TEFCE

Towards a European Framework for Community Engagement in Higher Education

MAPPING AND CRITICAL SYNTHESIS OF CURRENT STATE-OF-THE-ART ON COMMUNITY ENGAGEMENT IN HIGHER EDUCATION

Paul Benneworth, Bojana Ćulum, Thomas Farnell, Frans Kaiser,
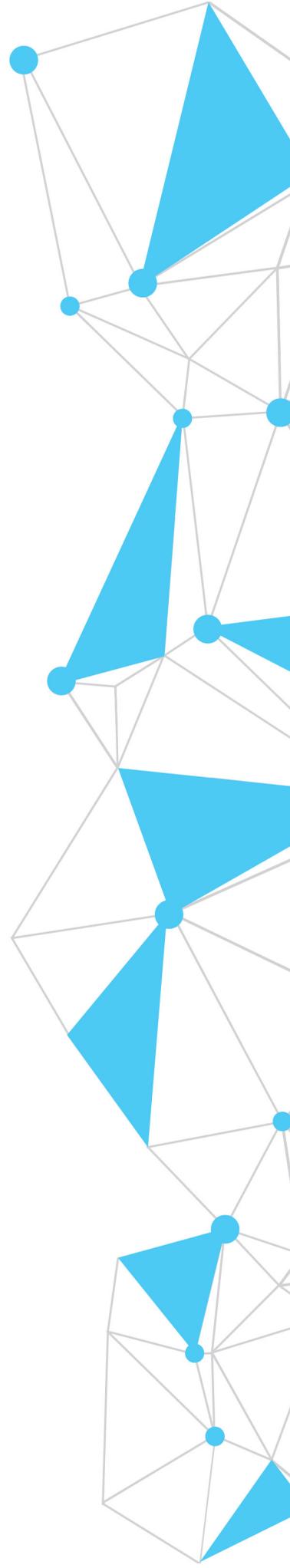*Marco Seeber, Ninoslav Šćukanec, Hans Vossensteyn & Don Westerheijden*

PROJECT COORDINATORS

TECHNISCHE
UNIVERSITÄT
DRESDEN

Institute for the
Development of Education

PROJECT CONSORTIUM

cheps
Center for
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Policy Studies

Sveučilište u Rijeci
University of Rijeka

DIT
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Institiúid Teicneolaíochta Átha Cliath

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TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

LIST OF ABBREVIATIONS

B-HERT	Business/Higher Education Round Table (Australia)
CVCP	Committee of Vice Chancellors & Principals (UK, later Universities UK)
EHEA	European Higher Education Area
NPM	New Public Management
OECD	Organisation for Economic Co-operation and Development
OECD-CERI	Organisation for Economic Co-operation and Development, Centre for Educational Research and Innovation
RRI	Responsible research and innovation
TEFCE	Towards a European Framework for Community Engagement in Higher Education (this project)

INTRODUCTION

Paul Benneworth,
Center for Higher Education Policy Studies, University of Twente (the Netherlands)

About the TEFCE project

This report is a result of a European project 'Towards a European Framework for Community Engagement in Higher Education' (TEFCE), co-funded by the European Commission through the Erasmus+ programme "Forward Looking Cooperation Projects" scheme. The specific objective of the TEFCE project is to develop innovative and feasible policy tools both at the university and European level for supporting, monitoring and assessing the community engagement of universities.[1] The project (which lasts from January 2018 to December 2020) gathers 13 partner institutions[2] from seven EU Member States to propose and pilot an innovative framework for community engagement (including specific measures for guidance, assessment and peer-learning) and to assess the feasibility of launching such a framework at the level of the European Higher Education Area.

In order to have a robust academic foundation for the TEFCE project, the first step in the project was to provide a clear definition of the concept 'community engagement' and its role in debates about the role of higher education in the 21st century as well as map existing international initiatives that have attempted to develop frameworks for assessing community engagement. The project's Expert Team (as co-authors of this report) therefore undertook the task to address these points in the report, thereby identifying the needs, gaps and opportunities for a European framework for community engagement of higher education.

The (re-)emergence of the community engagement agenda and the barriers to its realisation

There is an increasing sense that universities should be doing more to engage with various kinds of communities in the course of their activities (McIlrath, Lyons, & Munck, 2013). Indeed, the recent European Commission Communication entitled A Renewed EU Agenda for Higher Education (2017) identified community engagement for

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1 The term 'university' in this report and in the TEFCE project as a whole refers to all higher education institutions, irrespective of whether they are research universities or professional higher education institutions (e.g. universities of applied science, polytechnics or colleges).

2 The TEFCE project partners are: Technische Universität Dresden (Germany), Institute for the Development of Education (Croatia), University of Twente/Center for Higher Education Policy Studies (Netherlands), Dublin Institute of Technology (Ireland), University of Rijeka (Croatia), Ghent University/Centre for Higher Education Governance Ghent (Belgium), City of Dresden (Germany), Knowledge Point Twente, Region of Twente (Netherlands), City of Dublin (Ireland), City of Rijeka (Croatia), Catalan Association of Public Universities (ACUP) (Spain), PPMI Group (Lithuania) and The European Consortium of Innovative Universities (Netherlands).

the first time as one of the desirable mechanisms by which European universities should seek to promote their societal purposes. This renewed emphasis on engagement goes beyond the now widely-accepted need for universities to ensure that they contribute to economic growth. Indeed, the Commission's Renewed Agenda emphasises that higher education 'must play its part in facing up to Europe's social and democratic challenges' and 'should engage by integrating local, regional and societal issues into curricula, involving the local community in teaching and research projects, providing adult learning and communicating and building links with local communities' (p.7).

Although the definition of community engagement is notoriously difficult to pin down, in this report and in the TEFCE project as a whole, we will take a relatively broad view of community engagement as a subclass of all kinds of university engagement (the various kinds of distinction in engagement and the third mission are addressed in Chapter 1). Engagement involves universities working with external partners on activities that generate mutual benefits (B-HERT, 2006), which (from the universities' perspective) enrich the universities' core activities. In Figure 1 below, we highlight the ways in which society may place resources into universities through engagement in ways that ultimately benefit the university (e.g. when firms work on research projects together with universities, they often have far more advanced equipment than university laboratories and therefore community engagement provides staff with access to otherwise unattainable benefits).

Figure 1 Engagement integrating external partners into university core knowledge activities
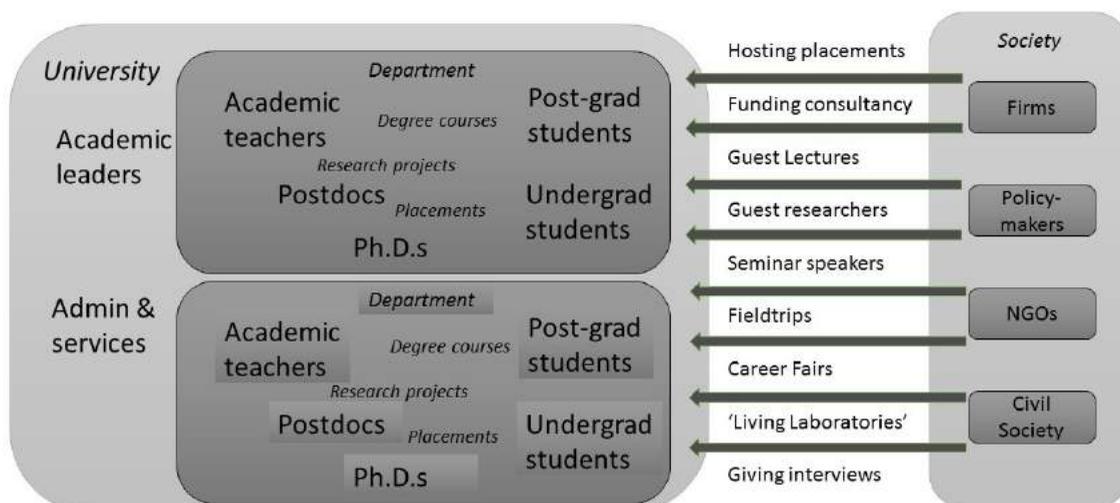
Source: Nieth & Benneworth (2018)

Although the demand on universities to become more community-engaged can clearly be attributed to achieving positive social outcomes, this demand stems from the same source that imposes the pressure on them to drive welfare growth, i.e. to provide a substantive increase in the size of the sector, the resources flowing to the sector, along with the promises made by sectoral representatives of the potential returns that investments in higher education can bring to funders (Benneworth, 2013). Behind this lies a more negative connotation, that despite all these investments, universities have turned their backs upon society and are retreating into a supposed 'ivory tower' (Bond & Patterson, 2005). The increased emphasis on openness and community engagement can also be understood as a critical response to the previously mentioned pressure on engaging with business and supporting their private interests (often exercised against public benefits), which has raised a growing distrust in the impartiality of scientists and universities to deliver these general beneficial contributions (Von Schomberg, 2011; Stilgoe, Owen, & Macnaghten, 2013). The concept of 'responsible research and innovation' (RRI) has been proposed by European policy-makers as a means of restoring a sense of providing benefit for the general public in research and innovation investments beyond their immediate contributions to business profitability (von Schomberg, 2011). RRI seeks to reassert a degree of democratic control over research and innovation processes, and is based upon anticipating future outcomes, reflecting on potential impacts, responding to societal needs and including societal partners in decision-making (Owen, Macnaghten, & Stilgoe, 2012; Stilgoe et al. 2013).

The expansion of higher education has brought with it a wide range of new targets, pressures and demands, from undertaking excellent (i.e. published in top journals) research to internationalising the student population and academic staff. Community engagement, however, has simply not featured among the tools that measure the performance of universities according to these goals and demands. Universities' key knowledge agents – academics – themselves feel these pressures, which effectively prevents them from engaging with community partners and ensuring their research is properly grounded in the interests and responsive to the needs of local communities (Ostrander, 2004). In the absence of prioritising engagement over research excellence and internationalisation, many universities have failed to develop the appropriate infrastructures to translate the knowledge they produce into the range of contexts in which it is applied, what Perry and May

(2006) call the 'missing middle' of technology transfer. While large corporations can develop appropriate infrastructures to mediate that transfer, there is a range of communities that lack those capacities to receive and absorb that knowledge. Hence, this is having negative consequences on ensuring that these public investments in knowledge create benefits for, visible to and under the control of, wider community and societies as a whole. At the same time, we acknowledge that we have been here before; in 1982, the Organisation for Economic Co-operation and Development (OECD)'s Centre for Educational Research and Innovation (CERI) published its landmark report 'The University and the Community', which, just as now, foresaw an explosion of interactions between universities and their community. Since then, many university representatives and policy-makers have asserted the importance and centrality of engagement to the concept of a contemporary university. In 1994, the UK's university representative organisation Committee of Vice Chancellors and Principals (CVCP) identified the many ways in which universities contributed to and engaged with their communities. In 2000, the Kellogg Commission on the Future of Land-Grant Universities argued that American state universities could not survive without reinventing themselves as 'engaged' institutions. The OECD returned to the idea of engagement in the 2000s, in its landmark report on 'regional engagement' (2007). All these various reports noted the importance of engagement, identified best practices, benefits for engaged universities and appropriate policies to promote that engagement. And yet, in the mid-2010s, the European Commission is seeking to promote university-community engagement despite this history of previous efforts. How do we explain this lack of progress over the past 35 years?

Towards a European framework for community engagement?

As co-authors of this report, we contend that it is necessary to understand that university-community engagement is more difficult to achieve satisfactorily than might immediately be evident. We are at the same time not idealistic about engagement, nor do we seek to argue that university-community engagement should be prioritised above other institutional missions. Our overarching message is that community engagement can bring tangible benefits to universities (in a highly context-dependent way).

In this report, we attribute the current insufficient use of community engagement to what we refer to as 'institutional failures', here used in a technical rather than emotive sense to refer to situations in which well-functioning institutional arrangements fail to produce a more generally desirable outcome.

Our focus within the TEFCE project is in placing community engagement into its wider higher education context, understanding the constraints and barriers that it faces, and tuning a Framework to assist universities in seeking to address those constraints and barriers. The term 'Framework' in this project is used in the sense of the European Open Method of Coordination that allows European institutions to encourage and improve activity in areas for which it does not directly have a mandate for intervention. It is therefore taken in this report to mean a collection of data on university institutional performance (interpreted in the broad sense of data) that can be used to coordinate efforts to improve performance, helping universities to identify where they might seek to be better at community engagement and signal pathways for improving that performance. The TEFCE Framework will therefore seek to address the aforementioned 'institutional failures' to prioritise and/or realise community engagement by:

(a)   providing managers with better information;
(b)   supporting the appropriate valuation and recognition of engagement
        activity within and without the university;
(c)   allowing benefits brought by engagement to contribute visibly/directly
        to institutional development.

In the longer term, the aim of the TEFCE project is to propose a Framework that will promote the diffusion of the extant knowledge base on community engagement to European universities, and support policy-makers in encouraging universities to become more engaged.

Overview of report

This report takes the first step in the development of this Framework by placing community engagement within its wider institutional context to identify more clearly why despite 35 years of recognition of its importance it has never become a widespread policy or institutional priority (Benneworth, 2013). In Chapter 1, we provide a broad overview

of this context to highlight the 'wicked issues' (barriers and hindrances) that universities and policy-makers face within community engagement. In Chapter 2, we reflect on the various kinds of activities that are involved in community engagement to derive a definition of what constitutes 'good' engagement. Chapter 3 then turns to the wider governance arrangements within which university-community engagement takes place and in particular the rise of the new public management and account-ability tools that have shaped the way that the sector will regard a potential European Framework. Chapter 4 then reviews existing approaches and tools that might support the development of a Framework that empowers and recognises engagement efforts as part of a more systematic institutional learning journey. The report then concludes with a set of recommendations for the development of a prototype Framework to serve as the basis for an empirical experiment on developing the European Framework.

Acknowledgements

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CHAPTER 1: DEFINITIONS, APPROACHES AND CHALLENGES TO COMMUNITY ENGAGEMENT

Paul Benneworth
Center for Higher Education Policy Studies, University of Twente (the Netherlands)

1.1 Introduction

'With an increasing focus on "third mission" objectives for higher education institutions, there is an 'international convergence of interest on issues about the purposes of universities and college and their role in a wider society' (Watson, 2007). TEFCE aims to support the improvement of the management of university-community engagement practices by developing a suitable European Framework to support managers, practitioners and policy-makers. This European Framework will provide – among other things – a resource to allow policy-makers to mandate universities to prioritise university-community engagement in a strategic way. The Introduction alluded to the fact that — in the context of universities that are increasingly managed through the use of visions, strategies, targets, 'key performance indicators' and benchmarks — community engagement has become invisible in universities' strategic priorities, and therefore has become a peripheral activity in higher education given a vertical segmentation of missions with research as the most prestigious followed by teaching. Indeed, as a consequence of this vertical segmentation, it has become less important or at least less visible in what might be considered as the elite stratum of universities who retain a disproportionate influence (mediated through technologies such as league tables) on what is seen 'good' university behaviour (cf. Seeber, Barberio, Huisman, & Mampaey, 2017). The proposed Framework therefore aims to support already ongoing work by policy-makers and university leaders to restore balance in understanding the wider societal contributions of universities, and ultimately to ensure that a wider set of contributions is developed for the benefit of society at large.

More generally speaking, the conundrum of managing community engagement reflects the fact that the term encompasses a very wide range of underlying activities for which it is extremely difficult to develop simplistic measures and headline indicators (Benneworth

& Jongbloed, 2013). It has to date not proven possible to identify a handful of emblematical measures that would at least allow for the development of the hard infrastructures and soft cultures necessary to promote and stimulate community engagement systematically within universities (Jongbloed & Benneworth, 2013). This contrasts with the way that the adoption of indicators for spin-offs, licenses and patenting activity (the so-called 'AUTM indicators' developed by the Association of University Technology Managers) allowed technology transfer to become mainstreamed and systematised in a range of higher education contexts (Benneworth, 2015).

In this chapter, we therefore seek to provide a conceptual taxonomy of the idea of community engagement in the contemporary higher education context. In particular, we seek to get away from the idea that delivering community engagement is relatively simple or straightforward but rather to set out quite clearly why it has become a mission that is more honoured in the breach than in the observance.

It is undoubtedly true that the engagement mission of higher education has become increasingly important to universities because of a recognition that the massification of higher education in the last two decades has intensified the duties faced by universities to actively demonstrate their wider contribution to society beyond the immediate benefits to educated individuals (McMahon, 2009). As a consequence of this, universities have found themselves working with many different kinds of stakeholders, all of whom signal in various ways to universities that their services are potentially of value for them and legitimate universities to provide those new kinds of services (Jongbloed, Enders, & Salerno, 2007). There is, therefore, an expectation that these communities will become stakeholders for the universities and steer them to engage and thus make a contribution to these communities' socioeconomic development. However, recent emphasis on working with external stakeholders has been primarily oriented towards one particular class of societal partner, often commercial partners who are primarily profit-motivated, and that can have the effect of undermining the contributions that universities make more generally to positive societal development processes. In this chapter we present our own definition of community engagement as a **process whereby universities engage with community stakeholders to undertake joint activities that can be mutually beneficial even if each side benefits in a different way.**

Indeed, any serious treatment of the notion of community engagement that actually means anything more specific than the 'third mission' must acknowledge the nature of the communities to which we are at least implicitly referring, and the difficulties of engaging with those communities. The reason that the idea of community engagement has become salient is because of the recognition that there are a set of societal groups for which university engagement has been more difficult, even as universities have placed more emphasis upon their societal mission. As a result, the benefits of any recent expansions of the engagement mission have been restricted to a very limited number of those well-endowed, well-articulated and well-organised 'communities'. At the same time, there are a set of societal groups for whom engagement with the university is problematic, despite its apparent potential value to benefit both these communities and the university in terms of creating context-specific knowledges of societal challenges, issues and problems (e.g. Humphrey, 2013).

These issues make managing community engagement somewhat complicated for universities, with community engagement itself being peripheral to universities, and demanding strong external stakeholders aiming to get universities to take their third mission seriously. All too often universities default to engaging with easy-to-reach communities with which it is intrinsically attractive to engage. The question then arises as to the conditions under which community engagement becomes intrinsically attractive for universities, rather than something that they are compelled by others to undertake. Jongbloed et al. (2007)'s stakeholder approach implies that this emerges through the construction of mutual benefits between universities and these communities, moving beyond a kind of corporate social responsibility by those universities towards a collective effort creating useful activities that benefit both those communities and the universities. However, the recent history of the intermittent development of community engagement as a university mission suggests that achieving that mutual benefit is not necessarily easy or straightforward. This raises a number of difficult questions and wicked issues for community engagement, which any form of accountability and transparency tools will need to address if they are to purposefully equip universities and policy-makers to systematically improve their community engagement activities.

1.2   Defining the 'community engagement' concept

1.2.1 A historical perspective on community engagement

Universities are fundamentally societal institutions, the first universities emerging at the time when powerful patrons sought to produce a highly-educated elite to meet their own purposes, whether that of the Catholic Church, the emerging mercantile urban network of the German empire, or indeed as part of an assertion of the post-Westphalian statehood (Benneworth, 2014). As Shils noted in his account of the transformation of universities across Europe following France's May 1968 protests:

> 'No modern university has ever lived entirely from the sale of its services. Universities have received subsidies from the church, the state, and private philanthropists as individuals and as foundations' (Shils, 1988, p. 210).

This point was echoed by Biggar (2010) who noted that:

> 'Right from their medieval beginnings, [universities] have served private purposes and practical public purposes as well as the sheer *amor scientiae* ['knowledge for knowledge's sake']...popes and bishops needed educated pastors and they and kings needed educated administrators and lawyers capable of developing and embedding national systems' (p. 77).

What has driven the longevity of the idea of university (European universities have existed continuously since the 11th century) has been the fact that universities have been inextricably intertwined with, responsive to and beneficial for societies, and have retained that position against a long-term backdrop of wider social upheavals in Europe. Indeed, as Phillipson (1976, 1988) noted, where universities lost their connections into society (as exemplified by 18th century Scotland), then new kinds of institutions emerged to meet the society's needs for knowledge, and the universities themselves responded to these events in order to better orient themselves to the society. But the longevity and adaptability of universities meant that as new missions emerged, the existing institutions found themselves becoming layered in terms of the ways these missions interlaced upon them. Even newly created institutions founded for more applied purposes found themselves inheriting these older purposes into their institutional identity of what constituted a 'good' university (Collini, 2011).

Table 1.1 The evolution of the idea of a university and corresponding societal demand

Social change	Sponsor urgent desire	Exemplar of a university
Agricultural revolution	Reproducing religious administrators	Bologna (11th C Italy)
Emergence of nobility	Educating loyal administrators	Paris (12th C France)
Urbanisation	Educated administrative elite to manage trade	Catholic University of Leuven (15th C)
Sustaining national communities	Validating the state by imagining the nation	Lund University (17th C)
Creating a technical elite	Creating a technical besides administrative elite	Humboldt University, Berlin
Promoting progress	Creating economically useful knowledge	Land-Grant Universities (19th-20th C USA)
Supporting democracy	Creating elites for non-traditional communities	Dutch Catholic Universities (20th C NL)
Creating mass democratic societies	Educating Habermasian deliberative citizens	UK 'Plate Glass' universities of the Robbins era.

Source: Benneworth (2014)

It is here possible to distinguish between the idea of universities as having benefits for their sponsor society, and universities engaging with society to deliver those benefits. The big change in societal demand that saw a demand for active engagement as well as producing benefits for communities was the increasing technologisation of society and the roles that universities played in that. Universities' earliest societal contributions were delivered through teaching, and particularly a form of teaching primarily organised around a classical education of the liberal arts and sciences which emphasised a wider, abstracted understanding of the world beyond the immediately experiential (Ruëgg, 1992). Under such circumstances of an invariable curriculum, there was no need or indeed justification for societal partners to be engaged with and to shape that curriculum. However, when the Industrial Revolution emerged at the end of the 18th century, this created a new

class of student, one who had abstract knowledge around newly emerging industrial processes. Although the industrial innovation that drove this revolution was initiated in the commercial sector, the value of abstract knowledge and understanding led to the strengthening of learned societies and scientific communications creating collective knowledge bases in which industrial voices were important in determining the overall direction of travel. Universities responded by adding the function of research to their activities, and ensuring that their newly created scientific and technology courses were also rooted in these knowledge communities, within which advances were being made (McClelland, 1988).

The so-called Humboldtian model, which emerged in Germany at the start of the 19th century, was adopted and transformed in the US with the emergence of the concept of 'extension'. Congress passed the Morrill Act in 1862, granting Federal Lands to states in order to provide funds to establish higher education institutions specifically for the promotion of agricultural and technological high-level education along with the provision of knowledge to farmers and business. This idea of 'extension', in which universities served as conduits to 'extend' the latest knowledge to farmers and companies was the first manifestation of a specific policy for 'engagement', in contrast to Humboldtian models where it was the student moving into business that became the vector for the knowledge transfer. It was with the creation of extension as a transfer model that engagement firstly becomes evident. As businesses were emerging and being established in the US, they demanded new knowledge as well as a pure recipient for that, precisely because of the human-centric nature of the transfer networks and the fact that these businesses represented a resource for the universities seeking to meet their own research goals. The idea of 'service-learning' emerged at this time, enriching academic curricula by delivering education to students through working on real-world problems (often encountered through extension orientations).

From the end of the 19th century, a specifically community-oriented form of engagement emerged in various national contexts where particular less-powerful communities recognised the developmental potential of higher education and created or agitated for the creation of universities to stimulate their own development. The Antigonish Movement emerged in the eponymous Nova Scotian town, in which a liberal Catholic University adopted the extension concept towards driving community (rather than business) development through adult education, study clubs and leadership development activities. In the

Netherlands, Calvinist and Catholic emancipation was promoted by creating universities to educate and develop political and social leaders of these respective community pillars, with the Free University, Radboud University and University of Tilburg all being created specifically to educate community leaders. Daalder and Shils (1982) chart how universities across Europe responded to the protests following the May 1968 protests in France by seeking to democratise themselves and educate citizens for deliberative post-industrial democracies. An entirely separate and often ignored tradition emerged in Latin America as a result of decolonisation and popular revolutionary movements, with the Cordoba declaration in 1918 committing universities to driving social development, with universities making social service activities integral to their curricula and a necessary requirement for graduation (Tapia, 2008).

In its contemporary incarnation, we acknowledge that community engagement has become a residual category, as a way of talking about a set of issues that are acknowledged to be important but have been forgotten, made invisible and ignored in the ways that university engagement has developed in the last 30 years (and particularly focusing on business engagement). Indeed, the 1982 OECD-CERI report did not actively distinguish between community and business engagement, but that reflects the reality that at the time both these activities tended to be organised in an ad hoc (and sometimes amateurish) manner within universities. Likewise, the issue of commercialisation regarded as being good for universities as a profitable activity is a strange one, because 99% of university patents lose money and promoting entrepreneurship represents a cost, not a profit, for universities. However, business engagement has clearly been constructed as being desirable for contributing to economic growth, and has therefore benefited from a torrent of supportive policy interventions, while policy support for community engagement has been far more lukewarm (e.g. Canada's Community-University Research Alliance scheme, Benneworth & Jongbloed, 2008). Therefore, community engagement also carries with itself the connotation that there are things that are known to be in some way important at an abstract level but have been ignored in the rush to deliver these other more imminently important activities.

