

# Strengthening Community University Research Partnerships: GLOBAL PERSPECTIVES



Edited by Budd Hall, Rajesh Tandon, Crystal Tremblay



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United Nations  
Educational, Scientific and  
Cultural Organization



University  
of Victoria



• UNESCO Chair in Community Based  
• Research and Social Responsibility  
• in Higher Education

Published by the University of Victoria,  
3800 Finnerty Road,  
Victoria, British Columbia  
Canada V8P 5C2

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ISBN 978-1-55058-562-9 (paperback)  
ISBN 978-1-55058-560-5 (PDF)  
ISBN 978-1-55058-561-2 (EPUB)  
ISBN 978-1-55058-563-6 (mobi)

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Library and Archives Canada Cataloguing in Publication

Strengthening community university research partnerships : global perspectives / edited by Budd Hall, Rajesh Tandon, Crystal Tremblay.

Co-published by: PRIA.

Includes bibliographical references.

Issued in print and electronic formats.

ISBN 978-1-55058-562-9 (paperback).--ISBN 978-1-55058-560-5 (pdf).--

ISBN 978-1-55058-561-2 (epub).--ISBN 978-1-55058-563-6 (mobi)

1. Education, Higher--Research. 2. Communities--Research.  
3. Community and college. I. Hall, Budd L., editor II. Tandon, Rajesh,  
editor III. Tremblay, Crystal, editor IV. PRIA, issuing body  
V. University of Victoria (B.C.), issuing body

LB2326.3.S773 2015

378.1'03

C2015-904593-2

C2015-904594-0

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## DEDICATION

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*Our book is dedicated to Dr. Martha Farrell, activist on behalf of women's rights, Director of PRIA and wife of Dr. Rajesh Tandon. Dr. Farrell was killed on Wednesday May 13, 2015 while in Kabul Afghanistan providing gender training. Martha's work over her lifetime has inspired and continues to inspire us as we seek ways for communities and universities to work together to improve the lives of women and others in every corner of the world.*

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# FREQUENTLY USED ACRONYMS

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|        |  |
|--------|--|
| CBO    | Community-based organization                                     |
| CBR    | Community-based research   |
| CBPR   | Community-based participatory research                           |
| CBT    | Community-based training   |
| CE     | Community engagement   |
| CUE    | Community-university engagement                                  |
| CURP   | Community-university research partnership                        |
| CS     | Civil society  |
| CSO    | Civil society organization                                       |
| GACER  | Global Alliance for Community Engaged Research                   |
| GUNi   | Global University Network for Innovation                         |
| HE     | Higher education   |
| HEI    | Higher education institution                                     |
| NGO    | Non-governmental organization                                    |
| S-L    | Service learning   |
| SDGs   | Sustainable development goals                                    |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |

# FOREWORD

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From the perspective of the United Nations University (UNU), this volume has particular resonance. In this, its fortieth anniversary year, the UNU looks back at its history, dedicated from the outset to ensuring that academic research directly addresses the questions of most concern to the United Nations. UNU's strengths lie at the interface of evidence-based research and policy, based on the premise that the best policy has to be informed by evidence. Today, the UNU continues in its mission, pursuing research in five thematic clusters: Peace, Security and Human Rights, Development Governance, Population and Health, Global Change and Sustainable Development, and Science, Technology and Society. It does this whilst at the same time continuing to develop its role as a bridge between international and national policy makers and academia and as a vehicle for ensuring that key human development concerns are kept on the international agenda.

As such, it is with great pleasure that I write to support the research of IDRC, SSHRC, GUNi and their partners in strengthening community-university research partnerships. The Global University Network for Innovation (GUNi) has, for over fifteen years, led an innovative agenda of work, supported by its three partner institutions, UNU, UNESCO and The Catalan Association of Public Universities. This current volume is the latest in a series of cutting-edge analyses of contemporary academic practice and innovative collaborative methodology. Alongside the importance of developing research in key areas, it is also crucial that all of us working in this sector take a reflective stance regarding our methodological approaches and more general ways of working. Volumes such as this one enable those of us engaged in research and research partnerships to evaluate our procedures and look towards developing ever more improved processes in the future.

Research partnerships are key to ensuring a dynamic and collaborative research agenda and to breaking free from traditional disciplinary and other boundaries to research excellence. This has been key to UNU strategic development, through collaborations both within and outside the UNU system. One most recent example is the UNU Migration Network. This network of over fifty experts in migration research, based in UNU institutes worldwide, and coming from a range of thematic and disciplinary backgrounds, was launched in 2013 from the UNU Institute on Globalization, Culture and Mobility (UNU-GCM) in Barcelona. It already has a number of projects, involving both researchers from across the network and external partners, and is continuing to develop new forms of partnerships within the migration field and beyond.

This is an exciting moment for institutions of research and higher education. The GUNi mission of ensuring that universities develop under a vision of public service, relevance and social responsibility will be key in developing a sector that is able to contribute to new and emerging challenges. This year is an important one.

As the world reflects on the experience of the Millennium Development Goals and works towards the launch, in September, of the new Sustainable Development Agenda, it is crucial that those engaged in research and education drive an agenda that is evidence-based and reflects the latest research results. The announcement of the final versions of the Sustainable Development Goals (SDGs) is not the end, but the beginning, and those in the research and higher education sector will have a crucial role in ensuring that the emerging global agenda lives up to its commitments. Our work will include both supporting the development of good policy that promotes the realization of the goals, and ensuring ongoing analysis to effectively measure progress in this area.

As I write, I am reflecting on the comments of the UN Secretary General, Ban Ki-Moon, in a recent address at the United Nations University in Tokyo, Japan (16th March 2015). He reiterated his message for the world post-2015:

In 2015, the United Nations is mobilizing partners to empower people for a new future. We look to you to help make this year a true turning point in human history. Let us work to make this world better for all, where nobody is left behind, and where everybody will live with dignity.

This must be our aim, across the research and higher education sector. We can do this both through dynamic training programs that promote global outlook and rigorous thinking, and through collaborative reflective cutting edge research. However, none of this will be productive if we do not develop meaningful modes of communication with the communities our research needs to serve, with our academic colleagues around the world and across disciplinary divides, and with national and international policy communities. This is where the current volume comes in, providing new models of research partnership and community engagement.

*Dr. David Malone, Rector, United Nations University*

# ACKNOWLEDGEMENTS

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This collective work is a product of an ongoing collaboration between the UNESCO Co-chairs in Community-based Research and Social Responsibility in Higher Education, Drs. Budd Hall and Rajesh Tandon. For more than forty years, the editors have worked on research projects and advocacy that have intensified their commitment and passion for community-based participatory research, and collaborative and transformative partnerships between civil society and higher education.

A very special thanks to the International Development Research Centre for their support and to Luc Mougeot, our Senior Programme Officer for his personal support and guidance throughout this project.

We are grateful to Dean Mary Ellen Purkis of UVic's Faculty of Human and Social Development, to Evert Lindquist, Director of the School of Public Administration and Shawna McNabb, Head of the HSD research support unit for their wonderful support.

Many people were crucial to this work, including our contributing authors Crystal Tremblay, Walter Lepore, Alejandra Herrero, Leslie Brown, Sylvie de Grosbois, Johanna Ochocka, Elizabeth Tryon, Henk Mulder, Gerard Straver, Paul Manners, Sophie Duncan, Barbara Ibrahim, Judy Favish, Alejandra Herrero, Jutta Gutberlet, Johanna A. Haffenden, George Ladaah Openjuru, Danielle Feinstein, Michelle Bonatti, Wafa Singh, Mohammed Rabai, Felix Bivens, Thierry Luessler-Mamashela, Sonwabo Ngcelwane, Philip Nyden, Lorraine McIlrath, Nur Sri Ubaya Asri and Citra Wardhani.

The following individuals contributed to this project including the design, translation and analysis of the survey and case studies: Luc Mougeot, Martha Farrell, Heather McRae, Norbert Steinhaus, Lorraine Hoyt, Robert Hollister, Michael Cuthill, Bruno Jayme de Oliveira, Emilio Luis Lucio-Villegas Ramos, Maria Nieves Tapia, Cristina Escrigas, Jose Blanes, Manuel Rebollo, Sarena Seifer, Ken Carter, Bruce Gilbert, Linda Hawkins, Eric Bastien, Liam Roberts, and Oliver Schmidtke. We would also like to thank the following networks for distribution of the survey: the International Development Research Centre (IDRC), Social Sciences and Humanities Research Council (SSHRC), National Coordinating Centre for Public Engagement (NCCPE), Association of Commonwealth Universities (ACU), Asia Pacific University-Community Engagement Network (APUCEN), East Asia Service Learning Network, Global Alliance for Community Engaged Research (GACER), African Participatory Research Network (REPAS), Senegal, Better Futures Network (coordinated by Carleton University & Brazilian Social Mobilization Network COEP), The Talloires Network, The Research Universities Community Engagement Network (TRUCEN), PASCAL

International Observatory, Community-based Research Canada, (CBRC), Global University Network for Innovation (GUNi), Centro Latinoamericano de Aprendizaje y Servicio Solidario (CLAYSS), Centro Boliviano de Estudios Multidisciplinarios (CEBEM), Better Futures Network, Living Knowledge Network, Participatory Research in Asia, University of British Columbia, Institute for Studies and Innovation in Community University Engagement at the University of Victoria, Makerere University and Gulu University (Uganda).

We are grateful for the generous support from the International Development Research Centre (IDRC) with additional in-kind resources from the University of Victoria, Makerere University, the Society for Participatory Research in Asia (PRIA), Social Sciences and Humanities Research Council (SSHRC) of Canada, the Centro Boliviano de Estudios Multidisciplinarios (CEBEM) and a number of regional and global networking organizations including the Living Knowledge Network, Talloires Network, TRUCEN and PASCAL International Observatory.

In the course of undertaking this global study, we have benefited from special inputs and support from colleagues in India and Canada. Pawan Agarwal, Pankaj Mittal, Meenakshi Gopinath, Devi Prasad, Sheela Patel and Lalita Ramdas in India have been most supportive. Likewise in Canada we are grateful to Martin Taylor, Edward Jackson, Katherine Graham, and Maeve Lydon.

We would like to thank Inba Kehoe from the University of Victoria Library, Kim Old from Kold Design, and our copy editor Lorraine Bell.

We are very grateful to all the people that have contributed to this book in various ways. Thank you very much.

*Budd Hall, Crystal Tremblay, Rajesh Tandon*

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Gerard Straver, MSc, is coordinator of the Science Shop of Wageningen University & Research Centre (Wageningen UR), The Netherlands. He is involved in co-ordination of research projects commissioned by civil society organizations such as consumer organizations, patient organizations, farmer groups, village committees, nature and environmental activist groups, training of researchers in the science shop concept, and communication on science shop research projects. Gerard likes to design research projects with local civil society groups, researchers and students. Participation of different stakeholders increases the impact of research projects considerably. Linking local cases to scientific theory and placing them in a wider national and global context is a fascinating challenge. Building bridges between science and society improves the quality of life and of our living environment. Community Based Research and Community Based Learning are part of the Learning in Communities concept which is part of the new education philosophy of Wageningen University.

Rajesh Tandon is an internationally acclaimed leader and practitioner of participatory research and development. He founded Participatory Research in Asia (PRIA), a voluntary organization providing support to grassroots initiatives in South Asia and has been its Chief Functionary since 1982. He has recently been appointed Co-chair of the prestigious UNESCO Chair on Community Based Research and Social Responsibility in Higher Education. A renowned authority on participatory research, he has championed the cause of building organizations and capacities of the marginalised through their knowledge, learning and empowerment. He has contributed to the emergence of several local, national and international groups and initiatives to promote authentic and participatory development of societies. He has authored more than 100 articles, a dozen books and numerous training manuals on democratic governance, civic engagement, civil society, governance & management of NGOs, participatory research and people-centred development. For his distinguished work on gender issues, the Government of India honoured him with the prestigious Award in Social Justice in March, 2007. The University of Victoria, Canada, awarded Dr. Tandon the degree of Doctor

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Citra Wardhani was an expert staff at the Directorate of Research and Community Engagement, Universitas Indonesia for double positions; first, on Information System and Scientific Publication and, second, on Community Engagement. One of her main jobs related to the position were to design and implement schemes for the university's community engagement programs that would enable initiatives and cooperation between the university and communities to create social changes. The work includes the support system for the programs (coordinating fund/grant and assistance provisions) as well as the monitoring and evaluation programs. Citra obtained her masters degrees from Universitas Indonesia majoring in, first, envi-

ronmental science and then social psychology. She graduated cum laude for the later. She received SYLFF (Sasakawa Young Leaders Fellowship Fund) and BABA (Building a Better Asia) fellowships during her study at Universitas Indonesia. She now focuses on finishing her doctoral study at the Faculty of Psychology, Universitas Indonesia.



# CHAPTER 1

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## Introduction

During the summer of 2010, at the suggestion of some common friends from UNESCO Paris, Budd Hall and Rajesh Tandon began a conversation about preparing a proposal for the creation of a new UNESCO Chair. The two of them had worked together since mid-1970s in promoting participatory research as a methodology for empowerment of the excluded and marginalized. Their interest in developing a Chair that focused on community-based participatory research was received with much enthusiasm by UNESCO Paris, Canada and Delhi. In this process began the journey of the UNESCO Chair on Community-based Research and Social Responsibility in Higher Education in summer of 2012.

The framework for action under the broad mandate of the UNESCO Chair includes research and knowledge mobilization, capacity enhancement and policy development. The Chair is focused on two broad streams of research and knowledge mobilization-innovations in community-based research methodologies, and approaches in social responsibility. Capacity enhancement includes specific and targeted interventions to strengthen the capacities of individuals to adopt and implement innovative research methodologies. Finally, policy development involves co-convening short dialogues amongst leaders of higher education institutions (HEIs) in cross cutting contexts (Tandon & Hall, 2012).

Two other developments occurred in parallel. The Global University Network for Innovation (GUNi) started preparing for its 5th World Report on Higher Education in the summer of 2011. Its theme focused on capturing the community engagement dimension of knowledge creation in higher education institutions worldwide. Budd and Rajesh were invited by GUNi to become guest editors of this book along with the GUNi team. In the exploration of the central theme of this world report, questions about knowledge, its modes of creation and mobilization, the political economy of knowledge and the globalization of the knowledge economy were debated within the editorial team, as shown in this excerpt from the introduction:

Knowledge is defined in several ways: the facts, feelings or experiences of a person or group of people, a state of knowing or awareness, and/or the consciousness or familiarity gained by experience or learning. Knowledge is created through research, through the experience of the wise, through the act of surviving in the world, and is represented in text, poetry, music, political discourse, the social media, speeches, drama and storytelling. Knowledge is linked to practical skills, to our working lives and to universal and abstract thought. Knowledge is created everyday by each one of us and is

central to who we are as human beings. Knowledge tells us who we are and who we are not. Knowledge tells us how the world is and how to interact with it, how to live and prosper, what to do in life and how to do it in order to succeed and be happy, and is even at the base of what we have collectively accepted by being successful. (Escrigas, Sanchez, Hall, & Tandon, 2014)

Around the same time in 2011, the Planning Commission in India was preparing for the 12th Five Year Plan. A renewed and dynamic focus to higher education was being seen as critical for India's future growth trajectory. A sub-committee including Rajesh Tandon was set up to propose an approach to 'strengthening community engagement in higher education'. The deliberations in this sub-committee raised issues about knowledge and expertise residing in the world of practice, beyond academia.

