6/USU_Report_of_National_and_Survey_Data.pdf

Perry, D. C. and C. E. Menendez. (2009). *Urban Universities as Anchor Institutions: Data Analysis of Partnerships Processes & Impact*. Presentation at Coalition of Urban and Metropolitan Universities, Annual Meeting, October 11, 2009.

Perry, D. C. and Wiewel, W. (Eds.) (2005). *The University as Urban Developer: Case Studies and Analysis*. New York: M.E. Sharpe.

Perry, D., & Menendez, C. (July 2010). *Urban Universities as Anchor Institutions: A Report of National Data and Survey Findings*. Located at:
http://www.usucoalition.org/downloads/part6/USU_Report_of_National_and_Survey_Data.pdf

Peters, S. J., Alter, N., & Schwartzbach, N. (2010). *Democracy and Higher Education: Traditions and Stories of Civic Engagement*. East Lansing, MI: Michigan State University Press.

Pierre, J. (Ed.). (1998). *Partnerships in Urban Governance: European and American Experience*. New York, NY: St. Martin's Press, Inc.

Powell, W. W. (1991). Expanding the scope of institutional analysis. In W. W. Powell, & P. J. DiMaggio (Eds.) *The New Institutionalism in Organizational Analysis* (pp. 183-203). Chicago: University of Chicago Press.

Presser, S., Rothgeb, J.M., Couper, M.P., Lessler, J.T., Martin, E., Martin, J., & Singer, E. (2004). *Methods for Testing and Evaluating Survey Questionnaires*. Hoboken, N.J.: John Wiley & Sons, Inc.

Price, H. (2011). A seat at the table: Place-based urban policy and community engagement. *Harvard Journal of African American Policy*: 2011 Online Edition.

Pulliam, J. D. & Van Patten, J. V. (1995). *History of Education in America*. Englewood Cliffs, N.J.: Prentice Hall.

- Punch, K. F. (2006). *Developing Effective Research Proposals (2nd Ed.)*. Los Angeles, CA: Sage.
- Raff, L. (2006). Cultivating higher education: University of Washington expands its Tacoma branch campus. *The Bulletin*, January 10, 2006. Retrieved from: [http://www.bendbulletin.com/article/20060110/NEWS0107/601100348/Lily Raff](http://www.bendbulletin.com/article/20060110/NEWS0107/601100348/Lily%20Raff)
- Rea, L.M. and Parker, R.A. (2005). *Survey Research: A Comprehensive Guide (3rd Ed.)*. San Francisco: Jossey-Bass.
- Reed, M. I. (1997). In praise of duality and dualism: Rethinking agency and structure in organizational analysis. *Organization Studies*, 18(1), 21-42.
- Rhoten, D. & C. Calhoun. (2011). *Knowledge Matters: The Public Mission of the Research University*. New York, NY: Columbia University Press.
- Richards, D. (1996). Elite Interviewing: Approaches and Pitfalls. *Politics*, 16(3), 199-204.
- Rodin, Judith. (2007). *The University and Urban Revival: Out of the Ivory Tower and Into the Streets*. Philadelphia: University of Pennsylvania Press.
- Rowe, G. & Frewer, L. J. (2000). Public Participation Methods: A Framework for Evaluation. *Science, Technology, & Human Values*, (25): 1, 3-29.
- Rowley, D.J.: Lujan, H.D.; & Dolence, M.G. (1997). *Strategic Change in Colleges and Universities: Planning to Survive and Prosper*. San Francisco, CA: Jossey-Bass Publishers.
- Rowley, D.J. & Sherman, H. (2001). *From Strategy to Change: Implementing the Plan in Higher Education*. San Francisco, CA: Jossey-Bass.
- Rosaen, C.L., Foster-Fisherman, P.G., & Fear, F.A. (2001). The citizen scholar: Joining voices and values in the engagement interface. *Metropolitan Universities: An International Forum*, 12(4), 10-29.
- Rubin, H. J. and Rubin, I. S. (1995). *Qualitative Interviewing: The Art of Hearing Data*. Thousand Oaks, CA: Sage.
- Rudolph, F. (1990). *The American College and University: A History*. Athens: University of Georgia Press.
- Ryan, K., Gannon-Slater, N. & Culbertson, M. J. (2012). Improving survey methods with cognitive interviews in small- and medium scale. *American Journal of Evaluation*, 00(0), 1-17.