This huge variety of activities, purposivity, intentionality and outcomes contributes to what Benneworth (2013) identifies as the dominant problem of community engagement, namely its definitional instability. As McIlrath (2014, p. 39) says, 'the theory and practice of this work is as rich and diverse as the historical, political, social, civic and cultural

roots that have given rise to regions, nations and continents, and the formation and universities and systems globally.' A tendency to date has been to seek to predicate progress on making community engagement more important to universities by producing a rigorous definition of what counts as community engagement. But then the issue of what Sandmann (2008, p. 101) refers to as 'definitional anarchy' becomes salient, and indeed Cuthill (2011) later identified 48 different keyword relating to university-community engagement. When we talk about universities, there is a clear division between what strategic managers see as desirable, the engagement infrastructures in place and the community engagement that the 'academic heartland' do as part of their everyday teaching and research activities. The consequence of this fuzziness is that in proposing any definition there is a risk of drawing hard lines around which activities do or do not count and ignoring this characteristic of involving community actors in meaningful ways in various knowledge processes. In such cases it is always possible to find an exception that proves the rule, rendering the definition unsatisfactory, rather than the definition serving to identify a subset of knowledge processes within which community actors play a meaningful and actively involved role.

1.2.2 Defining university-community engagement as one element of university contributions

We regard community engagement as part of what Laredo termed the 'third mission' of universities (2007). This covers a wide range of activities from providing human resources, licensing and exploiting intellectual property, creating spin-off companies, undertaking work under contract for the public, private and voluntary and community sector, participation in policy-making, involvement in social and cultural life and public understanding of science. These societal benefits emerge because universities comprise knowledge activities, knowledge activities are carried out by people in communities, people are creative and social, and so people in university knowledge communities may creatively involve outsiders in their core knowledge activities. Some of this may occur despite or without university policy or intervention. Indeed, Feldman & Desrochers found that despite Johns Hopkins University specifically forbidding engagement by its medical staff in the 1930s, its staff could not help but engage to simply carry out their core tasks, thereby laying the foundations for Baltimore's later biomedical cluster (2003). B-HERT (2006) defined Engagement as encompassing a range of different kinds of stakeholders, 'business ... artistic, religious, educational, sporting, charitable, indigenous, professional

associations, local councils, families' and being rooted in a mutual benefit in that interaction (p. 3). In this report, as we note in the Introduction, universities regularly and systematically engage with businesses and policy-makers, but have far more difficulties engaging with civil society and NGOs. In this report, we are therefore concerned with any communities that can benefit universities through engagement but which have difficulties in realising those benefits. This may encompass businesses, particularly social enterprises, or policy-makers not receiving a 'fair hearing' within their own institutions. The primary focus of what we mean here by community are civil society and NGO activities, and typically those insufficiently organised to independently configure universities to serve their needs.

The other element of the definition is what we are not talking about, and clearly we exclude here the majority of technology transfer and knowledge exchange interactions. Even if individual businesses may lack absorption infrastructure, universities often have well-developed infrastructures to help these businesses access assistance that they do not have for community groups. Likewise, we are not here talking about good neighbourliness, where universities interact with other residents around them as part of minimising conflicts that might exist in their demands for space use, whether temporary such as constructions or festivals, or more permanently in terms of student housing pressures (Smith, 2008; Smith & Holt, 2009). But the issue of bad neighbourliness illustrates the challenges that community engagement raise, namely that of building these common interests for mutually beneficial interaction and exchange with groups that may be very different to themselves. There have been a number of examples where universities actively and aggressively try to displace supposedly undesirable resident communities as part of their overall internal real estate strategies, as seen in New York, Baltimore and even in rural Kent (Chronopolous, 2010; Hewson, 2007; Mitter, 2012).

More generally, types of communities which do not habitually and typically engage with universities are those that are typically socially weaker, may be socially excluded, and do not have the resources to readily and easily engage with universities. Indeed, as universities have strategically managed and professionalised their engagement infrastructures, this has often had the effect of reducing the overall accessibility to community partners by privileging those partners that are able to pay commercial rates for engagement activities, exacerbating the problem of the missing middle between contexts of discovery and application (Perry & May, 2006). As profitability has been foregrounded as a characteristic

of 'good' societal engagement, there has often been a loss of many forums in which university and community partners make mutual acquaintance and learn how to mutually engage despite their differences (such as continuing education programmes).

There are a number of important dimensions present that define community engagement and make it distinct from other kinds of engagement or interaction activities. These key dimensions that typically characterise university-community engagement are set out below:

A. There is an outside 'community' engaged with a core university knowledge creation activity (teaching or research). This may be a community or a local residents group, or some other cohort with common characteristics such as asylum seekers within a particular city.

B. There are 'productive interactions' within these communities, in which the community benefits in some way from those interactions (it is not broadcasting engagement). The community may acquire knowledge and credibility that helps it to make arguments to the local council or planning authorities that increase the relative power of that community in the local political-economy.

C. There is a mutual benefit that is built in both university and community: university knowledge helps societal partners to achieve their goals, societal partners' knowledge enriches the university knowledge process. A typical situation involves an academic helping to conceptualise and structure a particular local case, and in turn that local case serves to help create new academic knowledge.

D. There is co-determination within the knowledge community, so both university and community partners shape activities as part of ensuring that both benefit from it. This may be achieved through the use of community researchers, but also by including community members in the operational and executive management decision-making for a project.

E. There is an interdependence between the university and community derived from the mutual benefit that allows societal partners to meaningfully influence the decisions made by university actors. The particular issue here is that the university actors are keen to access external knowledge, which means there is an expectation that they will later

make use of those resources internally for teaching or research.

F. They are driven by a knowledge process logic: mutual interaction enriches the university knowledge activities even where this does not correspond with a directly visible income stream. A knowledge process logic is characterised by open, honest, sympathetic and progressive dialogue that creates knowledge within a team formed by all participants; this typically involves allowing community partners to participate in discussions about the form and content of activities.

G. Participating partners have found working routines, norms and values that allow the necessary mutual respect to facilitate the co-determination which engenders the mutual benefit. This is extremely hard to achieve because by their nature norms define transgressive behaviour as something to be approved of. This can be overcome as demonstrated by longstanding collaborative activities but precisely how to build up that mutual respect remains arguably the hardest element of achieving effective university-community engagement.

Benneworth, Charles, Conway, Hodgson, and Humphrey (2009) argue that from the university perspective, community engagement tends to take place under the aegis of four kinds of activity (see 2.2 for further information on this). Firstly, communities might be engaged with in the course of research projects, whether in an advisory, steering or even co-creation role, and research funders are increasingly willing to ensure that the costs of community groups as well as university researchers are funded for participation. Secondly, community engagement takes place through teaching activities, whether by taking students outside the classroom to better understand diverse communities or bringing communities into student classrooms, or by offering public lectures, post-initial education, lifelong learning and adult learning opportunities of interest to citizens from these non-traditional communities. Thirdly, activities are implemented which take place in what some universities refer to as the service mission, whether in enabling staff and students to undertake volunteering, making activities or services provided on campus open to outsiders, or informal knowledge exchange activities, contributing to the wider civic life of the community such as speaking to regional media. Finally, community engagement activities are delivered through formal knowledge exchange work that touches hard-to-reach communities, often in the form of student science shop-type activities, specifically funded public engagement activities (such as the short-lived Beacon experiment in the UK) or even through finding ways to fund community-centred consultancy and research activities.

1.2.3 The key definitional elements of 'university-community engagement

A key problem in any kind of analysis of university-community engagement is in establishing which kinds of communities are being engaged with. For the purposes of the TEFCE project, we have a heuristic of these communities being those that have a capacity to benefit from the university in some way without necessarily initially being in a position to demand or to access those benefits. The 1982 OECD-CERI report noted that there are three kinds of characteristics of communities with which university actors may have natural affinities:

(a)   their immediate physical neighbours around campuses or in university citizens;

(b)   communities with which they have a philosophical overlap (particular denominational universities and their associated spiritual communities, cf. Elford, 2003);

(c)   or communities with which they have a practical overlap (such as medical schools with hospitals).

There is an underlying materiality to engagement which means that it is easier to engage with partners who are physically closer than those that are remote, and as Gertner, Roberts, and Charles (2011) demonstrate, engagement intensity often decays over distance. Sustaining international collaborations for engagement demands a substantive structural component to ensure that partners remain close enough to beneficially work (Livi, Crevosier, & Jeannerrat, 2014). Of course, neighbourliness does not guarantee interaction: there will often be immediately proximate communities with whom the university does not naturally engage. Furthermore, there are universities that have managed to successfully engage with these kinds of communities, but the continuous effort and strategic attention that this demands highlights the issue that there are particular kinds of communities that seem to face structural, or at least recurrent, barriers to benefiting from universities. We refer to these communities here as being in some way 'excluded', while noting that the distance from the university encompasses a range of social conditions, ranging from severely deprived communities suffering from multiple reinforcing exclusion (Byrne, 1999; Derrett, 2013) to communities or groups that have for the first time decided to seek out university partners to support some aspect of their own socioeconomic development (Hart & Aumann, 2013). We therefore define university-

community engagement as a **process whereby universities engage with community stake-holders to undertake joint activities that can be mutually beneficial even if each side benefits in a different way.**

The second element of university-community engagement is found in the definition of university, by which we here take to mean any kind of higher education institution that has a substantive knowledge creation and/or knowledge transmission function (cf. Boyer, 1990). Community engagement has been one area in which the emerging non-university higher education sector has sought to develop its research mission, by developing applied research of relevance to excluded communities but also providing different kinds of enrichment experiences to their students (Taylor, Ferreira, de Lourdes Machado, & Santiago, 2008). Specialist colleges (such as arts academies or conservatoires) located in large cities may undertake community engagement activities as part of their teacher training activities, reflecting a reality that schools in poorer localities may be more dependent on trainee teachers for their mainstream educational provision (Benneworth, 2016). University colleges as a form of institution are often located in remote areas and may therefore end up meeting a wider range of societal expectations for service provision and indeed in directly contributing to the sustainable liveability of those places (Charles, 2016). However, at the same time, even large elite universities have found themselves compelled to undertake community engagement in their immediate localities when their strategic plans (often gentrification-based investment) spark community resistance and revolt (Webber, 2005). Conversely, others have advocated that community engagement is essential to large civic universities having a semi-permeable membrane to society allowing them to pick up soft signals from society and ensure that those signals contribute constructively to the development of their own teaching and research agendas (Goddard & Vallance, 2013). In this report, for the sake of elegance, we refer to all these different kinds of higher education institutions as 'universities', but we are primarily here concerned with public sector universities that have some kind of physical presence requiring managing.

The third element relates to the internal structure of universities and the fact that universities are themselves more than just a strategic steering centre but rather organisations for which strategies only make sense when they meet the needs of the constituent parts which organise knowledge creation (Scott, 2006). From an organisational perspective, universities are relatively unique in the fact that these constituent parts have very different ways of organising knowledge creation, consisting

of divergent groups of professionals with extremely divergent norms and beliefs (Becher & Trowler, 2001). These differences are related to fundamental differences in the nature of knowledge creation processes within different disciplinary and knowledge fields, whether inferential or deductive, experimental or observational, explanatory or hermeneutic. This array of differing norms, beliefs and organisations means that universities are quintessentially organisations where 'one-size-does-not-fit-all' (Benneworth, Sanchez-Barrioluengo, & Pinheiro, 2016). It is therefore critically important to stress that our view of a university is that of an organisation in which there may be many knowledge workers engaging with communities in various ways and subject to (but not determined by) institutional rules imposed from above. It is a common mistake of university managers to believe that simply by imposing new institutional rules – without heed for the material knowledge needs of their employees – that they can create new forms of behaviour, including engagement, and this has been the Achilles Heel of many attempts to drive university-community engagement to date (Benneworth, 2017).

The final element of the concept university-community engagement which requires definition is that of the idea of engagement. We have already made the point that this is not something done by one actor to another (by a university to a community) but is developed through an interaction between two groups, the universities and the communities, with a common endeavour. Nevertheless, the importance attached to those activities and their outcomes may differ substantially between the participants, and indeed, even within communities and universities. The OECD-CERI report identifies that there are five kinds of assets that community may derive through engaging with universities (see Annex 1). They may benefit as service users from both university facilities (such as sports, culture or recreation), or through accessing welfare services (such as education, health or social care) via university activities. In other cases they may access knowledge resources in various ways, that contribute in various kinds of epistemic ways to solving the problems that they face, such as making them aware that their problems are the consequence of decisions taken by others, or indeed by giving them a platform to challenge those others decisions that can penalise them (Fricker, 2007). In the language of Fricker (2007), these may have two kinds of benefit: (i) a hermeneutical benefit when university researchers help them to better understand the issues and problems that they face; or (ii) a testimonial benefit when the university assists them to highlight these problems and demand to third parties that solutions be delivered. In both these cases, a university

may supply capabilities and capacities that may contribute to help communities solve their own problems.

1.3 Barriers and limitations in delivering university-community engagement

Much of the discussion around university engagement is implicitly framed in such a way that universities are ivory towers that turn their backs on society, despite the fact that the metaphor of the ivory tower was only applied to higher education in the post-war period as an undesirable negative to be avoided rather than an ideal type to be aspired to (Shapin, 2012). What is undeniable is that there has been an increasingly policy pressure in the global north since the 1980s for universities to be contributing more to the outside world, however the contribution defined (this has happened at other points in other parts of the world, such as the Cordoba declaration a century ago in Latin America, or the 1862 Land Grant Act in America). This has largely been framed in terms of the transformation towards a knowledge economy where societal welfare is increasingly based on the capacities to generate, process, transform and exploit knowledge capital (Temple, 1998), making universities critical suppliers into that knowledge economy. In the 1990s, a number of countries formalised those demands into a legal requirement making societal contributions obligatory for universities. The fact that those legal frameworks (such as the Dutch 1992 Higher Education and Research Act (WHW)) also required teaching and research to be delivered, led to this societal contribution role to be termed the 'Third' mission after teaching and research. The third mission was never explicitly specified and could be understood as encompassing a wide range of activities ranging from universities pursuing competitive economic activities (creating companies) to contributing to public discourse and cultural life.

Although the OECD-CERI report also regarded business and community engagement as contrasting and complementary elements of an activity spectrum, in the course of the 1980s and 1990s, a particular form of engagement became institutionalised within European universities. This was inspired by changes in the US in the 1980s following the Bayh-Dole Act, which allowed universities to benefit financially from patents based on federally funded research. This had led to an explosion both in patenting and associated activities in state universities as well as a massive expansion of the lobbying activity from these universities (via the Association of University Technology Managers)

to their State Capitol funders (Popp Berman, 2011). The way this growth was associated with the rise of new industries in information technology and biotechnology caught the eye of European policy-makers still wrestling with the challenges of stagflation and the rise of Japan. This created a fertile environment for the flourishing of interest in a more active university engagement with these kinds of technology transfer activities and associated infrastructure that had sprung up across Europe in the 1980s (such as science parks, who reportedly came to Europe from Research Triangle Park via Leuven, Debackere, De Smyter, & Hinoul, 2004). This kind of activity had the advantage of being based around transactions and carrying precise financial pricing which made it highly amenable to academic analysis. Since the 1990s there has been a huge amount of work on university technology transfer, knowledge exchange and co-creation activities specifically focusing on these intellectual-property-based mechanisms and processes (Perkmann et al., 2013).

The socio-cultural contributions of universities (as the other element of the original OECD-CERI analysis) was also further developed. In particular, the OECD study into university regional engagement in the 2000s specifically took a very broad perspective to higher education's regional contributions, to innovation, labour markets, but also culture, society and sustainable development, extending work done in the UK by the University Association CVCP (later UUK; CVCP 1994; UUK/HEFCE 2001). There were various attempts made by funders in different countries to encourage much wider engagement than these technical/economic contributions. The Community-University Research Alliance fund in Canada funded a small number of university-community partnerships to (SSHRC, 2001). The Community Urban Partnership Programme at Brighton University (Hart & Aumann, 2013) was an effort by a single university to allow community groups to create links into and benefit from connections with partners within the university. The fourth Talloires Declaration, led by Tufts University, led to the creation of the Talloires Network of Universities active in promoting various kinds of service-learning and community engagement, including awards for institutions considering pursuing community engagement. UNESCO funded a global chair in universities and community-based research in 2012 to try to create the tools, examples and mechanisms to support university engagement. Together with the Global University Network for Innovation (GUNI), the UNESCO Chair has mobilised a global community of individuals with a solemn belief in the importance of community engagement. These partners publish a periodic Higher Education in the

World report (including editions published in 2008, 2012, 2014 and an open-access report in 2017).

Despite this extensive activity to try to stimulate university-community engagement, and the existence of a number of appealing successful examples, it is clear that community engagement has remained very much a 'Cinderella mission' within higher education. Chapter 4 highlights the increasing importance of financial reward systems and performance indicators for determining the choices made by universities in selecting between many competing missions (see also Seeber et al., 2017). This favours the kinds of activities that can be reduced to a limited number of indicators covering a high proportion of the overall activity volume with at least some relation to the desirable activity. This is precisely where community engagement activities suffer from, because of the huge diversity and diffuseness of their nature, their often informal character and their stubborn resistance to being reduced to a small number of summative variables. This makes the issue of measuring and managing community engagement extremely difficult for higher education policy-makers. In Sweden, a first effort to develop a comprehensive measurement framework led to the proposal of around 200 indicators that lacked any legitimacy in the sector because of the burden it imposed. Likewise, when in England universities did submit a huge number of data points within the Higher Education Business and Community Interaction survey, it was only the income-related figures that became the basis for the funding stream related to the third mission, the Higher Education Innovation Fund (HEIF).

A parallel trend that has affected the role of community engagement within the third mission has been the rise of discourses around excellence and the world-class university (Salmi, 2009). The notion of a world-class university has emerged out of the development of league tables comparing universities across very different systems often on the basis of very simplistic metrics. As a result of the issues of diffuseness and diversity in community engagement activity, notions of community engagement have not been included in league table measures, and as the idea of a world-class university has become a normative ideal, community engagement is seen as something that universities should not aspire to. Similarly, a dichotomy has been evoked between engagement and the idea of excellence in research at a time in which the notion of excellence has become a self-evident norm for the sector, which has become dominant in the justifications that are made for expanding research budgets. This idea of research excellence creates

'impact' through its excellence rather than as a consequence of its engaged practices and the involvement of societal stakeholders in its governance processes. This has led to a vertical differentiation of the different variants of third missions between excellence-driven missions rooted in creating impact in response to the grand challenges of the 21st century. This is highly problematic because it apparently forces universities to choose one over the other of these missions, and (since it is a vertical differentiation) it makes it seem more prestigious to choose the 'Global Citizenship' or 'Technology Transfer' modes rather than 'Bridging Consultancy' or 'Public Engagement'. A first tentative differentiation of the flavours of a differentiated third mission, distinguished into different modes, is given below.

Table 1.2 Different flavours of community engagement in the segmented third mission

Third Mission Mode	Mechanism for engagement	Socio-economic developmental contributions
1. Excellent targeted/ concentrated research in wider global networks ('Global Citizenship')	Creating impact on the basis of excellent research findings within structured institutional programmes	Contributing to developing the understanding and skills necessary to solving (a selection of) the 'grand challenges' of the 21st century
2. Applying excellent knowledge through commercial mechanisms ('Technology Transfer')	Undertaking research within contractual relationships with third parties with shared ownership arrangements	Contributing to innovation in public, private and civic settings by providing information and knowledge based on past excellent research applied into localised contexts
3. Technical knowledge emerging from excellent research together with leading firms ('Bridging Consultancy')	Technology transfer and commercialisation of intellectual property and know-how	Creating and realising economic value by creating innovative firms, promoting innovation & competitiveness, driving economic growth with multiplier effects
4. Actively stimulating making knowledge more generally available for society ('Public Engagement')	Informal interactions with societal partners as first step in knowledge embedding into societal networks	University makes a contribution to a solution to a problem; the solution may be taken up in a wider societal network and end up driving wider change and social innovation

It is this vertical differentiation that explains why community engagement has proven so difficult to institutionalise within higher education, in the context of third missions that may also be regarded as problematic within some institutions. Those modes of engagement that are regarded as the most legitimate and the most highly regarded are those that are most closely aligned with the most prestigious university activities (namely research), meaning those that make global impacts to solving existential challenges through global networks. Conversely, those that are regarded as being the least worthy, and even antithetical to excellence and quality, are those that involve allowing a diverse range of groups to enter into universities' knowledge production communities, which in turn run the risk of appearing to contaminate the quality of the core teaching and research activities pursued by universities. Any kind of policy framework for stimulating engagement therefore needs to recognise the subaltern situation of community engagement within universities' determination of their overall missions and choices, and to therefore ensure that it enables the conditions under which community engagement can become more important, bearing in mind these pre-existing problems.

1.4 The wicked issues of realising community engagement in practice

In this chapter we have been concerned with the balance between two issues, namely between the organisation of community engagement within universities in a context laden with many kinds of conflicts and limitations that undermine that approach. We contend that this gives rise to a number of 'wicked issues' for community engagement that need reflection and incorporation in any eventual Framework. The issue in creating a Framework is not in developing an optimal definition of university-community engagement, or indeed an ideal type model of the engaged university. Rather the added value of the Framework comes in assisting universities, as fragmented knowledge communities, to develop and adapt in a common way to situations that are more supportive of placing their knowledge at the benefit of communities than what was previously the case. In particular, we highlight seven 'wicked issues' that may appear trivial from a system-wide perspective, but given the context within which university-community engagement takes place, they must be accounted for in the Framework which emerges:

- the diversity of many small barriers discouraging university-community engagement;

- the diversity of 'academic tribes' orientations to recognising community engagement;
- the diversity of academic engagement practices;
- the diversity of the demand-side and non-paradigmatic impact contexts;
- the diversity of inadvertent consequences affecting university-community engagement;
- the learning inherent in effective community engagement;
- supporting a diversity of activity within mainstream university activities.

More information is provided on these seven wicked issues below.

1.4.1 *The diversity of many small barriers discouraging university-community engagement*

Because university-community engagement is an orphan mission as far as universities are concerned, it is relatively easy to inadvertently derail that mission through apparently innocuous changes within universities. It is true that university missions frequently and pompously evoke some kind of service by stating that their mission is to 'serve the economy' or to 'serve society' (Seeber et al., 2017). But these missions in practice rarely transcend a kind of corporate social responsibility to deliver the essence of service, and to create mechanisms to allow society to say what they want. The diversity of the activities makes it extremely hard to promote community engagement in a strategic manner. Any kind of central institutional activities promoting engagement have a framing effect that limits the definition of what is a strategically desirable form of engagement. This in turn leads to a potentially opportunistic choice of promoted activities. As any framing is likely to be institutionally incomplete, there will be individuals, potentially in large numbers, who experience demotivation from the signal that their kind of engagement, while necessary for their knowledge processes, is not valued centrally by the university. As a consequence, these engaged staff will no longer seek to communicate their activities to the centre, and various white spots may build up in central understanding of that engagement. Under these circumstances, it is not that universities halt community engagement, but rather it is pushed to the periphery of the institution. This may also lead particular activities to be forced outside of the institution, or at least be hidden, because institutional rules do not permit its integration into core activities.

1.4.2 The diversity of 'academic tribes' orientations to recognising community engagement

Universities are by their nature diverse knowledge communities that are held together by an organisational 'glue' of internal compromises. Each disciplinary community applies different norms and standards to its knowledge activities, and these standards may differ widely across these disciplines, for example between the more hermeneutic approaches in the humanities and the more experimental-deductive approaches of technical and engineering disciplines. To function successfully as a single organisation (and to be able to make and claim any kind of strategic coordination) common ground has to be agreed between these very different disciplines about what constitutes good behaviour. Academic promotions committees need to develop a common understanding of what constitutes 'good' research between the humanities (which may prioritise publishing single-authored monographs with university presses) and sciences (which may regard publishing six-page articles with thirty authors in conference proceedings as valuable). Promotions committees can only function at the university level through a process of developing a mutual understanding and respect for what constitutes 'good' behaviour, and this is equally true for the recognition of community engagement.

But the difference is that whereas there are common understandings of what constitutes good research and teaching (reflecting disciplinary but also institutional, mission-group and national variations in standards), there are no such common understandings of what constitutes acceptable academic engagement practice. There needs to be a mutual understanding of the different kinds of engagement activities, the enrichment that this brings in various ways to knowledge processes, and under what conditions it may be regarded as 'good'. The problem with community engagement practices is that for some disciplines it is self-evidently part of standard academic practice while in other communities it can potentially represent a corruption of academic standards and rigour by allowing external voices to have a say over what matters. Added to the fact that engagement is not seen as a core activity, there is the risk that community engagement emphasises a very partial view of the kinds of engagement which can potentially make a difference, and frame engagement in ways that undermine other disciplinary engagement activities.

1.4.3 Community engagement is never a suitable activity for everyone

The risk with any kind of strategic management tool lies in introducing incentives that have a one-size-fits-all effect for heterogeneous communities. Our argument about the need for more community engagement is not that everyone should be doing it to the detriment of teaching and research activities, but rather that there is an inherent tendency for university actors to under-engage given the potential enrichment benefits it can bring to universities. This institution-level failure can emerge when there is imperfect information regarding the diversity of engagement activities within a single institution to which managers respond by simply promoting the idea that engagement is a good thing. Community engagement clearly brings opportunity costs because it involves engaging with partners that may not necessarily be well configured to articulate demand, where there is not a strong engagement ecosystem that brings university and community actors together, and where partners do not necessarily have the capacity to obviously benefit from that engagement activity.