The goals of ensuring inclusive development, democratic governance and sustainable growth can be meaningfully achieved through a process of broadening and deepening involvement of institutions of higher education; in societal development, and in the process, the idealism and dynamism of the youth can also be harnessed in a more meaningful meaningful manner. (Planning Commission, 2011)

Concurrently, an initial study of emerging practices in community-based research in higher education was being conducted by a team of scholars which included Budd Hall and Rajesh Tandon. Supported by a small grant from Canada's International Development Research Centre (IDRC) and the Canadian Social Sciences and Humanities Research Council (SSHRC), this study had begun to raise interesting conceptual challenges in the 'co-construction' of knowledge, and community-university research partnerships (CURP):

...we have gone further to frame the contribution of community-university research partnerships within a larger knowledge democracy framework, linking this practice to other spaces of knowledge democracy, such as the open access movement, the new acceptance of the methods of community-based and participatory research and the call for what is sometimes called cognitive justice or the need for epistemologies of the Global South. (Hall, 2013)

It was in the midst of these intellectual and practical explorations that the ideas about undertaking a global study on 'mainstreaming' community-university research partnerships emerged. Budd Hall and Rajesh Tandon believed in identifying those levers of change which make such mainstreaming possible. These levers of change can be in the realm of national public policies, institutional structures and incentives within a university, or the pressures for engagement generated by civil society. Possibly all such factors, in a unique contextual mix, may well be responsible for the mainstreaming of CURPs.

It made sense, therefore, to prepare for such a global study under the UNESCO Chair's work programme; the conceptual and empirical gaps in this field needed to be filled robustly. It also made sense to approach IDRC for partnership in this global study since it had long experience in supporting such comparative international studies and professional research networks.

An initial planning meeting was called with most of the network partners who have been working with our UNESCO Chair. Conducted as a pre-conference event in Barcelona in May 2013, the planning meeting benefited from deliberation during the international conference convened by GUNi as a part of its work on the 5th World Report. Over the past two years, the findings of global survey and comparative analysis of case studies has been shared on nearly a dozen occasions with scholars and practitioners of CURPs worldwide. These conversations have further deepened the analysis presented in this volume.

In this book we present findings from a global study of institutional arrangements for the facilitation and support of research partnerships between civil society organizations (CSOs) and higher education institutions. The book outlines a number of important trends, challenges and approaches associated with how research partnerships are initiated, supported, and evaluated through a comparative study of different types of institutional arrangements. This includes a detailed overview of a global survey administered in over fifty countries and four languages, and twelve country case studies demonstrating strong institutional and policy support for community-university research partnerships.

Through these findings, we aim to promote awareness of the significance and appropriateness of creating and/or supporting such enabling structures amongst decision-makers in higher education institutions, and mobilize knowledge for practitioner and policy actions in creating appropriate structures in different countries through the identification of best practices and recommendations.

Chapter two presents a theoretical discussion of recent literature on institutionalizing engagement and community-university partnerships within universities. The authors present a framework which lists the key policy, structural and procedural changes which can facilitate the institutionalization of these ways of working and make such collaborations and partnerships more feasible and productive.

Chapter three is an overview and synthesis of the first ever global survey on institutional supports and structures for research partnerships. The findings provide insights into the various characteristics of these collaborations including: regional characteristics, institutional structures and funding, goals, outcomes and motivations, roles and process of partnership, challenges, recommendations and training.

Chapter four provides a comparative analysis of the policies and practices of the twelve countries including: Argentina, Brazil, Canada, Jordan, India, Ireland, Indonesia, Netherlands, South Africa, Uganda, United Kingdom, and the United

States. It begins with a detailed presentation of the framework and methodology of preparation of each case study.

Chapter five brings a comparative analysis approach to emerging trends from these twelve case studies. The comparative analysis highlights commonalities and uniqueness, and the underlying causal factors that explain these similarities and differences. Factors related to national public policies on higher education, government's interest in community engagement, support for undertaking collaborative research, motivations and capacities of academic researchers and civil society actors are analyzed.

Chapter six briefly summarizes key conclusions that emerged from this analysis. In presenting these conclusions, it is hoped that further analytical and practical work towards nurturing CURPs and mainstreaming research partnerships will be stimulated worldwide.

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## CHAPTER 2

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### Knowledge, Higher Education and the Institutionalization of Community-University Research Partnerships

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Our goal in this study and book is to illuminate the varieties of institutional and administrative structures, in both universities and community-based research bodies throughout the world, that facilitate respectful community led research partnerships. We will fill in some parts of the map of what is sometimes referred to as the ‘mainstreaming’ of community-based research (CBR) and community-university engagement (CUE). And the starting point at this moment in the 21st Century must be attention to our global contexts. What are the deep challenges, the complex and chronic issues that are confronting us? While we do not need to be exhaustive in this contextualizing, it is required if we are to answer the questions ‘knowledge for what’ and ‘community-university engagement for what’?

We are living in a time of extraordinary contradictions. Never has capitalism produced so much wealth yet never has the gap between the rich and the poor been so vast. As noted by Oxfam, soon 80 individuals will have the same wealth as the poorest 3.5 billion people on earth (Hardoon, 2015). Former U.S. President Carter notes that “the world’s discrimination and violence against women and girls is the most serious, pervasive, and ignored violation of basic human rights” (2014, p. 1). The economist Thomas Piketty says,

...because return on investment historically outstrips growth, wealth will concentrate to levels incompatible with democracy, let alone social justice. Capitalism, in short, automatically creates levels of inequality that are unsustainable. The rising wealth of the 1 per cent is neither a blip nor rhetoric. (2014, p. 8)

The Intergovernmental Panel on Climate Change notes that without additional efforts to reduce greenhouse gas emissions beyond those in place today, emissions growth is expected to persist, driven by growth in global population and economic activities. Baseline scenarios, those without additional mitigation, result in global mean surface temperature increases in 2100 from 3.7 to 4.8C compared to pre-industrial levels (IPPC, 2014, p. 7).

Meanwhile, de Sousa Santos explains that “the understanding of the world by far exceeds the Western understanding of the world. There can be no global social justice without global cognitive justice” (2014, p. viii). According to UNESCO (2011), approximately 600 languages have disappeared in the last century and they continue to disappear at a rate of one language every two weeks. Up to 90 percent of the world’s languages are likely to disappear before the end of this century if current trends are allowed to continue. And each of us knows about rates of child poverty, levels of homelessness and other critical issues that render our communities and our families insecure and unstable. It is our contention that issues like these must become significant drivers of the higher education agendas.

## Higher Education Today

As will be argued in further detail throughout this book, the higher education sector’s most fundamental and critical task is to serve as society’s primary engine of knowledge production and preservation. Historically, universities have not only produced knowledge but have also been the arbiters of which knowledge is ‘good’ and ‘valid’, establishing the very frameworks by which such assessments are made. Tautologically, universities have long considered knowledge produced by universities as the best and most legitimate. But in the face of global crises that challenge humanity’s capacity to respond, the value of alternative forms and paradigms of knowledge is being revisited. As the ability of the technical-rationalist knowledge long-favoured and reproduced by universities is questioned for its adequacy for the current moment, researchers are increasingly moved to work with organizations and communities outside of the university in order to co-generate knowledge which draws dynamically on multiple epistemologies and lifeworlds. Cultivating research partnerships with communities and civil society organizations is a way of making subaltern knowledge visible. Such co-creative acts of knowledge production are at the heart of the university’s contribution to deepening knowledge democracy and cognitive justice. Assessing the practice and institutionalization globally of such co-generative community-university research partnerships is one of our aims.

Institutional change is extraordinarily difficult in higher education. This is in part because of the scale and complexity of higher education institutions themselves, institutions that have been around since the first universities of Narlanda and Taxila were founded in the Indian sub-continent hundreds of years BCE (Tandon, 2008). It is also because what we call a national university in modern times is in reality a world university. Universities in all our countries are organized in similar ways and have quite similar disciplinary content. One university cannot change too dramatically without the global consensus becoming uncomfortable and critical of an institutional outlier.

Nonetheless, higher education is a dynamic system which is constantly pulled in various and often competing directions, as Marginson (2010) points out:

...the research university is pulled three ways: by the commercial imperative, by the formal knowledge status system (dominant within the university) and by the unpredictable swirls of open source knowledge. These heterogeneous ‘systems’ are in highly unstable symbiosis and more unpredictable changes will surely occur...for national organizations, institutional forms, academic behaviours, relations of power and the vectorising of the life world. (p. 39)

Barnett (2013) suggests that institutional change may be limited by our institutional imaginations: “(t)here is a thinness in our contemporary thinking about the university—we could say that the *imaginary landscape* of higher education is rather empty at the present time” (p. 13). Watson et al. (2011) document trends in higher education in their work on the engaged university by claiming that, “while expressing unique ways that follow cultural, political and economic influences, most universities now understand the need to place greater emphasis on extension, outreach and engagement” (p. 24). This also includes frequent changes in undergraduate programs that make them more relevant and identified with the social, cultural and economic realities of all groups in the population (de Durán et al., 2012).

The authors of this book associate with the views expressed in the Global Communique on Enhancing Community University Engagement between the Global North and South issues by the Big Tent group of higher education networks:

...we believe that the transformative potential of our community sector organizations and our higher education institutions is enhanced when we combine our collective knowledge, global connections, skills and resources to address the myriad of social cultural economic health and environmental challenges in our places and regions. (Watson, 2011, p. 239-240)

## The Many Discourses of the Engaged University

The literature on community-university engagement is vast and diverse. Nonetheless, a closer look reveals many significant gaps, disconnects and even contradictions. Facer et al. (2012) argue that a lack of a coherent knowledge base upon which to draw contributes to engagement’s struggles as an emerging field of theory and practice. Engagement spans many disciplines, institutions and contexts. Language is often vague and various discourses exist which do not interact because of differences in terminology (Facer et al., 2012; Hall & Tandon, 2014). In practice commonality exists between the various sub-genres of outreach, community service, service-learning, community engagement, civic engagement, community-based research and community-university research partnerships. Although there is some overlap in intentions, these discourses implicitly carry different theories of

change for making an impact in the world. Outreach, service and service learning frequently focus on volunteerism and charitable action (Global University Network for Innovation, 2012). Community engagement tends to have a community development focus, while civic engagement frequently frames engagement as way of moulding university students into active citizens. Community-based research and community-university research partnerships focus more on the role of academics and the knowledge production capacities of universities as a means to creating social and structural change.

In consequence, these different, embedded theories of change about why and how universities should engage result in different conceptualizations of how to institutionalize engagement within university structures and processes. For the service-focused genres, student-oriented programs which enable student service with marginal groups are sufficient as infrastructure. Service-learning and civic engagement anticipate institutionalization at a deeper level which impacts course design, classroom pedagogy and available fields of study (Tapia et al., 2005; Bertomeu et al., 2010; Butin & Seider, 2012; Tandon & Hok Ka Ma, 2014). Discourses which focus on research as a core component of engagement posit that institutionalization should challenge and transform how universities produce knowledge, reassessing Watson's (2005) question: "what is a university for?" It is to these questions of academic knowledge production that we next turn our attention.

## **Inequalities in Research and Academic Knowledge Production**

The dominant mode of production of academic knowledge is of a colonized variety. The Western canon, that European based knowledge arising from the enlightenment and disseminated around the world over the last 500 years, has resisted the inclusion of diverse knowledge systems from Indigenous and other knowledge systems and has collaborated in what de Sousa Santos (2014) calls epistemicide, the killing of knowledge systems. This is true from a global context where the global North dominates the journals, the web sites, the encyclopaedias, the book publishing industries and the research funds. But it is also true within the global North from the perspective of gender, social location, racialization, and more. The voices of Indigenous people, the poor, women, the differently abled, and the homeless are missing from the dominant knowledge systems.

In the world of community-university engagement, the homes of most of the global networks are in the global North. Most of the publications that have come out in the past 10 years have been published in the global North. Moreover even some of the knowledge that has been co-created with communities is inaccessible behind the paywalls of market publishing or costly and obscure journals. We will address this issue of research/knowledge accessibility further in the final section of this chapter.



## The Case for Knowledge Democracy

At the heart of the transformative potential of community-university research partnerships is a deepened understanding of knowledge democracy. What do we mean by knowledge democracy? We are all familiar with the discourses of the knowledge economy and the knowledge society. The knowledge economy has become in practice the acquisition of skills needed by the global marketplace to enhance individual and national competitiveness. No mention of democracy whatsoever. The discourse of a knowledge society is closer to our ideals, because it refers to the use of knowledge to strengthen or deepen participation in decision making. Democracy is at the centre of this discourse, but there is an absence of questioning about whose knowledge should be used, how the knowledge we are supposed to use for democratic action has been created or even who owns the knowledge. Knowledge democracy takes our discussion of knowledge and democracy several steps further. The principles of knowledge democracy as they have been used within the work of the UNESCO Chair in Community Based Research include:

- 1) Recognition of a multiplicity of epistemologies or knowledge systems
- 2) Knowledge systems are as diverse as the biodiversity of the natural world
- 3) Knowledge is both produced and represented in a dazzling array of methods that go well beyond text and statistics to include ceremony, drama, video, poetry, spirituality
- 4) Knowledge is produced in social movements, community organizations, business, local government, Indigenous political organizations and thousands of places in addition to institutions of higher education
- 5) Locally created and owned knowledge is a powerful tool of community and social movement organizing
- 6) Knowledge generated in communities or as a result of community-university research partnerships must be made available free of charge and in an open access format.

What does knowledge democracy look like? In British Columbia, there is a movement for the revitalization of Indigenous languages, the languages of the land before European contact. The First People's Cultural Council leads this work with support from the University of Victoria. The heart of the revitalization process has been the identification of 'language champions', fluent speakers from each of the 50-60 languages. These mother tongue scholars have been able to energize the Indigenous language movement in ways that Western trained linguists were never able to do. Indigenous scholars from the Universities have supported these language champions.

In England, with links to the Community University Partnership Programme at Brighton University, there is a movement in community mental health which

has both university and community activists actively involved called ‘resilience therapy’. At the heart of this movement are young people and their families who in spite of all societal obstacles and restrictions are seizing control of their community rights and demonstrating a capacity of resilience that could never have been imagined if they were depending on the knowledge of ‘experts’ to tell them how to live.

In Brazil, there is a national movement that grew out of the Campaign Against Hunger and For Life that was started by the late Brazilian activist named Betinho. It has grown to become a network of universities and anti-poverty social movements to co-create knowledge together for the transformation of rural communities. Co-creating grassroots knowledge from below has been at the heart of this social movement/network that has resulted in changes to laws, creation of cooperatives and more.

In India, movements for the protection of forests and other natural resources have regularly galvanised practical and ecological knowledge of forest-dwellers and indigenous communities (Mohanty, 2004).

Based on these examples and many others throughout this book, we argue that community-university research partnerships are a key mechanism for aligning the higher education sector with the goals and practices of knowledge democracy. To this end, we conclude this chapter with a series of recommendations about how higher education institutions can strengthen their policies and infrastructure to better enable this kind of co-generative knowledge production.

## **Knowledge Democracy through Knowledge Co-generation**

We have been drawn to the discourse of knowledge democracy in thinking through the issues of community-university research partnerships. Appadurai (2000, p. 2) notes that

...there is the sense that social exclusion is ever more tied to epistemic exclusion and concern that the discourses of expertise are setting the rules for global transactions, even in the progressive parts of the international system, have left ordinary people outside and behind...