Saltmarsh, J., Giles, D., Ward, E., & Buglione, S. M. (2009). Rewarding Community-Engaged Scholarship. In L.R. Sandmann, C. H. Thornton, & A. J. Jaeger (Eds.), *Institutionalizing Community Engagement in Higher Education: The first Wave of Carnegie Classified Institutions. New Directions for Higher Education: No. 147* (pp. 25-36). San Francisco, CA: Jossey-Bass.

Sandman, L. R.; Kliwer, B. W.; Kim, J.; & Omerikwa, A. (2010). Toward Understanding Reciprocity in Community-University Partnerships, in J. Keshen; B. A. Holland & B. E. Moely, *Research for What: Making Engaged Scholarship Matter*. Charlotte, N.C.: Information Age Publishing, Inc.

Schwarz, N. (2007). Cognitive aspects of survey methodology. *Applied Cognitive Psychology*, 21, 277–287.

Scott, R. H. (1994). Measuring Performance in Higher Education. In Meyerson, J. W. & W. F. Massey (Eds.) *Measuring Institutional Performance in Higher Education*. Princeton, N.J.: Peterson's.

Scott, W. R. (2001). *Institutions and Organizations* (2nd Ed.). Thousand Oaks, CA: Sage.

Scott, J. C. (2006). The Mission of the university: Medieval to postmodern transformations. *The Journal of Higher Education*, 77(1), 1-39.

Semler, S. W. (1997). Systematic agreement: A theory of organizational alignment. *Human Resource Development Quarterly*, 89(1), 23-40.

Shulman, L. E. (2011). Forward. In C. A. Beere, J. C. Vortuba, & G. W. Wells, *Becoming and Engaged Campus: A Practical Guide for Institutionalizing Public Engagement*. San Francisco: Jossey-Bass.

Sierra Club. (2005) *Building Better: A Guide to America's Best New Development Projects*. Washington D.C.: The Sierra Club Foundation.

Smith, K. E. (2006). "Problematising power relations in 'elite' interviews," *Geoforum* 37(4), 643–653.

Sporn, B. (2006). Governance and administration: Organizational and structural trends. In Forest & Altbach (Eds.), *International Handbook of Higher Education*, 18(1), 141–57.

State Higher Education Executive Officers. (2013). *State Higher Education Finance FY 2012*. Boulder, CO: State Higher Education Executive Officers.

Strauss, A. and Corbin, J. (Eds.) (1997) *Grounded Theory in Practice*. London: Sage.

Suchman, M. C. (1995). Managing legitimacy—Strategic and institutional approaches. *Academy of Management Review*, 20, 571-610.

Tandberg, D. A. and Griffith, D. A. (2013). State support of higher education: Data, measures, findings, and directions for future research. In M. B. Paulsen, (Ed.). *Higher Education: Handbook of Theory and Research: Volume 28* (pp. 613-685). New York, NY: Springer Science+Business Media.

The Netter Center for Community Partnerships at the University of Pennsylvania. (2008). *Anchor Institutions Toolkit: A Guide for Neighborhood Revitalization*

The White House. (2009). Developing effective place-based policies for the FY 2011 budget. Memorandum for the Heads of Executive Departments and Agencies. Retrieved February 6, 2013, from www.whitehouse.gov/sites/default/files/omb/assets/memoranda_fy2009/m09-28.pdf.