The particular calculus of what engagement brings to university actors varies per discipline as well as by other contextual factors and it is important that academics retain the autonomy to make that calculus as to how best organise their knowledge processes. The art to effective engagement is in balancing those costs with the enrichment benefits, and organising repertoires of engagement activities that gradually build up these ecosystems and infrastructures to fill in the 'missing middle'. Callon (1999) notes that the issue of public engagement in general is one where pragmatism has to be a guiding value, because what is normal and achievable for a particle physicist is necessarily far less than what is normal for an urban sociologist; while doing school outreach might represent a considerable effort for a particle physicist, the same is not true for sociologists. Although we highlighted the issue of the diversity of engagement activities earlier in this chapter, it is also important to note that certain engagement activities will not necessarily be suitable for everyone.

1.4.4 The diversity of community demand for university knowledge

The key weakness in the GUNI/UNESCO approach to stimulating community engagement is that it suffers from a 'survivor bias' in selecting situations in which substantive community engagement has taken place and assumes that has been a consequence

of the strategic decisions and institutional entrepreneurship by universities' own managers and enthusiasts. There are a number of paradigmatic examples of universities that have in some sense successfully managed to find a way to use engagement in a mutually beneficial way, to create societal contributions as well as enriching these core processes. In these paradigmatic examples, there are often quite detailed descriptions made of the kinds of activities that have been undertaken to facilitate that transition, and then the elision is made to make the claim that that these attitudes, and the strategic approaches by universities, are in some way applicable to other contexts. However, this neglects the importance of the local context within which universities find themselves. Different places have different histories of university engagement, different cultures (that are more or less respectful of university knowledge) and different communities (that are more or less sophisticated and able to absorb that knowledge). And ultimately those contextual factors will play an equal role to the universities' own interventions in determining the eventual impacts of community engagement.

These best-practice approaches all too easily overlook the importance of this demand-side for the uptake of user knowledge, something that can easily be explained with the case of the rise of technology transfer. It was very quickly realised that creating spin-offs and patents only made sense if there were users primed, interested and capable of absorbing the university, and of course it was those places with the munificent innovation support environments beyond the university that made the difference in the success of technology transfer. Despite this fact, it is the paradigmatic success stories, such as the 'Cambridge Phenomenon' first identified by Segal (1985) that captured policy-makers and university managers' imaginations as representing ideal model types that all universities should copy regardless of their contextual situation. Likewise, for community engagement, there are a number of European societies where communities value university input and actively seek out their involvement, including Ireland and the Netherlands. Conversely, there are also societies where the willingness of the community and societal partners to accept universities playing these different kind of roles is much lower, whether manifested in a simple indifference or sometimes an active hostility to what is seen as university interference. It is therefore vital that any kind of Framework takes into account this diversity in context and, in particular, that it is laid out as useful support for community engagement in non-paradigmatic impact contexts.

1.4.5 The diversity of inadvertent consequences affecting university-community engagement

Universities face a range of stimuli and constraints upon their behaviours and face many different and sometime divergent demands to produce different kinds of behaviours, and any kind of approach that reduces this to a one-size-fits-all calculus raises the risk of producing perverse incentives and inadvertent outcomes. Although there have been penny-packet initiatives to stimulate university-community engagement, what are often overlooked are the more substantive changes in other policy domains which nevertheless hinder universities engaging with communities. Probably the most damaging of these initiatives is about changing the definitions of research excellence, and particularly incentive systems as exemplified in the case of Norway and the Czech Republic that reward volume of publication in journals deemed excellent (Benneworth, Normann, & Young, 2017), thereby undermining more community-relevant dissemination mechanisms and national language publishing. Likewise, quality systems that seek to ensure international teaching excellence may make it harder to bring practitioners into the classroom and to have external project work, undermining another important mechanism by which community engagement takes place. This may be reinforced by internal incentive systems which may clearly link rewards to teaching and research performance but may have difficulties in making explicit what kind of excellent community engagement might warrant similar reward (Benneworth, Jongbloed, & De Boer, 2015).

1.4.6 The individual learning inherent in effective community engagement

The fact that community engagement is not central to knowledge production practices in many academic disciplines creates problems for increasing the overall volume of activity. Academics are what Cetina-Knorr (1981) calls path-impregnated in their belief systems, particularly after the doctoral training phase. Unless engagement features materially in this stage of forming academic identity it is hard for academics to regard those practices and standards as legitimate ways of creating knowledge. Academics are not path-fixed, and can learn new norms and standards within their careers, but that involves experimentation and learning (often from their senior colleagues, mentors, project leaders). Providing the space for individual experimentation and learning is therefore vital to achieving effective community engagement activities. Building a culture of community engagement in a university is a long-term process akin to a generational shift, and there

are attempts to try to accelerate this through strategic action (GUNI, 2017). This risks reinforcing a sense that community engagement is an exogenous standard and therefore not legitimate; building up legitimacy for these practices requires having experience in them and negotiating the tensions that arise with community engagement partners that builds a sense that those practices are legitimate (Maxwell & Benneworth, 2018).

1.4.7   Supporting a diversity of activity within mainstream university activities

The truism of the third mission was that the reality is that it is primarily delivered when it is effectively integrated in the first two missions, namely teaching and research. Nevertheless, the lack of patience the institutions show for slow change as outlined above can lead to the crystallisation of community engagement activity as a special (and favoured) stream within universities (analogous to what happened with knowledge exchange over a decade ago). The risk here from the university management perspective is that community engagement simply becomes a label that is attached to justify favoured projects of powerful university actors rather than as a university leitmotif and value. At its most benign this may result in the creation of a formal physical and organisational infrastructure that may at least support core teaching and research projects, but it may also stimulate more opportunistic responses where previous gimmicky schemes are rebranded as delivering engagement. The risks of this approach are in that such a concentrated approach does not achieve the necessarily coordinated evolution across diverse disciplinary communities and may even end up discrediting the idea of community engagement making it feel more exogenous as a knowledge community value.

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CHAPTER 2: LITERATURE REVIEW: DIMENSIONS AND CURRENT PRACTICES OF COMMUNITY ENGAGEMENT

Bojana Ćulum
Faculty of Humanities and Social Sciences, University of Rijeka (Croatia)

2.1 Introduction: Exploring dimensions of community engagement in higher education

Differing perspectives on the purpose and role of higher education, accompanied by the socioeconomic change and the increasing prominence of the knowledge economy paradigm over recent decades have influenced and altered how higher education contributes to and engages with society and the economy (Hazelkorn, 2016a). These changes have led to the 'opening-up' of the university to a wider array of stakeholders, as higher education has sought to build new alliances to strengthen and demonstrate its contribution and impact, and to replace previous dependency on the state and public exchequer (Pinheiro & Stensaker, 2013, p.174). As a consequence, greater attention is being given to the 'diversity of goals, strategies and activities' (Boland, 2014, p. 180), as well as quality of community engagement in higher education. While actions which link the university with the broader society are not a novelty, community engagement in higher education is a new way of articulating and structuring how higher education interacts and organises its relationships with the wider world (Hazelkorn, 2016a).

The discourse on community engagement in higher education takes on many directions and 'there are no such common understandings of what constitutes acceptable academic engagement practice', as portrayed in the first chapter of this report (see page 36). There are as many concepts and definitions of higher education community engagement as there are entities researching, writing and debating about it. Attempts to define the concept and related engagement activities indicate contextual discrepancy and lack of consensus among researchers, policy-makers, universities, associations and funding agencies. There is a degree of dissonance not only in the terminology, but also in determining the purpose, scope and the extent of the term 'community engagement' and, in turn, related academic engagement practice. It is therefore not surprising that some authors claim that community engagement covers a huge amount of activities which are not directly comparable (Jongbloed & Benneworth, 2013) and are sometimes even contested (McIlrath, 2014).

Given the diversity of approaches and practices related to community engagement in higher education, it is rather difficult to summarise them all in one neat framework. As Laing and Maddison (2007) explained, engagement takes a particular form and is

context-dependent, arising from individual institutional histories and locations, as well as these institutions' view about their strategic position. This is reflected in Giles' (2008) argument that despite greater engagement by higher education in communities and regions, there is still little consensus about what this engagement means or involves, or how complex its purpose, process or practice might be. Different kinds of institutions will consequently be practising different kinds of engagement, depending on their research specialties, the curricula they offer and, indeed, the demands placed on the university by community and other third party groups (Benneworth & Jongbloed, 2013).

Bearing in mind the diversity of terrains covered in describing and articulating acceptable academic engagement practice, this chapter seeks to explore different approaches to mapping university-community engagement dimensions and related activities and to synthesise what is known so far in relation to university-community engagement classifications. The sources used to inform this literature review include books, academic journal articles, reports, policy briefings and websites of public sector and non-for-profit organisations and agencies. Themes are used to categorise the discussions, though some overlap does exist between neighbouring literatures, and in this particular case, between neighbouring classifications and typologies.

In analysing vast literature on community engagement in higher education, three approaches have emerged as beneficial in the attempt to capture some of the existing classifications/typologies of common dimensions of university-community engagement, as well as relevant points of discussing similarities and differences. These three approaches classify community engagement in higher education by the following criteria:

(i) mode of delivery;
(ii) stages/levels/degrees of intensification and complexity of engagement;
(iii) assessment and benchmarking methodologies/frameworks/tools.

Each of these approaches refers to and acknowledges the previous research and analytical efforts of various actors (researchers, networks, agencies) and reflects various initiatives aimed at classifying different university-community engagement practices. Furthermore, some examples of engagement practices are included. In the final part(s) of the chapter, a summary of (most common) dimensions is presented.

2.2 University-community engagement classifications by mode of delivery

One of the first (formal) explicit references to engagement in the international higher education policy discourse and at the same time one of the first attempts to capture

(various) dimension of community engagement in higher education is an OECD-CERI think-tank report titled The university and the community. It explored dimensions of community engagement with business, government, the third sector and society (OECD-CERI, 1982), as shown in Table 2.1, with practical examples of university-community engagement included. Ranging from the 'simplest' form of engagement, such as putting university facilities and various resources at the disposal of the community, to the university delivering a service for the community which is compatible with its institutional status, the OECD-CERI classification encompasses various activities related to both teaching and research, as well as other outreach forms, while making a distinction between business and community benefits.

Table 2.1 Modes of university-community interaction (OECD-CERI, 1982)

Mode of interaction	Practical examples of community engagement in higher education
University puts its facilities at the disposal of community	Use of equipment, premises, laboratories. Use of teachers and students to make a direct contribution. Drawing on the community in delivering occupational training.
University executes orders placed by community	Offering training such as occupational, continuing education or cultural. The university receives payment from the community for delivery of service. A near-private contract between the buyer and the vendor.
University involved in analysis of community needs	The university comes into the community as an outside expert. The university provides services for the community with some reference to an 'order' by the community.
University analyses problems at the request of community	The university engages at the community's request in developing solutions. The university has the autonomy and freedom to suggest a range of solutions away from overarching pressure.
University delivers a solution on behalf of community	The university delivers a service for the community that is compatible with its institutional status.

Source: OECD-CERI (1982)

Ruiz Bravo (1992) proposed a developmental model of university-society engagement with external communities, defining five different modes and typical examples: (i) providing information (news bulletins, press releases, commentaries, media announcements); (ii) public relations (university representatives in cultural and arts groups, informal discussion), (iii) dissemination of academic findings (conferences, round tables, congresses, symposia, seminars, exhibitions); (iv) university as a cultural influence (capacity-building course, technical assistance, advisory services, free chair); and (v) critical engagement (participatory social change in social, economic and environmental fields).

Neave (2000) argues that greater weight is placed upon the commitment to community service in terms of providing training and research, investigation and advice, as well as services as consultancies, technology transfer, lifelong learning and continuing education. Bringle and Hatcher (2002, p. 503) refer to a variety of university-community engagement activity: (i) cooperative extension and continuing education programs; (ii) clinical and pre-professional programs; (iii) top-down administrative initiatives; (iv) centralised administrative-academic units with outreach missions; (v) faculty profes-sional service; (vi) student volunteer initiatives; (vii) economic and political outreach; (viii) community access to facilities and cultural events; and most recently, (ix) service-learning classes. To a certain extent, this corresponds to the forms of engagement that Tandon (2012a) has described: (i) linking learning with community service; (ii) linking research with community knowledge; (iii) knowledge-sharing and knowledge mobilisation; (iv) devising new curriculum with community; (v) inviting practitioners as teachers; and (vi) social innovations by students.

The mode of delivery, as a way to classify university engagement, is evident in the approach that Benneworth and associates (2009) used to map different kinds of university engagement activity and to develop a typology that is presented below in Table 2.2.

Table 2.2 A typology of different kinds of university engagement activity

Area of university activity		Main areas of engagement activity
Engaged research	R1	Collaborative research projects
	R2	Research projects involving co-creation
	R3	Research commissioned by hard-to-reach groups
	R4	Research on these groups then fed back

Knowledge-sharing	K1	Consultancy for hard-to-reach group as a client
	K2	Publicly funded knowledge exchange projects
	K3	Capacity-building between hard-to-reach groups
	K4	Knowledge-sharing through student 'consultancy'
	K5	Promoting public dialogue & media
Service	S1	Making university assets & services accessible
	S2	Encouraging hard-to-reach groups to use assets
	S3	Making an intellectual contribution as 'expert'
	S4	Contributing to the civic life of the region
Teaching	T1	Teaching appropriate engagement practices
	T2	Practical education for citizenship
	T3	Public lectures and seminar series
	T4	CPD for hard-to-reach groups
	T5	Adult and lifelong learning

Source: Benneworth et al., 2009, in Benneworth et al. (2013)

Montesinos, Carot, Martinez, and Mora (2008) describe engagement in terms of three categories of activity – international, lifelong learning, and science and technology parks. An interpretive content analysis of 173 promotion and tenure forms provided by successful tenure-track academic staff at institutions that are research-intensive, Land-Grant and Carnegie-Classified (Elective Community Engagement Classification), led Doberneck, Glass, and Schweitzer (2010) to create a 14-category typology that comprises four types of publicly-engaged research and creative activities, five types of publicly-engaged instruction, four types of publicly-engaged service, and one type of publicly-engaged commercialised activity, as shown in Table 2.3, with related forms/examples of engagement included.

Table 2.3 A typology of publicly-engaged scholarship

Type of publicly-engaged scholarship	Related forms of engagement
Publicly-engaged research and creative activities	1. Research: business, industry, commodity, group-funded 2. Research: non-profit, foundation, government-funded 3. Research: unfunded or intra-murally funded applied research 4. Creative activities

Publicly-engaged instruction	5. Instruction/credit: non-traditional audiences 6. Instruction/credit: curricular, community-engaged learning 7. Instruction/non-credit: classes and programmes 8. Instruction/non-credit: managed learning environments 9. Instruction/non-credit: public understanding, events and media
Publicly-engaged service	10. Service: technical assistance, expert testimony and legal advice 11. Service: co-curricular service-learning 12. Service: patient clinical and diagnostic services 13. Service: advisory boards and other discipline-related service
Publicly-engaged commercialised activity	14. Commercialised activities

Source: Doberneck, Glass and Schweitzer (2010)

In their attempt to capture the concept of community engagement in health sciences and its diversity in terms of various communities of interest, as well as types of engagement, Sarrami-Foroushani, Travaglia, Eikli, and Braithwaite (2012) have detected 15 different communities/actors of relevance for community engagement and various related engagement practices, as shown in Table 2.4.

Table 2.4 Communities and types of engagement/involvement

Community	Types of involvement
• Consumers • Public • Citizens • Community members • Lay people • Children and adolescents • Elderly patients • Disadvantaged groups • Vulnerable groups • Culturally and linguistically diverse groups • Marginal groups • Hard-to-reach people • Consumers with specific conditions (e.g individuals post-stroke) • People with chronic disease • People with disabilities	• Shared decision-making • Alliances • Collaboration • Partnerships • Development; Empowerment • Engage; Involve; Participate • Participating in research • Increasing social activity; Rehabilitation

Source: adapted from Sarrami-Foroushani et al. (2012)

In their Briefing Paper: Auditing, Benchmarking and Evaluating Public Engagement, The UK's National Co-ordinating Centre for Public Engagement (NCCPE) identified seven dimensions of public engagement. By reviewing the literature, as well as taking from their own experiences of monitoring and evaluation at the University of Brighton and from reviewing indicator sets developed elsewhere, the NCCPE proposes seven following dimensions: (i) public access to facilities; (ii) public access to knowledge; (iii) student engagement; (iv) faculty engagement; (v) widening participation; (vi) encouraging economic regeneration and enterprise in social engagement; and (vii) institutional relationship and partnership building. These seven dimensions and related engagement practices/activities are illustrated in Table 2.5.

Table 2.5 Dimensions of university public engagement (NCCPE)

Dimensions of public engagement	Examples of public engagement
1. Public access to facilities	• Access to university libraries • Access to university buildings and physical facilities (e.g. for conferences, meetings, events, accommodation, gardens etc.) • Shared facilities (e.g. museums, art galleries) • Public access to sports facilities • Summer sports schools
2. Public access to knowledge	• Access to established university curricula • Public engagement events (e.g. science fairs, science shops) • Publicly accessible database of university expertise • Public involvement in research

3. Student engagement	• Student volunteering • Experiential learning (e.g. practice placements, collaborative research projects) • Curricular engagement • Student-led activities (e.g. arts, environment)
4. Faculty engagement	• Research centres draw on community advisers for support/direction • Volunteering outside working hours (e.g. on trustee boards of local charities) • Staff with social/community engagement as a specific part of their job • Promotion policies that reward social engagement • Research helpdesk/advisory boards • Public lectures • Alumni services
5. Widening participation (equalities and diversity)	• Improving recruitment and success rate of students from non-traditional backgrounds through innovative initiatives (e.g. access courses, financial assistance, peer-mentoring) • A publicly available strategy for encouraging access for students with disabilities
6. Encouraging economic regeneration and enterprise in social engagement	• Research collaboration and technology transfer • Meeting regional skill needs and supporting SMEs • Initiatives to expand innovation and design (e.g. bringing together staff, students and community members to design, develop and test assistive technology for people with disabilities) • Business advisory services offering support for community-university collaboration (e.g. social enterprises) • Prizes for entrepreneurial projects

7. Institutional relationship and partnership building	• University division or office for community engagement • Collaborative community-based research programmes responsive to community-identified needs • Community-university networks for learning/dissemination/knowledge exchange • Community members on Board of Governance • Public ceremonies, awards, competitions and events • Website with community pages • Policies on equalities; recruitment; procurement of goods and services; environmental responsibilities • International links • Conferences with public access and public concerns • Helpdesk facility • Corporate social responsibility

Source: adapted from NCCP (2009)

Dimensions presented here in the table are not mutually exclusive but rather overlap, as the authors of the report suggest (Hart, Northmore & Gerhardt, 2009). These dimensions also encompass both different 'types' of engagement (e.g. public access to facilities) and different motivations (e.g. widening participation). Although related to the term and the concept of university public engagement (and not community engagement per se), this classification seems to encompass the diversity and 'messiness' of community engagement and related practices/examples, as well as a diverse range of university encounter.

The last approach that relates to the mode of delivery is a framework developed by Hazelkorn (2016a), which differentiates between three approaches to engagement, based on three broad schools of thought or perspectives: (i) social justice; (ii) economic development; and (iii) public good.

The **social justice model** emphasises students, service-learning and community empowerment. Within this model engagement is primarily seen as a key responsibility for the student or access office, or within teaching and learning or continuing education. If

community engagement in higher education is anchored in this perspective, the university would focus its engagement practice on community-based research, community-based learning, volunteering and knowledge exchange activities.

The **economic development model** focuses on economic growth, technology transfer and innovation, and regional stakeholders. It tends to align engagement with the technology transfer office (TTO) or associated business liaison functions. This is why a university that follows such an agenda would focus on entrepreneurial activities, including leadership, staffing and links with business.

The **public good model** embraces a deeper transformative agenda, which requires 'anchoring engagement in both mission and governance' in a holistic way, and coupling engagement with teaching and research (Brukardt et al., 2006). This model promotes a distributed or matrix organisational framework, with greater emphasis on creating an integrated approach between teaching and research to initiatives within the institutions. Examples of university-community engagement under this model present a holistic approach, identifying collaboration, student access and success, community development and revitalisation, discovery and innovation in teaching and learning, as well as research that enhances knowledge resources that support advancement in higher education and cities where universities 'live and work'.

The differences in the engagement agenda that Hazelkorn (2016a) describes reflect different institutional culture(s) and logics and therefore implicate different modes of delivery. Beside various engagement practices that derive from these models, the chosen social perspectives reflect different modes of power and reciprocity among actors included, as it is discussed in the following lines/subchapter.

2.3 University-community engagement classifications by deepening engagement intensity

As a concept and set of actions, engagement ranges from one-dimensional to multifaceted, from superficial to deep and embedded, from transactional to transformational. Discussing community engagement in higher education from the perspective of power and reciprocity, Himmelman (2001) argues that the nuances of reciprocity versus exploitation constitute these vital variations in university-community engagement. He describes a continuum of university community action, from collaborative betterment to collaborative empowerment. Collaborative betterment partnerships might be characterised as those in which

the campus has contracted with a community in a short-term project designed for the mutual benefit of both (i.e. a semester-limited service-learning project). Such coalitions do not seek to shift power relations or produce community ownership, or to increase a community's control in decision-making and action (Himmelman, 2001, p. 281). On the other hand, collaborative empowerment coalitions are initiated from within communities that institute mutual power relations. As Himmelman explains (2001, p. 278), it is the enactment of power that distinguishes collaborative betterment from collaborative empowerment coalitions. He suggested that the conditions for engagement should provide opportunities for those involved to 'practice becoming more powerful in a democratic manner' (p. 284), which includes learning to be accountable to others in the partnership through civic engagement. This is why he insisted in particular that the transformation of power relations in coalitions requires the development of practices of deliberative civic engagement.

Summarising the evolution of engagement in higher education, Holland and Ramaley (2008) discuss different progress stages, rather than engagement practice or activities. Four sequences in the 'engagement continuum' start from volunteerism, moving to engaged learning, then to engaged scholarship, ending with engaged institutions. Progress across these types is often informed and energised by the observation of mutual benefits for academic goals (learning and research) and for community goals (capacity-building for change and improvement), as well as mutual goals of understanding, cooperation and quality of life.

Similarly, an Irish government-funded project, REAP (REAP National Network for Enterprise Engagement), resulted in describing community engagement in higher education through four stages of a 'partnership continuum', distinguishing between 'enterprise and academic awareness' at the low end of the continuum, through 'involvement' and 'active participation', and ultimately 'strategic partnership' at the high end. The latter includes research and innovation collaboration, training and development, planning and recognition of prior learning and work-based learning, mentoring and support (REAP, 2010, p.14).

The 'continuum of community engagement' was also utilised in the work of Bowen, Newenham-Kahindi, and Herremans (2010). Engagement strategies within this model fall into three categories: 'transactional, transitional and transformational engage-ment', as illustrated in Figure 2.1 (Bowen et al., 2010).

Figure 2.1 Continuum of community engagement
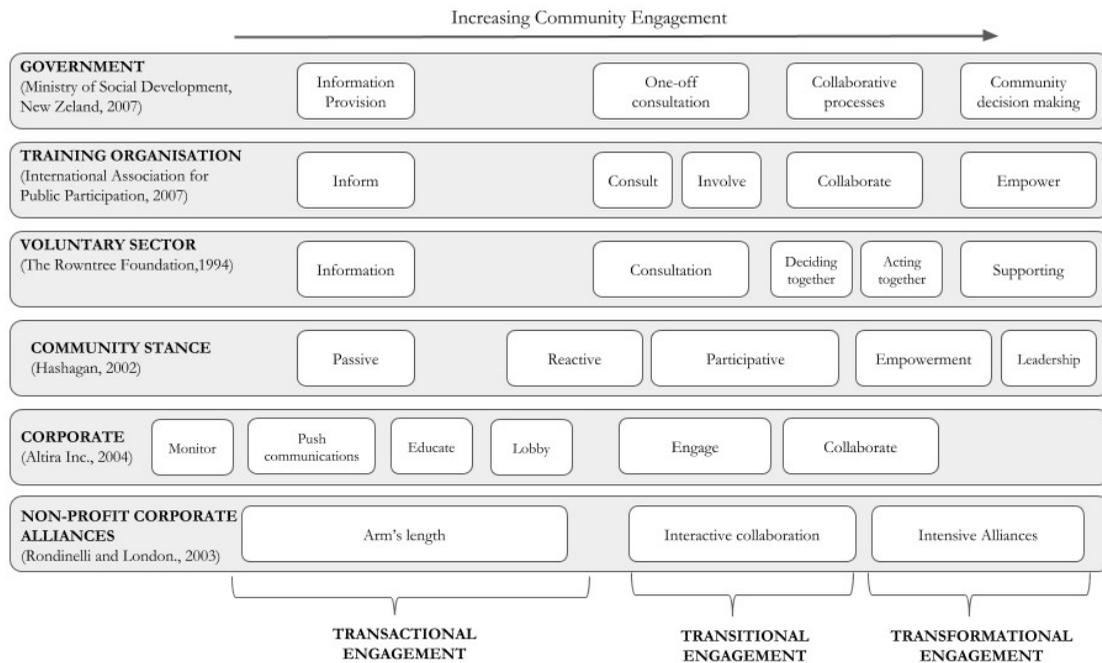
Source: adapted from Bowen et al. (2010)

In the Bowen et al. model, in the first stage the community has a passive role and receives information (e.g. charitable donations, employee volunteering and information sessions). In the second stage, there is a more active role for the community and there is two-way communication, but the community is still more of a recipient than an equal participant (e.g. stakeholder dialogues, public consultations, meetings). In the third stage, there is shared decision-making and the community has an equal position (e.g. joint management, joint decision-making, co-ownership) (Bowen et al., 2010).