De Sousa Santos (2007) and Visvanathan (2009) write about the need for cognitive justice and for epistemologies of the South. De Sousa Santos goes so far to say that the dominant western knowledge systems have perpetuated an epoch of ‘epistemicide’, killing off excluded, subaltern and Southern knowledges. Shultz and Kajner (2013) argue that “the scholarship of engagement requires an epistemology that enables going beyond the ‘expert’ model to one of ‘collaboration’” (p. 14). Even ‘northern’ scholars have noted these inequities. Watson et al. (2011) note “there is a serious asymmetry in the power, influence and resulting priorities of the North and South” (p. 240). This call for the democratization of knowledge is even clearer within African universities, where “institutions of learning in the former colonies continue to be used by the political North to promote their agenda of

subjugation, which is meant to obliterate the knowledge that Africa can identify with” (Modise & Mosweunyane, 2012, p. 50). The task is as Taylor (2008) states, “how can we challenge ideas about ‘dominant knowledge’ residing in the hands of experts and engage with the majority in ways that make connections between knowledge, action and consciousness?” (p. xxvi).

We argue that community-based research and community-based research partnerships are a key mechanism for addressing inequities in academic knowledge production. We have created, and are still creating, a situation in social science research which effectively denies recognition of the knowledge-generating abilities innate to every human being in the world. In our search for techniques for adding to the body of knowledge, we have lost sight of objectives of our work: people. Science is not a bag of tricks that one learns by being trained to remove oneself even farther from reality. We have created an illusion and we have come to believe in it—namely, that only those with sophisticated techniques can create knowledge. This should remind all social scientists of the crucial need not to forget that, whatever they do, they must keep a steady eye on their own values. This is especially true for participatory research workers (Hall, 2002). A transition to the participatory approach requires some basic attitudes on the part of the researcher or activist. If s/he practices participation in her/his own work, it is much more likely that s/he will be able to facilitate participation of the people in various research efforts (Tandon, 2002).

### **Community-Based Research: A Myriad of Approaches for Co-creating Knowledge**

Community-Based Research (CBR) can take different shapes, and a wide range of functional structures that support engagement practices can be developed. In Latin America for example, within different disciplines, institutions and contexts, CBR practices are commonly embedded within discourses around Participative Research, Participatory Action Research, Action Research, Community Learning, Service-Learning, Participative Learning and Community Development (PRIA, 2000). As will be shown, these terms commonly share the principles of co-creation of knowledge, and transformation of the local community. Sometimes the expected impact might be even at a regional, national or international level. The definition we have used in this study is from Strand et al. (2003):

...community-based research (CBR) involves research done by community groups with or without the involvement of a university. In relation with the university CBR is a collaborative enterprise between academics and community members. CBR seeks to democratize knowledge creation by validating multiple sources of knowledge and promoting the use of multiple methods of discovery and dissemination. The goal of CBR is social action (broadly defined) for the purpose of achieving (directly or indirectly) social change and social justice. (Strand et al., 2003, p. 5)

As the results of the survey done for this project show, CBR is beginning to be the most widely used of the umbrella terms, but even within the North American and European literature, one finds a dizzying array of terminology, as demonstrated in Table 2.1.

**Table 2.1** Terminology and Traditions Associated with CBR

(Source: *Etmanski, 2014, p. 7*)

|   |  |
|---|--|
| <b>Action learning (research)</b>             | Coghlan & Coughlan, 2010; Zuber-Skerritt, 2002; Rigg, 2014   |
| <b>Action research</b>                        | Levin, 1948; Reason & Bradbury, 2008; Stringer, 2007   |
| <b>Arts-based research</b>                    | Eisner, 1981, 1997; McNiff, 1998   |
| <b>Arts-informed research</b>                 | Knowles & Cole, 2008   |
| <b>Community action research</b>              | Brown & Reitsma-Street, 2003; Reitsma-Street, 2002; Tandon, 2014   |
| <b>Community-based participatory research</b> | Israel, Schultz, Parker, Becker, Allen, & Guzman, 2003; Minkler & Wallerstein, 2003; Tandon & Farrell, 2008; Minkler, 2014; Guta & Roche, 2014 |
| <b>Community empowerment research</b>         | Ristock & Pennell, 1996; Farrell, 2014   |
| <b>Community service learning</b>             | Marullo, 1996; Mooney & Edwards, 2001; Strand, 2000  |
| <b>Community-university partnerships</b>      | Ball & Janyst, 2008; Jansson, Benoit, Casey, Phillips & Burns, 2010; Jackson, 2014   |
| <b>Collaborative inquiry</b>                  | Bray, Lee, Smith, & Yorks, 2000  |
| <b>Co-operative inquiry</b>                   | Heron, 1996  |
| <b>Decolonizing methodology</b>               | Tuhiwai Smith, 1999  |
| <b>Engaged scholarship</b>                    | Fitzgerald, Burack, & Seifer, 2010   |
| <b>Feminist action research</b>               | Maguire, 2001  |
| <b>Feminist community research</b>            | Creese & Frisby, 2011  |
| <b>Indigenous methodology</b>                 | Kovach, 2009   |
| <b>Knowledge democracy</b>                    | De Sousa Santos, 2014, 2007; Hall, 2014  |
| <b>Knowledge mobilization</b>                 | Dobbins, Robeson, Ciliska, et al., 2009; Levin, 2008; Sá, Li, & Faubert, 2011  |
| <b>Knowledge translation</b>                  | Banister, Leadbeater, & Marshall, 2010; Jansson, Benoit, Casey, Phillips, & Burns, 2010  |

(Continued)

**Table 2.1** (*Continued*)

|                                       |  |
|---------------------------------------|--|
| <b>Organizational action research</b> | Burke, Lake, & Paine 2009; Coghlan & Brannick, 2010  |
| <b>Participatory action research</b>  | Fals Borda 2001; Fals Borda & Rahman, 1991; Kemmis & McTaggart, 2000; Selener, 1997; Pant, 2014; Jaitli, 2014      |
| <b>Participatory development</b>      | Campbell, 2002; Hayward, Simpson, & Wood, 2004; Kothari, 2001; Oakley, 1991  |
| <b>Participatory evaluation</b>       | Runner & Guzman, 1989; Chambers, Wedel, & Rodwell, 1992; Jackson & Kassam, 1998; Wallerstein, 1999; Mathison, 2014 |
| <b>Participatory research</b>         | Hall, 2005, 2001; Park, Brydon-Miller, Hall, & Jackson, 1993; Tandon, 2002   |
| <b>Participatory rural appraisal</b>  | Chambers, 1994, 1997; Chambers & Blackburn, 1996; Mukherjee, 2014  |
| <b>Research as ceremony</b>           | Wilson, 2008   |
| <b>Scholarship of engagement</b>      | Boyer, 1990, 1996  |
| <b>Science shops</b>                  | Living Knowledge Network   |

## **Institutionalization of Community-University Engagement and Partnerships**

Despite the growing body of engagement literature globally, and the diversity of research approaches related to CBR, the literature on the institutionalization of community-university engagement is limited (Facer et al., 2012; Bivens, 2011). A tremendous quantity of normative literature exists, arguing the social, civic and practical value of engagement and advocating for its expansion in the sector. An even larger share of the engagement literature is case studies of individual projects and institutions, in which work is highlighted mostly in terms of its successes. As Bivens (2011) notes, documentation of the intermediary processes that occur between the articulation of normative visions at universities and the assessment of the subsequent impacts of engagement is infrequent and superficial. Few universities have focused on institutionalization as topic of inquiry and have missed the opportunity to learn from and share their own processes of transformation. Although some detailed case studies exist (Furco, 2010, 2014; Benson et al., 2007; Zimpher & Brukaradt, 2007; Rodin, 2007; Facer et al., 2012) question the value of individual cases for building the field for engagement, because of their tendency to be highly context dependent. They also argue such descriptions of individual projects and institutions can be overly rosy, as they are often written for funders of engagement programs, and so gloss over challenges and failures. Bivens notes the most prominent cases of documented institutionalization are produced

by institutions with long histories of engagement, and as such do not so much demonstrate deep institutional and cultural change as much as codification of existing practices. Even publications produced by community-university engagement networks often succumb into the trend of promoting individual programs/institutions, as facilitating cross-institutional studies is a more costly and time-consuming process. Given this, Facer et al. argue for more meta-analyses which look at engagement practices and structures across multiple institutions and even across borders to create international comparisons. Few studies exist which compare institutionalization processes across multiple institutions (Bringle & Hatcher, 2000; Bell et al., 2000; Sandmann et al., 2009) and even fewer make detailed comparison of change processes at institutions in different national higher education sectors. Bivens' analysis of both British and American universities is one example of such a comparative work.

A typology of community-university research partnerships has evolved within the Canadian context which refers to four types of partnerships. A Type I research partnership refers to a partnership between single academics and their community research partner(s). This is the most common form of CBR as it depends on no institutional support. Type II structures are either disciplinary, sectoral or single centre based arrangements, such as a Social Sciences research shop, a science shop in a Chemistry Department or arrangements within a single school of social work or Indigenous Studies. A Type III structure is an all university structure such as the Office of Public Engagement at Memorial University of Newfoundland or the Community University Partnership Programme of Brighton University in England. A Type IV structure refers to a multi university structure such as UNISUR (Universidad del Sur) in Mexico or COEP (the Committee of Entities in the Fight Against Hunger and for Life) in Brazil (Hall et al., 2009). In this case several universities and community organizations have created a larger multi-institutional structure to deal with specific regional issues or specific sectoral concerns arising from the communities.

Taking into consideration the research on the institutionalization of engagement, in its broadest sense, the literature points to the influence of both external and internal factors. As universities exist in highly regimented and competitive sectors, they often move en masse in response to incentives and pressures from the wider environment. External actors such as governments, foundations and accreditation agencies can wield significant influence over universities' efforts to expand and institutionalize engagement activities. Jackson (2014b) calls this analysis of the wider systemic forces an "eco-system perspective" (p. 51) to understanding the institutionalization of engagement. Often multiple forces converge on universities simultaneously in order to spur them toward intentional processes of engagement. A few of the major external actors that can drive change include governments, private foundations, international development agencies, and accreditation and assessment bodies.

*Governments.* As most higher education sectors are dominated by public institutions, government policy can have significant and immediate impacts on universities. Countries like Indonesia have mandated all universities carry out a specified amount community engagement work (Warhani & Asri, this volume). However governments have additional tools beyond policy mandates through which they can incentivize change. Funding is a highly catalytic motivator and enabler. Canada's Community-University Research Alliance Program (CURA) has played a significant role in expanding engagement across the higher education sector there by providing \$128 million in grants to support engaged research since 1998 (Jackson 2014b, p. 50). Governments can also establish parastatal entities that focus on mainstreaming engagement practices across the sector. The National Coordinating Committee for Public Engagement (NCCPE) plays such a role in the UK, supporting individual universities while conducting and supporting collaborative research that explores engagement at the sectoral level. In India, the Planning Commission set up a Sub-committee on 'Strengthening Community Engagement in Higher Education in India', in September 2011 (Tandon, 2014b). The recommendations of this committee finally led to the University Grants Commission launching a scheme for fostering Community Engagement in India. This scheme provides for the establishment of a Centre for Fostering Social Responsibility and Community Engagement in the universities eligible under the scheme (University Grants Commission, 2015).

*Private foundations.* Resourcing engagement programs is often a serious challenge. Support from foundations can help universities launch new initiatives. However, funders also want to achieve a sustainable result that lasts beyond the funding cycle and therefore stress institutionalization as part of their efforts. The Bonner Foundation has concentrated for two decades on creating institutionalized student service-learning programs at liberal arts colleges in the U.S. One of the UK's best known engagement programs, the Community-University Partnership Program (CUPP) at the University of Brighton was started with a multi-year grant from the American-based Atlantic Philanthropies. The CUPP program was subsequently core-funded by the university when the original grant was exhausted. Foundations can also promote institutionalization by establishing certifications that denote a high level of competency. The Carnegie Foundation for the Advancement of Teaching has had a widespread impact on the institutionalization of engagement at U.S. institutions through the creation of an 'engaged institution' classification that requires extensive self-study, analysis and evidence of substantive investment in engagement programs and structures. Over 300 universities have received the Carnegie classification since it was inaugurated in 2009 (Jackson, 2014a).

*International development agencies.* In regions such as Asia, Africa and Latin America, it is common to find the intervention of external agencies such as the Swiss Agency for Development Cooperation and the Inter-American Development Bank on the higher education sector. They outline an international agenda, which is sometimes used by universities and civil society organizations to either draw up

new projects to access the available funding or put forward their extant projects to apply for funding. For example, in Bolivia the AGRUCO initiative was created by the University of Cochabamba and was initially funded by the Agency for Development Cooperation. In a later stage of the initiative there was university investment in the institutionalization of services such as the creation of formal and informal educational programmes and courses in agriculture that targeted rural populations and students of the university.

*Accreditation and assessment bodies.* Accreditation is the existential test of universities. As such, significant human and financial resources are mustered around accreditation and re-accreditation processes. The U.S. has a particularly elaborate accreditation system composed of six regional accrediting agencies all with their own specific standards. However, each agency review process requires evidence that the university is advancing along its own institutionally specified goals for improvement. In the southern region of the U.S., universities develop an institutional improvement program organized around a single thematic area. In the past several years some dozen universities have developed their Quality Enhancement Plans (QEP) explicitly around community-university engagement. Such a QEP commits the university to a five year plan of work to enhance its engagement capacities. The university must make substantial progress toward its targets in order to maintain accreditation. As such, significant resources are made available to engagement programs when QEPs are being implemented. In the UK the Research Excellence Framework (REF) has played a similar role in furthering engagement. The REF is a competitive comparative assessment across all British universities. Research funding is distributed according to the success of this ranking exercise. In 2011, a criterion was added to the REF which considered research ‘impact’. While this requirement has in some instances spurred new applied and collaborative research at some institutions, it has also been heavily criticized within the British higher education sector for undermining the normative ethos of community-university research, forcing universities and researchers back into the position of dominance in these projects because the outcomes and outputs are seen as crucial for the future funding of the university.

Similarly, in other countries like Colombia, there exist bodies such as Colciencias which are the supreme regulatory authority in the higher education sector. Colciencias serves as the accreditation body of journals and research groups, and oversees the research agenda of most universities. Colciencias funds initiatives to “generate and integrate knowledge to social, economic, cultural and territorial development of the country,” (see [www.colciencias.gov.co/sobre\\_colciencias](http://www.colciencias.gov.co/sobre_colciencias)) as outlined within the National Development Plan created by the national government. In India, the National Assessment and Accreditation Council (NAAC), now includes community engagement as an essential criteria for accrediting universities, under the broader criterion of Governance, Leadership & Management (GJUST, 2015). NAAC was charged with the responsibility to serve the quality



cause in higher education, is also engaged in documenting the ‘best practices’ of community engagement in Indian HEIs (NAAC, 2006).

While this external ecosystem of forces described by Jackson (2014a; 2014b) is visible to the keen observer, the internal university processes which support the institutionalization of engagement are more nuanced and idiosyncratic. Because such processes are opaque to outside stakeholders, most of the work in this area arises from researchers embedded in their home institutions, documenting the evolution of processes and goals and cataloguing the development of structures and programs. Furco (2009, 2014) documented a 15 year institutionalization process at the University of Minnesota and from this body of information developed a five category framework for the construction and implementation of system-wide institutionalization efforts. His categories include: (1) philosophy and mission (2) faculty involvement and support (3) student involvement and support (4) community partnerships and support and (5) institutional support. Within this framework Furco takes into consideration 22 specific indicators of change (2014, p. 265).