Thompson, M. D. & R. O. Riggs. (2000). Institutional expenditure patterns and the facilitation of mission. *Community College Review*, 27(4), 1-15.

Tomaney, J. (2010). *Place-Based Approaches to Regional Development: Global Themes and Australian Implications*. Sydney, Australia: Australian Business Foundation Limited.

Tourangeau R. (1984). Cognitive sciences and survey methods. In T. B. Jabine, M. L. Straf, J. M. Tanur, & R. Tourangeau, (Eds.) *Cognitive Aspects of Survey Methodology: building a bridge between disciplines* (pp. 73-101). Washington, D.C.: National Academy Press.

Tourangeau, R., & Rasinsk, K. A. (1988). Cognitive processes underlying context effects in attitude measurement. *Psychological Bulletin*, 103, 299–314.

Tourangeau, R., Rips, L. J., & Rasinski, K. (2000). *The Psychology of Survey Response*. Cambridge, England: Cambridge University Press.

Townley, B. (1997). The institutional logic of performance appraisal. *Organization Studies*, 18(2), 261-285.

University Circle, Inc. (2014). *The Neighborhood Without Borders*. Retrieved on November 20, 2014 from: http://www.universitycircle.org/downloads/uci_neighborhood_without_borders.pdf.

University of Illinois at Chicago. (2011). 2010: Strategic Thinking, retrieved from http://www.uic.edu/depts/oaa/2010/report_separate_pages/01_10_intro.p.pdf on September 24, 2014.

University of Puget Sound. (2014a). *About Puget Sound: Strategic Plan*, retrieved from <http://www.pugetsound.edu/about/strategic-planning/strategic-plan/> on April 2, 2014.

University of Puget Sound. (2014b). Mission Statement, retrieved from <http://www.pugetsound.edu/about/strategic-planning/mission-statement/> on April 2, 2014.

University of Puget Sound. (2014c). Community Engagement. Retrieved on December 2, 2014 from: <http://www.pugetsound.edu/community/>.

University of Washington Tacoma. (2008). *Campus Master Plan*. Retrieved on September 12, 2012 from http://www.tacoma.uw.edu/uwt/sites/default/files/global/documents/admin-services/projects/planning/uwt_campusmasterplanupdate_2008_contents.pdf.

University of Washington Tacoma. (2013). *University Y Student Center Design-Build Team Selected*. Retrieved on October 10, 2013 from: <http://www.tacoma.uw.edu/news/university-y-student-center-design-build-team-selected>.

University of Washington Tacoma. (2014). *About University of Washington Tacoma: Mission, values and vision*, retrieved from <http://www.tacoma.uw.edu/chancellor/mission-values-and-vision> on April 2, 2014.

University of Washington Tacoma. (2015). *About the University of Washington Tacoma*. Retrieved on January 2, 2015 from: <http://www.tacoma.uw.edu/about-uw-tacoma/about-university-washington-tacoma>.

U.S. Department of Education, National Center for Education Statistics. (2012). *Digest of Education Statistics, 2011* (NCES 2012-001). Uwe, F. (2009). *An Introduction to Qualitative Research* (4th Ed.). Thousand Oaks, CA: Sage.

U.S. Department of Education. (2010). *National Center for Education Statistics, Integrated Postsecondary Education Data System*.

Vandament, W.E. (1989). *Managing money in higher education*. San Francisco: Jossey-Bass.

Van der Wusten, H. (Ed.). (1998). *The Urban University and its Identity: Roots, Locations, Roles*. Boston: Kluwer Academic Publishers.

Van Gestel, N. & Hillebrand, B. (2011). Explaining stability and change: The rise and fall of logics in pluralistic fields, *Organization Studies*, 32(2), 231-252.

Veysey, L. R. (1965). *The Emergence of the American University*. Chicago, IL: University of Chicago Press.