Some authors (Dempsey, 2010; Sandmann & Kliewer, 2012; Stoecker, Tryon, & Hilgendorf, 2009) argue that it is inequalities and unbalanced power relations in particular that limit the potential, integrity and effectiveness of community-engaged partnerships. By appropriating the differentiation that Burns (1998) made between transactional and transformational leadership, Enos and Morton (2003) describe transactional partnerships as those that are instrumental in nature and are generally framed to meet limited tasks, outcomes, calendars and budgets. Transformational partnerships, in contrast, are those in which 'persons come together in more open-ended processes . . . to explore emergent possibilities, revisit and revise their own goals and identities, and develop systems they work within beyond the status quo' (Clayton, Bringle, Senor, Huq, & Morrison, 2010, pp. 7-8). Similarly, Davis, Kliewer, and Nicolaides (2017) argue that only those

practices of engagement that attend to transformative learning create conditions for the development of transformational partnerships, as envisioned by community-engaged scholarship.

Similarly to the model by Bowen et al. (2010), Hall et al. (2011) describe engagement as a continuum of processes for communication, collaboration and relationship-building (p. 8). If put in the context of knowledge mobilisation that requires higher levels of engagement on the social side, transfer of knowledge would, for example, be located at the far left end of the Hall et al. engagement continuum, followed by knowledge translation to its right. Co-creation, on the other hand, would be located at the far right end of the continuum, as the engagement and knowledge mobilisation efforts in this case are genuinely and proportionately reciprocated between university and community partners.

In a similar manner, Goddard (2009) sought to map different activities and initiatives in terms of their level of complexity and intervention, followed by Ward and Hazelkorn (2012) and Hazelkorn (2016b), who all attempted to capture the breadth and diversity of university engagement activity by ordering it in terms of levels or intensification of civic engagement, as shown in Figure 2.2.

Figure 2.2 Deepening levels of engagement and complexity

Terms	Definitions
Volunteerism	Pro-social behaviour that benefits the community and occurs within an organisational setting. This can include students working alongside the local community to salvage an old house or rebuild a community garden as part of a students group activity. Volunteerism is not always connected to academic learning.
Outreach/ extension	'Extending' the resources of the university to the local community, usually as it relates to the needs of the workforce. This can include educational programmes for adult learners or workplace training for a local business. There may also be public communications or public events, such as lectures and workshops about university research or other activities; or vice versa from external stakeholders to the university community. Service provision, through museums or performance centres, falls within this area.
Service-learning	Pedagogical and curricular engagement where students and academic staff work collaboratively with community partners and link this work back to classroom learning, theory and reflection. This could include undertaking a study of obesity in the local community as part of the study of nutrition, reflecting on one's involvement and then sharing results of the research with the community.
Knowledge and technology transfer	Knowledge transfer (KT) refers to a very broad range of activities which support the transfer of tangible and intellectual property, expertise, learning and skills between academia with technology transfer that focuses on commercialisation of research and entrepreneurship, but it may also involve city regeneration and other capital projects.
Knowledge exchange	Knowledge-exchange (KE) is authentic two-way exchange of ideas and perspectives, as the building blocks of successful and sustainable collaboration. The 'end-user' is an active participant in helping to identify problems or needs, define the research or the solutions, and assess effectiveness and value.
Holistic civic engagement	Engagement is a holistic, self-reinforcing and sustainable circle of activity, embedded across the entire institution, and acting as the horizontal and reciprocal glue linking teaching to research.

Source: Hazelkorn (2016) (Adopted and revised from Ward and Hazelkorn (2012) and Goddard (2009)).

2.4 University-community engagement classifications by assessment and benchmarking methodologies/frameworks/tools

Using principles and measurement indicators of various university assessment and performance management methodologies/tools, Jongbloed and Benneworth (2013) contributed to the ongoing academic discussion on difficulties in developing good measures for university engagement activity and, as they put it, 'the messy business of assessing university-community engagement' (ibid, p. 279). Making distinctions between institutionally (The Carnegie Classification Community Engagement Elective; PASCAL Universities and Regional Environments (PURE) Community Engagement Indicators; AUCEA Community Engagement Metrics Matrix) and accountability-focused performance measurement (Russell Group; Sweden's Vetenskap & Allmänhet; HEBCIS), the authors seek to explore what various attempts and methodologies for measuring community engagement in higher education can tell us about both how community engagement can be measured, and also how universities' key stakeholders and universities themselves perceive university-community engagement. Without tackling any issue related with the assessment and benchmarking itself (as this is elaborated in Chapter 4), in this part of the chapter several of those methodologies, and some others, will be additionally explored to capture what might constitute a classification or typology of common dimensions and activities of community engagement in higher education.

2.4.1 The Russell Group indicators for measuring third-stream activities (2002)

When third mission activities began to receive substantial policy and academic attention in the United Kingdom, an association of UK's research-intensive universities, known as The Russell Group, developed a framework for analysing universities' third-stream activities. Discussing third mission and third-stream activities, they refer to all those activities concerned with the generation, use, application and exploitation of knowledge and other university capabilities outside academic environments (Molas-Gallart, Salter, Patel, Scott, & Duran, 2002). Aiming at creating 'an analytical framework and a comprehensive set of indicators that may assist in the tracking and management of university third-stream activities' (Molas-Gallart et al., 2002), the group identified some 65 potential indicators organised under 12 different classes of third mission/stream activities, as shown in Figure 2.3.

Figure 2.3 Russell Group third-stream activities and indicators
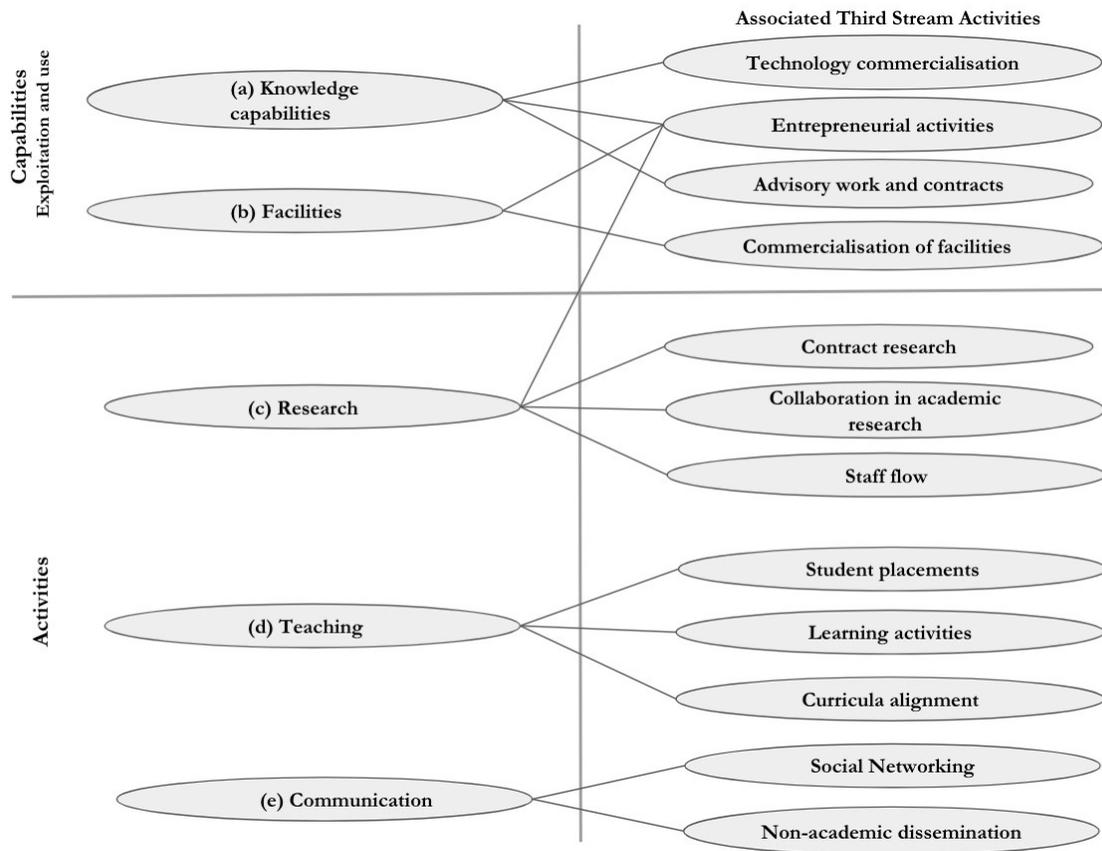
Source: Molas-Gallart et al. (2002)

2.4.2 The Carnegie Foundation's Classification for Community Engagement (2005)

The Carnegie Foundation for the Advancement of Teaching announced in 2005 a new category of engaged universities within its already well-known classification system. It created an elective category, judged according to the degree of collaboration between higher education institutions and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity (Driscoll, 2009, 2014; see also Carnegie Foundation, 2014). Drawing its criteria heavily from Campus Compact's Indicators of Engagement Project, this new classification reaffirmed institutional commitment to deepen the practice of service and to further strengthen bonds between campus and community. In the United States, the Community Engagement Classification has been highly successful in setting

up a high standard for university-community engagement and determining which institutions (successfully) meet it, setting out a clear framework and comprehensive indicator sets for: (i) institutional identity and culture; (ii) institutional commitment to community engagement; (iii) curricular engagement (engaged teaching and learning); and (iv) outreach and partnership. Both curricular engagement and outreach and partnerships have placed importance on the engagement of academic staff.

Curricular engagement or engaged teaching and learning describes teaching, learning and research which engage academic staff, students and the community in mutually beneficial and respectful collaboration. Their interactions address community-identified needs, deepen students' civic and academic learning, enhance the well-being of the community, and enrich the teaching and research at the institution. It encompasses variations of curricular, co-curricular and/or extra-curricular teaching opportunities/realities that engage various communities in community-engaged/based teaching courses, like service-learning. Examples of activities associated with the curricular engagement achievements of academic staff may include research studies, conference presentations, pedagogy workshops and publications related with community engagement.

Outreach and partnership describe two different but related approaches to community engagement. The first focuses on the application and provision of institutional resources for community use benefiting both campus and community. The latter focuses on collaborative interactions with community and related scholarship for the mutually beneficial exchange, exploration, discovery and application of knowledge, information and resources (e.g. research, economic development, capacity-building, etc.) and related scholarship. Examples of outreach programs developed for the community are: learning centres, tutoring, non-credit courses, evaluation support, training programs, professional development centres and, the last category, others, e.g. policy advocacy programs. As for the institutional resources being provided as outreach to the community, this classification focuses on: co-curricular student service, work/study student placements, cultural offerings, athletic offerings, library services, technology and consultations by academic staff. Academic staff incorporating outcomes associated with their outreach and partnerships activities into their teaching and research could demonstrate their engagement through technical reports, curriculum, community-based research efforts and research reports, policy reports, publications, etc.

Table 2.6 The Carnegie Community Engagement Classification

Dimension	Selection of illustrative examples of engaged activities
Curricular engagement	• Variations of curricular, co-curricular or extra-curricular teaching & learning activities • Credit-bearing community-based/engaged teaching courses for students (e.g. service-learning) • Faculty scholarship - research studies, conference presentations, pedagogy workshops and publications related with the scholarship of engagement
Outreach and partnerships	• Outreach programmes developed for community (non-credit courses, tutoring, training programmes, learning centres, professional development centres, evaluation support) • Institutional resources provided as outreach to the community (co-curricular student service, work/study student placement, cultural offerings, athletic offerings, library services, consultation by academic staff, technology) • Teaching and research activities by academic staff: curriculum, community-based research, research reports, policy reports, technical reports, publications

(Author's own tabulation)

2.4.3. Australian Universities Community Engagement Alliance (2006)

The Australian Universities Community Engagement Alliance (AUCEA) portraits engagement as a scholarly activity that involves the community as genuine partners and specifically implies collaborative relationships leading to productive partnerships that yield mutually beneficial outcomes. Having in mind that various groups constitute a university's community (e.g. businesses, industries, professional associations,

schools, governments, alumni, indigenous and ethnic communities as well as groups of local citizens), universities' engagement initiatives span the full range of university endeavour. Although not created as a typology, it is evident that AUCEA describes community engagement in higher education through three main dimensions: (i) engaged research; (ii) engaged teaching, learning and the student experience; and (iii) public service and outreach (AUCEA, 2006).

Engaged research represents universities' research capacity to address community problems and aspirations, which allows universities to contribute to improvements in community and educational outcomes and to economic growth. Typically, such (engaged) research brings more than one discipline to bear on a problem and is therefore seen as transdisciplinary, which holds the potential for contributing to significant social and environmental benefits. Engaged research usually results in knowledge transfer and exchange, the commercialisation of intellectual property, the establishment of spin-off companies and joint venture activity between universities and community partners.

Engaged teaching and learning, as seen by AUCEA, typically respond to two significant community groups - students (as the internal group) and labour market (as the external one). Addressing community labour market needs as well as the need for students themselves to become knowledgeable and active citizens of their region, their nation and the globalised world, engaged teaching and learning contributes to their graduates' employability and also exposes industry and the professions to leading edge developments. Such (engaged) teaching and learning is usually realised through work-integrated learning, internships, international experiences and exposure to curricula that are informed by real-world problems and solutions.

As students' experiences of university are shaped by factors other than their study program, AUCEA place great importance on engaged student experience and calls on universities to ensure extra or co-curricular activities that provide opportunities for students to develop both personally as well as professionally.

As anchored institutions, universities continue to provide important services to the public, in addition to community-engaged research and teaching. AUCEA sees public service and outreach activities as general programs that universities make available to the public usually without partnership, knowledge exchange, or expectation of

mutual benefit. Examples of public service and outreach include public lecture series, media interviews and articles, cultural events and performances, exhibits or museums open to the public, or websites that provide public information on various topics.

Table 2.7 Examples of engaged activities (AUCEA)

Dimension	Examples of engaged activities
Engaged research	• Knowledge transfer and exchange • Commercialisation of intellectual property • Establishment of spin-off companies • Joint venture activities between universities and community partners
Engaged teaching, learning and the students experience	• Work integrated learning • Internships • International experiences • Community presentations and events • Exposure to curricula that are informed by real-world problems and solutions • Extra- or co-curricular activities to enrich personal and professional development of students
Public service and outreach	• Public lecture series • Media interviews and articles • Cultural events and performances • Exhibits or museums open to the public • Websites that provide public information on various topics

(Author's own tabulation)

2.4.4. The PASCAL University Regional Engagement benchmarks (2009)

This example of institutional assessment tool was developed by Charles and Benneworth (2002) and was adopted in 2009 as part of the PASCAL Observatory, a group of regional authorities and universities concerned with place management, social capital and learning regions (Benneworth & Jongbloed, 2013). Unlike Carnegie, the focus of Charles and Benneworth lay on regional engagement, with community engagement as one of eight processes within university regional engagement (ibid). The authors identified eight community engagement strands against which institutions were

benchmarked: (i) contributing to healthy cities and health promotion; (ii) support for community-based regeneration; (iii) student–community action; (iv) opening up university facilities to the community; (v) organising and hosting events and festivals for the community; (vi) co-production of community-relevant research with community partners; (vii) supporting community and social development through the curriculum; and (viii) leading debates around the university/society compact.

2.4.5. European Indicators and Ranking Methodology for University Third Mission (E3M, 2011)

The E3M was a project co-funded by the European Commission with the aim to generate a comprehensive instrument to identify, measure, and compare third mission activities of universities from a wide perspective (E3M, 2011). The E3M network developed a specific set of dimensions of third mission that could serve here as dimensions in the context of university-community engagement we are seeking to explore. As Marhl and Pausists explain (2011), the first dimension is defined as 'continuing education' in the context of resumption through university organised and managed education as a service in the change between jobs, leisure time and education. This includes degree and non-degree education/training, while the target audience are adults. The second dimension is 'technology transfer and innovation' and covers knowledge exchange activities, especially in the context of use of research. The third dimension is 'social engagement' as the collaboration between universities and their larger communities (local, regional, national and global) for the mutually beneficial exchange of knowledge and resources in a context of non-for-profit relationship.

2.5. Towards a typology of the dimensions and practices of community engagement in higher education

Previous subchapters have shown a number of significant forms of community engagement in higher education and have served as a roadmap for creating a synthesis of various dimensions and engagement practices. Acknowledging various classifications and typologies presented in this chapter, what follows is a suggestion for a grid of most common university-community engagement dimensions and related examples of engagement practices.

The grid is composed out of seven key dimensions with numerous examples of related activities, as shown in Table 2.8. The seven key dimensions are: (i) institutional engagement (policy and practice for partnership building); (ii) public access to university facilities; (iii) public access to knowledge (dissemination of academic findings); (iv) engaged teaching and learning; (v) engaged research, (vi) student engagement; and (vii) faculty engagement. For each key dimension there are illustrative examples of possible related (engagement) activities. Neither dimensions nor examples of related activities are an exhaustive list, and both can be continuously (re)arranged and updated.

Table 2.8 Classification of University-community engagement dimensions and related engagement practices

Dimensions	Examples of engagement practices
1.Institutional engagement – policy & practice for partnership building	• Policies on equalities, recruitment, procurement of goods and services, environmental responsibility • Improving recruitment and success rate of students from non-traditional backgrounds (e.g. peer-mentoring, financial assistance, access courses) • Strategy for encouraging access by students with disabilities • Promotion policies that reward social/community engagement • Policies for recognition of prior learning and work-based learning • University division or office for community engagement • University division or office for innovation and technology transfer • University-community networks for learning, dissemination and knowledge exchange • Community members on board of governance • Website with community organisations'/institutions' web pages/links • Helpdesk facility • Public ceremonies, awards, competitions and events • Organising and hosting events and festivals for the community • Corporate social responsibility • (Joint) start-ups and spin-offs • Meeting regional skills needs and supporting SMEs • Funds and prizes for entrepreneurial projects • Business advisory services offering support for university-community collaborations • Commercialisation of intellectual property • Stakeholder dialogues, public consultations, meetings • Joint venture activities between universities and community partners
2. Public access to university facilities	• Use of equipment, premises, laboratories • Access to university buildings and facilities (e.g. for conferences, meetings, events, accommodation, etc.) • Public access to university libraries • Cultural and athletic offerings • Public access to sport facilities • Shared facilities (e.g. museums, art galleries)

3. Public access to knowledge/ dissemination of academic findings	• Providing information (news bulletins, press releases, commentaries, media announcements) • Conferences, roundtables, congresses, symposia, seminars, exhibitions open/free for public • Science fairs, festivals, cafes open/free for public • Conferences with public concerns and public access • Publicly funded knowledge exchange projects • Science and technology parks • Science shops • Publicly-engaged commercialised activities • Publicly accessible database of university expertise • Public involvement in research
4. Engaged teaching & learning	• Offering training as continuing and occupational education • Professional development centres • Learning centres • Pre-professional programs • Capacity-building courses • Work-integrated learning • Internships • International experiences • Inviting practitioners as teachers/lecturers • Co-creation of new curriculum with community representatives • Extra or co-curricular community-based activities to enrich personal and professional development of students • Teaching courses/seminars for/with hard-to-reach groups and those in risk/marginalised groups • Teaching appropriate engagement practices • Curricular and co-curricular practical education for citizenship • Public lectures and seminars • Non-credit courses • Tutoring, training programmes
5. Engaged research	• Collaborative research projects • Research & innovation collaboration • Collaborative community-based research programmes responsive to community-identified need • Public involvement in research • Research projects involving co-creation • Co-production of community-relevant research with community partners • Research for/with hard-to-reach groups and those in risk/ marginalised groups • Contracted research • Participatory action research • Research collaboration and technology transfer

6. Student engagement	• Student volunteering initiatives • Student-led projects/initiatives (e.g. arts, environment) • Social innovations by students • Contributing to the civic life of community • Practice placements • Student-community actions
7. Academic staff engagement	• Developing community-engaged courses (e.g. service-learning) • Research helpdesk - investigation and advice • Consultancies • Consultancy for hard-to-reach groups and those in risk/marginalised groups • Pro bono services and volunteering outside working hours • Free chair • Sitting on community organisations'/institutions' boards • Promoting public dialogue • Media engagement - media interviews and articles • Contributing to the civic life of community • Making an intellectual contribution as expert • Public lectures and seminars • Technical assistance, expert testimony and legal advice • Research reports, policy reports, technical reports • Staff with social/community engagement as a specific part of their job • Alumni services

(Author's own tabulation)

2.6 Conclusion

The issues of university-community partnership and engagement have become progressively more prominent in national, regional and international forums of higher education. Indeed, 'the changing nature of knowledge production, global issues and the role of education is affecting the intellectual strategies, relationships, societal roles and expectations that we attribute to our universities,' (Holland & Ramaley, 2008, p. 33). Increasingly, universities are asserting themselves as researchers, teachers, collaborators and active citizens in communities across the globe. The objectives of this involvement are both to serve and to create support from the public by connecting research, teaching and service to help solve community problems, while contributing to capacity-building, sustainability

and economic, environmental and social development (Boyte & Kari, 2000; Kellogg Commission, 1999; Lerner & Simon, 1998; Prins, 2006; Ramaley, 2002; Toof, 2006).

This chapter has contributed to acknowledging the 'wide field' of community-engaged practices in the higher education arena. The extent to which universities are committed to community engagement reflects the micro-politics of life within modern universities. The type of engagement practices that universities carry out, the reasons why they engage and how they (in)form and (re)shape their engagement practices, all arise from a multiplicity of relational motives and social contexts. These contexts result in various iterative and fluctuating types of engagement, with varying degrees of involvement (Hoyt, 2011; Janke, 2012). This is what Hoyt (2011) has in mind when discussing different types of community-engaged partnerships and stages of engagement commensurate with the level of power sharing and reciprocity between the partners. It is this 'micro-politics' of universities that also determines whether the purpose of their engagement is to contribute primarily to social justice, economic development or the public good (as defined in Hazelkorn, 2016a).

The diversity of types of community engagement practices that have been presented in the chapter should be nurtured and celebrated. At the same time, the chapter has demonstrated that universities can demonstrate different levels of authenticity of commitment to community engagement. As Hoyt (2011) describes in his stages of university-community partnerships, some partnerships reflect 'pseudo-engagement' and 'tentative' engagement, whereas more authentic efforts result in 'stable', 'authentic' and finally, 'sustained' engagement. Different institutional orientations, strategies and logics will always be reflected in different 'targets' for knowledge co-production and (transfer) partnership networks. However, it is only an authentic commitment to community engagement (and, inversely, a commitment to authentic community engagement) that can result in 'purposeful innovative practices that shift epistemology, reshape the curriculum, alter pedagogy and redefine scholarship' (Saltmarsh & Hartley, 2011, p. 23).

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CHAPTER 3: CRITICAL APPROACHES TO DEVELOPING EFFECTIVE ACCOUNTABILITY TOOLS IN HIGHER EDUCATION

Paul Benneworth, Frans Kaiser, Hans Vossensteyn & Don Westerheijden
Center for Higher Education Policy Studies, University of Twente (the Netherlands)

3.1 Introduction

In this section, we are concerned with the challenges of developing accountability tools for measuring community engagement in higher education as a means of stimulating the ways that universities support their most immediate communities that might otherwise be unable to benefit from their presence. In the previous chapters, it has been possible to come up with a reasonable working definition of community engagement in higher education. But in arriving at that definition, it is not a definition that is immediately available for codification and measurement, and in the context of management systems where 'what can be measured, matters', that is clearly of concern given the aim of the TEFCE project in supporting wider European efforts to make university-community engagement 'matter' to the European higher education sector. This ambiguity and lack of measurability creates problems for accountability and transparency tools in the sense that ambiguity undermines accountability. In this chapter, we take that wider point as a given in an attempt to understand how accountability and transparency tools might effectively be developed for community engagement by higher education, assuming that it is possible to agree on a common definition of what that community engagement actually entails. This task is at least partly facilitated by the fact that community engagement is not one of the core missions for universities, and in whatever definition is taken, involves less-powerful partners who have potentially much to gain from the university engaging with and in some way shaping more core university activities.

The persistent failure to develop metrics to measure university-community engagement can be understood in part, as set out in the previous chapters, as a consequence of a loosely framed concept at the heart of the idea of university-community engagement. Although it is possible to define what community engagement is, the concept itself covers such a wide range of activities that it is impossible to generate simple headline metrics that would cover the definition in a satisfactory manner. At the same time, however, we also

note that an additional limiting factor in these efforts also relates to the institutional and organisational contexts within which these measures are used. The original idea of performance indicators lies in the manufacturing industry, and in particular the techniques of statistical process control, where particular processes can be measured with high degrees of precision to eliminate variation, at which point they are said to be 'under control'. Increasing degrees of interdependence and uncertainties between processes undermined the possible precision of those measurements. This required a more nuanced approach in which these complex processes were compared with other similar organisations to understand whether performance was as good as might reasonably be expected, i.e. a benchmarking approach.

There is a wider problem in higher education in that its outputs are produced in highly complex and interdependent systems which defy straightforward measurement (Benneworth, 2010). Higher education is a sector in which performance measurement should be oriented towards sense-making through benchmarking with individual institutions choosing their comparators selectively to understand how to improve their own performance against outcomes that they themselves decide are important for them (cf. Benneworth, 2010 for a lengthier treatment of this argument). At the same time, it is important to recognize that universities are increasingly being compared and judged through various kinds of league tables and metrics. These league tables and metrics are often proprietary to corporations or policy systems and carry the sense of being definitive and certain in the ways that benchmarks, selected by individual institutions against their own goals and aims, cannot ever be. It is therefore important to note that it has recently become much harder for universities to use metrics in this intelligent and informed way for any kind of output arrangement. But what further complicates this issue is that, in the case of community engagement, it represents a side-mission for most universities that ends up being delivered though manifold activities.