Based on their analysis of the original cohort of 56 applicants for the Carnegie classification, Sandmann et al. (2009) also put forward a list of enabling factors which contributed to the successful institutionalization of engagement. These include: (1) leadership (2) coordinating infrastructure (3) internal and external fundraising (4) assessment and measurement (5) planning (6) faculty development (7) community voice (8) professional recognition (9) curricular embeddedness (10) student voice (11) engaged scholarship and (12) partnerships (2009). The list links clearly with Furco’s analysis.

Bivens (2011) takes a more nuanced look at the emergence and institutionalization of engagement programs in three different universities, two in the UK and one in the U.S. Rather than focusing on specific structures or procedures within the universities, Bivens’ analysis focuses on the processes of institutional change which were parallel across all three institutions in spite of differences in size, structure and context. Bivens’ findings corroborate with Furco and Sandmann et al. on the importance of institutional leadership, faculty development and student engagement, but Bivens also points to other significant forces such as the creation of new roles and positions which bring professionals from the community into the university as staff, the importance of institutional history as a narrative for change, and the importance of iterativeness in the development of programs and infrastructure.

Although the literature on institutionalization is limited, particularly in light of the overall body of literature on engagement, the studies mentioned above do provide some key insights into the leverage points and processes which enable institutionalization. However, it is important to note the limited scope of these analyses in that these studies were conducted exclusively in universities in

the global North. Much further work needs to be done to consider the institutionalization processes in universities in the wider higher education sector, particularly in the South.

In addition, these analyses explore engagement activities in a very broad sense. As the focus of this volume is community-university research partnerships, it is worth noting the literature theorizing the institutionalization of these specific kinds of collaborative practices. Gaventa and Bivens' work (2014a; 2014b), reflecting on a 10 year global research collaborative on citizenship provides insights into the evolution of the research design and infrastructure, the shifts in power to partners from the global south and the iterative reframing of the research questions over time. The issues highlighted in this paper clarify the process of knowledge co-generation within a very large, and diverse research collaborative. While this work was conducted within a research centre within a larger institution, the groups' work and the principles distilled from it offer detailed guidance on the development and institutionalization of community-university research partnerships which intentionally aim to support knowledge democracy through "intercultural collaboration in the production of knowledge" (Mato, 2008, p. 28) with larger aim of generating 'transformative knowledge' (Gaventa, 2013; Hall, 2014; Bivens, 2014).

This volume will mine more deeply into the practice of community-university research partnerships, surfacing the various practices that exist across the diverse set of global cases included in this research. This comparative analysis across institutions, countries and continents will enrich our understanding of this way of working both methodologically and conceptually.

## **A Framework for Institutionalizing Community-University Research Partnerships**

University structures implicitly demonstrate that different forms of knowledge exist. The emergence and growth of academic disciplines over the past two hundred years are a demonstration of the breadth of knowledge that exists simply within academia. Differences between disciplines are not simply a matter of content. Each is an epistemological lens, which at once clarifies by seeing precisely through recognized frameworks, and validated methodologies, yet while also distorting by ignoring that which lies beyond the scope and focus of each lens. While these lenses do provide insights, they are bedevilled by what they do not see and take into account. Across the whole of academia, research is increasingly premised upon interdisciplinarity and partnerships, because the complex issues of our time are systemic and beyond the scope of any single lens or discipline. Even as interdisciplinarity in research and teaching becomes mainstream, it is painfully apparent that these efforts are insufficient; the combined forces of the academic-technical knowledges are still failing to find an adequate response to the crises of our time. As such, universities must recognize the limitations of their knowledge, however

advanced, and admit that their elite, exclusive knowledge is representative of only 1 or 2% of the population who have historically entered the space of university research and academic knowledge creation. Beyond the borders of university life and academic knowledge lies the embodied and experiential learning of the other 98% of the human race and their ancestors before them. Knowledge democracy calls upon us in the university to normatively and practically look to the wider world as collaborators and allies in the quest to address the world's great challenges. We must be called back to the original meaning of the word '*encyclopaedia*'—the great circle of knowing—and recognize that we academics are an important but tiny sliver of that circle and that more must be done to include the vast diversity of knowing that exists outside of the professional bubble of the academy. Firstly drawing on these other knowledges in our own research and teaching, but going far beyond that to open the university to this knowledge, to build the structures, policies and professional appreciation in the academy of what we can learn and achieve by working together with the wider ecosystem of knowledges that lies just outside the bounded industrial knowledge production zone we inhabit (GUNi, 2007; 2008; 2012).

The community-university partnerships featured in this volume represent examples of how these boundaries between the academy and wider world can become more permeable. While each case is reflective of the national, institutional and programmatic policies and structures within which they operate, we draw upon these and our own experiences in such partnerships in proposing a normative framework to establish a standard for what operating within a paradigm of knowledge democracy would look like in the university sphere, in order to institutionalize such practices.

This framework includes four major components: *policy, infrastructure, mainstreaming in teaching and research, and accessibility*.

### Policy

In order to make space for such work, the university leaders must make clear and visible commitments to collaborative knowledge creation. Policy has two distinct aspects—governmental policy at provincial/national levels; and policies at institutional levels. These have been treated separately in the framework of the case studies.

- Public engagement and social commitment are included in university mission statements and strategic plans.
- University policies recognize the existence and value of multiple types and forms of knowledge, within and outside of the university.
- Policies acknowledge value of multiple modes/sites of knowledge production—conventional, co-creation, popular/indigenous.
- Policies recognize methods for knowledge co-construction as valid.

- Policies require that engaged and partnership research demonstrates mutual benefit to all collaborators.
- Tenure and promotion policies acknowledge engaged and partnership work as a recognized mode of scholarship.

As this volume will make clear, mainstreaming this work at the sectoral level also requires national policy efforts as well. UK, Canada and Indonesia also provide examples of overarching policies, programs or research funding which seeks to mandate and/or incentivize engaged practices by higher education institutions across the whole of their national sectors.

### Infrastructure

Community-university partnership work is invariably a labour-intensive proposition, which requires more time, coordination and attention to process and relationships than research conducted by a single individual or a group of similarly trained academicians. More often than not, academics working in partnerships with community groups are acting alone and/or under the radar of their institutions. They do not count on university systems to back them up. Even where they can do this work without penalty, university systems are often not conducive to supporting work that involves a variety of different stakeholders and needs, especially those stakeholders who are not part of the university system. Furthermore, from the community side, universities are often impenetrable black-boxes or no-go zones where they do not consider themselves to be welcome. In cases where they do think the university might be an important ally or resource, community leaders frequently cite not knowing where to start or with whom to speak. There is no entry point or welcome sign. In light of these common challenges to effective community-university partnerships, mainstreaming such activities requires new infrastructure and processes within the university to facilitate this work more easily.

- The university has infrastructure such as a 'Community Help Desk' or phone number in order to receive and be responsive to community-based/civil society inquiries.
- Staffing is available to support faculty in engaged activities by establishing connections with relevant institutions/organizations in the community.
- Such infrastructure is not siloed in one discipline, department or college, but is rather linked to all colleges and disciplines within the institution.
- University systems and processes facilitate easier partnering through simplified payment/reimbursement systems that are flexible and can accommodate non-university staff.
- Development/fundraising bodies solicit resources/grants for engaged research/teaching.

- Community engagement activities are evaluated regularly to maintain high standards.
- Governance of such engagement infrastructure is shared with community stakeholders.

### **Mainstreaming in teaching and research**

While universities have traditionally produced proprietary research that is owned by the researcher, small changes in culture and procedure could enable universities to produce far more collaborative research through community-university research partnerships. Making engaged, collaborative practices available to all students and faculty who are drawn to this work would build university capacity in the area of partnerships and sustain this work into the future.

- Engagement activities are linked with curriculum and teaching so that undergraduate and masters level students are exposed to the theory and practice of engaged scholarship.
- Post-graduate research capacity is matched with community research needs through a ‘science shop’ mechanism.
- Resources/training are available for faculty development in CBR and community engaged scholarship and teaching.
- Need to separate teaching and research since our focus is primarily on CURP.

### **Accessibility**

Universities have long been seen as closed, ‘members only’ spaces, both physically and intellectually. Community-university partnerships require that both of these barriers be broken down. Partnerships are not collaborative and balanced if partners are not able to draw upon the physical resources of the university—faculty, meeting space, and knowledge tools such as the library, email, academic journal subscriptions. Likewise, as mentioned previously in this piece, the knowledge such collaborations produce should be freely available, not placed behind the Internet paywalls of academic journal publishers.

- Policies are conducive to community group activities happening on the university campus.
- University knowledge resources are available to groups in active collaboration with university partners.
- All engaged and partnership research is published as open access.

With regard to this final point, we are not only calling for institutional action but for sectoral action—for the creation of shared digital spaces where community based knowledge, knowledge from the global South and the excluded North can be freely available in downloadable forms for anyone who wishes. We call for

researchers and research teams to put energy into finding easy to understand and mobilising approaches to getting research knowledge back into the hands of those who want to change their communities.

## Conclusion

This chapter has synthesised literature on institutionalizing engagement and community-university partnerships within universities. This is a thinly researched topic in a field that is historically weighted toward grassroots practice rather than towards theory or structural analysis. Nonetheless, we suggest here the structural significance of community-university partnerships and other engaged practices for opening the university to a wider universe of epistemic communities that lie outside of the academy. By engaging with these other ways of understanding the world, we suggest that universities can more effectively address the looming challenges that lie ahead by working in partnership to generate transformative knowledge which is broader and more holistic than has been traditionally produced by universities. We believe that community based research also leads to stronger theory in areas of social, economic and political studies. This signification of and engagement with diverse epistemologies we term as ‘knowledge democracy’. We concluded the chapter by proposing a framework, which lists key policy, structural and procedural changes which can facilitate the institutionalization of these ways of working and make such collaborations and partnerships more feasible and productive.

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# CHAPTER 3

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## Global Trends in Community-University Research Partnerships

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This chapter presents the main findings of a global survey on support structures for community-university research partnerships (CURPs), from the perspective of individuals working in higher education institutions (HEIs), civil society organizations (CSOs), and agencies concerned with public policy and funding. The survey was conducted between January-March 2014, and administered globally through our national and global network partners. We received 336 responses from 53 countries, covering each region of the world.

The survey was conducted in order to gain an overview of trends and patterns around the world on CURP facilitating structures. We designed and conducted this multi-lingual global survey in cooperation with our regional and global network partners. In addition to documenting advanced CURP structures, the survey has captured those working in pre-formal structures or intermediary mechanisms of engagement, to inform on challenges faced to progress toward institutionalization. The survey aims to capture a diverse and broad understanding of CURP structures around the world.

CURPs largely, but not exclusively, involves community-based research (CBR) methodologies at the University of Victoria, Canada, encompassing a spectrum of research that actively engages community members or groups to various degrees, ranging from community participation to community initiation and control of research. From a university perspective, CBR refers to a wide variety of practices and is supported by several academic traditions. These can include:

- academic or scientific knowledge put at the service of community needs;
- joint university and community partnerships in the identification of research; problems and development of methods and applications;
- research that is generated in community settings without formal academic links;
- academic research under the full leadership and control of community or non-university groups, and
- joint research conceived as part of organizing, mobilizing or social advocacy or action.

From a civil society perspective, CURPs can take many forms. This includes building and fostering partnerships with government, HEIs, and other CSOs, in

responding to a wide range of community needs and services. It is often focused on capacity building, knowledge building, participatory research, citizen-centric development, and policy advocacy.

From the perspective of community, the Centre for Community-based Research in Canada recognizes CBR as research that begins in the community, involves community and is used by community. CBR often strives for social change that embraces equal collaboration and power relations between individuals, institutions and organizations.

There are a variety of organizational and administrative structures involved in facilitating community-university research partnerships where co-creation of knowledge or joint engagement in the research is the goal, including:

- projects led by individual either from the community or the university
- projects based in universities centres or disciplinary structures
- projects based in university-wide structures
- projects based in joint university community networks
- projects based in NGOs or community-based organizations
- projects based in government structures
- national, regional or international networks of solidarity

## Main Findings

This is the first global survey that we know of that examines structures that facilitate community-university research partnerships. What do we mean by structures that facilitate CURPs? We mean the existence or creation of administrative or organizational structures such as Science Shops, Community University Partnership Programmes, Services Aux Collectivities, Research Mobilization offices or many other names of research partnership services. We sought to examine those that exist within HEIs and within civil society as independent research partnership bodies such as the Society for Participatory Research in Asia, the Bonn Science Shop and the Community Based Research Centre in Canada. CURPs are one element in the larger picture of higher education and community-university engagement (CUE).

Other dimensions often linked to CUE are student experiential learning, sometimes called service learning, knowledge mobilization or attention to the impact of knowledge generated within HEIs within the non-university world, and attention to policy dimensions or issues of the culture within HEIs that support or hinder respectful engagement. We believe in moving CURPs from a fragmented and occasional practice towards a broader 'mainstreamed' practice that includes community based research as one of its core approaches. CUE itself is an approach to strengthening the social responsibility of higher education institutions. As with



all such first research efforts, more questions remain, but there are nevertheless some important findings that we are pleased to share with others in the movement.

- 1) In spite of extensive efforts in translating our survey and making use of various networks, data from the global South, with the exception of India and South Africa, has been very difficult to obtain. There is much more work needed and more creative and effective ways to be found to dig deeper into these parts of the world.
- 2) We have been surprised that at least amongst the respondents to this survey, that some kinds of facilitative research partnership structures have been in place for a longer time and across a wider range of HEIs than we had previously thought. The University of Quebec in Montreal, the Science Shops in the Netherlands and structures in some of the South African universities have been around for 30-40 years. The U.S. land grant institutions claim a heritage of 150 years. This means that the institutionalization of research facilitative structures is very uneven with some new structures being created in the past year or two and others much earlier.
- 3) However uneven the distribution of models of community-university research structures might be, there seems to be consensus that if CBR or CBPR is to be mainstreamed, institutional investment in structures to support and facilitate community interests and academic research interests is a key step forward. Support is needed to allow for brokering of interests, visibility of community based work, bridging across disciplines and credit for academic career development for this kind of work.
- 4) While there is obviously no common term for research which originates in the community and flows back to the community across all languages, it is noteworthy that the terms community based research (CBR) and community-based participatory research (CBPR) have emerged as the most common way of naming these kinds of knowledge partnerships. Our survey also underscores the strong interest in the provision of training for these research approaches.
- 5) There is strong evidence suggesting that the ‘knowledge cultures’ of civil society organizations and HEIs are very different. The uses of knowledge, the kinds of knowledge needed, methods used, links to social change and advocacy are understood and practiced very differently. CSOs are looking for answers to concrete issues in the community. They are not interested in nuanced and subtle ‘maybe this or maybe that’ kind of results that academics often favour. Academics need to write often to a kind of academic formula that is required by journals or books, this language is often obtuse and mysterious to outsiders. These and many other knowledge culture differences need to become more transparent if deeper and more respectful partnerships are to evolve.
- 6) There is, we suggest, an emerging or a continuing contradiction between professed commitment to co-construction of knowledge and partnerships with

communities on the part of university based scholars, and the actual practice of doing CBR. This has to do with the origins of projects, sharing of resources and building of community capacities. A significant finding in our study is that when discussing the origins of recent research projects or questions, in less than 15 per cent of the cases did these originate at the CSO or community level.

- 7) Linked to this is a perception of relative apathy in CSO and community organizations about continued efforts to partner with HEIs, taking into account the difficulties entailed, and the frustrations of past experiences in moving the practice beyond the rhetoric. There is an expressed need for building community capacity to play equitable roles in the research partnerships
- 8) Finally, in part because our survey did not contain language around these dimensions, the lack of a discourse around what some call “knowledge democracy”, or attention to excluded or marginalized knowledge, leaves us with further work to do in this critical area.