Veale, J. R., Morley, R. E., & Erickson, C. L. (2002). *Practical Evaluation for Collaborative Services: Goals, Processes, Tools, and Reporting Systems for School-Based Programs*. Thousand Oaks, CA: Sage.

Vortruba, James C. (2010) Forward. In Fitzgerald, Hiram E., Burack, Cathy, and Sarena D. Seifer. Eds. (2010). *Handbook of Engaged Scholarship: Contemporary Landscapes, Future Directions*. East Lansing: Michigan State University Press.

Ward, K. & Moore, T. (2010). Defining “engagement” in the scholarship of engagement. In H. Fitzgerald, C. Burack, & S. D. Seifer, (Eds). *Transformation in Higher Education: Handbook of Engaged Scholarship: Contemporary Landscapes, Future Directions, Volume 1: Institutional Change* (pp. 25-38). East Lansing, MI: Michigan State University Press.

Warren, C. A. B. (2002). Qualitative interviewing. In J. F. Gubrium, & J. A. Holstein, (Eds.). *Handbook of Interview Research: Context and Method* (pp. 83-101). Thousand Oaks, CA: Sage.

Watson, D., Hollister, R. M., Stroud, S. E., & Babcock, E. (2011). *The Engaged University: International Perspectives on Civic Engagement*. New York: Routledge.

Webber, H., Karlström, M., & Richman, H. (2008). *Anchor Institutions and Community Investment: Understanding Institutional Costs and Benefits and the Range of Strategic Options*. (A Working Paper).

Weber, M., Henderson, A. M., & T. Parsons. (1947). *The Theory of Social and Economic Organization*. New York, NY: Oxford University Press.

Weber, R., Theodore, N., & Hoch, C. (2005). Private choices and public obligations: Ethics of university real estate development. In D. Perry & W. Wiewel (Eds.). *The University as Urban Developer: Case Studies and Analysis*, (pp. 285-299). New York: M.E. Sharpe.

Weerts, D. J. (2011). “*If only we told our story better . . .*”: *Re-envisioning state-university relations through the lens of public engagement*. (WISCAPE Viewpoints). Madison, WI: University of Wisconsin–Madison, Wisconsin Center for the Advancement of Postsecondary Education (WISCAPE).

Weick, K. (1976). Educational organizations as loosely coupled systems. *Administrative Science Quarterly*, 21, 1-19.

Wiewel, W. & Perry, D. C. (Eds.) (2008) *Global Universities and Urban Development: Case Studies and Analysis*. New York: M.E. Sharp.

- Wickens, J. (2014). "Cleveland State University," *Cleveland Historical*, accessed January 20, 2015, <http://clevelandhistorical.org/items/show/77>.
- Willis, G. B., Royston, P., & Bercini, D. (1991). The use of verbal report methods in the development and testing of survey y questionnaires. *Applied Cognitive Psychology* 5, 251–267.
- Willis, G. B., DeMaio, T., & Harris-Kojetin, B. (1999). Is the bandwagon headed to the methodological promised land? Evaluation of the validity of cognitive interviewing techniques. In M. Sirken, D. Herrmann, S. Schechter, N., Schwarz, J. Tanur, & R. Tourangeau, (Eds.). *Cognition and Survey Research*. New York: Wiley.
- Willis, G. B. (2004). Cognitive interviewing revisited: A useful technique, in theory? In S. Presser, J. M. Rothgeb, M. P. Couper, J. T. Lessler, E. Martin, J. Martin, J., & E. Singer, (Eds.). *Methods for Testing and Evaluating Questionnaires* (pp. 23–44). Hoboken, NJ: Wiley.
- Willis, G. B. (2005). *Cognitive Interviewing: A Tool for Improving Questionnaire Design*. Thousand Oaks, CA: Sage.
- Wilson, R. (2010). Tenure, RIP: What the vanishing status means for the future of education. *The Chronicle of Higher Education*, 07/04/2010.
- Youn, T. I. K. & Murphy, P. B. (1997). Volume introduction. In T. I. K. Youn, & P.B. Murphy (Eds.) *Organizational Studies in Higher Education*. New York, NY: Garland Publishing, Inc.
- Yu, K. H. (2013). Institutionalization in the context of institutional pluralism: Politics as a generative process. *Organization Studies*, 34(1), 105-131.
- Zumeta, W. (2006). "Public Higher Education in Washington State: Aspiration Are Misaligned with Fiscal Structure and Politics", In Ehrenberg, R. G. (Ed.) *What's Happening to Public Higher Education*. Westport, CT: Praeger Publishers.