Therefore, metrics for measuring university-community engagement have been confronted with the near-impossible demand of being authoritative and comprehensive, and few in number, while at the same time being capable of reflecting outcomes produces through a wide range of activities. In the TEFCE project, we propose a Framework that is based on sense-making and institutional learning around the issue of community engagement. Our Framework is based, as the previous chapter demonstrated, upon a situation where there is a desire at some level within universities to substantively undertake community engagement. This may vary from the simple good faith presence of engagement activities

implemented in good faith to a situation where community engagement has become embedded as a norm throughout the institution with strong reinforcement and mutual support between policies, infrastructures and institutional planning. The TEFCE Framework supports this institutional learning process by allowing universities to define those areas of community engagement which they deem to be important, understanding how they perform in those areas in terms of learning to be experts and assisting in eventual improvement. In order for that process to function successfully, there is a need to understand the ways in which performance indicators frameworks have been used and misused in recent years, and that is precisely the focus of this chapter.

In this chapter, we therefore seek to clarify how performance management systems work in higher education and to understand how accountability and transparency tools function within them to encourage universities to work effectively towards collective goals. The chapter begins by looking at the rise of accountability tools as part of a wider package seeking to improve the quality of higher education and that regards accountability, quality and excellence as the three key foundations for modern higher education. The chapter then looks at the principles for 'good' accountability tools, to avoid the kinds of public-value failure risks that can arise when effectively working markets deliver solutions that the public instinctively finds unacceptable (Bozeman, 2002). The chapter then considers lessons on developing accountability tools for the third mission, drawing in turn on Chapter 4 but remaining at a high level of aggregation. From this, the chapter analyses the ways in which accountability tools might be developed in order to deal with community engagement, presenting a set of lessons for designing a Framework or Toolbox for these accountability tools. The chapter concludes by refl cting upon what may or may not work in terms of setting up a Toolbox for stimulating community engagement by universities.

3.2   Modernisation and the rise of New Public Management

The rise of metrics is a relatively recent phenomenon and is profoundly affecting not just the activities that universities undertake, but the values and belief systems of those in higher education about what it means to be good as a university or a scientist (Wilsdon et al., 2016). This development has not taken place everywhere at equal speed, and clearly some countries are in the lead, notably the UK and the Netherlands. But we see elsewhere that the adoption of metric-based funding models has pushed university systems, where one would not have expected that (such as France, the Nordic countries

and in Eastern Europe), towards a far stronger output focus (Benneworth, 2018). With the increasing emphasis at the European level on 'modernisation' it is not unreasonable to expect that this trend will increase in the coming years despite the realisation that this approach is creating problems for the societal usefulness of universities (Van Damme, 2009).

Universities, as institutions, have always been dependent upon social support and ultimately serving societal purposes (Benneworth, 2014). Although the meaning of 'societal' has always reflected powerful actors, i.e. in those situations where *'l'état, c'est moi'* was held up, societal demands did not go much further than doing what the king's coterie deemed useful. It was only with the increasing democratisation of society that the 'societal' came to encompass benefiting other groups. Most recently, we have seen decolonisation efforts (such as Rhodes must fall, Pillay, 2016) seeking to further broaden the definition of beneficiaries. What can be thought of and is sometimes referred to by the shorthand of the university 'modernisation' project can be associated with a shift in the nature of societal demands upon universities. The previous shift in the demands that universities faced came in the wake of the May 1968 protests which exposed universities to demands to support the expansion of democracy in industrialising societies by creating highly-educated citizens capable of deliberation and reflection (Daalder & Shils, 1982; Delanty, 2002). Universities were faced with the imposition of new kinds of democratic systems democratic systems had not previously existed, with new practices such as elections for leadership, staff and student oversight of management and the reiteration of a distance from urgent financial pressures to enable democratic self-government.

However, at the moment of the creation of what Delanty termed the democratic university (2002), advanced western economies entered a period of secular decline that in turn triggered deep national reflection processes, in which expectations emerged that universities would start to serve as a source of economic/technological revitalisation in various ways (Popp Berman, 2012). Just as the expanding number of students entering higher education was making higher education expenditure a politically salient item of national budgets (Jongbloed & Vossensteyn, 2016a), universities appeared not to be using their resources in the most effective way all the time. The university modernisation project therefore emerged from the mid-1980s onwards as a way of stimulating universities to engage more thoroughly with the kinds of problems

faced by western societies instead of on the kinds of activities that universities felt were important to them (Massy, 1996). The higher education sector was not alone in facing this pressure as a new style of public administration emerged which shifted the emphasis from governments centrally directing actors to achieve results towards creating markets within which competitive pressures would stimulate all providers to maximise their efficiency (Kickert, 1995; 1997; Kickert, Klijn, & Koppenjan, 1997). It was, however, a sector in which the reforms were the most wide-ranging and dramatic relationship with the central state (not least because of the previous tendencies towards a democratic/laissez faire approach).

Since the 1990s, policy-makers across Europe have sought to increase the overall efficiency of investments in higher education by empowering universities to make their own strategic choices while also making it explicit what type of results are sought and will be rewarded by those policy-makers. These systems sought to harness the wisdom of providers by allowing governments to set broad bands for desirable outcomes, collectively shaping a set of rules of the game with providers, and then empowering those providers to compete within those rules to provide the best services for society. A typical new public management system therefore involves:

(i)   a shift to payment by results and away from block grants, rewarding successful providers and providing a direct stimulus to less successful providers;

(ii)   increasing the power of central managers of providers to allocate resources more freely within their enterprises, and therefore to 'chase success';

(iii)   the creation of regulators in order to enforce minimum standard levels and oversee the effective reporting of results and allocation of resources;

(iv)   a deregulation of the resource markets used by enterprises, allowing them freedom to use new kinds of resources (such as bond market or PPP finance, commercialisation, part-time/adjunct appointments).

This system has been somewhat problematic to implement in practice, particularly where the nature of the goods and outcomes to be provided was not immediately clear, and where it was difficult to be able to guarantee the effective knowledge necessary for effective market mechanisms. A further point related specifically to higher education

presumes that agents are self-interested, rational economic agents while there is strong evidence that academics have other kinds of motivations and do not respond predictably to singular incentives (Lam, 2011).

The reason why higher education was leading in the emergence of new public management as charted by inter alia Kickert (1995) was the extremely high level of uncertainty in the nature of the 'products' that universities produce. They produce higher-level under-standing and knowledge in which there is either a very strong principal-agent problem (for research, Van der Meulen, 2003) or a credence good problem (for teaching, (Bonroy & Constantatos, 2008; Dulleck & Kerschbamer, 2006). When teaching is considered, markets for students do not work effectively because students cannot know the value of the knowledge they will acquire until they have acquired that knowledge, and therefore there is no way that a pure market model for higher education can work. In research, it is the academics who will benefit from research funding and who are in the position to determine which research proposals are the most likely to lead to the creation of new knowledge. Therefore, it is easy for those academics to shape any kind of policy pres-sure through special interest pleading.

It is in this context that accountability and transparency tools emerged as an attempt to provide appropriate information (Van Vught & Westerheijden, 1994) to address these two problems (principal-agent and credence problems). This in part originated from teaching, where there had been an interest since the late 1980s in quality assurance as a means for institutional self-improvement (Kells, 1992). In particular, in the US, with its strong dependence on state-level funding for university education, there was growing demand from state legislatures for higher education systems to demonstrate that their subsidies were being well-spent on what legislators had intended (Burke & Minassians, 2003) As quality assurance emerged alongside NPM techniques, this evolved into the issue of accreditation, in which independent agencies would oversee institutional self-assessment processes which in turn could serve to uphold common standards within higher education systems, the technique being pioneered in the New England higher education system (Dill et al., 1996; El-Khawas, 2005; Kempits, 1996). In such a system, providing 'accreditation' greatly simplifies the choices that students face, knowing that all providers will provide a minimum standard level; providers (universities) can in turn choose to segment horizontally within markets (by offering different kinds of special-isations for students). Accreditation eliminates providers that cannot meet minimum

standards from access to public funding, and provides a stimulus to underperforming providers to improve their own performance, therefore also segmenting vertically within markets to encourage an upwards shift.

The use of these NPM tools can be associated with seeking to generate vertical effects (raising standards) or horizontal effects (encouraging specialisation). Hauptman (2005) distinguishes four kinds of accountability prevalent in higher education:

(i)   Audit & monitoring: this involves ensuring that funds are spent in ways compatible with funders' desires, usually ensuring compliance with accounting standards/basic financial control systems.

(ii)   Regulatory performance indicators: basic targets such as graduation rates which trigger further investigation or inspection if they are not met

(iii) Performance-based funding: a more comprehensive regime of resource allocation on the basis of the delivery of particular outputs (e.g. first year completions, graduations, Ph.D. completions, publication points, impact case studies),

(iv)   Market-based strategies: providing public funding directly to consumers and allowing them to purchase the most desirable services from universities in the markets – institutions are 'held accountable' by the market.

Each of these approaches seeks to make external stakeholders' interests more visible to universities and to compel them to be responsive to their needs; these accountability instruments are interested primarily in 'vertical' effects within the system, in encouraging better performance by setting a minimum platform for acceptable performance and then using the market mechanism to raise that platform.

There are also instruments used within higher education that are associated with horizontal effects, i.e. in encouraging universities to profile themselves and to specialise in particular areas given their adherence to these platform performances. Salmi (2009) identifies nine kinds of instruments typically associated with performance management.

Table 3.1 Overview of instruments available for NPM in higher education

	Academic integrity	Fiscal integrity	Use of Resources	Quality & Relevance	Equity
Strategic plan				X	X
Key performance indicators			X	X	X
Budget			X		
Financial audit		X	X		
Public reporting			X	X	X
Licensing					
Accreditation/ academic audit/ evaluation	X				
Performance contracts	X			X	
Scholarships/ student loans			X	X	X
Rankings/ Benchmarking				X	

Source: Salmi (2009)

- <u>Strategic plan:</u> universities are required to have a strategic plan in place that sets out what the key priorities for the institution and provides evidence of past performance and current performance, as well as setting out future direction of travel in these key priority areas.

- <u>Key performance indicators:</u> universities set or are set a limited number of key performance indicators, are required to report periodically upon their performance in these areas, identify areas of underperformance and develop improvement plans for those areas of underperformance.

- <u>Budget:</u> universities are required to set a budget that is both financially prudent and that is sufficiently transparent to allow external stakeholders to see that resources are being allocated to strategic goals aligned with wider public missions.

- <u>Financial audit:</u> universities are required to report on their use of resources in a financial sense and o demonstrate probity and transparency in the allocation of their resources.

- • <u>Public reporting:</u> universities are required to produce periodic public reports that set out their performance in key areas that allow public scrutiny and potential comparison against other institutions.
- • <u>Licensing:</u> a form of accreditation where universities have to seek licensing against external quality standards with a body that audits their performance against those (minimum acceptable) standards
- • <u>Accreditation/academic audit/evaluation:</u> other kinds of accreditation than licensing in which universities and their subunits seek to demonstrate that the quality of what they are doing in teaching, research and other core activities is at an acceptable level.
- • <u>Performance contracts:</u> ex ante agreements between universities and funders in which universities undertake to deliver specified output volumes in return for guaranteed finance
- • <u>Scholarships/student loans:</u> funding that is provided to students; through exercising their choice in markets, funding flows to universities that are perceived by students as offering a quality product.
- • <u>Rankings/benchmarking:</u> comparing universities using externally-determined (ranking) or internally-determined (benchmarking) indicators to identify highly performing and weaker-performing institutions.

Salmi identifies five categories of accountability and transparency that can be provided by these performance tools. One role is for ensuring either (i) adherence to academic standards and integrity, or (ii) ensuring quality and relevance of the knowledge being offered. A second set of roles relate to ensuring the efficiency in terms of the systemic features of the higher education system whether in ensuring (iii) fiscal integrity of the universities concerned (iv) influencing the use of resources within universities or (v) ensuring that there is equity of treatment between institutions.

Performance contracts have been used in a number of countries (such as the Netherlands) in which different universities agreed on their own targets separately with the national education ministry, related to their specific education mission with the intention being that each institution would be rewarded for performance in relation to specific institutional targets rather than a single target for all kinds of institution (RCHOO, 2017). Multidimensional ranking at its core is an attempt to make visible these vertical differences between institutions and allow students

to select institutions according to the balance of variables that matter to them rather than being pre-guided by variables determined within ranking systems (Van Vught & Ziegler, 2012).

3.3 *The principles of effective performance indicators*

The current state-of-the-art use of indicators for accountability and transparency sees them as forming a part of a network approach to higher education policy which dynamically evolves in order to ensure public value at the level of the system. In the currently overloaded higher education environment, universities prioritise the interests of the most important stakeholders in terms of their legitimacy, their resources and the apparent urgency of their needs (Jongbloed, Enders, & Salerno, 2008). From this perspective, the role of these performance tools is to stimulate a response from stakeholders by increasing their relative importance to the universities, by making their claims more legitimate, and imbuing their claims with a sense of urgency. Performance tools may take a variety of forms and serve a variety of purposes, and we here distinguish three different categories within which performance evidence (qualitative or quantitative) may be gathered and deployed within universities:

(i)   Accountability indicators: these are used by principals to determine that their agents are using resources in a legitimate manner (e.g. solvency, liquidity);

(ii)   Transparency tools: these are used by customers to determine which institutions might best be able to meet their needs (e.g. graduate employment rates, student satisfaction scores);

(iii)   Performance improvement: indicators used to determine the adequacy of the level of performance by a university against 'fair' comparators (e.g. technology transfer outcomes, graduation rates) related to performance improvement.

We here identify a number of principles for effective performance tools in general, including the appropriateness of their deployment, the robustness of the indicators, the validity of the indicators, the fit of the measures with the desired effect and the appropriate level of burden respective to the benefits they are perceived to bring.

The first important principle of good use is that they are used appropriately within the correct categories, so accountability tools are used to guarantee minimum standards, performance indicators are used to raise overall performance and transparency tools to drive strategic specialisation. Both the hierarchical and the market approach are highly rigid and undermine the encouraging and rewarding of universities for reacting constructively to societal needs. In hierarchical systems, universities primarily focus on meeting the needs of their core funders while reserving as much as possible of the resources for activities they seek to pursue. In market systems, the efficient working of markets may produce outcomes that are privately efficient, but collectively inefficient (such as encouraging students from expensive medicine and engineering to cheaper social sciences and the humanities subjects) or regarded as publicly unpalatable (high fees excluding poorer students from the most prestigious providers). Good performance tools therefore seek to facilitate dynamic self-improvements within higher education systems, either by empowering stakeholders (accountability tools) or facilitating informed choices for specialisation (transparency tools).

The second key principle of effective indicators is that they are robust, and not highly sensitive to any artefacts in the construction of the metrics (Müller-Böling & Federkeil, 2007). One of the issues with ranking systems and league tables is that they are often produced by commercial publishing organisations who have their own interests in selling the rankings, and therefore they have a natural interest in any 'churn' in rankings, even where that is a spurious statistical artefact rather than representative of real changes between higher education systems (Hazelkorn, 2011). Indeed, Federkeil et al., (2012) have noted that rankings have largely served to stop working as a performance improvement measure because they are regarded and pursued as ends in themselves rather than as sources of information that give university managers or potential stakeholders information that allow for better informed choices. The final issue for the effective use of indicators is that universities have proven themselves to be exceptionally skilled at gaming whatever measures are used (Elton, 2004). This has been seen, for example, in the grade inflation that is present in the UK research assessment exercises, where the majority of submitted research is assessed as world-leading or world-class; it is here useful to be mindful of Goodhart's Law that any measure that is adopted as a target ceases to be a useful measure (Martin, 2011).

The third principle relates to stakeholder legitimacy and validity as highlighted by Jongbloed et al. (2008). Any kind of effective indicator in higher education will need to be accepted as measuring something legitimate if participants are to gather correct information upon it. This validity may partly be provided by having external definitions for what matters, although this raises the risk of indicator drift, where indicators approved and found legitimate for one purpose are then uncritically used as an indication of another feature simply because they are already available for use. This was exemplified in the case of the Regional Innovation Scoreboard which purported to say something about how universities contributed to regional innovation but which remained reliant on an extremely partial set of coverage. This is particularly a problem in higher education for third mission indicators – as universities are usually advanced in collecting information for their teaching and research activities, it is assumed that there are similar suitably legitimate indicators for third mission activities. The recent rise in altmetrics is a good example (Priem, Taraborelli, Groth, & Neylon, 2015), but Andrews (2018) has identified the pernicious case of data foam where publishers create new metrics on the basis of their available datasets that are adopted because of availability rather than appropriateness.

The final principle in the effective deployment of performance tools has to do with the burden that they impose on the participating institutions. This burden has to be proportionate to their reward, meeting the more general performance measurement 80/20 criteria, in gaining 80% of the understanding can be achieved with 20% of the effort (Benneworth, 2010). Even where universities may be compelled to present certain kinds of data as the condition of their regulatory licensing, the additional burden that such requirement can impose over internal data systems can influence the degree to which the universities make serious efforts to gather the data. In the UK, for example, where each public university is required to make an extensive statistical return to the Higher Education Statistical Agency, different categories of data are gathered to differing levels of quality control, which correlate to the additional burden that gathering that data imposes above the internal data management systems. As a result of this, attempts to create an accountability instrument for knowledge exchange (a third mission task) is, at the time of writing, foundering on the variable quality of the statistical returns provided to HESA through the Higher Education Business and the Community Interaction Survey (HEBCIS).

3.4 Performance tools and the third mission of higher education

There have been many attempts to introduce different kinds of performance tools to address universities' relationships with society and indeed to stimulate universities to give greater priority to engaging with societal partners (Pinheiro & Benneworth, 2017). We here define the third mission as the collection of activities which are supplemental to higher education's core teaching and research tasks, but instead create other kinds of benefit – often more generalised and diffused – for a wider group in society (Laredo, 2007). The third mission for universities has emerged (as set out in Chapter 2) as an increasingly important issue because of the increasing volumes of public funds being invested into higher education. As part of this, policy-makers and universities have made a wider argument that these investments do not just bring private returns to the individuals receiving the education, nor do they create knowledge that is valuable for its own sake, but they also create collective and societal-level benefits when the knowledge spills over more generally into society. Indeed, in a number of national systems there is a formal legal requirement on universities to engage with their societies or to make their knowledge available for those societies. With the rise of new public management, there has become an increasing pressure on policy-makers and institutions to develop appropriate measures for these third mission activities that can provide evidence for the allocation of funding on that basis.

As an aside, we note that this discussion has a distinctly North American and European flavour (and is also applicable to higher education systems outside Europe based upon these models such as Australia, whose Excellence in Research for Australia system is an archetypal NPM system). It is relevant here to note that in Latin America, higher education operates in a way in which societal engagement is far more fundamental to the purposes of the universities, and where there is a clear societal compact in which the individuals who are able to access the benefits of individual higher education make a contribution back to society through a societal placement or substantive volunteering experience (Cortez-Ruiz, 2008). This system emerged as a result of the Cordoba Movement which sought to decolonise the universities and reverse their role in serving oppressive reactionary elements in Latin American society (Noguera, 2018). However, this system has come under pressure within Latin America as a result of massification, the rise of private higher education and austerity measures, and substantive efforts

are being made to reconsider university-community engagement in Latin America (for example in a UNESCO regional conference in 2018).

In the North American and European contexts, considering this urgent pressure to create performance tools for the third mission, the overall results have been extremely disappointing (Pinheiro & Benneworth, 2017), particularly at the institutional level. The most successful indicators that have emerged are those that measure financial transactions, particularly around knowledge commercialisation, covering patenting, licensing and spin-off company formation. Nevertheless, there is a clear first-mover effect here in that these indicators were proposed by the American Association of University Technology Managers in the mid-1980s as part of their more general efforts to demonstrate the value of state university systems to state legislative appropriations committees. In the UK, and those systems that have mimicked it, the idea of impact has offered one set of measures, but it is so highly specified and performative that it has relatively little value beyond an allocative tool (Sivertsen, 2018). England did introduce a metric driven third mission fund (known for most of its life as the Higher Education Innovation Fund) and this allocated a relatively small amount of funding (c. £1m per institution) on the basis of a relatively limited number of these metrics, with the effect that universities tended to focus their institution support on the relatively limited activity set that met the metrics rather than the much wider set of individual activities by which third mission outcomes (the spillover of knowledge to external users) were delivered. In the Netherlands, the Standard Evaluation Protocol allocates half of the ratings on the basis of societal impact, although it is not strictly speaking a metric system, rather a grade that is produced by a peer-review committee on the basis of information electively provided by departments in their submissions to these review committees.

Indeed, Molas-Gallart & Castro-Martinez (2007) noted that there almost appears to be a contradiction in terms for universities in measuring the difficult- to-quantify ways in which knowledge spills over into society. As we noted in Chapter 1, the third mission involves universities creating knowledge for society, which is then taken up through various mechanisms which might not easily be counted, particularly in informal ways that may be integrated in various ways in normal research practices. Chapter 1 characterised this as a spillover process in which various knowledge processes within the university (such as teaching or research) are organised in ways which create external benefits despite the fact that those external benefits are not the primary logic behind the activities. These spillover benefits can be hard to quantify in a sensible manner – consider, for example, the

important knowledge spillover mechanism that comes about when university academic staff make media appearances. There is no way to sensibly turn that into a measure without creating a perverse incentive reflecting the fact that the easiest way to generate newspaper articles is through bad behaviour or controversial findings rather than informed and considered contributions to public debates.

A second important issue here relates to academic agency, and in particular what shapes academic behaviours. NPM has a tendency to assume that, by creating the correct strategic framework with a consistent financial arrangement and institutional structure, individual staff will be steered to deliver outputs that deliver the overall institutional mission. In a very limited subset of community engagement projects this might be true, for example in situations where a university commits to support local regeneration projects by locating a new campus in a more peripheral region. However, the bulk of community engagement is, as we have seen, integrated into other knowledge production activities, and these knowledge production activities are in turn shaped by the steering mechanisms related to them. Because community engagement is a peripheral activity, it often falls to institutional entrepreneurs within universities to lead those activities, and in many cases happens despite, not because of core institutional strategies (see Benneworth, 2013, for a more detailed treatment of this argument). Simple metrics may quickly fail to capture what it is that engaged academics themselves regard as being good or worthwhile, and can actually serve to discourage and alienate those institutional entrepreneurs who are seeking to deliver community engagement. A key requirement for effective engagement frameworks is that they are recognisable to those who are leading it and also help to highlight the contributions of those that are undertaking community engagement work without that work necessarily being acknowledged.

This raises the question of how to generate information about performance without resorting to (and realising the problems) of metrics and the answer within the third mission field has been the emergence of what we call cataloguing and peer-review approaches (as seen for example through the HEInnovate or the Regional Review processes by the OECD Institutional Management in Higher Education). What characterises these approaches is that they are driven by the universities themselves; they identify the kinds of benefits they produce and in which universities identify themselves, and then make a claim or internal evaluation of how good they are in those areas. These

claims are then in turn scrutinised by external peer-reviewers who additionally contribute to the improvement process by giving formative feedback on the peer-evaluation reports. These processes typically conclude with an institutional improvement plan setting out objectives for medium-term improvement, priorities necessary to achieve those objectives along with potential good practice comparators from which inspiration can be sought. The burden that is associated with these peer-review based approaches has meant that they have been reserved for enthusiastic institutions rather than being introduced as a more general mechanism to encourage improved performance across all institutions.

On this basis of these limitations and constraints we infer a number of lessons for designing a toolbox, and these are summarised in Table 3.2 below.

Table 3.2 Lessons for designing a Framework for community engagement

1. Community engagement is characterised by contextual difference. When successful, it involves universities using their own unique strengths to work together with (unique) local communities to create (unique) shared mutual benefits

2. Performance tools are not immune from hidden assumptions and have had a homologation effect encouraging behavioural convergence around the behaviour of the most powerful/prestigious universities.

3. There is not always a good correspondence between what is important and what can relatively easily be measured; if there were straightforward indicators for community engagement waiting to be discovered then it is likely that they would have already existed.

4. Any kind of performance framework needs to (a) provide information about performance against an underlying process, (b) there must be consensus about the definition of that process, and (c) there must be a consensus that the process is important to the performing institutions.

5. In the absence of a solid definition of real situations in which meaningful measurement can take place, it is impossible to generate definitive statistics; statistics should be triangulated against other forms of evidence to produce understanding of a particular situation.

6. Achieving political consensus and support for a performance Framework for community engagement is hindered because community engagement has traditionally been regarded as an activity suitable for inferior kinds of universities; strong external stakeholder pressure on what 'matters' in community engagement is necessary for frameworks to have any kind of salience beyond individual institutions.

3.5 Towards a new conceptualisation of a Framework for university-community engagement

3.5.1 A Framework supporting institutional transformation efforts

In this chapter, we have identified a range of dimensions that are important for any kind of framework that supports community engagement. What has emerged throughout this chapter is that there is a **need to get beyond the established routines and repertoires of new public management,** which is primarily focused on top-down steering. Instead, it is important that the Framework provides a mechanism to **support university managers in their efforts to create supportive environments where a multiplicity of community engagement activities can take place and can effectively be embedded within the other (core) knowledge activities** and processes already undertaken by universities. In Chapter 2, we identified that the core of this process is that community engagement becomes more important and more central to what the university does, in that it is taken more seriously, and efforts are more sincerely promoted. We argue that this represents a learning journey for institutions, and therefore the role of any kind of framework should be in **supporting that learning** journey, for those institutions seeking to progress from volunteerism and transactional engagement, to more holistic and transformational kinds of engagement.