## Survey Highlights

The survey explored various facets of research partnerships including: regional characteristics, institutional support structures and funding, goals, outcomes and motivations, roles and process of partnership, challenges, recommendations and training. The following section presents findings from each of those areas.

## Regional Characteristics

Geographically, we received responses from a diversity of countries and regions of the world. In addition to places that have strong CURP cultures such as the Netherlands and Canada, we also discovered these partnership structures to be present in countries where we did not expect them, such as Albania. Although we received responses from each region of the world, the response rate from Asia, Europe and North America was much higher than other regions. This could be for several reasons such as strong partner networks in these regions (i.e., Talloires, GUNi, and PRIA) and limited language capacities in certain regions despite the survey being available in four languages. Perhaps the most significant limitation is that the terminology, practice and understanding of CURPs varies significantly globally.

The terminology to describe research partnerships differs around the world and by organizational type. Indeed, the conceptualization and practice can be dramatically different, from one end of the structure of community involvement such as ‘community outreach’ or ‘extension services’ to the other, which would entail the co-creation of knowledge between community and university members, such as participatory action research. Even within the approach of CBR for example, the practice on the ground can look very different. From this research, we can suggest that CURP activities are predominantly identified within the areas of CBR (54.4%), CBPR (39%) and engaged scholarship.

## Institutional Support Structures and Funding

The results show that almost half of the institutions participating have centralized support structures for CURPS, and another almost 40% of them have support structures of some kind, such as by course or department. This is significant in that almost 80% of institutions in this survey have some structure for CURP.

Just over 60% of the HEIs that participated in this survey developed some form of structure to support CURP within the last 10 years. The recent World Report of Higher Education (Hall & Tandon, 2014) highlights that over the past 10-15 years there has been a growth of the theory and practice of engagement as a key feature in the evolution of higher education. Growing global networks such as Talloires, GUNi and GACER are also indicative of the commitment of higher education institutions around the world to redefine the value and use of community knowledge in society, and embrace its social responsibility to citizens and societies.

The most common type of support for academics working in research partnerships is staff support, followed by support for research proposals and student research support. Other supports included community advisory boards, Science Shop facilitators, in-kind support from community partners, training and funding for students in CBR, and capacity development. Civil society organizations, on the other hand, rely heavily on volunteers and operate on limited funding and timelines. More than 65% of respondents working in CSOs have between 1-20 volunteers.

The most common support from funders is in providing advice and assistance on collaborative research proposals, networking with both HEIs and CSOs and providing funding to support CURPs. Knowledge mobilization within and outside of government as they relate to CURPs is also an important aid, as are policy and legislative instruments.

The primary source of funding for HEIs to operate CURPs are through government research councils. These are important structures that are helping to link national and international institutions, organizations, local municipal governments and networks. These grants are competitive and are often in line with national thematic foci such as environmental sustainability, reducing poverty and social exclusion and economic development for example. In 15% of the cases, HEIs will provide support for local community partnership initiatives.

Financial programs, instruments and mechanisms are the most identified support needed for CURP's for both HEIs and CSOs. For example, one CSO articulated a need for "more small funding envelopes that support innovation, and can be nimble in terms of responding to emerging civil society organization needs" as well as "allowance for extra staffing support to facilitate partnerships".

Institutional policies to support collaborative partnerships are also needed at all institutional and national levels. A survey respondent from an HEI outlined

needs for “public policy that encourages and supports inter-sectoral collaboration (e.g., health in all policies; aboriginal peoples/perspectives in all policy); institutional policy that acknowledges community based learning and partnerships as equally important in merit/advancement; institutional and public policy that encourages measurement of community/societal outcomes related to CURP; public policy to require public participation/contribution to policy and knowledge development - leading to increased attention and support for this to take place within CURP; and professional standard of practice for relevant disciplines that require authentic community partnership - leading to more upstream focus on curriculum” (Survey respondent, August 2014). Another suggestion from the survey is for policies that identify and communicate HEI and CSO organizational culture and identity, “so that academics, community organizations, and students understand and track the needs and assets of both organizations”.

Many survey respondents also suggested that in addition to having a centralized office and strategic plan in support of CURPs within HEIs, “institutional policies would entail a policy framework for setting up governance, staffing, operational and evaluation processes”. In terms of faculty and tenure promotion, this was reported as a common contentious issue summed up by one respondent:

...at the moment untenured faculty engaged in this type of work are at risk of not meeting the standards and expectations associated with conventional research and this greatly undermines the level of engagement in CBPR and the overall reputation and standing it has as a field of research.

This research also reveals the need for capacity building to support the co-creation of knowledge, and to enable more cooperative and equitable partnerships:

Policies need to be put in place to ensure proper power balance between communities and HEI. Too often relationships are not partnerships at all rather the community fulfills the role of provider of research material for the HEI.

This also extends to knowledge dissemination practices, in which policies need to “promote collaborative research and co-writing as opposed to the current policies which promote single academic authorship”.

Strengthened capacity at the CSO level is a policy priority. In the U.S., for example, funding is limited for community-campus partnerships and “there are limited vehicles for projects that are community-led...putting an imbalance in power in favour of academia”.

## Goals, Outcomes and Motivations for CURP

The primary goal of CURPs from the perspective of individuals working within HEIs is for knowledge dissemination/mobilization, the co-creation of new knowledge and for student learning. Individuals working in CSOs overwhelmingly value the

co-creation of new knowledge as a primary goal of CURPs, in addition to improving services to community and to support social change. Providing training and capacity building to community members and students is also a major goal. Additional goals not mentioned above include: reducing barriers between research and practice; the creation of culturally specific programming and to facilitate knowledge and cultural exchange between indigenous communities and research institutions.

The most significant outcomes resulting from CURPs, from the perspective of individuals working in HEIs is student training and experiential learning. Developing and maintaining community university relationships is also seen as a major outcome. Student training is also viewed as a major outcome of partnered research from the perspective of CSOs. Other significant outcomes include: improvement to services, mainstreaming community knowledge and improved receptivity for research alliances.

The primary motivation for engaging in CURPs is the belief of knowledge co-production for solutions and perceived benefits and helpfulness of the partnership.

### **Role and Process of Partnership**

It is clear from the research results that CSOs lack institutional and financial capacity to collaborate equitably in partnership research. Some of these supports include access to library and information, technical skill, funding opportunities and access to national and global supports. Just over 60% of CSO respondents have rarely or never jointly submitted a research proposal when working in collaborative research partnerships, identifying a serious lack of equity and decision-making power.

Less than 15% of CURPs identified in this research have originated in the community. These research partnerships are overwhelmingly initiated and controlled by the HEIs, in addition to outside sources such as government, industry or research groups.

When describing how each of the above criteria ranked in their most recent CURP, the majority of respondents highlighted partnership development and practice as very important, including developing and maintaining mutual trust and respect, recognizing the opportunity for learning experiences and sharing good practice, and recognizing the differences in culture/practice that exist among partners. Approximately 40% of respondents are dissatisfied with the governance structure of their most recent CURP, in which the structure is not based on participatory and consensual decision-making. Also 60% of respondents revealed dissatisfaction in the community review process for funding proposals and ethics. Another 30% of respondents are also dissatisfied with “respect for community-based leadership in the project”.

There is a clear trend in the engagement and decision-making inclusion of CSOs in the life-span of the research partnership. Individuals working within

CSOs reveal higher active participation in networking and framing research agendas, than in administration of research funding and data analysis. In addition, CSOs ranked high in participation of policy advocacy and the development of community action plans. Individuals from HEIs ranked high in their participation in designing research questions and methodology, revealing an unequal balance in the ownership and direction of the research agenda.

## Challenges and Recommendations

The most common challenges indicated by respondents are differences in timeline expectations (43.7%), and the participation of members (42.9%). These challenges are indicative of a very different culture of process and practice between HEIs and CSOs. It is clear from these results that there is a ‘different language’ between these cultures and diverse institutional processes that shape how research partnerships function, and ideally flourish. The majority of the ‘Other’ responses fall within the category of funding, and most particularly the emphasis on CSOs needing to play a key role in management of funds to support staff. The challenge of ‘member participation’ can be indicative of unequal power and decision-making in partnership research. Research has shown that when equal and participatory processes in partnerships are established and respected, participants feel valued and are more likely to be active and engaged in the research process.

Respondents recommended a number of criteria to improve support for CURPs including support of funding and policy instruments, and increased responsiveness of government responding to societal challenges. Other suggestions include investing in training for CBR and the development of partnerships, which includes the significant time investment required to develop the vision, project parameters and governance prior to any submission for funding. This also links to the time required for students to be involved in CBR and more effective integration of CBR into course curricula. A suggestion for enhancing partnerships is through communication pathways for identifying potential community partners and matching needs with student learning opportunities.

## Training in CBR

Over half (52.4%) the respondents have not had training in CBR. There were over 80 open-ended responses to training needs, with the overwhelming theme being ‘methodological training’ to support collaborative research. This included both training at the university and community level in all aspects of CBR such as:

- valuing co-created knowledge and ways of increasing equity in partnerships,
- the philosophy and practice of partnered research, and
- methods and tools in participatory research, research design, data collection and analysis.

There is also a need for training in how to implement ‘community-driven’ research design, including protocols around community and indigenous knowledge ownership, intellectual copyright, partnerships structure and the implementation of activities. Awareness and capacity-building is also needed at the level of funding agencies and academic journals “to embrace community co-created knowledge”.

Other required skills identified in the survey were in project management, the development of research and funding proposals, technical training (e.g., mapping), knowledge mobilization and collaborative monitoring, and evaluation. In addition, there is a need for recognition of and funding support from institutions for capacity-building programs in CBR for community and university members. “The cost for community sector(s) already plagued by under-funding is a block to accessing the capacity building that would engender more equity in control and design of research”.

The findings of this study indicate the prevalence and diversity of community-university partnership research around the world. What is also clear is the strong desire to co-create knowledge and enact positive change through collaborations that have mutual benefit and shared decision-making power. In order to support this vision, however, there needs to be enabling policy and practice that builds the capacity of civil society to partner equitably with institutions of higher education. The following case studies and subsequent analysis provide a valuable guide for exemplary policy and practice in CURPs.

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# CHAPTER 4

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## Introduction to Case Studies

Rajesh Tandon and Wafa Singh

Community-University Engagement (CUE) is a multifaceted, multidimensional concept that can be applied to a vast range of activities, as well as to a certain view of the role the university has to play in societies (Escrigas, et.al, 2014). Engagement as a concept implies activity, interaction, sharing, and a dynamic that is in constant change and flux. It implies relationships between the university and communities at local, regional, national, international or even virtual levels. These relationships are sought for the reciprocal benefits of knowledge sharing and dimensions of co-creation that impact society and community, which are the central crux (McIllrath, 2014). The findings from the Global Survey in Support Structures for Community University Research Partnerships (Tremblay, et. al, 2014) highlight the different terminologies, structures, and networks prevalent worldwide, which are promoting and practicing CURPs in contextually appropriate ways. The practices and structures of engagement are rich and continually evolving. Some scholars speak of a community-university engagement movement (Talloires Network), service learning, Campus Compact, community-based research, engaged scholarship, CURPs and knowledge mobilization, and its variants, such as knowledge translation, impact or utilization (Escrigas et. al., 2014). According to the global survey,

...the different cultures of knowledge are using the CURP process to achieve different objectives. The main goals of HEIs are student training, co-creation of new knowledge, KM and problem solving; the main goals for CSOs are co-creation of new knowledge, capacity building, social change and support community services. (Tremblay et al., 2014, p. 9)

At the global level, there is evidence that we are moving from traditional engaged scholarship, which is based largely on the work of a number of committed individual scholars and their personal connections to community, to a new institutional approach. This new phase is characterized by the creation of many centres, some wholly located in communities, and new structures to enable the generation, facilitation and sustainability of CURPs (Hall et al., 2013). Just like a good architectural design is fundamental to the successful construction, maintenance and liveability of a home, likewise, the appropriate architecture is necessary in instituting policies and programmes that deepen, broaden, improve and sustain CURPs (Jackson et al., 2013). By structures facilitating CURPs, we mean the “existence or creation of administrative or organizational structures such as Science Shops,

Community University Partnership Programmes, Servix Aux Collectivities, Research Mobilization offices or other research partnership services” (Tremblay et al., 2014, p. 6). The University of Quebec in Montreal, the Science Shops in the Netherlands and structures in some of the South African universities have been around for 30-40 years. The U.S. land grant institutions claim a heritage of 150 years. This means that the institutionalization of research facilitative structures is very uneven, with some new structures being created in the past year or two and others much earlier (Tremblay et al., 2014). As per the survey, just over 60% of higher education institutions (HEIs) identified have some form of structure created to support CURPs within the last 10 years (Tremblay et al., 2014).

Other dimensions most often linked to CUE are student experiential learning, sometimes called service learning, knowledge mobilization or attention to the impact of knowledge generated within HEIs within the non-university world and attention to policy dimensions or issues of the culture within HEIs that support or hinder respectful engagement (Tremblay et al., 2014). Scholarship of engagement, public scholarship and community engaged scholarship are defined as the collaboration between academics and individuals outside the academy for the exchange of knowledge and mutually beneficial resources, in a context of partnership and reciprocity (Ruiz, 2014). Several different terms are used to describe such collaborative research processes between the HEIs and the communities such as participatory action research (PAR), community based research (CBR), community-university research partnerships (CURPs), community-university engagement (CUE), and community based participatory research (CBPR). According to the survey by Tremblay et al. (2014, p.12),

...CURP activities are predominantly identified within the areas of CBR (54.4%), CBPR (39%) and engaged scholarship. Nearly 45% of financial support for CURPs is from Government; 30% from within the HEIs, as opposed to CSOs, which seem to be more self-funded, with less coming from Government (35%).

Although there is a large variation in the language, conceptualization and practice of these engagements, from ‘extension’ to ‘co-creation of knowledge’, participatory methods are at the core of successful CURPs. The cases from the global south underscore the central role that participatory methods for enquiry and engagement play in the success of CURPs. Overall, the picture that emerges is that research partners select the mix of participatory methods that best suit their objectives and context, and are consistent with the expertise of their resource persons and organizations. However, Tremblay et al. (2014) also found that less than 15% of the CURPs identified in their research originated in the community. The majority were top down from HEIs and outside sources such as government, industry or research groups. Additionally, financial programs, instruments and mechanisms often emerge as the most identified support needed for CURP’s for both HEIs and CSOs.

Considering these factors, a decision was taken to carry out an in-depth study of institutional structures and arrangements, as well as policy provisions for facilitation and support of research partnerships between community groups and universities in different countries. It was in this context that this study of institutional arrangements for the facilitation and support of research partnerships between HEIs and CSOs was undertaken to develop a deeper understanding of the issue. Experiences and case studies from different countries were expected to present valuable information about aspects of systems that work well, and which areas need to be strengthened in order to bring CURPs into the mainstream of HEIs.

## Key themes

Each case study explored themes of policies, institutional practices in HEIs, and civil societies and community networks.

### Policies

Policy frameworks are analysed in the first section of the case studies. In many countries, the community-university partnerships movement has evolved at the grassroots level and very often within a policy vacuum. Yet there has been recent evidence of explicit policy and other policies at nascent stages of development. In some contexts, engagement features as a component of policies that relate to other aspects of higher education, such as policy aimed at the research agenda, but indicate the importance of knowledge sharing and exchange or acting through national frameworks for the recognition of education qualifications (McIllrath, 2014, p. 42).