VITA

NAME

Carrie Elizabeth Menendez

EDUCATION

B.A., Sociology, Saint Louis University, Saint Louis, MO, 2001

M.A. Public Administration, Saint Louis University, Saint Louis, MO, 2003

Ph.D., Urban Planning and Policy, University of Illinois at Chicago, Chicago, Illinois, 2015

EXPERIENCE

Research Assistant, Great Cities Institute, University of Illinois at Chicago, 2007-2014

Lecturer, College of Urban Planning and Public Affairs, University of Illinois at Chicago, 2009-2010

Full-time Professor, Department of Sociology and Criminal Justice, Saint Louis University, 2004-2007

Research Assistant, Department of Public Policy, Saint Louis University, 2001-2003

HONORS

Department of Housing and Urban Development: Office of University Partnerships Doctoral Dissertation Research Grant, 2011-2013

Emerging Engagement Scholar, Engagement Scholarship Consortium (formerly the National Outreach Scholarship Conference), 2012

Midwest Sociological Society Grant for Scholarly Research, 2003

PUBLICATIONS AND REPORTS

Perry, D. C., Wiewel, W., & C. Menendez. (2009). Urban Higher Education: From Enclave to Anchor Institution, *Land Lines*, July.

Perry, D. C., & C. Menendez. (2010). *Urban Universities as Anchor Institutions: A Report of National Data and Survey Findings*. A Report for the Coalition of Urban Serving Universities.

Friedman, D., Menendez, C. & D. Perry. (2014). *The Foundational Role of Universities as Anchor Institutions in Urban Development*. A report written for the Coalition of Urban Serving Universities and the Association of Public Land-Grant Universities: Washington D.C.

SELECTED PAPERS AND PRESENTATIONS

Data for Action: Creating Metrics and Collecting Data on the Role of Universities as Anchor Institutions in Urban Development, Presented at The Association of Public and Land-Grant Universities (APLU) 8th Annual Summer Meeting, Chicago, IL, 2013.

Assessing Engagement: Developing Uniform Metrics at Urban Universities, Presented at Coalition of Urban and Metropolitan Universities 18th Annual Conference, Chattanooga TN, 2012.

The Transformative Role of Urban Research Universities: A Survey of University Partnerships for Development, Presented at Association of American Geographers Annual Meeting, Washington D.C., 2010.

Institutions Partnering for Development: An Emerging Role for Higher Education, Presented at the Urban Affairs Association Annual Meeting, Chicago, IL, 2009.

Report on Survey and Data Collection for the Coalition of USUs Economic Impact on Urban Areas, Presented at Coalition of Urban Serving Universities Annual Meeting, Washington D.C., 2009.

Institutions Partnering for Development: A Tale of Two University Projects in Chicago, Presented at International Town and Gown Association: 4th Annual Conference on Best Practices in University-Community Relations, Murray, KY, 2009.

Gacaca: An Alternative Rwandan Path to Civil Society. Presented at the Annual ARNOVA (Association for Research on Nonprofit Organizations and Voluntary Action) Conference, Denver, CO, 2003.

Confluence of Associational and Organizational Logics: The Relative Contribution of Congregations to the Development of Social Capital in Kenya. Presented Annual Conference of the Southwestern Social Science Association, San Antonio, TX, 2003