But at the same time, it is important that **we do not present this learning journey as a normative teleology,** in which there is an implicit value judgement being made that unless universities are actively seeking to make their engagement holistic and transformational then that is not worth supporting. In Chapters 1 and 4, we have clearly set out the pressures that universities face in different ways to disregard community engagement and to make it more peripheral to their activities. In such a context, simply maintaining existing activities based around voluntary, transactional relationships can in itself represent substantive effort. Any kind of upgrading demands considerable effort, and in this chapter we are not arguing that ideally all universities should be transformational and holistic in their engagement. Our argument is that because of the peripheral position of community engagement within contemporary higher education and science policy systems, the level of engagement is lower than it would optimally be (i.e. increasing community engagement from its current level to a higher level would bring more benefits than costs). To help restore some balance to the system, we seek to assist

those institutions that would seek to intensify their community engagement activities and provide them with more substance. On this basis it is possible to infer a number of implications of direct relevance to the creation of the Framework to promote community engagement.

Firstly, the most important is the role that the Framework will play, and it is likely in the first instance to be a means for universities who are already doing community engagement well to seek external recognition for the fact that they do create societal added value. This means that the emphasis of the tools lies on better understanding the performance of the constituent parts of individual institutions in their own terms, given their own contexts and histories. We therefore warn against giving any kind of consideration within the construction of the Framework for mechanisms for ranking institutions in terms of their aggregate performance.

Secondly, the Framework's internal focus means that there are a whole set of practical issues that need considering related to the ways in which a strategy can become enacted within a university <u>in a situation of mission overload</u>. There is a need to establish the characteristics of situations in which strategies become implemented and the evidence which suggests that community engagement is being realised within particular institutions.

This means that the primary constituency for the first-cut Framework is at the level of individual institutions and their key community stakeholders. A Framework therefore needs to be focused on the practical mechanisms enabling interactions between the stakeholders and these communities, and the ways in which these are deemed to be useful by the community stakeholders.

The need for internal and external differentiation implies that there is a need for some degree of qualitative input in the indicators used. Additional thought ought to be given to finding appropriate methodologies to ensure that the evidence introduced is as independent and objective as are the statistics collected to pre-defined standards.

3.5.2 The boundary conditions for a successful Framework for university-community engagement

We argue that any kind of framework that can meet these requirements would have a number of elements:

1. The Framework should motivate universities' community engagement efforts in various ways:

   (a) institutionally by providing evidence of their good corporate citizenry

   (b) individually and at unit level by demonstrating that these activities are valued by others, and

   (c) by providing the public with opportunities to articulate their sense of value for these activities.

2. The role of measurement and indicators in the Framework is not to provide comparison or allocation, but to make community engagement more visible, and in particular, to allow an enumeration of the value of community engagement to institution and community.

3. The Framework is formative rather than summative, in that engaging with the Framework helps to stimulate suitable learning experiences, and feedback provided by the Framework gives institutions a better sense of the appropriate next steps of the learning journey.

4. The issue of performance is addressed by exploring the qualitative transformations that community engagement produces related in the authentic understandings of stakeholders and improved through meaningful co-learning and deliberation of good/ successful practices.

5. The Framework needs to be open to allow community engagement institutional entrepreneurs to present their examples of community engagement, and for the validity of the community engagement practices to be corroborated by engaging with the Framework.

6. The Framework needs to support the development of community engagement activities by providing potential partners and beneficiaries with understanding and tools to better configure the university as a partner and to communicate their needs and interests to the university.

7. The Framework should articulate the value of the ecosystems and platforms within which community engagement is organised around universities, and encourage stakeholders to connect with and connect to mutually beneficial endeavours involving university partners.

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CHAPTER 4: MAPPING EXISTING TOOLS FOR ASSESSING COMMUNITY ENGAGEMENT IN HIGHER EDUCATION

Thomas Farnell & Ninoslav Šćukanec
Institute for the Development of Education (Croatia)

4.1 Introduction

The first two chapters have argued why community engagement should be a central concern on the contemporary higher education agenda in Europe and have proposed a definition of community engagement in the form of a typology of its main dimensions. The previous chapter also demonstrated that despite the increasing pressure on higher education institutions to demonstrate their value to society through a variety of accountability and transparency tools, finding a robust tool or metric for assessing the third mission of higher education (and especially community engagement, as only one of its components) has so far proved immensely difficult. Community engagement in particular, due to its various possible definitions, its multiple dimensions, its many (and potentially innumerable!) stakeholders and its context-specific nature, has proved to be a significant challenge. Essentially, the previous chapter concluded that the search for a set of comparable quantitative indicators encompassing community engagement was futile and that alternative approaches should be considered. As the previous chapter noted: 'if there were straightforward indicators for community engagement waiting to be discovered then it is likely that they would have already existed (p. 91)'.

This chapter delves deeper into the debate, both by analysing more closely what attempts have been made to 'quantify' community engagement and what problems these attempts have run into and examining what alternative approaches to assessment of community engagement have already been developed (or could yet be developed in the future). The alternatives in question refer, on the one hand, to the approach of institutional self-assessment (based on qualitative rather than quantitative methods) and, on the other hand, to other forms of external assessment that do not rely primarily or exclusively on quantitative data. The analysis focuses on how different tools have proposed to assess a phenomenon that has been characterised as being so resistant to measurement and how they reflect

upon what 'assessing community engagement' actually means.

In considering alternative approaches to assessment, in 4.5 we turn to consider new tools and frameworks supported by the European Commission to assess performance in higher education, with an emphasis on the third mission of higher education. Although not directly related to assessing community engagement, the featured tools cover higher education engagement in its broader sense and the chapter will argue that they are particularly important to consider in the context of the TEFCE project. Namely, those tools indicate that the European Commission is becoming more open to assessment methods that do not rely on purely quantitative approaches and that do not necessarily result in Europe-wide comparisons of performance.

The chapter will begin with a brief overview of the emergence of assessment tools for community engagement in higher education, the contexts from which they emerged and the reasons for their emergence (4.2). For practical purposes, the analysis of the assessment tools for community engagement will begin with institutional self-assessment tools (since the four tools that will be analysed provided the basis for several of the subsequent external assessment tools) (4.3). The subsequent sections will analyse three external assessment tools for community engagement (4.4) and four European Commission-supported assessment tools related to the third mission of higher education (4.5). The concluding section will consider which of the existing assessment approaches could be most relevant in the context of the TEFCE project's objective of developing a Framework for community engagement in the European Higher Education Area (EHEA) (4.6).

4.2 The emergence of tools for measuring community engagement in higher education

Despite the difficulty of assessing university-community engagement, there have been a range of initiatives at the international level to address this challenge (Benneworth [Ed.], 2012). According to Furco and Miller (2009) and LeClus (2011), the first tools specifically aimed at assessing community engagement in higher education emerged in the United States in the mid-1990s, with several dozen further instruments being developed since then. These include tools developed by researchers and practitioners (Furco, 1999; Holland, 1997), by networks of universities (Campus Compact; Committee on Institutional Cooperation) and by higher education institutions at

the local level (e.g. Community-Campus Partnerships for Health). All these initiatives inspired the development of a special classification of community-engaged universities in the USA, developed by the Carnegie Foundation for the Advancement of Teaching (Driscoll, 2009, see 2.4.2). Other tools were also subsequently developed in Australia (by the Australian Universities Community Engagement Alliance – AUCEA, see 2.4.3), the United Kingdom (by the National Coordinating Centre for Public Engagement) and in Ireland (by Campus Engage). It is notable, though, that there have been no initiatives yet at EHEA level that have focused exclusively on community engagement.[3]

How can we explain this international trend of increased interest in assessment tools for community engagement? The literature on the emergence of initiatives to develop tools for assessing community engagement does not provide any additional explanation for their emergence other than the desire of institutions to improve their performance in this area. The underlying reasons for their emergence are likely to be attributable to the increasing attitudinal shift in higher education (as discussed in Chapter 1), reflecting a move beyond an exclusive interest in the economic dimension of engagement (in the form of innovation, human capital development), to the broader social role of higher education. In addition, the dominance of an 'audit culture' in higher education (Shore, 2008) may also be at play here, resulting in a climate that tacitly accepts the development of accountability tools as a legitimate and necessary way of monitoring an institution's performance and of demonstrating the institution's value to its stakeholders (in line with the principles of New Public Management as set out in Chapter 3). Finally, it is possible that market-based incentives also play a role in the development of such tools: institutions wishing to distinguish themselves from their competitors and demonstrate their superior level of performance may be interested in applying such tools.

4.3   Analysis of institutional self-assessment tools for community engagement in higher education

The first category of tools that will be analysed are tools that are applied by higher education institutions in order to self-assess their community engagement practices (while the following section will focus on tools that provide external assessments). This section considers a range of tools already identified in the literature (Furco & Miller, 2009; LeClus, 2011) as the first such tools to have emerged, some of which have subsequently become highly influential. The purpose of the analysis is to describe how each of these tools works from a

3 One exception is the EU-level Erasmus+ project Europe Engage, which developed policy recommendations related to engagement, although the project's focus was specfically   on service-learning in higher education (as only one of the dimensions of community engagement).

methodological perspective and how they can be applied in practice. Each description is followed by a critical reflection on the possible advantages and disadvantages of each tool. The section ends with overall conclusions about commonalities and differences in the tools for the self-assessment of community engagement.

Chapter 2 analysed a range of tools for university-community engagement, focusing principally on the content of the tools (what is assessed). This section presents a range of tools including a number already presented in Chapter 2 and so the focus of this section is primarily on two other areas, namely the purpose of the tools (why they assess) and their methods (how they assess). Each tool will be initially presented in the form of a brief analysis of its main features and an illustration of its approach, which will be followed by a discussion on the strengths and weaknesses of the different tools.

4.3.1 Talloires Network / Association of Commonwealth Universities: Inventory Tool for Higher Education Civic Engagement (2004)

This tool was originally designed for the Association of Commonwealth Universities (ACU) in 2004 by David Watson and then piloted at a number of universities throughout the Commonwealth (Watson, 2007). The aim was to develop and operate an international benchmarking tool for universities' civic engagement. The Talloires Network has since adopted this tool as a questionnaire to be completed by each of its members. The questionnaire focuses on five main areas:

- clarifying the institution's historical and mission-based commitments to its host society;
- identifying how engagement informs and influences the institution's range o operations;
- describing how the institution is organised to meet the challenge of civic engagement and social responsibility;
- assessing the contribution of staff, students and external partners to the engagement agenda;
- monitoring achievements, constraints and future opportunities for civic engagement and social responsibility.

The questionnaire allows respondents to provide open, qualitative responses, with an

illustration of some of the questions provided below.

Table 4.1 Sample of questions from the Talloires Network/ACU Inventory Tool for Higher Education Civic Engagement

I. Mission and history

The following questions ask you to describe how the origins and development of your institution incorporate commitments to the development of the region and locality.

1.1 What relevant objectives are set for the institution in its founding document (charter or equivalent)?

1.2 What relevant expectations are held by those who fund your work and support it (including politically)?

1.3 Which external groups are represented ex officio and de facto on the institution's governance or senior management bodies? How are the relevant individuals chosen and how do they see their roles?

Source: Watson (2007)

The method applied by this tool is a self-assessment for university management. The method therefore represents a 'top-driven' process at the higher education institution level, rather than an intra-institutional participatory approach involving discussions with different stakeholders within the institution or with external community players. However, the responses to the questionnaires are discussed between participating institutions from different countries at a workshop, allowing for peer-learning between institutions.

The tool was piloted by a number of higher education institutions from the Commonwealth and revealed some weaknesses of the tool (as an abstract preliminary analytical framework) as well as challenges with regard to the responding institutions (it is easier to record aspirations and strategic goals than targets and their monitoring). Overall, however, the value of the tool was seen as allowing for 'creative sharing of experience' regarding practices that work or that were in the planning process (Watson, 2007). However, if applied at a single institution (without an internationally comparative context) this tool appears unlikely to work well as an assessment and planning tool, since it provides questions instead of defining standards or criteria according to which performance is to be assessed.

4.3.2 Campus Compact: Indicators of Engagement (1999)

Campus Compact is a US coalition of college and university presidents dedicated to promoting community service, civic engagement and service-learning in higher education. In order to support its members in engaging with their local communities, a series of indicators was developed by Hollander, Saltmarsh and Zlotkowski (2001) to analyse institutional activities, policies, and structures. The indicators take the form of a brief set of formulated statements of standards for 13 key dimensions of community engagement, which are divided into five main areas: (i) institutional culture; (ii) curriculum and pedagogy; (iii) faculty roles and rewards; (iv) mechanisms and resources; and (v) community-campus exchange.

Table 4.2 Illustration of Campus Compact indicators of engagement

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INSTITUTIONAL CULTURE

1) Mission and purpose that explicitly articulates a commitment to the public purposes of higher education.

2) Administrative and academic leadership (president, trustees, provost) that is in the forefront of institutional transformation that supports civic engagement.

CURRICULUM & PEDAGOGY

3) Disciplines, departments, and interdisciplinary work have incorporated community-based education allowing it to penetrate all disciplines and reach the institutions academic core.

4) Pedagogy and epistemology incorporate a community-based, public problem-solving approach to teaching and learning

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Source: Hollander, Saltmarsh and Zlotkowski (2001)

The indicators were constructed by Campus Compact based on existing literature on community engagement, as well as drawing upon the practices and experiences of its hundreds of member campuses over years of experiments. The authors of the indicators emphasise that the indicators are not intended to be prescriptive or comprehensive (they note that 'it is unlikely that all will be apparent on any one campus'), but should rather

be regarded as providing insights into the range of possible practices of engagement.

The method of application of this tool is not specified, but according to its authors the most common application of the tool has been as a self-assessment process led by university management, which can involve cross-campus data collection and discussions and which can result in an institutional report and/or in an action plan of areas to improve.

Overall, a clear advantage of this tool is its simplicity and concise nature: the 13 statements are clear, simple and manageable for an initial self-assessment. It also represents a step forwards from the open questions of the ACU/Talloires Network tool described above, by defining standards that should be met. However, the authors openly acknowledge that this tool represents only a first step in the assessment of community engagement, and that its focus is on allowing institutions to compile an inventory of 'what already exists on campus' (Hollander et al., 2001, p.22) with regards to the dimensions of engagement. As they later note, 'more difficult than compiling an inventory of activities is undertaking an assessment of the quality and depth of its efforts' (p.24), so they point to some of the tools referred to later in this section as being more suitable for that purpose. Nevertheless, the authors note that the initial step of adopting a conscious process of discovery can in itself be a very useful exercise for an institution wishing to extend and deepen its community engagement. In other words, this tool could certainly be of value for institutions undertaking initial steps in assessing their community engagement activities.

4.3.3 The Holland Matrix (1997)

A matrix developed by Barbara Holland (1997), which became known as the 'Holland Matrix', was initially developed with a specific focus on service-learning, but has since been widely applied as an institutional planning tool for community engagement and has been influential in the subsequent development of international tools. The purpose of the matrix is to provide a 'diagnostic tool for identifying levels of institutional commitment and evaluating the effects of different approaches to organising and supporting service and service-learning within the framework of a specific campus mission' (p. 39).

The matrix focuses on seven organisational factors at universities that influence the development of community engagement: (i) mission; (ii) leadership, promotion, tenure, hiring; (iii) organisational structure; (iv) student involvement; (v) faculty

involvement; (vi) community involvement; and (vii) campus publications. The value of the matrix is that it provides the possibility to assess the level of commitment to community engagement in a two-dimensional manner, with statements defining four different levels of commitment for each listed organisational factor (as presented below using the first two indicators as an illustration).

Table 4.3 Sample of dimensions/level descriptors from the Holland Matrix

	Level One Low Relevance	Level Two Medium Relevance	Level Three High Relevance	Level Four Full Integration
Mission	No mention or undefined rhetorical reference	Service is part of what we do as citizens	Service is an element of our academic agenda	Service is a central and defining characteristic
Promotion, Tenure, Hiring	Service to campus committees or to discipline	Community service mentioned; may count in certain cases	Formal guidelines for documenting and rewarding community service/service-learning	Community-based research and teaching are key criteria for hiring and rewards

Source: Authors' own tabulation based on Holland (1997)

The proposed matrix was developed and piloted through two qualitative research studies carried out by the author at US universities with diverse institutional profiles, which explored the extent to which engagement was accepted as a priority by the institution and which searched for explanatory factors for cases in which there were more sustained or expanded efforts. The resulting matrix was tested on 19 case study institutions.

Similarly to the Campus Compact indicators of engagement, the resulting matrix is not intended to be prescriptive, rather it 'portrays the pattern of current trends of organisational choices made across a wide and diverse array of universities and colleges' (p. 39). Interestingly, it is also emphasised that the tool does not judge the

'correctness' or 'goodness' regarding an institution's choice of level of commitment' (p. 36), but rather allows respondents to identify which level of commitment corresponds to their goals and then to identify which level they are currently achieving. The tool thus provides a basis for planning areas that are performing well and other that need improving, according to the institution's mission/priorities.

The tool is not accompanied with specific guidelines on its application, but is rather left to institutions to adapt to their purposes. Hence, the author notes that at a minimal level, the matrix is 'a reminder of the organisational elements that must be purposefully addressed', while more advanced institutions can use the framework in the process of strategic planning or mission review, or indeed as a tool for monitoring progress made towards the objectives that the institution sets itself for each dimension.

Overall, the advantage of a multi-levelled matrix is that it allows for a more advanced assessment of the level of community engagement of an institution, as well as providing a road map for further improvements according to each dimension. The matrix also emphasises flexibility and mission diversity in defining engagement goals (i.e. it is not expected that all institutions would want or need to reach level four). Finally, the matrix remains brief and user-friendly: the seven dimensions and accompanying level descriptors are clear, simple and manageable for an initial self-assessment.

4.3.4 The Furco Rubric (1999; 2009)

Another tool affiliated to Campus Compact in the US was developed by Andrew Furco (University of Berkeley) in 1998, entitled the Self-Assessment Rubric for the Institutionalization of Service-Learning in Higher Education (Furco, 1999). The conceptual framework for the rubric was based on previous work by Campus Compact, which subsequently used the tool in its work to promote service-learning. A later revised version of the tool (Furco et al., 2009, referred to hereafter in this text as the 'Furco Rubric') focused on community engagement as a whole, rather than service-learning and it has been further adapted in other international contexts.

The Furco Rubric is structured by five core thematic dimensions of community engagement (which echo the previous tools described): (i) philosophy and mission of community engagement; (ii) faculty support for and involvement in community engagement;(iii) student support for and involvement in community

engagement; (iv) community participation and partnerships; and (v) institutional support for community engagement. Similarly to the Holland Matrix, the Furco Rubric provides a progression model, whereby the institution assesses the level of development of its engagement according to three possible stages. The distinction between a rubric and a matrix (such as the Holland Matrix) is that a rubric describes different stages of development a single component, whereas the different stages within a particular component within a matrix can change in focus and can address a different set of issues at each level (ibid).

Table 4.4 Sample of dimensions/level descriptors from the Furco Rubric

	Critical Mass Building	*Quality Building*	*Sustained Institutionalization*
DEFINITION OF COMMUNITY ENGAGEMENT	There is no institution-wide definition or community engagement. The term 'community engagement' is used inconsistently to describe a variety of service and outreach activities.	There is an operationalized definition or community engagement at the institution, but there is some variance and inconsistency in the application of the term.	The institution has a formal, universally accepted definition for high quality community engagement that is used consistently to operationalize many or most aspects of community engagement.
(circle one)	1 2 3	4 5 6	7 8 9
STRATEGIC PLANNING	The institution does not have an official strategic plan for advancing community engagement	Although certain short-range and long-range goals for community engagement have been defined or the institution, these goals have not been formalized into an official strategic plan that will guide the implementation of these goals.	The institution has developed an official strategic plan for advancing community engagement at the institution, which includes viable short-range and long-range institutionalization goals.
(circle one)	1 2 3	4 5 6	7 8 9

Source: Authors' own tabulation based on Furco et al. (2009)

For each of the rubric's components, institutions are required to assess what level best reflects the current practices or status at the institution. In the earlier version of the tool, respondents were only able to identify their level of development as Stage 1, 2 or 3 (with no 'in-between' scores). The more recent version allows respondents to circle one of three possible scores within each developmental stage (resulting in a 9-point scale), to better assess their position and progress in the future.

The Furco Rubric is not accompanied with a strict protocol on how it should be applied. Indeed, the author emphasises flexibility in how assessments are reached: assessments can be made at an individual level by higher education institution staff that are involved in community engagement (followed by a comparison of scores), or they can be based on discussions to reach a consensus on the scoring. Either approach, though, should result in the development of a strategic action plan to advance service-learning or community engagement at the institution (Furco, 1999, p. 4).

Overall, the Furco Rubric appears to provide a comprehensive and valuable assessment tool. If we compare the Furco Rubric to the Holland Matrix, although both tools share a two-dimensional, progression-model approach to assessment of community engagement, the Furco Rubric allows for a more in-depth assessment. Each of the five dimensions of the Furco Rubric has three to six components that characterise the dimension, resulting in a total of 21 components to be self-assessed (each with three possible levels, hence with a total of 63 indicators to be considered). Additionally, an assessment using the Furco Rubric results not only in a qualitative assessment, but in a numerical score for each component, which lends itself well to measuring changes over time at the institutional level, as well as to allowing for inter-institutional benchmarking (Furco & Miller, 2009).

A potential disadvantage of the Furco Rubric is that the level of depth and detail of the assessment requires significant time and resources to complete for an institution. This can also have the effect of focusing on details rather than on broader, comprehensive issues that constitute the main drivers or obstacles for engagement (Furco & Miller, 2009). Compared to rubrics, matrices are 'more streamlined' and 'are useful for more comprehensive engagement assessment' (p. 50).

4.3.5 Other notable self-assessment rubrics

A number of other rubrics for institutional self-assessment of community engagement in higher education have emerged since the Furco Rubric (often by explicitly adapting the Furco Rubric or by referencing it). Below is a selection of some examples, with a note on similarities and differences:

- **Building Capacity for Community Engagement:** Institutional Self-Assessment: Developed by Gelmon et al. (2004), this tool is constructed around almost identical dimensions to the Furco Rubric, with a sixth dimension specifically focusing on research (Community-Engaged Scholarship). One difference is that each thematic dimension of community engagement consists of a much larger number of sub-dimensions or 'elements' (44 in total) than in the Furco Rubric (21 in total), as well as using an assessment scale of four possible levels of development (compared to the three possible levels of the Furco Rubric). This results in as many as 176 level descriptors to consider, making the tool particularly demanding to apply.

- **The EDGE Tool (UK, 2010):** The EDGE Tool is one of the first comprehensive tools for community engagement (or, in this case, 'public engagement') to have emerged in Europe, focused specifically on the UK, developed by the National Co-ordinating Centre for Public Engagement (NCCPE, n.d.). The EDGE Tool shares many similarities with the other rubrics described above, with slight differences in framing and terminology. The tool defines nine dimensions of engagement (referred to as 'focal points'), which broadly correspond to most of the dimensions listed in the previous tools discussed above, as well as providing four possible levels of development, which are referred to as: 'Embryonic'; 'Developing'; 'Gripping' and 'Embedding'). What is interesting about the EDGE Tool is that it allows for two levels of assessment: an overall, comprehensive assessment resembling the Holland Matrix (covering 9 dimensions with four levels each, thus resulting in 27 level descriptors); as well as a more in-depth assessment of 37 sub-dimensions (referred to as 'pressure points'), thus resulting in 148 level descriptors to be assessed.

4.3.6 Discussion

Overall, **the underlying assumption of all the self-assessment tools is that institutional culture is both measurable and malleable and that making a shift towards being a**

community-engaged higher education institution can be achieved using a management approach, applying principles of analysis, planning, implementation and monitoring & evaluation. In this context, the tools analysed in this section provide a valuable resource featuring different approaches to encouraging higher education institutions to reflect internally upon their missions, processes and practices in the field of community engagement.

The tools analysed above provide diverse approaches to institutional self-assessment, including:

- a questionnaire-based approach focusing on qualitative, narrative responses with the purpose of self-reflection and exchanging experiences with other institutions;
- a standards-based approach, allowing for an institution to assess whether its practices are in line with a given statement defining each standard;
- a progression-model approach, allowing for an institution to assess its level of development in specific areas according to pre-defined descriptors, as well as to identify the steps it needs to take to improve its performance.

Despite the diversity of approaches, the tools share strong similarities in their structure, content and ultimately in their objectives. Each of the tools is focused on assessing organisational factors or dimensions that constitute community engagement (institutional policies, structures, processes and activities), and the sets of factors or dimensions are very similar in all the tools. Each tool has the explicit objective of both assessing how the institution is currently performing in each of those dimensions and of using this assessment to plan further improvements in performance. All the tools appear to be focused on assessing the process of community engagement (and, to a lesser extent, the actual outputs of community engagement), rather than on the outcomes of community engagement, let alone on its impact (on the community or the institution). Finally, **what is similar, and problematic, about each of the tools is that they are all focused on the views of the higher education institution about its community engagement – and not on assessing community perspectives or incorporating community feedback** on how engaged the institution is or what the results of its engagement actually are.