The case studies explore the evolution of national and provincial policies, and analyze key issues such as: provision of a clear mandate with respect to mainstreaming engagement in the academia; rules for enforcement of similar guidelines; mechanisms of enforcement; accountability; and incentivization provisions. Additionally, certain financial elements associated with the policy framework were also reviewed. The detailed questionnaire is included at the end of this section.

### Institutional Practices in HEIs

The university has a responsibility to reach out to the community, to have a care or concern for the community, and to play its part in enhancing the well-being of the community (Barnett, 2014). The global survey findings pointed out the fact that, notwithstanding the unevenness in the distribution of models of community-university research structures, there was a consensus on that if CBR or CBPR is to be mainstreamed, institutional investment in structures to support and facilitate community interests and academic research interests is a key step forward.

The case studies each provide a brief account of two HEIs, who were considered by the editors as responsible institutions doing a commendable job in the context of community-university partnerships. Three crucial criteria were the institutional

structures, incentives and capacities. The focus was on specific structures within the universities that promote CBR/CURPs, their key functions, provisions and execution methodology. Information on incentives revolved around the credit provided to students/faculties for engaging in such work. If and how community engagement contributes to the accreditation of universities has also been covered in this section. Finally, information on institutional capacity refer to the potential to build partnerships in terms of available resources and other factors. In our opinion, some of the model universities were the University of Gottingen and Wageningen in the Netherlands; and Belfast University in Ireland. They are running Science Shops, which are specialized structures for promoting CURPs among all faculties in the University. Also worth mentioning is the Directorate of Research and Community Engagement in the University of Indonesia, and the Office of the Community Based Research (OCBR) at University of Victoria, in Canada.

### Civil Society/Community Networks

From the global survey findings, it emerged that

...there seems to be a trend in the engagement and decision-making process of CSOs in the life-span of the research partnership. They have higher active participation in networking and framing research agenda, and much less so when it comes to administration in research funding and data analysis. In addition, CSOs ranked high in participation of policy advocacy and development community action plan. (Tremblay et al., 2014, p. 9)

As the CSOs are key players in the process who bring in grassroot realities, they have great potential in helping the engagement agenda achieve its purpose. With this in mind, it was ensured that the account on local civil society in the case studies was centered on crucial pointers such as the civil society's networks, structures and capacities. Some of the important civil society networks that emerge from the account on the respective case studies are *Community Campus Partnerships for Health (CCPH)* in the United States, which has played a crucial role in policy formulation, in addition to providing visibility to CBR and community led research and action. Another worth mentioning is the *Participatory Research in Asia (PRIA)*, which has been an important stakeholder in the engagement process. Similarly, research approaches at *Community Based Research Canada (CBRC)*, Canada or *CEPARGO* in Brazil have been participatory and they have been encouraging community engagement in a multitude of ways.

### Methodology

This study was carried out in an attempt to analyze the different policies, structures and supporting networks with respect to CUE and CURPs. Further, the case studies are intended to illustrate how country policies on community-university partnerships have been playing a crucial role in mainstreaming CURPs. The selec-

tion of the individual countries for the purpose of this study has been based on prior information, and also from the broad findings emerging from the survey. Reflection of broad and varying practices and perspectives in a holistic manner was kept in mind during the finalization of the respective countries. After selecting individual countries, based on what emerged from the survey, the case studies have been categorized based on the prevailing policy environment for promoting CURPs in the different countries.

The first category is comprised of countries wherein a clear national/provincial policy for supporting such engagements and partnerships already existed, such as Argentina, Canada, Indonesia, Netherlands, Palestine, South Africa, United Kingdom, and the United States of America. The second category covered countries wherein such policies were in the making, or the possibility of institutionalizing such policies was high, such as, Brazil, India, Ireland, Jordan, Korea, and Uganda. Although most of the country case studies materialized and were successfully documented, the project lost out on covering Palestine and Korea due to unavoidable circumstances. Meanwhile, in India, the University Grants Commission (UGC), the apex body for regulating higher education in India, rolled out a scheme in October 2014 for fostering community engagement in HEIs. This new development was the first step forward in shifting India from the second category to the first.

Having selected countries for a detailed analysis of institutional structures, policies, and arrangements that support research partnerships, the project laid down a framework which formed the structural basis for the case studies. Firstly, in each selected country, existing policies and funding mechanisms were reviewed through secondary sources, and an assessment was obtained through interviews with knowledgeable sources. Based on this assessment, two HEIs were selected from each country, and the institutional arrangements for promoting and practicing CUE/CURPs were documented through secondary literature surveys and interviews with knowledgeable people inside the HEI. Although much attention was given to reflecting the various diversities, the final selection of HEIs was based on the access available to the researcher. In relation to those selected HEIs, experiences of partnership of local civil society and community structures was systematically collected through field visits and conversations for identifying what is working well and how. Assessment of civil society networks and mechanisms operating at provincial/national levels in the respective countries was made both with secondary materials available, and primary data through interviews and Focused Group Discussions (FGDs). Therefore, each of the case studies begins with the analysis of the policy framework with respect to CURPs, then goes on to the analysis of the respective HEIs and the institutional structure and provisions in place for CURPs. Finally, the studies end with examining a local civil society network that has been actively partnering with the HEI in practicing CURPs/CBR. For preparing the country case studies on similar lines, the UNESCO Chair in Community Based

Research reached out to the local knowledgeable resource persons in the respective countries, including practitioners and partners engaged in common networks (with shared goals and objectives).

Argentina's case study was co-authored by *Walter Lepore* (University of Victoria), and *Dr M. Alejandra Herrero* (University of Buenos Aires). Here, community engagement is carried out under the broad framework of 'Service-Learning', well supported by the policy actors such as the National Ministry of Education in the form of National Programs on Service Learning. The Canada case study, co-authored by *Dr. Leslie Brown and Dr. Budd Hall* (University of Victoria), *Dr. Joanna Ochocka* (Centre for Community-based Research) and *Dr. Sylvie de Grosbois* (Université du Québec à Montréal) emerges as an ideal example of a country having suitable structures in place for promoting CE. Despite of the absence of a federal government dossier on higher education, the Association of Universities & Colleges (AUCC) has been playing a critical role in setting standards for engagement.

Indonesia stands out as a country which enjoys the strongest policy support for CE activities, and its case study was co-authored by *Citra Wardhani* (University of Indonesia) and *Nur Sri Ubaya Asri* (University of Indonesia). The policies, articulated by the Directorate General of Higher Education & Ministry of Education & Culture, clearly provision the mainstreaming of CE into the university curriculum. The Netherlands study, co-authored by *Dr Henk Mulder* (Groningen University) and *Dr Gerard Straver* (Wageningen University), presents a case wherein the overall policy framework guides towards 'transferring knowledge on behalf of the societies as the third mission of the universities'. South Africa emerges as another case having a strong national policy. The Department of Higher Education and Training (DHET) provides a broad framework for the forms of community engagement-socially responsive research, partnerships with civil society organizations, etc.

The case study on United Kingdom, co-authored by *Sophie Duncan & Paul Manners* (National Coordinating Centre for Public Engagement), also places a lot of importance on public engagement in research. The UK Higher Education Initiative (supported by UK HE funding councils, research councils and Wellcome trust) has been a key actor promoting such efforts. While the U.S. does not have clear policy provisions promoting CUE, the Land Grant Universities (LGUs) have shown commitment towards CBR, and have been carrying out community-university partnerships in agriculture in a coordinated framework. The U.S. case study was drafted by *Dr. Elizabeth Tryon* (University of Wisconsin-Madison), *Dr Philip Nyden* (Loyola University Chicago) and *Dadit Hidayat* (University of Wisconsin-Madison).

The first country case in the second category is the Brazilian study, which is co-authored by *Dr. Crystal Tremblay* (University of British Columbia) and *Dr. Jutta Gutberlet* (University of Victoria) and *Michelle Bonnatti* (University of Buenos Aires), is an example of how a country has developed a favourable environment for CE.

The facilitating policies under the ‘Citizen Constitution’, call for HEIs to link teaching, research and services to the community, a concept referred to as *extensao*. The Indian case study, co-authored by *Wafa Singh (Participatory Research in Asia)* and *Dr. Rajesh Tandon (President, PRIA & Co-Chair, UNESCO Chair in Community Based Research and Social Responsibility in Higher Education)*, suggests hope for how the policy perspective towards CE has been gradually changing for the better. With key policy actors such as the University Grants Commission (UGC) and the Ministry of Human Resources Development (MHRD) playing a lead role in devising new schemes and initiatives, CE is gradually gaining ground.

The Ireland case study, authored by *Dr. Lorraine McIlrath (National University of Ireland)*, is an example of how gaps in national policies can impede the process of mainstreaming CE into the university framework. Here, although the policy vision broadly offers support for CBR, there is no requirement for CBR practices to be implemented within the HEIs, or for designated funding that supports such efforts. Despite the absence of a structured policy framework, certain universities are seen as performing fairly well in the field of CUE. The Jordan case study, authored by *Danielle Feinstein (American University in Cairo)* and *Mohammad Rabai (The Gerhart Center for Philanthropy and Civic Engagement)*, is a case which seems to be mired with conflict conditions. The instability in the country results in an unfavourable environment for CE in general and CURPs in particular. Finally, the last country case in the second category is the Ugandan study which is authored *Dr. George Ladaah Openjuru (Gulu University)*. The Ugandan case again shows a country which faces both the weak formulation of policies on CUE and their poor implementation. Although the broad provisions under the *Universities & Other Tertiary Institutions Act (UOTIA)* directs the universities to include solutions to social and economic problems of the community in their teaching and research programmes, CUE is not made compulsory for higher education.

The next section of the book goes further to document the experiences from the twelve country case studies. This is followed by a comparative analysis of the cases with respect to national policies, institutional structures and CSOs/other networks, which draws out the broad themes that emerge from the cases.

## **IDRC Study on Mainstreaming Community Based Research: Framework for Preparing Country Based Case Studies**

### **Purpose**

Case studies are intended to illustrate how country policies on community-university partnerships are being institutionalized and practiced at the level of HEIs and community organizations. The methodology described below is intended to achieve the above purpose. The framework with respect to the case studies to be selected can be outlined as per the indicators mentioned below.

## Selection of Countries for the Case Study

In-depth case studies in selected countries will cover the questions in the framework provided later. It appears meaningful to select two types of countries:

- the first category comprises of those where a clear national/provincial policy for supporting such engagements and partnerships already exist. Countries identified include Canada, South Africa, United Kingdom (UK), Indonesia, Argentina, Netherlands, U.S., Palestine
- the second category comprises of those countries where such policies are in the making and potential for institutionalization of such policies is very high. These are India, Uganda, Brazil, Korea, Ireland & Jordan.

## Methodology

- 1) The finalization of 15 country case studies will be based on both prior knowledge and emerging information from the survey. The above list of countries is finalized on May 17.
- 2) In each selected country, existing policies and funding mechanisms would be reviewed through secondary sources, and assessments of the same obtained through knowledgeable sources through personal and/or skype interviews.
- 3) Based on this assessment/review, two HEIs will be selected in each country for review of institutional aspects; this part may require study of existing documents and interviews with knowledgeable people inside the HEIs.
- 4) These two HEIs in each country may be so selected as to provide for diversity—national/local, urban/rural, large/small, public/private, etc. Key consideration in such a choice would be the selection of those HEIs which resonate with the perspective of this study.
- 5) In relation to those selected HEIs, experiences of partnership of local civil society and community structures would be systematically collected through field visits and conversations to identify what is working well and how.
- 6) Assessment of civil society networks and mechanisms operating at provincial/national levels in those countries would be made both with secondary materials available, and primary data through interviews and FGDs.

## Deliverable

The timeline for delivery of initial draft of each case study is end of October 2014. Each case has to be written in a manner that it can become a standalone document for the book, and its experiences can be used as exemplars for the proposed Handbook. The case study should be about 15-20 pages (4500-5000 words) and if practical policies, tools and instruments are collected in the course of preparing these case studies, they can be shared with the project coordinators.



## Framework of Study

The following sets of questions need to be answered in preparing country case studies; in addition, there may emerge some nuances which may be important to capture, beyond the check-list below. Please keep in mind the purpose of each case study while collecting data and writing it.

### I. POLICY

#### a) National/Provincial Policy

- i) What policies are in place (national/provincial) that facilitate community-university engagement and community-based research?
- ii) Do the policies mandate the HEIs to include such engagement with the community, within their curriculum?
- iii) Are there any specific rules/laws/guidelines that enforce such activities?
- iv) Do the policies list down the provisions to ensure the engagement activities? Or is the HEI free to devise its own mechanisms?
- v) Does the policy envisage any monitoring mechanism or fix accountability for the compliance of its provisions?
- vi) Does it provide certain added benefits for the respective complying university, such as a qualifying criterion for accreditation purposes?

#### b) National/Provincial Funding Mechanisms

- i) How are the engagement activities between the university and the community funded?
- ii) Is the funding a wholly government initiative? Or do private players also participate in it? Do other networks, such as civil society also contribute?
- iii) Is the funding meant only for research activities? Or does it envisage other programmes such as development and educational programs and initiatives?
- iv) Is the funding available appropriate to recover the costs of such engagement activities? If not, how are the expenses met?

### II. HIGHER EDUCATIONAL INSTITUTIONS

(These questions may be answered for each HEI selected)

#### a) Institutional Structures

- i) Are there any specific structures within the HEI which help facilitate the process of community-university engagement?

- ii) Do these structures envisage certain key provisions that helps mainstream community based research within the traditional research carried out in the university premises?
  - iii) What are the mechanisms through which they ensure the sustenance of such collaborative ventures with the community?
  - iv) Are they mandated by law to serve certain key provisions under the community-university engagement arena?
- b) Institutional Incentives
- i) Is the work done under the premise of community engagement included within the curriculum of the university?
  - ii) Does the HEI award academic credits to students who indulge in such community engagement work?
  - iii) Is any professional credit attributed to those teachers/professors who work with students on such projects? Does involvement in such work pave the way for their professional career enhancement, by way of promotions etc.?
  - iv) Does the institution encourage students to undertake such work, through other kind of incentives (apart from academic credits?) If yes, what are they?
- c) Institutional Capacity
- i) What are the capacities of the HEI with respect to CBR? Any specific mechanism in place that helps facilitate this process?
  - ii) What are the capacities with respect to building partnerships with the community or the civil society?
  - iii) Are there enough resources to invest in such engagement opportunities?
  - iv) Are there any specific provisions within the university structure, in line with the theme of community-university engagement? Or any means through which the University endorses any such activity?

### III. COMMUNITY/CIVIL SOCIETY

(these questions may be answered for each CSO or network identified)

- a) Networks
- i) What are the networks that are promoting CBR, especially with a view to facilitate engagement of civil society with HEIs?
  - ii) What kind of roles do they play in creating, promoting and ensuring engagement opportunities, at the national and the provincial level?
  - iii) How do they facilitate such engagement by way of their interventions?

- iv) How do they network with other organizations, in order to promote such engagement?
- b) Structures
- i) What kinds of structures/organizations exist in the community that facilitate engagements with HEIs?
  - ii) How do these structures get created, strengthened and supported by HEIs and/or other intermediaries?
  - iii) Are these temporary, project-specific structures or ongoing community mechanisms playing an additional role?
  - iv) What kinds of leadership and decision-making mechanisms do these structures have?
- c) Capacity
- i) What are the capacities with respect to community based research or community-university engagement in local community and civil society?
  - ii) What are the capacities in such community structures with respect to building partnerships with other networks/organizations?
  - iii) What kinds of funds do these community/civil society structures have to support their engagements with HEIs?
  - iv) What kinds of protocols support equity in sharing of financial resources made available to HEIs for such partnerships with civil society and community?

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# ARGENTINA

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## It Takes Two to Tango: Community-University Research Partnerships in Argentina

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Institutional practices that promote community-university partnerships (CURPs) in higher education institutions (HEIs) of Argentina are commonly framed within the pedagogical approach widely known as service-learning (S-L). This is an umbrella concept that refers to course-based, credit-bearing forms of experiential education in which students: (i) engage in an organized service activity that addresses identified community needs, and (ii) reflect on the service activity to achieve desired learning outcomes and an enhanced sense of personal values and civic responsibility (Jacoby, 1996; Bringle, Hatcher & McIntosh, 2006). Over the last decades, S-L has been embraced across countries, institution types and disciplines as both a mechanism for engaging faculty and student with community partners, and a high-impact structured opportunity to meet academic learning objectives (Eyler & Giles, 1999; Furco, 2005; Tapia, 2006; Herrero, 2010; Felten & Clayton, 2011; Flecky, 2011).

In Latin America, S-L is directly related to the idea of ‘solidarity’, which is considered the basic principle of a pedagogical model that promotes social transformation by working along with the communities to solve specific problems (Aranguren, 1997; Diéguez, 2000). In this region, the adoption of this pedagogical approach is probably the only bottom-up reform generated by education institutions that was later accompanied with further initiatives implemented by the states at the national and provincial levels (Filmus, 2007; Ochoa, 2010; González et al., 2012). S-L in Latin American countries is associated with a range of pedagogical practices. For example, ‘curricular social service’ in Mexico, ‘university community work’ in Costa Rica, ‘educational volunteering’ in Brazil, ‘learning + action’ in Chile, or ‘solidarity education projects’ in Argentina, (Tapia, 2008). In this chapter, we analyze the case of Argentina, one of the few countries in the region where a clear national policy for supporting community-university engagements and partnerships has been in place for more than a decade.

The Argentinean education system has a long tradition of community-oriented activities initiated with the University Reform of 1918, which started as a student movement in the Province of Cordoba and succeeded in democratizing the bylaws and constitutions of universities nationwide. The reform was based on the principles of university autonomy, institutional co-government, unrestricted student access, public examinations for faculty candidates, and university extension. The spirit of this process was to transform the university in order to meet the education needs of an emerging professional middle class (Tünnermann, 2003).

For decades, however, universities had a paternalistic approach which viewed extension and outreach activities as part of a unidirectional relationship of generation, dissemination and transfer of knowledge from the university to the society (Tünnermann, 2003; Tapia, 2008). It was not until the early 2000s that S-L goals were explicitly included in legal and normative frameworks that regulate the higher education system.

The Argentinean economic, social and political crisis of 2001 intensified the efforts initiated in the mid-1990s to engage education institutions with community partners in a bidirectional relationship of commitment and participation that contributes to social transformation. In order to support this process, the federal government implemented three national initiatives to develop and consolidate community-university partnerships between civil society organizations (CSOs) and HEIs. The national program of S-L and the University Volunteering Program were introduced in 2003 by the National Ministry of Education (NME). The Socio-Technological Development Projects were initiated in 2012 with the support of the Ministry of Science and Technology and the National Inter-University Council. These *Proyectos de Desarrollo Tecnológico y Social* or *PDTs* are aimed at solving problems identified by the communities related to the sustainable development of the country. In contrast with traditional projects, they propose a participatory knowledge production process from the conception of the research project to the adoption of the results (see [www.mincyt.gob.ar/accion/pdts-banco-de-proyectos-de-desarrollo-tecnologico-y-social-9173](http://www.mincyt.gob.ar/accion/pdts-banco-de-proyectos-de-desarrollo-tecnologico-y-social-9173)).

These national initiatives are part of a paradigm shift initiated in 2003 to redirect education, science and technological innovation towards a new production model that generates greater social inclusion. The investment of the federal government in public education as a ratio of the GDP increased from 3.86 % in 2003 to 6.47 % in 2011. During the same period, the budget for the national university system experienced an eight-fold increase (Comisión Nacional de Evaluación..., (n.d.)).

In order to gain a better understanding of the implications of S-L for developing community-university research partnerships within Argentinean HEIs and their community partners, we will focus only on the first policy of the NME. Based on semi-structured interviews with faculty members and professionals involved in community-university partnerships, and related secondary sources of

information (laws, norms, ministerial publications and reports, news, websites) we identified the main institutional arrangements and organizational structures that promote community-university engagements in different organizational settings. In the last sections, we present key conditions and challenges for the practice of S-L and community-university participatory research that emerged from the empirical experiences analyzed here.

## Service-Learning in the Argentinean Education System

The dissemination and promotion of S-L started in the 1990s with the reforms of the secondary school system at the provincial level. Inspired by the experiences of the provinces of Santa Fe from 1986 and Buenos Aires from 1997, the NME launched in 2000 the *National Program School and Community* that incorporated S-L goals as an explicit objective of the basic education policy. The purpose of *School and Community* was to train teachers and community leaders, produce teaching and training materials, and articulate the relationships between schools and local CSOs. In line with this program, the NME created the presidential prize “Solidarity School” with the purpose of recognizing and awarding sustainable S-L practices, and fostering the dissemination of best practices across the country.

After two years of interruption due to the crisis of 2001, *School and Community* was redesigned and launched in 2003 as the *National Program Solidarity Education* (Edusol). This program has continued to encourage community services through S-L and has extended its scope to the entire education system, including HEIs. Edusol is organized around two key objectives: the promotion of S-L (awards and recognitions, training activities, publication of training material for teachers and community leaders, and promotion of youth leadership); and the articulation with CSOs (e.g., public consultations, educational forums and international seminars for CSO working on education themes; training opportunities for community leaders and the CSO’ managers, staff and volunteers).

As a strategy to promote S-L in HEIs, the NME created in 2004 a presidential prize called “Solidarity Education Practices in Higher Education.” Its main goals are: (i) to map and recognize public and private HEI that effectively integrate academic learning with community services; (ii) to build institutional linkages between HEIs and CSOs that contribute to collaborative community development; and (iii) to promote socially committed professionals in a variety of disciplines. As we describe below, the prize has played an important role in the consolidation and institutionalization of S-L and community outreach practices within Argentinean HEIs. To date, Edusol has registered 27,575 experiences of S-L, with participation from more than 15,000 educational institutions, including high schools, universities and institutes. Among the activities in Edusol’s articulation with the civil society, an important role was played during the public consultation process that led to the enactment of the National Education Act in 2006. Thanks to Edusol, the NME was able to incorporate recommendations from more than 70

CSOs working on education themes into the rulemaking process of the Act (see [www.me.gov.ar/edusol](http://www.me.gov.ar/edusol)).

The National Education Act (N° 26.206) establishes two pillars of the S-L approach as objectives of the education policy: a civic and academic participatory education, and advanced learning goals combined with conscious reflection and critical analysis. This is laid out in Articles 32 and 123 (see [portal.educacion.gov.ar/consejo/files/2009/12/ley\\_de\\_educ\\_nac1.pdf](http://portal.educacion.gov.ar/consejo/files/2009/12/ley_de_educ_nac1.pdf)).

In consonance with this legal framework, the Federal Council of Education (FCE) has been assigned the responsibility of establishing the necessary measures that help apply S-L practices across the country as can be seen in Resolution 17/07, Art. 2 ([www.me.gov.ar/consejo/resoluciones/res07/17-07.pdf](http://www.me.gov.ar/consejo/resoluciones/res07/17-07.pdf)) and Appendix I ([www.me.gov.ar/consejo/resoluciones/res07/17-07-anexo.pdf](http://www.me.gov.ar/consejo/resoluciones/res07/17-07-anexo.pdf)).

The FCE is the agency that coordinates the education policy to ensure the unity and articulation of the national education system. Along with the Ministries of Education, and Science and Technology, the FCE establishes policies, regulatory mechanisms and assessment criteria concerning HEI under national and provincial jurisdictions. The FCE is composed of the Minister of Education, the highest educational authority of each province and three representatives of the Council of Universities.

Aligned with the National Education Act, the Higher Education Act (N° 24.521) mandates the University to promote associative mechanisms to solve regional and national problems, and to contribute to social development by providing services and scientific and technical assistance to the State and the communities, as can be seen in Articles 4 and 28 (see [www.me.gov.ar/consejo/cf\\_leysuperior.html](http://www.me.gov.ar/consejo/cf_leysuperior.html)). In the same vein, the academic staff of public HEIs are required by law to participate in the institutional life of the university by teaching, researching and providing services to the community (Article 12). As declared by Daniel Filmus, Minister of Education from 2003 to 2007, Argentina's education policy has explicitly recognized S-L as an innovative approach through which the universities can bridge the gap between theory and practice, integrate the extension, research and teaching functions, and contribute to the institutional social responsibility and academic excellence (Filmus, 2007, p. 37).

It must be noted though that the aforementioned principles, objectives and duties that frame the institutional life of Argentinean HEIs are not accompanied by other supporting enforcement provisions of the NME or the FCE. Special funds for S-L projects, incentives for community leaders, faculty and students involved in participatory research, or clear measures ensuring mutuality and equity in community-university research partnerships are still absent in the normative frameworks that regulate the institutional life of Argentinean HEIs and the relationship with their local partners. As explained in Figure 5.1, some S-L projects may be financially supported by the NME through the University Volunteering Program which incorporates clear procedures for funding, monitoring and reporting.



Overall, S-L practices in Argentinean HEIs are still regulated by broad, non-specific normative frameworks, including those that regulate the national research evaluation system and the national incentive scheme for academic staff. Far from facilitating the implementation of S-L practices, those general frameworks still prioritize conventional scientific developments and second-rate the role of community-university partnerships, sharing resources with non-academic actors and building community capacities as effective ways to produce scientific knowledge. What we have observed is that some Argentinean HEIs are going beyond what is mandated by the state, promoting the inclusion of S-L in institutional projects and curricula, and implementing innovative practices to respond to multiple demands and needs of their local communities. In the exercise of their academic and institutional autonomy, private and public universities are developing the incentive systems, supporting structures and evaluation mechanisms required to undertake extension and community services plans according to their institutional identities, governance structures, immediate context, potential partners and academic needs. One interviewee clearly described this situation as follows:

The commitment to service learning is still an institutional option, not a systemic decision. The challenge [for HEIs] is to have an impact on the existing academic, evaluation and teaching systems. Unfortunately, the universities are prey to these systems which are actually embedded power structures.

In 2003 the NME created the University Volunteering Program with the goal of strengthening the social function of the Argentinean universities. Since its inception the program has sought the integration of the knowledge generated in the classrooms with the most urgent problems of the country. The goal is that students and academics work along with the community on projects that improve the population's quality of life.

To date the NME has launched nine national calls for university volunteering projects. In 2014, the Ministry funded 788 projects (out of 1,600 submitted) where 11,176 students and 3,000 teachers from 48 public universities worked together with 1926 participating organizations. In 2014 the NME has allocated to the program approximately US \$2M, which represents an increase of 18% compared to the previous edition.

The NME provides a monetary stimulus up to US \$3,000 to each project which should be designed and implemented by a team formed by at least ten students of a public HEI and one or more university professors. The funds may be used to finance fixed assets and consumption goods, travel expenses, dissemination material and commercial services, but not to provide salaries, scholarships or any monetary compensation

to the participants. The funds are granted by the NME to the universities that are accountable for their proper and planned use.

Every volunteering project must contribute to local development and community building, and demonstrate a significant link to the training of the participating students. The projects have a duration of 6 to 12 months and address issues related to inclusive education policies, work and employment, access to justice, environment and social inclusion, and health promotion. The project proposals are assessed by an Evaluation Committee which is comprising a panel of academics and practitioners. Some of the main evaluation criteria are: the expected impacts on the target population, interdisciplinarity, the participation of governmental and non-governmental actors, and the articulation between the volunteering activities and other research projects or training methods such as fieldwork, pre-professional practices, curricular credits, or S-L projects.

To apply for funds the applicants must provide an exhaustive project description, including activities that will be undertaken by the student volunteers and the community actors, a work plan and a detailed budget. Every project must demonstrate the participation of third parties, formally expressed in a Letter of Commitment.

The NME's Secretariat of University Policies is responsible for monitoring and controlling the projects. The Secretariat analyzes preliminary and final reports submitted by the volunteering teams, makes visits to the supported communities and may request public and/or private audit reports. The NME proposes a dialogue process with various actors involved in the project, in order to incorporate the perception of the recipients and participants, to develop a space for collaboration, and to generate and disseminate transparent information.

After the project is completed, each university issues certificates that accredit participation in the volunteering project.

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**Figure 5.1** Smart Practice: The University Volunteering Program

## **Strengthening Community University Research Partnerships at Argentinean HEIs and CSOs**

National education policies in Argentina establish general criteria and guidelines that local jurisdictions adapt to their own realities and needs. Federal education frameworks directly regulate HEIs that are funded and evaluated by the national government, and allow provinces to plan their own academic offerings, design curricula,

manage and allocate resources, and apply specific regulations to the education institutions under provincial jurisdiction. Private HEIs are subject to the authorization, recognition and oversight of the corresponding jurisdictional education authority.

The following pages describe impacts of the national policy of S-L on institutional partnership structures created to provide community services and develop stable community-university engagements. In this section we will use the term service-learning (S-L) to encompass diverse types of participatory research, experiential learning practices and community-oriented activities carried out by Argentinean HEIs and CSOs. Examples include social responsibility projects with curricular links, direct interventions, community-based participatory research, and community outreach projects, just to name a few. We highlight four case studies that describe different yet equally illustrative examples of institutional arrangements that promote community-university collaborations:

- 1) *Universidad Católica de Córdoba* [Catholic University of Córdoba]
- 2) *Universidad Nacional de General Sarmiento* [National University of General Sarmiento]
- 3) *Red Comunidades Rurales* [Network of Rural Communities]
- 4) *Cáritas Arquidiocesana de Córdoba* [Caritas Archdiocesan of Córdoba].

### **Universidad Católica de Córdoba (UCC)**

The UCC was the first private university founded in Argentina and the only one entrusted to the Society of Jesus (Jesuits). This is a small university with less than 10,000 students, and a hierarchical organizational structure. It offers traditional academic programs mainly aimed at the rapid integration of students into the labour market, such as accounting, business administration, law, engineering, and medicine (see [www.ucc.edu.ar/portalnuevo/?m=1](http://www.ucc.edu.ar/portalnuevo/?m=1)).

Since its inception in 1956, the UCC has been a model of academic quality, scientific research and social engagement. The UCC has more than 30 years of experience providing volunteering and community services based on the work of pastoral groups. It was not until 2005 that the outreach activities of the UCC were systematized and institutionalized with the Area of University Social Responsibility (AUSR), depending on the Vice-Rector of Mission and Identity. In 2011, the AUSR acquired a higher organizational status when it was transformed into the Secretary of University Outreach and Social Responsibility (SUOSR) (or *Secretaría de Proyección y Responsabilidad Social Universitaria*-SPyRSU) that depends on the Academic Vice-Rector.

The social function of the UCC is integrated and equated in terms of organizational hierarchy and relevance to the academic functions already consolidated in the university: teaching, research, graduate studies, and teachers' training. These other functions are in charge of the Academic Secretary and the Secretaries of Research, Graduate Studies, and University Pedagogy, respec-

tively. The SUOSR is responsible for implementing the Community Outreach Policy of the UCC inspired by the university social responsibility framework developed by the AUSJAL, a network of universities entrusted to the Society of Jesus in Latin America.