In terms of the assessment methodologies, **the tools all focus on qualitative self-assessments (with no quantitative indicators or targets) that are not bound by strict**

guidelines or protocols, but are instead flexible and open both to assessments being made by individuals (e.g. university management) and to assessments **based on group discussions of key staff and stakeholders.** Due to the range of dimensions covered in each tool (usually covering management, teaching & learning, research and institutional structures), each assessment tool requires substantial data collection throughout the institution in order to reach an assessment.

The main difference between the tools relates to the depth of the assessments and to how resource-intensive they are to apply. The Holland Matrix or the Campus Compact Indicators of Engagement have the advantage of providing a brief overview of the key area preconditions of community engagement, which can provide a relatively quick way of supporting initial strategic discussions and planning at the institutional level, irrespective of whether institutions are at advanced levels of engagement or not. On the other hand, more in-depth progression models such as the **Furco Rubric are particularly valuable not only because they provide a more detailed and robust assessment, but they can also function as 'road maps' to guide institutions towards higher levels of engagement.** Conversely, one-dimensional statements of standards or guiding questions do not provide such a form of guidance. The rubrics analysed also have the advantage of being able to result in numerical scores, which allows for tracking progress over time as well as benchmarking between institutions (although the latter option obviously would open questions regarding the objectivity, reliability and verifiability of the assessments). However, although the more complex tools provide both much more detail and a much more robust assessment, it is questionable whether the workload required is manageable in terms of the time and capacity necessary for the collection of relevant data.

Finally, **the open questions that remain are whether such assessments are fit for purpose without providing a structured way for community voices to be heard in the process and whether allowing for inter-institutional comparisons of such assessments would add further value (**e.g. through incentives for further improvement) **or instead devalue the process by introducing a competitive element.**

4.4 Analysis of external assessment tools for community engagement in higher education

Encouraging institutional self-assessment for the purposes of accountability and for further improvement of performance is undoubtedly valuable, not only for institutions and their immediate stakeholders but for achieving broader public policy objectives. What external assessments can offer is a reliable comparison of performance with other institutions at the local, national or international level, or a formal recognition that an institution has reached a certain standard of performance-based on an external review. Such a form of assessment could arguably have a much stronger influence on institutional behaviour due to the increased pressure of (competitive) comparison and external scrutiny, as well as due to the learning possibilities that such processes give rise to through identifying best practices. The previous chapter already argued that the dominance of this form of external assessment has been a central tenet of New Public Management, epitomised by the surge of international rankings of higher education institutions.

It is therefore unsurprising that debates have arisen regarding the following issues: whether and how to rank universities according to their community engagement (Schuetze, 2012); how to adapt existing rankings to also incorporate community engagement as a dimension (Monaco & de la Rey, 2015; Times Higher Education, 2017); or whether community engagement is incompatible with rankings and indeed may in the long term become a new paradigm in higher education that will 'outperform' the logic of rankings (Peter, 2017). However, as mentioned in the previous chapter, despite the wishes expressed in some of these debates about creating metrics for community engagement (and even for broader forms of engagement), the results have been marred by difficulties.

The purpose of this section is to analyse three tools for external assessment of community engagement in higher education. The first tool represents an attempt to 'quantify' community engagement (allowing for benchmarking and potentially for ranking of institutions on community engagement). The second tool represents a 'softer' approach to benchmarking that uses of battery of instruments and methods. The last tool represents a completely different approach to external assessment, in the form of awarding a quality label to institutions reaching a given level of community

engagement. The underlying questions in this section will be whether any of these attempts could be applicable and of potential interest to the TEFCE project for developing a Framework for community engagement in higher education at the EHEA level.

4.4.1 E3M: European Indicators and Ranking Methodology for University Third Mission (2012)

E3M represents one of the first attempts in Europe to provide quantitative indicators specifically focused on community engagement (in this case referred to as 'social engagement'). E3M was a European-level project funded by the EU's Lifelong Learning Programme, whose objective was to develop standard quantitative indicators for the 'third mission' of higher education, with the aim of creating a ranking methodology to benchmark European third mission services (E3M project, n.d.). The tool developed indicators for three dimensions that were identified as key to the third mission: continuing education, technology transfer & innovation and social engagement.

The E3M tool included 36 indicators related to social engagement (out of a total of 98 indicators), categorised under five main sub-dimensions:

0. Institutional involvement
1. Non-disciplinary volunteering
2. Expert advisory engagement
3. Services and facilities to community
4. Educational outreach, collaboration and widening participation

The table below provides a list of indicators for the dimension 'Services and facilities to community'.

Table 4.5 Description of E3M dimension for social engagement; sub-dimension 'Services and facilities to the community'

SE3: SERVICES AND FACILITIES TO COMMUNITY	
Owner	HEI
Stakeholders (people involved and customers)	HEI administration, community in general, staff, faculty and students

Activities	Improving Public Health, education, employment, arts and culture Job creation; Provision of physical facilities (libraries, labs, sport facilities); Cultural related activities access and provisions (theatres, companies, museums...); Brokerage/facilitation of meetings/reports between stakeholders (e.g., bringing together community groups and public authorities...)
Inputs	Direct request; proposal from faculty; HEI strategy
Outputs	Cooperation agreements; joint events; oriented research projects
Resources	HEI facilities; faculty; staff and student time; dedicated funds
Indicators	SE3-i1: Number of events open to community/public SE3-i2: Number of research initiatives with direct impact on the community SE3-i3: Number of facilities available SE3-i4: Number/cost of staff/student hours made available to deliver services and facilities to community SE3-i5: Number of people attending/using facilities SE3-i6: Estimation of the economic value for the community of using free or reduced-cost services and facilities by HEI

Source: Authors' tabulation based on (E3M project, n.d.)

Since its completion in 2012, the E3M project has not been operationalised. One probable reason for this is that, as noted by Hazelkorn (2016), although it represents 'the most comprehensive database' of third mission indicators, it remains 'idealistic and somewhat impracticable' (p. 82). In short, the E3M project appears to indicate that attempts to create indicators to capture everything about community engagement in higher education are almost certain to be unsuccessful.

4.4.2   AUCEA Benchmarking University Community Engagement Pilot Project (2008)

In 2008, the Australian Universities Community Engagement Alliance (AUCEA) attempted to establish a national approach to benchmarking the way universities engage with their local and regional communities in Australia. The purpose of the proposed benchmarking framework was to assist universities and their community partners to 'improve their contribution to society and the environment through mutual knowledge exchange, learning and enterprising action'. The benchmarking framework was developed over almost three

years and was piloted by 33 AUCEA member universities (Garlick & Langworthy, 2008).

Compared to the tools discussed in the previous section, the AUCEA tool represents a step forwards in several respects. In terms of methods used, the tool used by each participating institutions combined the following methods:

- <u>An institutional self-assessment questionnaire:</u> the questionnaire required both quantitative and qualitative responses to the community engagement activities, with many of the indicators and assessment scales derived from the self-assessment rubric by Gelmon, Seifer, Kauper-Brown, and Mikkelsen (2004).

- <u>A partner perceptions survey:</u> each institution had to nominate 15 community partners to complete an anonymous online survey about the quality of their engagement partnership with the university. The value of the partner perceptions survey addresses a weakness of the previous self-assessments that focused only on the assessment of the higher education institution.

- <u>A 'good practice' template:</u> each institution was asked to showcase three best community partnerships (including a description of the project and its results, lessons learnt, success factors, etc.)

In this sense, the AUCEA tool is not 'limited' to benchmarking in the narrow sense of comparing institutional performance based on quantitative indicators. The tool uses a hybrid approach to assessment, based on the one hand on dialogue, reflective learning and qualitative self-assessment at the university and community level, and on the other hand on quantitative data.

Table 4.6 Sample of quantitative indicators from the AUCEA University Community Engagement Pilot Project

Strategies	Measure
4.1 Ensure communities are engaged as part of national and international research • Drawing on community expertise and knowledge • Developing formal partnerships Sharing information • Encouraging active participation of community members • Acknowledging community contribution	• Numbers of publications or presentations where partners are co-authors or acknowledged as a percentage of all publications and presentations • Numbers of externally funded collaborative grants as a proportion of all research grants • Numbers of internally funded collaborative grants as a proportion of all internally funded grants • Partner perception of the value of research • Publication of research outcomes on website, newsletters and media

Source: Authors' own tabulation based on Garlick & Langworthy (2008)

The particular value of the AUCEA benchmarking framework is that the results of its piloting were made public, highlighting problems with applying the tool in practice. In the piloting reports focusing on the comparison of institutional self-assessments (Langworthy, 2009), the problems identified were the following:

- Most of the quantitative data requested were simply not available due to the lack of centralised databases to record and report on engagement activities. This was the case despite having pilot universities with leaders already displaying high levels of commitment to community engagement and many having a strong good track record of engagement activity.

- In many of the areas of the self-assessment responses were either uniform or very similar, with low rankings of performance being rare and high scores of 3 or 4 (on a scale of 1 – 4) being common.

- The time and resources required to undertake the process was greater than anticipated. The attempt to collect comprehensive data resulted in 'an overly long and complex instrument'.

- In practice, the descriptors for each level of development on the 1-4 scale were sometimes unclear and resulted in different interpretations, and sometimes did not reflect sufficiently clear gradations of performance.

- Although it was recommended that some of the qualitative questions be answered by organising a representative forum at the university level, there was no guarantee that this occurred at all piloting institutions.

Nevertheless, the framework was accepted by the piloting institutions as being helpful and valuable, particularly in its encouragement of structured reflections by the institution, and the learning process that this entailed.

There is little indication about whether the AUCEA benchmarking tool has been further developed or implemented in Australia since its piloting, or whether there are plans to do so. In any case, the AUCEA benchmarking tool provides an invaluable reference in its attempt at benchmarking community engagement, as well as in its overall framework that complements institutional self-assessments with partner perception surveys and narrative good practices.

4.4.3 Carnegie Elective Classification for Community Engagement (2006)

The Carnegie Elective Classification for Community Engagement is probably the most important of the tools analysed so far, in terms of the level of recognition and influence that it has achieved at the national level in the U.S. In turn, it provides a source of inspiration at the global level for developing tools that assess, recognise and reward institutions for their community engagement achievements.

The Carnegie Classification for Community Engagement was developed with due acknowledgement to the tools described in the previous section (including Hollander et al., 2001 and Gelmon et al., 2004), but it developed its own approach and framework (Driscoll, 2009). The purpose of the Community Engagement Classification is to affirm that a university or college has institutionalised engagement with community in its identity, culture, commitments and practices. The Carnegie Foundation web site emphasises that the classification 'is not an award' but rather 'an evidence-based documentation of institutional practice to be used in a process of self-assessment and quality improvement', which can result in qualifying for 'recognition as a community-engaged institution' (Brown University - Swearer Center for Public Service, n.d.). Despite this definition, the fact is that the Community Engagement Classification certainly acts as a quality label, since many institutions see the classification 'as an opportunity for national recognition, a way to honor the efforts of engaged scholars, or as a connection with the cachet of the Carnegie name' (Driscoll, n.d.).

In terms of its method, the Community Engagement Classification consists of self-assessment completed through a questionnaire and a review process by the Carnegie Foundation. The questionnaire consists of 63 core questions, combining closed questions (questions with 'yes/no' answers, quantitative data collection and multiple-choice selections) and qualitative responses to illustrate the responses to the closed questions. An illustration of some of the questions is provided below. The submitted self-assessments are reviewed by a National Review Panel consisting of leading scholars in community engagement, who then assess which institutions qualify to receive the Classification.

Table 4.7 Sample question from the Carnegie Foundation Elective Classification or Community Engagement

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B. Institutional Commitment

Required Documentation. Please complete all twelve (12) questions in this section.

1. Does the institution have a campus-wide coordinating infrastructure (center, office etc.) to support and advance community engagement?

☐ No   ☐ Yes

Describe the structure, staffing, and purpose of this coordinating infrastructure (word limit: 500):

> *The purpose of this question is to determine the presence of 'dedicated infrastructure' for community engagement. The presence of such infrastructure indicates commitment as well as increased potential for effectiveness and sustainability. We expect a description of specific center(s) or office(s) that exist primarily for the purpose of leading/managing/supporting/coordinating community engagement.*

Source: Authors' own tabulation based on Carnegie Foundation for the Advancement of Teaching (n.d.)

The advantages of the Carnegie tool have already been alluded to above: as a tool that has national recognition and a high reputation, it provides clear incentives for institutions to apply for the classification and benefit from the 'quality label' that could be received by their institution. While it does not publish the results of its classification in a way that allows for the comparison of institutional performance, obtaining the classification itself represents a benchmark, in terms of a national standard of best practice that should be achieved (or strived for) in the area of community engagement. From the more practical point of view of applying the tool, the relatively closed (yes/no) nature of the question-naire is arguably of less value than the rubrics reviewed in the previous section that provide a more nuanced view of different levels of development that can be achieved for each dimension of engagement. Additionally, the length and complexity of the tool are substantial: there are up to 80 boxes providing space to give qualitative responses (with 500 words per answer), resulting in a self-assessment that can reach 40,000 words in length. It is possible that the prospect of being awarded a prestigious quality label could provide a sufficient incentive for carrying out such an extensive and resource-intensive self-assessment. It is questionable, though, whether such an approach would work in

settings in which quality labels are not yet the norm, or in which the given quality label would not be able to achieve a similar level of prestige.

With this in mind, it is worth noting that the assessment approach of the Community Engagement Classification has been mirrored in at least two other initiatives that have also developed a methodology for awarding quality labels for (community) engagement. In the United Kingdom, the National Coordinating Centre for Public Engagement developed a quality label for engaged universities (The EDGE Quality Label), based on the EDGE assessment presented in the previous section. In addition, an organisation entitled the Accreditation Council for Entrepreneurial & Engaged Universities, initiated by the University-Industry Innovation Network, was recently established to provide accreditations/quality labels for entrepreneurial and engaged universities (both in Europe and at the global level), based on a process similar to the Carnegie Community Engagement Classification. While both of these initiatives are market-based (charging application and award fees), they indicate that there may be a growing potential for such an approach.

Finally, it is also important to note that the Carnegie Foundation is currently exploring the possibility of providing an international Community Engagement Classification. In 2015-2016, nine universities from Ireland applied the existing Community Engagement Classification framework for the purpose of self-assessment and for providing feedback on how to adapt the tool to relevant national and cultural contexts. In 2018, the Carnegie Foundation started the process of piloting the international classification by inviting universities from around the globe to apply. Clearly, the approach of providing quality labels for community engagement is one that is attracting increasing interest world-wide and this should therefore be considered in the context of the TEFCE project as a potential approach to apply in the EHEA.

4.4.4 Discussion

There is undoubtedly a value in moving beyond institutional self-assessment to some form of comparison/benchmarking of performance, both as a basis for contextualising an institution's achievements (and/or weaknesses) and for planning further improvements. In this sense, the idea of developing a tool to readily benchmark and rank institutions according to their performance related to community engagement is attractive, especially if such an assessment can be based on readily-available quantitative data without the need for detailed qualitative case studies. The problem, however,

is that the attempt to develop such a tool (the E3M project) has simply not worked. The main concern cited regarding the E3M tool is that it is impracticable due to the lack of data (much of the data are not even collected by institutions, let alone comparable to other institutions). But even if such data were readily available, it is highly questionable whether a phenomenon that is as context-specific as community engagement could be benchmarked and ranked based on quantitative data alone – as discussed in Chapter 3. The mixed-methods approach of the AUCEA tool is more promising for a number of reasons: it combines a set of quantitative indicators with qualitative case studies and, importantly, community perceptions. This tool therefore provides a holistic approach to assessment that allows for inter-institutional comparisons but also results in dialogue and reflective learning at the higher education institution level. Yet, despite its potential, the piloting did point to a number of operational challenges to making the assessment system work. More important, however, is the question of why the AUCEA assessment tool (which appears so promising) has still not been implemented and mainstreamed ten years after its initial piloting.

It is interesting, therefore, to consider why the last tool that was analysed (the Carnegie Elective Classification for Community Engagement) has achieved such major success in terms of its mainstreaming in the USA and in terms of interest by other countries to apply this tool (or develop their own tools that share similar features). One of the more convincing arguments is that its success is closely linked to the 'brand' of the Carnegie name (which has a long tradition is US higher education). Whether acquiring the Community Engagement Classification is considered as a quality label or as a form of 'club membership' scheme, the association with an established and high-status institution such as the Carnegie Foundation has immediate benefits in terms of reputation and excellence. At the same time, however, it is also worth considering that what is unique about the elective classification scheme is that it does not provide inter-institutional comparisons and therefore remains context-specific: each institution is assessed independently. The advantage of such an approach is that it provides recognition for excellent performance (and therefore provides an incentive for achieving such a level of performance) without the negative implications of providing results in the form of a league table or benchmarking table. In the next section we will consider further examples of assessment tools that move away from one-dimensional league tables based on quantitative data. The tools that will be analysed are of special relevance to the TEFCE project because they both relate to engagement of higher education institutions and are tools that have been developed (or are currently being considered) by the European Commission.

4.5 Lessons learnt from European Commission initiatives for assessing the broader engagement of higher education

As discussed in the preceding chapters of this publication, the topic of engagement in higher education is broader than relating to community engagement alone. Engagement relates to the third mission of higher education as a whole, which encompasses areas such as: regional engagement, smart specialisation strategies (S3), the development of the 'entrepreneurial university', university-business cooperation, or public engagement within the specific area of 'responsible research and innovation'. These forms of engagement in higher education are in many respects closely related to (and often overlap with) community engagement. Both these forms of engagement involve higher education institutions cooperating with external stakeholders and both face the same difficulty of providing such a diverse and context-specific area with metrics. For this reason, it is valuable to take note of how the tools and methods used for assessing broader forms of engagement could be applied to community engagement. For this reason, the purpose of this section is to provide an overview of what different attempts have been made (or are in the process of development) by the European Commission to assess engagement in a broader sense and to consider whether any of these approaches could be applied for assessing community engagement. Since the long-term objective of the TEFCE project is to propose a framework that could work at the level of the European Higher Education Area, it is also essential to take into consideration what new approaches to assessment the European Commission is currently considering in the area of higher education.

4.5.1 U-Multirank (2014)

U-Multirank is a tool developed for the needs of the European Commission by the Centre for Higher Education Policy Studies (CHEPS) at the University of Twente in the Netherlands. U-Multirank is a website that compares the quality of higher education institutions and study programmes at the international level using a multidimensional approach that can fully adapt the comparisons to the different needs of different groups of users. The fact that U-Multirank adopts such an innovative approach to comparing performance in higher education (which is critical of one-dimensional market-based league tables), as well as the fact that regional engagement features as one of its quality indicators, means that this tool is of particular interest for the TEFCE project.

Although identifying itself (in its title) as a ranking tool, U-Multirank is effectively 'anti-ranking' in its ethos. The tool does not produce a single ranking of an institution or study programme according to numerical order, but instead compares institutions and programmes according to indicators and criteria that are chosen independently by the users of the tool. Additionally, in contrast to market-based ranking tools, U-Multirank includes diverse types of higher education institutions in its database (e.g. including locally-oriented universities of applied sciences, rather than only globally-oriented research universities). At the same time, however, the search results allow for the comparison of institutions with a similar profile. As the U-Multirank team emphasise, 'it does not make much sense to compare a small regional undergraduate teaching institution with an internationally oriented research university, nor to compare an Arts Academy with a technical university' (U-Multirank, n.d.). In this sense, U-Multirank provides information that could be used for benchmarking purposes and not so effectively for ranking – although even this categorisation is not completely accurate since the tool does not identify a 'best practice' that acts as the benchmark against which all other institutions compare themselves.

Additionally, the indicators of quality include dimensions that are overlooked by other rankings that predominantly focus on research excellence. U-Multirank includes indicators for teaching and learning; research; knowledge transfer; international orientation; and – of particular relevance to the TEFCE project – regional engagement. Interestingly, the U-Multirank team made attempts to capture community engagement in the process, and not only regional engagement. Indeed, a special report entitled Community Engagement; Can it be measured? was published in one of U-Multirank's newsletters (U-Multirank, 2015). The article summarised the challenges already mentioned in the previous chapters, namely, that although it is possible to carry out small-scale (often qualitative) studies on cultural and social engagement, 'no ranking or large-scale performance indicator system has been successful in measuring the social and cultural impact of universities on their environment'. The article concludes that finding meaningful ways of comparing universities requires finding indicators that are not only 'fair and comprehensive, but they also need to be quantitative'. Linking this point back to the E3M project described in the previous section, the problem does not only concern the difficulty of defining what those indicators might be, but also of determining whether it is realistic that higher education institutions will be able to collect (or have the willingness or capacity to collect) such data.

The value of considering the U-Multirank tool from the perspective of the TEFCE project is that it indicates an increasing acceptance by policy-makers at the national and EU level of the need to provide alternative and nuanced ways of assessing performance in higher education. In particular, the use of user-generated comparisons and the possibility of only comparing similar kinds of institutions provides an interesting approach to consider during the TEFCE project. Nevertheless, U-Multirank is still a 'hard-data' driven tool that produces scores based on quantitative indicators and it is highly questionable whether it is still worth trying to fit community engagement in that context.

4.5.2 Indicators for Promoting and Monitoring Responsible Research and Innovation (2015)

In 2014, the European Commission launched an expert group to identify and propose indicators and other means to monitor and assess the impact of an emerging area of interest in the EU's research policy agenda: responsible research and innovation (RRI) (Strand et al., 2015). RRI is related in several ways to community engagement in higher education, as it corresponds to an approach to science and research that 'anticipates and assesses potential implications and societal expectations with regard to research and innovation, with the aim to foster the design of inclusive and sustainable research and innovation' (European Commission, n.d.). Community engagement is thus key element of RRI and vice-versa: RRI constitutes one of the ways in which higher education institutions could become more community-engaged. Additionally, 'there is as yet no clear consensus about what RRI exactly entails, nor about how to measure its impact' (p. 5) – meaning that RRI faces exactly the same challenge as community engagement in terms of assessment. For these reasons, it is valuable for the TEFCE project to consider what lessons can be learnt from the resulting proposal of indicators developed for RRI.

At first glance, the resulting list of indicators presented in the expert group report appears to fit the standard mould of performance indicators: eight core areas of RRI are defined, each including a detailed set of mainly quantitative indicators, resulting in a full set of 100 indicators. However, a more detailed reading of the framework and the experts' justification provide insights that can be highly relevant when considering possible tools for the TEFCE project. Firstly, the authors provide an openly critical take on trends in impact assessment, by noting that 'the emphasis of evaluation is shifting from (end) product to process, and from verdicts/judgements to learning and improving. In such a view, the concept of impact needs to be adapted.

Research and innovation takes place in a societal context in a process of interaction between multiple stakeholders, and the outcome of this process is social innovation, i.e. a mixture of technological, behavioural and institutional changes. The linear concept of impact evaluation needs to be replaced by concepts that represent the interaction in the network in which R & I takes place. The success of the various RRI topics and aspects then becomes a joint responsibility, and governance takes place in a decentralised context.' (pp. 12-13)

For this reason, the indicators proposed by the experts focus on documenting interaction on a short and intermediate time scale, and the experts recommend that a network approach be adopted in both defining and monitoring indicators, 'rather than a linear, top-down chain of command' (p. 13). Furthermore, the experts are surprisingly open about the limits of indicators and state that 'part of our recommendation is to offer a warning about the potential risks of the use of indicators' (ibid). The solutions they propose to mitigate those risks in their framework are the following:

- To approach the assessment of RRI from a network perspective, consisting of stakeholders jointly working on a set of principles guided by the RRI dimensions;

- To focus (when assessing RRI policy) on the development of RRI agendas in these networks and to identify best practices;

- To allow for context-specific selection and tailoring of indicators to monitor, depending on the network in question, meaning that there 'will be no one list for all' and that there is not a general prioritised list of indicators for actors in the European Research Area;

- To select a limited set of indicators ('because things have to be manageable');

- To preferably include qualitative indicators, 'given the early stage of development of RRI policy'.

The resulting core structure of the indicator framework (included in the table below) takes these points into account, and hence includes indicators of action for both processes and outcomes and – of particular relevance to the TEFCE project – indicators of how such processes and outcomes are perceived by stakeholders (perception indicators).

Table 4.8 Structure of framework for Responsible Research and Innovation and sample of indicator criteria

Criteria	Performance indicators		Perception indicators	Key actors
	Process indicators	Outcome indicators		
Public engagement				
Gender equality				
Science education				

Authors' own tabulation based on Strand et al. (2015)

In short, the proposed RRI indicator framework functions in a bottom-up instead of top-down approach, with the networks of stakeholders involved in the RRI process responsible for jointly defining and monitoring the indicators. The experts conclude that: 'we believe that RRI is only possible if stakeholders collectively agree about its necessity, and consequently feel responsible for RRI being an integral part of their activities' (p. 17).

The proposed RRI indicators are therefore highly relevant to the TEFCE project at many levels. While relying on metrics, both the core structure of the framework (which critically approaches the concept of impact and values the importance of process indicators) and its governance structure (based on bottom-up, multi-stakeholder networks, allowing them to select and monitor their own indicators) open new perspectives on the possible approaches to assessing community engagement in higher education.

4.5.3   Regional Innovation Impact Assessment Framework for Universities (2018)

Similarly to the RRI indicators, the development of the Regional Innovation Impact Assessment Framework for Universities (RI2A) (Jonkers, Tijssen, Karvounaraki, & Goenaga, 2018) is a set of recommendations provided by an independent expert group. The group was requested by the European Commission to develop the proposal for a framework to assess the 'innovation performance' of higher education institutions as

the potential basis for a new EU-level initiative to provide performance-based funding of higher education institutions. What is interesting about this framework for the TEFCE project is that, similarly to U-Multirank and to the RRI indicators, it proposes an approach to assessment that refrains from attempting to develop 'one-size-fits-all' assessment tools that result in league tables or 'at a glance' comparisons that are based exclusively on quantitative key performance indicators.

The RI2A assessment tool covers four core categories: (i) education and human capital development; (ii) research, technological development, knowledge transfer and commercialisation; (iii) entrepreneurship and support to enterprise development; and (iv) regional orientation, strategic development and knowledge infrastructure. For each of these dimensions, the framework proposes a list of possible 'input' indicators (that relate to process indicators) and 'results/impact' indicators (in the form of quantitative outcome indicators). However, given the wide variety of universities and regions in Europe, the framework proposes that higher education institutions or regional governments should be assessed according to their own choice of preferred indicator sets and (potential) impacts. The expert group proposes that the customisation of indicators should be based on a classification by type of university (mission, size and scope) and type of region (economic profile and level of development).

The central feature of the RI2A tool itself is the development of what they refer to as a 'narrative with numbers'. In other words, participating universities and their regional stakeholders carry out a self-assessment in the form of a narrative case study supported by selected quantitative indicators to describe the impact they have on their regional innovation ecosystems. The case studies (which would need to be drafted by experts) would then be reviewed by an expert panel (including international experts). This choice of a 'multi-method, multi-source' approach is based on the experts' acknowledgement that several (potential) impacts can only be captured with qualitative information, rather than quantitative data. For example, although a given university may not have data on actual impact, the experts note that it is equally valuable to consider 'the investments and organisational efforts it has put into creating an environment for the creation of outputs and results with a potential for innovation impact' (p. 14). On the other hand, the inclusion of quantitative indicators has a number of advantages over purely qualitative case studies 'due to a greater degree of objectivity, comparability and tracking of progress over time' (p. 15).

The RI2A represents another example (after U-Multirank and the RRI indicators) of a European Commission-supported initiative that is moving away from measurement frameworks that adopt top-down, one-dimensional assessment of performance across institutions, regions or Member States. The acknowledgement of the context-specific nature of engagement (which cannot easily result in inter-institutional or transnational comparisons) and the added value of qualitative studies provide the TEFCE project with both support for advocating alternative approaches to assessment of community engagement and ideas of how to potentially do so.

4.5.4   HEInnovate (2013)

HEInnovate is a joint initiative of the European Commission and the OECD Local Economic and Employment Development (LEED) Forum. HEInnovate is an online tool for all types of higher education institutions to carry out self-assessments regarding the extent to which their institution is entrepreneurial and innovative. Compared to the previous European Commission tools analysed above, the focus of HEInnovate tool is exclusively on the engagement of higher education institutions. HEInnovate approaches engagement in a way that is more closely related to the concepts of the 'the entrepreneurial university' (Clark, 1998) and the 'triple-helix' model of innovation (Etzkowitz & Leydersdorff, 1995) than to community engagement. Nevertheless, the different dimensions of engagement in HEInnovate are closely related to the dimensions of community engagement and resemble many of the self-assessment tools analysed in previous sections, making this tool relevant to the TEFCE project, especially in considering its methods.

The dimensions of the HEInnovate tool (described in detail in Chapter 2) cover seven areas for self-assessment that, broadly speaking, cover the areas of institutional policy/governance, teaching/learning, support structures and partnerships with external stakeholders. The method of assessment is similar to the self-assessment rubrics (e.g. the Furco Rubric) which provide a set of sub-dimensions for each main dimensions and require users to assess the level of performance of their institution according to a proposed scale. The difference is that HEinnovate does not provide descriptors for each scale-level of each sub-dimension, instead providing a statement of optimal performance for each sub-dimension, with users having to assess the extent to which their institution meets this level of performance (on a Likert scale of 1 to 5). Although the tool can be used by individuals, the tool actively encourages more participatory group assessments by

including a special 'group function' that allows a range of users related to a given higher education institution to make a joint assessment and easily compare their assessments internally.

Comparing HEinnovate to some of the self-assessment tools presented in the previous section, the online tool does have a range of advantages. The tool's group function encourages participatory and inclusive assessments, and the tool provides instant access to results (allowing users to compare assessments internally, as well as to compare their results with previous assessments). A possible disadvantage, however, is that although the Likert scale scoring provides a more time-efficient way of making an assessment than a rubric, it is both more subjective and less accurate. Whereas in a rubric each possible score has a descriptor (which is usually objectively verifiable), assigning a score on a Likert scale regarding a single statement is more open to subjective interpretation.

The HEinnovate places strong emphasis on the fact that the tool is 'not a benchmarking tool' and that all data provided are both anonymous and confidential (no use is made of the assessments by the European Commission). The emphasis of the tool is therefore on supporting institutions to diagnose strengths and weaknesses, open discussions and help higher education institutions plan to improve the entrepreneurial/innovative potential of their institution. In this respect, concerns regarding the accuracy of the tool may be misplaced. And this in itself may provide the most important lesson learnt for the purposes of the TEFCE project: by developing and supporting this tool, the European Commission and the OECD acknowledge that encouraging and achieving institutional change that can meet public policy objectives does not always require international benchmarking, and that enabling an internationally-facilitated process of self-assessment can be equally valuable in reaching those objectives.

4.6   Conclusions

The focus of this chapter has been on what types of tools have been developed to assess community engagement in higher education and how those tools have attempted to address the difficulties of assessing a phenomenon that has been characterised as being inherently resistant to measurement. Based on the analysis of 13 different tools, the broad conclusions that can be drawn are the following:

• Institutional self-assessment of community engagement in higher education is an area that is well-covered in both literature and practice in the last 25 years. Dozens of tools exist to help higher education institutions reflect upon the extent to which organisational factors or dimensions (such as institutional policies, structures, processes and activities) result in meaningful community engagement. Such tools can undoubtedly help higher education institutions to plan and implement institutional change – a fact acknowledged by the European Commission and the OECD, who have invested significant resources in developing the 'HEInnovate' self-assessment tool for innovative and entrepreneurial higher education institutions. The disadvantages and limits of the existing self-assessment tools analysed are that they focus on the process of community engagement (rather than on outcomes or impact) and they do not provide a clear platform for including community/external stakeholder perspectives in the process.

• External assessment of community engagement in higher education is an area that is in its infancy. The attempts analysed in this chapter to achieve some form of quantitative ranking or benchmarking of community engagement in higher education have so far been unsuccessful. However, these attempts nevertheless provide a wealth of information and insights into the types of data that could be collected and compared, and the types of challenges that can be encountered in the process. Additionally, one of the tools developed (the AUCEA tool) provides a model that is both inspiring and compelling by combining quantitative data, qualitative case studies, community stakeholders' perceptions and reflective dialogue between institutions participating in piloting the tool.

• A notable alternative form of external assessment that was analysed was the Carnegie Foundation Elective Classification for Community Engagement. This tool, which is arguably the only tool for community engagement that has achieved both national (the USA) and global recognition, provides an innovative approach to assessment. It provides a formal recognition of excellent performance (in the form of a quality label) without providing inter-institutional comparisons of performance – thus allowing for recognition of context-specific forms of engagement, rather than adopting a 'one-size fits all' approach.

• In a broader perspective, a trend that is emerging at the European Union level is a move away from one-dimensional quantitative approaches to assessment in higher education. In addition to the challenges of constructing such assessment systems, there is a gradual change taking place at the policy level (confirmed by the European Commission tools

analysed above) that acknowledges that more multidimensional and mixed-method approaches are necessary to capture the complexity of engagement and to acknowledge the diversity of the higher education landscape and of regional contexts. More specifically, there is increasing acceptance by the European Commission that new forms of assessment will require much more customisation (e.g. through context-specific selection of indicators, as opposed to universal indicators for all institutions/regions) and more bottom-up approaches to assessment (e.g. through the definition of indicators by networks of stakeholders as opposed to central/top-down decisions). This results in the decreasing possibility for the transnational comparison of scores. Benchmarking in such a context would therefore have to take place in a much more limited fashion, in the sense of identifying and promoting best practices and encouraging mutual learning among institutions that share similar features or contexts.

The TEFCE project should therefore carefully consider these conclusions in proposing a new Framework for community engagement in the European Higher Education Area (EHEA). In particular, the key questions to reflect upon will be: whether to focus on external assessment and/or self-assessment; whether to further attempt to introduce quantitative data into assessment, or to focus on more qualitative approaches; and whether to develop a more multidimensional, customisable and bottom-up approach to assessment, or a more rigid system-wide (or EU-wide) approach.

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CHAPTER 5: CONCLUSIONS AND NEXT STEPS

The project Towards a European Framework for Community Engagement in Higher Education (TEFCE) seeks to contribute to community engagement in higher education within the European Higher Education Area by proposing a European Framework for the assessment of community engagement. In order to formulate clear and robust proposals for such a Framework in the later stages of the project, the first step required mapping and critically synthesising the current state-of-the-art on university-community engagement. In this report, we have examined the details of university-community engagement through several distinct steps, encompassing how this concept can be defined; what its different possible characteristics or dimensions can be; and whether and how it can be measured in a meaningful way. In this conclusion, we seek to bring all the material together to sketch out scenarios for future progress, and to make proposals that could be included in a pilot experimental phase of the Framework for university-community engagement. We firstly summarise the key messages emerging from each of the chapters and then turn to draw these implications together into a set of recommendations for the development of a Framework for university-community engagement.

5.1 Key messages from the chapters

5.1.1 Definitions, approaches and challenges to community engagement in higher education

Chapter 1 placed the notion of university-community engagement in its wider context to emphasise two particularly complex issues in university-community engagement. Firstly, community engagement is conceptually vague, covering a wide range of activities that can be embedded in core university activities (teaching and research, the 'first' and 'second' missions of the university) as well as in classic 'third mission' activities (such as knowledge exchange and service to the community). Secondly, higher education institutions are themselves extremely complex organisations. On the one hand, they have major inter-institutional differences based on their missions, study programmes, size and external environment. On the other hand, they are characterised by high intra-institutional diversity due to being composed of different

disciplinary communities with different norms and values, which results in varying interpretations of the value, relevance and appropriateness of community engagement. The combination of having a broad definition and diverse applications according to different institutional settings means that community engagement activities defy a simplistic definition (and cannot be limited to a neat list) and do not even necessarily espouse common values (community engagement can relate to economic, social or cultural matters). For those reasons, any attempt to approach community engagement in a 'one-size-fits-all' approach is not appropriate or feasible.

Despite such initial difficulties that prevent easy definitions, there are discernible patterns and features that can be considered to characterise university-community engagement. Indeed, Chapter 1 presents its own definition of community engagement as a **process whereby universities engage with community stakeholders to undertake joint activities that can be mutually beneficial even if each side benefits in a different way.** This idea of mutual benefit is central, and is what differentiates community engagement from activities that emerge from a 'corporate social responsibility' (CSR) approach. This does not imply that we seek to discourage activities that universities undertake for their surrounding communities that could be considered as CSR. However, the nature of these kinds of activities, and the underlying altruism in them, means that they are not amenable to stimulation by any kind of framework; universities have other kinds of reasons for pursuing such activities, and there is also little that other universities can learn from them unless they share those altruistic reasons.

Assessing university-community engagement can therefore focus on three things, the kinds of activities that are organised, the benefit that are brought into the university (such as the enrichment of teaching and research) and the benefits for the communities in terms of the creation of new capacities and possibilities in these places. Additionally, it is not just the efforts that universities make that determine the success of university-community engagement, because engagement is heavily context-dependent. Local community groups (and their capacity to benefit from university knowledge), and the wider networks, institutions and infrastructures in a locality that underpin that university-community engagement activity will also determine whether efforts translate to outcomes.

In thus defining community engagement, Chapter 1 addresses and demystifies a number of assumptions that are often made about community engagement (and generally seen as being universally true):

- • Assumption 1: Community engagement is incompatible with excellence.
  In reality, community engagement may bring in new resources that make excellent research possible.

- • Assumption 2: Community engagement is normatively about promoting particular kinds of social justice.
  Although engagement as a mutually beneficial enterprise does endow less powerful communities with new kinds of opportunity and capacities, community engagement can equally focus on economic or cultural development and on other areas of mutual interest that do not necessarily have a social justice agenda.

- • Assumption 3: Community engagement is necessarily local.
  Although it is easier to sustain productive relationships with nearer partners than more remote partners, community engagement can have regional, national and international dimensions.

- • Assumption 4: Community engagement is a moral or social duty of higher education.
  Although there is no one-size-fits-all approach, and each university has to identify ways of organising teaching and research that fit with the university's ethos as well as benefiting communities.

5.1.2   Literature review: Dimensions and current practices of community engagement

Chapter 2 has been concerned with reflecting on the various kinds of activities that are involved in community engagement to derive a definition of what constitutes 'good' engagement at a time in which university-community engagement has become more prominent in national, regional and international higher education forums, even if not always reflected in policy. The fact that university-community engagement is driven by the participants active in knowledge processes, teachers and researchers, means that university-community engagement involves a wide range of practices, norms, and values. In this context, Chapter 2 mapped different definitions of community engagement according to: mode of delivery; stages/levels/intensity of engagement; and assessment/benchmarking tools.

One useful framework that was identified for categorising the broad range of definitions of and approaches to community engagement within these diverse communities was that of Hazelkorn (2016)[4], which categorised types of engagement according to three notions of the 'good society' within universities:

- **The social justice model** focuses on addressing social disadvantage and emphasises students, service-learning and community empowerment, engagement is delivered as embedded in teaching, and university policies promote and reward community-based research, learning and volunteering.

- **The economic development model** focuses on economic growth, technology transfer and innovation, often coordinated through a technology transfer office (TTO), supported by policies to encourage/reward entrepreneurship and business linkages/exchange.

- The **public good model** focuses on making the world better, contributing to community development and revitalisation activities, with policies that encourage the deployment of knowledge in (local) application contexts.

What we take from this framework is that universities may be working towards community engagement through different kinds of ethical perspective, and what is important is that an evaluation framework supports universities to improve in ways that are authentic in terms of their own ethos. As a consequence of this, a key message of Chapter 2 was that it is not necessary to insist on a definitive list of the kinds of engagement activities that should take place, or on defining the numbers of activities that should constitute community engagement. Instead, **the focus of analyses should be on the extent to which community engagement is *institutionalised* within the university's specific context and on the extent of the university's commitment to achieving a type of community engagement that is genuinely mutually beneficial (rather than based on a 'corporate social responsibility' model of engagement). According to such an approach, there may be different dimensions** of engagement present in different institutions[5] and these may fit in different ways into the social justice, economic development or public good models. Within such types of activities, we could distinguish qualitatively different 'levels' of commitment to engagement: in a novice institution, public access to research might come through public lectures, while more experienced institutions may use citizens' panels to co-negotiate research programmes and infrastructures. Thus, different 'levels of engagement' reflect an increase in:

4 Hazelkorn, E. (2016). Contemporary debates part 1: theorising civic engagement. In J. Goddard, E. Hazelkorn, L. Kempton, & P. Vallance (Eds.), The Civic University: The Policy and Leadership Challenges (pp. 34-64). Edward Elgar Publishing.
5. We distinguish the following kinds of activities, namely: (i) institutional engagement – policy & practice for partnership building; (ii) public access to university facilities; (iii) public access to knowledge/dissemination of academic findings; (d) engaged teaching & learning; (e) engaged research; (f) student engagement; and (g) academic staff engagement.

(i) institutional commitment to engagement, (ii) support for engaging actors, (iii) numbers of engaging actors, (iv) external input over the choices made within engagement activities, and (v) interdependence between engaging actors.

The message from Chapter 2 for creating a sensible Framework for assessing community engagement is to consider the challenge of increasing engagement as assisting institutions to go through a learning process where they proceed through a deepening of their interactions, ensuring that these various elements develop in parallel, to achieve the optimum institutional equilibrium. Another message is to be aware that certain types of community engagement can be instrumental or even 'bad-faith' forms of engagement, whereby engagement techniques are used to deny communities of their rights (such as in consultations around certain campus developments). The challenge for a Framework is therefore to find a way to support and encourage institutions who are seeking to engage in good faith (in a way which supports mutual benefit) and to improve their university-community engagement.

5.1.3   Critical approaches to developing effective accountability tools in higher education

Chapter 3 dealt with the issue raised by New Public Management (NPM), and in particular the ways in which the use of indicators has become normalised in higher education policy and practice as a way of measuring universities' 'performance' (both in terms of teaching and research quality and in terms of universities' broader contribution to society). NPM is particularly problematic for university-community engagement because community engagement activities are difficult to measure, it is not a dominant priority for the majority of institutions, and consequently it is vulnerable to inadvertent effects from other fields. University-community engagement finds itself in what can be considered as a 'public-value trap', namely that despite the fact that everyone agrees that it is important, NPM effectively prevents university-community engagement from taking place. Namely, NPM can only work on the basis of efficiency (e.g. by quickly turning readily-available data into quantifiable indicators), which is incompatible with the multi-faceted and context-specific nature of community engagement. A good example of the pernicious effect (as public-value failure) that NPM can bring is in research management, where the pursuit of excellence can lead to community engagement being regarded by research managers as being too risky to undertake. This results in a refusal to allow resources to be used for community engagement activity even when it could enrich university research.

NPM has conditioned policy-makers to believe 'what can be measured, matters', and to insist that coming up with apparently robust quantitative measurement techniques is a necessary precondition to successfully managing that activity. Under these conditions, a huge amount of effort has been devoted to coming up with an appropriate definition for community engagement that could in turn form the basis for measuring it, without any meaningful progress being made in this regard. However, the chapter notes that '*if there were straightforward indicators for community engagement waiting to be discovered then it is likely that they would have already existed.*'

The important conclusion of Chapter 3 is that, from a university-community engagement perspective, **NPM can be regarded to have reached its limits.** This conclusion is arguably equally applicable to higher education as a whole, where there are manifold public-value failures. One inference from this has clear salience for the Framework for community engagement to be developed through the TEFCE project: namely, **any kind of assessment approach that unquestioningly internalises the NPM precepts, and is based around the development of apparently objective and comparative measures of university-community engagement, is unlikely to succeed**. A second inference is that it is necessary to ensure that the Framework is not a tool that is only intended to be used by management staff at the central university level. University managers possess limited control over community engagement in reality, and the management repertoires of NPM are not well-aligned with the motivations of the academic staff whose creativity is necessary to deliver community engagement. There is a growing recognition in science studies of the persistence of intrinsic motivation of academics, and therefore **one role that a Framework can play is in helping to construct the value of desirable activities by academics, and thereby to have a coordinating effect to increase their visibility.** This reflects the fact that community engagement should not be framed as a duty, but rather a kind of added value which creative staff can construct when given sufficient freedom, adding value both for the communities but, crucially, also for their institutions. It is critical that any Framework be recognised by engaged academics as expressing rather than repressing these creative efforts. Finally, the valuation effect of a Framework can help to drive the learning process: by taking experiments from early adopters and recognising them as having value it helps with the articulation of wider visions of 'good' engagement. That can help those later adopters (and policy-makers seeking to reinforce institutional activity) to understand community engagement, what it can offer for them and to make the calculus of whether or not to engage in community engagement activities.

5.1.4 Mapping existing tools for assessing community engagement in higher education

Chapter 4 was concerned with reviewing existing international approaches and tools that might support the development of a Framework that empowers and recognises engagement efforts as part of a more systematic institutional learning journey (the boundary requirements of an effective Framework emerging in Chapters 1-3). After identifying a number of valuable institutional self-assessment tools for community engagement in higher education, the chapter analysed existing attempts to provide an external assessment of community engagement (and engagement in a broader sense) – thus connecting to the core questions addressed in Chapter 3. The chapter demonstrated that despite the prevalence of NPM approaches within higher education, **there is a gradual building of support for the use of what might be considered multidimensional assessment approaches where there are no simplistic indicators that might permit straightforward performance management.** These multidisciplinary approaches often adopt a mix of methods, with the triangulation of various kinds of quantitative data with qualitative/ descriptive data to create understanding about university performance. Indeed, in policy domains related to university-community engagement, such as innovation and entrepreneurship, these methods are now relatively common to deal with the challenges that emerge in the absence of strong definitions, validated data and contextual variation. With all kinds of engagement, the delivery of outcomes and impacts lies almost entirely outside the purview of the university as an institution and the responsibility of individual academics. There is therefore a strong intellectual case to be made for rejecting narrow performance management approaches in favour of more nuanced thinking, as well as the empirical reality that a number of such approaches have been adopted for pragmatic reasons.

Reviewing these emerging assessment methods that do not follow classical indicator-led NPM approaches, the chapter highlights some of the reasons why more flexible and qualitative approaches to assessment can be justified as both valuable and valid:

- They permit customisation by universities, to ensure that they are tailored to the overall institutional mission and context, and have the possibility of being relevant.

- They are bottom-up, in that they seek to ensure that there is recognition and value ascribed to of a range of activities taking place, rather than reducing things to a simple score.
- They encourage agency, so that there are ways that permit people that think they are doing engagement activities can propose them and they can be included.
- They are formative, in that they acknowledge good performance and propose potential areas for future improvement and reinforcement, particularly to better embed individual good practice within the organisation.
- They are in some way validated, in that external stakeholders have some means to articulate a view, and that view is incorporated in the final institutional judgement.
- They stimulate institutional managers to learn about their community engagement performance, giving information that steers towards empowering and supporting institutional entrepreneurs to deliver engagement.

A further characteristic of some of these frameworks was the issue of external recognition, in which the approach functions as a quality mark or a 'license to practice'.

The key message for the Framework is that a conscious choice is to be made along several axes (i) the extent to the use of qualitative evidence, (i) the extent to which there is involvement of external stakeholders in the assessment process, (iii) the balance of essential and elective elements, and (iv) ways to involve community stakeholders in the assessment process.

5.2 *Towards a Framework for community engagement in higher education*

The key conclusions emerging from the four chapters provide a clear basis for making recommendations about the development of a university-community engagement Framework that supports institutional learning across the European Higher Education Area. The purpose of the Framework is to contribute to a process of coordinated change in which community engagement assumes its rightful position within universities, as appropriate to the value that it adds to existing knowledge community activities

(analogous to the way that business engagement has done so in recent decades). We therefore recommend four principles that should underlie any Framework, and that should also guide any experiment or prototyping toolkit.

Principle 1: Commitment to authentic, mutually beneficial community engagement

Firstly, promoting university-community engagement is premised upon a **degree of authentic commitment to community engagement** by university managers in terms of their institutional ethos, at the same time recognising the complex and coercive/competitive environments within which university managers operate. The Framework should therefore be developed in such a way as to reinforce attempts to promote university-community engagement that have internal and external benefits, and discourage more instrumental and bad-faith approaches. At the same time, what needs to be valued are management styles that empower individual creativity (see Principle 2 below) rather than attempting to steer academics towards engagement with 'one-size-fits-all' tools. Distinctions need to be made around the quality of strategic activities, to be able to discern university-community engagement strategies that will achieve that empowering effect, strategies that will discourage initiative and those that will remain unimplemented.

Principle 2: Empowerment of individual academics and other actors

The second principle is that the Framework needs to encourage the development of an empowering environment for individuals at the university. Because such an empowering environment is built from the bottom-up, the Framework's value signals have to be meaningful to individual actors. Any Framework should therefore have the scope to recognise and award value for different kinds of individual efforts and results; likewise, the efforts and results that are evaluated and valued should be recognised as legitimate by engaged academics. Including any kind of numerical comparison or ranking should be done in ways that prevent these simplistic indicators becoming the headline and occluding the deeper information. At the same time, the Framework needs to recognise that assessment has to be critical in some way, and shortcomings and problems have to be identified; it is important that the Framework does not default to vague celebrations of what are in reality fairly superficial performances.

Principle 3: Allowing users to influence the level of value assigned to different engagement practices

The third principle is that the Framework needs to ensure that **the value judgements that it makes are compatible with other kinds of signals that are made by academic and societal partners about the value of engagement activities.** There is a risk inherent in producing best practice stories that they reduce to simplistic 'hero narratives' in which a number of individuals are foregrounded on the basis of choices made by universities (who have imperfect information regarding their engaged academics). We here see an analogy with various kinds of social-media valuation mechanisms, where users are able to value services (we are not here thinking of solely of 'altmetrics' but where there is some selectivity made by users). A Framework need therefore be sensitive to the ways in which peer groups (academics and communities) signal their value of community engagement activity, and ensure that the techniques within the Framework incorporate the underlying rationale in their construction.

Principle 4: Collaborative learning rather than competitive comparison of performance

The final principle is that the **Framework needs to recognise the collective nature of many of these kinds of activities and not to frame them as being excessively individually or indeed to stimulate competition between units.** Collaborative activity is an important part of the learning journey that will underlie the desired transition towards greater university-community engagement. Collaborative learning processes are part of this, whether in formal organisations such as the Talloires Network, whether through the use of established tools such as the Carnegie Classification, or through informal and self-motivated networks of engaged partners. These may be at the institutional, unit or individual level, and value signals in the Framework should seek to recognise and value that activity as part of a learning process even where it is not immediately associated with the production of outputs, outcomes or impacts.

The next phase of the TEFCE project will focus on developing and piloting tools and mechanisms that could incorporate these principles (as well as all other lessons learnt of the mapping of community engagement), thereby developing a Framework for community engagement that could be applicable in the European Higher Education Area.

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Towards a European Framework for Community Engagement in Higher Education

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