### **Institutional capacities for CURP at the UCC**

Creating the SUOSR was part of a firm strategy of the UCC to consolidate university community outreach and social responsibility as permanent practices with broad institutional scope. This strategic decision was boosted by internal and external circumstances that helped transform an educational program, which began in 2004 as an elective course of the Faculty of Architecture, into a stable space specifically responsible for designing and implementing outreach programs and projects with curricular links. In 2005, the new Rector, R. Velasco, played a critical role leading the conversion process of the UCC's educational identity in favour of social responsibility and the co-creation of knowledge as institutional core values (Caranza, 2013).

Also in 2005, the Faculty of Architecture was awarded the presidential prize "Solidarity Education Practices in Higher Education" and, in 2006, the AUSR received technical support from the University Network for Ethics and Development depending on the Inter-American Development Bank. Both the governmental recognition provided through Edusol and the external funding supported by an international organization were critical to strengthening community outreach activities within the UCC, by giving them internal and external visibility that helped overcome certain internal resistances to the S-L approach. Third, in 2007, the UCC was nominated coordinator of the AUSJAL's Network for University Social Responsibility that articulates the outreach policies, indicators and self-evaluation systems for 25 Latin American universities. The UCC's role as network coordinator, along with the institutional support provided by the AUSJAL, have contributed to sustaining an internal and external commitment to the S-L approach that has continued after the new university authorities were nominated in 2013.

Since its inception, the SUOSR has promoted training workshops for designing and budgeting outreach projects, teacher training seminars for raising awareness about S-L, and methodological training. The 2009-2013 UCC Development Plan has opened a stage of consolidation and institutionalization for community outreach practices within the UCC by broadening the Secretary's institutional scope. On the one hand, the SUOSR established, along with the Secretary of Research, an evaluation system to assess the relevance of outreach projects submitted by faculty members. According to the new Development Plan, it is mandatory for the academic staff to include at least one stable outreach project with curricular links in their teaching plans. On the other hand, in coordination with the Academic Secretary, the SUOSR has managed to incorporate specific criteria and

scores in the selection and promotion of faculty members so that S-L projects are valued on equal footing with more conventional scientific research. Furthermore, in 2011, the SUOSR promoted a curricular reform in which every undergraduate student has to dedicate a minimum of hours to an S-L project. Since the curricular reform was introduced, all UCC undergraduate students are required to allocate at least 10% of their annual workload to community outreach projects, programs and activities accredited and managed by the SUOSR.

Regarding the funding supports for S-L projects, the Secretary has its own annual budget which is part of the general budget of the UCC. The SUOSR may also seek external funding, apply for awards and competitions, and request donations of materials and supplies for community outreach projects. A stable annual budget has allowed the SUOSR to finance the operating costs of the projects (US \$1,000–1,200 per project), to give monetary awards to graduated students whose dissertations are based on effective S-L experiences (approximately US \$650 per student), and to provide monetary incentives to UCC teachers and staff who have successfully completed an annual S-L project and demonstrated the achievement of learning and knowledge production goals. In 2013, the Secretary allocated approximately US \$50,000 in incentives (US \$250–300 per person annually).

The community outreach initiatives are implemented after the necessary budgetary allocation for their proper development is assured. The resources required for the operation of participatory community-based programs and projects may be provided by the SUOSR, the academic units and areas where those activities are organized and executed, and/or external sources such as national and provincial governments or private organizations. The community-university collaborations are formalized through agreements or letters of intent as a way to ensure the project's sustainability over time. The type of collaboration, the allocation of responsibilities among partners and the supporting resources are established according to the nature of the project.

There are three types of outreach projects managed by the SUOSR: stable, with curricular links and special. The first involves teaching, research and/or outreach initiatives that ensure the active participation of students as an academic practice is institutionally validated. These programs have a stable character in terms of the degree of institutionalization acquired over time and the continuity of on-going actions and results. The second type refers to S-L projects with outreach actions in disciplinary contexts during an academic year. The two minimum conditions expected are a community-service activity in partnership with an external actor and a learning activity for the students. The last type of project is aimed at addressing specific issues which emerge from the community (i.e., CSOs, unattended sectors or public organizations) that require a fast and flexible problem-solving approach. Consequently, the special outreach projects have different formats and are directly linked to developing specific disciplinary competencies.

These three types of initiatives, in line with the UCC's Community Outreach Policy, enhance the engagement of the university's internal community (students, teachers, researchers and administrative staff) with the local civil society by fostering different forms of community-university partnerships for mutual learning.

### **Universidad Nacional de General Sarmiento (UNGS)**

The UNGS is a small-size public university created in 1992 to meet local and regional education needs that were not covered by traditional academic offerings. Its main campus is in Malvinas Argentinas, a locality in the Province of Buenos Aires marked by high levels of poverty and other related conditions. Since its inception, the UNGS has facilitated the convergence of research, teaching and community services to contribute to the socio-economic development of the local communities. The relationship with the local context is a key component of the UNGS identity, and has determined its origin, strategic project, institutional design and on-going development (see [www.ungs.edu.ar/ms\\_ungs/](http://www.ungs.edu.ar/ms_ungs/)).

As a local strategic actor, the UNGS has established different institutional instances to carry out local development projects and collaborative knowledge production processes (Martínez Porta, 2006). Interdisciplinarity is core to the UNGS, thus the research, teaching and services functions are grouped into four multidisciplinary institutes: Institute of Science (ICI), Institute of Conurbano (ICO), Institute of Human Development (IDH) and Institute of Industry (IDEI). The Institutes are academic management units that define the democratic and horizontal governance structure of the university.

The UNGS has followed since its creation a university model that is mainly articulated around problems and themes, instead of traditional disciplinary bodies. This involves adding to the functions of production and dissemination of knowledge the explicit goal of doing multidisciplinary research linked to the needs, problems and challenges that emerge from the interaction with social actors of the immediate context. Over the years the UNGS has achieved a high degree of openness, public recognition and effective collaborations working on relevant problems that affect local communities (Martínez Porta, 2006; Abramovich et al., 2012).

### **Institutional capacities for CURP at the UNGS**

In order to promote research partnerships and engagements, the UNGS has established the Community Services Centre to manage, promote and disseminate local and regional development projects that connect students, faculty members and a variety of stakeholders (governments, private firms and CSO) in an institutionalized manner (see [www.ungs.edu.ar/ms\\_centro\\_servicios](http://www.ungs.edu.ar/ms_centro_servicios)). This unit integrates the S-L and outreach initiatives presented by UNGS professors that have an impact on key academic functions. Thus, the three principles that structure the institutional identity of the UNGS (i.e., research, teaching and community services) are embodied in the development of training courses and diplomas for non-

academic stakeholders, external consulting services, basic and applied research, and local development projects that contribute to the strengthening of science and technology. These community services are offered to achieve two critical goals: (i) to provide solutions to problems identified by civil society actors; (ii) to improve the entire process of knowledge production and the existing training and teaching practices within the UNGS.

Unlike the UCC that created a Secretary with high organizational status and secured budget for S-L activities, the Community Service Centre is a sub-unit of the Rector's Office. From a structural-functionalist perspective, this organizational arrangement could be understood as a limitation to the Centre's decision-making capacity and scope, with fewer possibilities to formalize and institutionalize CURP practices across the university. Notwithstanding, the Centre's structural design responds to the way in which the UNGS is structured around Institutes with sufficient autonomy to integrate the research, teaching and services functions according to their own academic needs and specific local problems. This institutional arrangement has allowed the UNGS a high degree of permeability and interaction with different sectors of the civil society, and the construction of two-ways processes that integrate the voice of the community since the conception of the academic activities. The UNGS horizontal governance structure has also contributed to reduce bureaucratization issues along the process of building community partnerships and to achieve the institutional flexibility and openness that are needed to develop different forms of community-university collaborations.

In order to institutionalize the interaction mechanisms between the UNGS and civil society, the Community Service Centre—advised by local CSO—created in 2012 the Social Council of the UNGS. This is a collegial body that presents to the university projects that attend social, economic, cultural and educational needs of the community; recommends actions and procedures to consolidate community-university engagements; promotes contracts and agreements between the UNGS and CSO; and provides advice in matters related to the institutional articulation and cooperation with the community. The Social Council is integrated by the Rector of the UNGS, members of local CSOs, and public and private legal persons who are nominated for a three-year period. All the meetings of the Social Council are public and the decisions are approved by an absolute majority.

The Social Council, while not mandated by federal laws, has been recently implemented in several national universities to express their political and institutional will to promote the collective construction of knowledge and systematic dialogue between public universities and communities. The National Inter-University Council, which coordinates relevant policies of the public higher education system, is developing strategies for all national universities to incorporate Social Councils into their structures.

Regarding the engagement of faculty members in S-L activities and projects, the provision of community services is a main component of their participation in the institutional life of the university. Going beyond what is mandated by law, the selection and promotion processes of the academic staff have incorporated specific criteria to assess and award the faculty candidates who have provided community services and co-created knowledge with civil society actors as part of their academic experience. It has to be mentioned, however, that the bylaws, resolutions and other regulations of the UNGS do not reflect a similar degree of formalization or clear protocols to approve economic and institutional incentives to S-L initiatives and the staff involved. The UNGS is still in the process of building its own incentive system to make S-L projects “more attractive” to the academic personnel. To finance non-paid community services, the academic staff can apply for economic stimuli managed by the Community Service Centre.

Regarding the curricular links of S-L practices promoted by the Institutes, the UNGS has systematized a pedagogical experience called ‘Interdisciplinary Laboratories’ which is aimed at overcoming the traditional, paternalistic approach to university extension. The UNGS has three laboratories (Environmental, Entrepreneurial skills, and Social Networks and Living Conditions) that are part of the undergraduate curriculum. This pedagogical approach articulates the acquisition of theoretical knowledge with practical interventions to solve a problem presented by the civil society to the university (Abramovich et al., 2012). The nature of this community-university collaboration described by an UNGS professor:

...the contribution made by the university has to be embedded in a strategy that belongs to other people. You may agree with them due to political-ideological reasons but it has to be externally defined, it does not belong to you...the impact [of the Laboratories] on the university is huge, the impact on the CSO depends on the institutional relevance of the problem or need that has to be addressed.

Since the implementation of the Laboratories about 10 years ago as mandatory courses, the UNGS has collaborated with more than 35 social organizations and networks of the Metropolitan Area of Buenos Aires. In 2008 and 2010, the Laboratory of Social Networks and Living Conditions has been selected by the presidential prize “Solidarity Education Practices in Higher Education” as one of the top 20 S-L experiences of Argentina. This governmental recognition has helped the consolidation of the Laboratories within the UNGS and the external dissemination of the learning experiences through the participation of teachers, community partners and students in congresses, seminars and international meetings on university extension and S-L.

## **Red Comunidades Rurales (RCR)**

The RCR is a network created in 2006 by a multidisciplinary group of professionals with the goal of coordinating efforts to promote education and community



development in poor rural areas. The activities of the RCR are mainly focused on northern Argentina, where a high percentage of Indigenous people experience problems related to poverty, social exclusion and lack of access to basic services. The RCR's permanent staff is less than 10 people, but with more than 500 volunteers and active members it has a presence in isolated and inaccessible regions of the country.

The RCR was born to address a common problem of education in the rural setting experienced by actors such as rural teachers, local authorities, community leaders, private firms, CSOs and HEIs: the limited ability to share information. In order to fill this practical gap, the RCR is organized around two main axes: (i) ICT-based knowledge management and dissemination, and (ii) the creation of local and regional nodes to coordinate actors from highly diverse socio-cultural sectors affected by similar problems. Thus, the RCR integrates and distributes private and public information; coordinates multidisciplinary teams to collect, analyze and disseminate socio-economic information; builds collaborative platforms for georeferencing socio-economic data; and creates linkages and institutional relationships to channel resources to the communities. The programs of the RCR promote collaborative community efforts that over the years have built agro-technical high schools, student hostels, community centres and first aid posts. Through participation in activities and programs managed by the RCR, rural people have received education bursaries, funding and training to incorporate ICT to their learning practices, and have shared successful experiences ([comunidadesrurales.org](http://comunidadesrurales.org)).

### **Institutional capacities for CURP at the RCR**

The RCR is a “bridge-builder organization”—as one of its members defined it—whose core function is to connect needs and problems of rural communities to individual or institutional actors who can provide solutions, including private and public universities and teacher training institutes. The RCR plays a key role in generating community-university engagements in the rural sector. Based on the identification of a problem that affects a community or group of communities in the same region, the RCR maps potential collaborators and actors. The RCR then helps establish regional and local coordination nodes between people who may work together to solve the identified problem. The RCR initially promotes project-specific partnerships; however, the coordinating nodes are intended to be strengthened and institutionalized over time by the active participation of its members and local leaders, and the use of ICT and social networks. During the first years of its organizational life, the research partnerships and engagement initiatives promoted by the RCR were mainly carried out with private universities that were more accessible and open to collaborate with a new and small CSOs. Over the years, after legitimizing its programs and results on the field, the RCR made the strategic decision of engaging more closely with national and provincial public universities that are better able to impact on lasting collaborations in poor rural areas.

The forms the associative mechanisms acquire mainly depend on the community problem at hand, the capacity of social actors to connect and provide solutions through the RCR, and the socio-cultural aspects that determine the appropriate communication channel between community partners in rural areas inhabited by different ethnic groups. The core functions of node creation and knowledge management are centralized in the Executive Director and the Area of Research and Knowledge Management, respectively.

As a non-profit organization that does not have a secured source of external funding, the RCR's operating budget depends on donations that come mainly from the private sector. Research partnership activities are financially supported by third parties that channel their resources to the communities through the RCR. One of its members explained that the decision of not accepting funds from the State or any public university is a strategy aimed at achieving public legitimacy and the highest possible degree of autonomy in order to persist over time beyond political circumstances.

## **Caritas Cordoba**

*Caritas Arquidiocesana de Cordoba* (Caritas Cordoba) is a Catholic charitable organization founded in 1969 with the purpose of assisting people living in poverty, and contributing to the economic and social transformation of society. This is a medium-size organization (approximately 80 permanent staff), with more than 250 volunteers and a presence in 120 parishes of the province. Funding resources of Caritas Cordoba come mostly from private donations and collections. Caritas Cordoba is part of the international organization Caritas Internationalis, which was founded in 1951 and is one of the most extensive humanitarian networks with a presence in more than 200 countries.

Based on a framework of subsidiarity and solidarity, the human promotion for social development and a transformative approach to charity as guiding principles, Caritas Cordoba carries out actions in different areas such as child care, social economy, skills training, micro-enterprise, housing and employment. Caritas Cordoba works in constant collaboration with different civil society actors as well as municipal, provincial and national governments. The institutional partnerships and collaborative community projects falls under the purview of the Steering Committee, supported by the Institutional Secretary (see [www.caritascordoba.org.ar](http://www.caritascordoba.org.ar)).

### **Institutional capacities for CURP at Caritas Cordoba.**

From 2010, Caritas Cordoba has made several agreements with provincial HEIs to measure impacts and outcomes of its own programs, to design surveys and evaluations, and to develop housing projects and environmental studies. In some cases, Caritas Cordoba has direct participation in the design and implementation of these initiatives; in other cases, it has served as an intermediary that articulates the collaboration of a university with a community partner.

In 2013, practices related to community-university engagement at Caritas Cordoba started an institutionalization process through its active participation in the Forum of Rectors, which is composed of the highest authorities of public and private universities located in the province of Cordoba. The Forum identifies the most relevant provincial issues and assures the collaboration of the entire provincial university system. The main goal of the Forum is to provide joint responses to social demands and needs through articulation between universities, CSO and public sector organizations. The Forum meets once a month with the goal of engaging university communities with civil society in the co-construction of knowledge, and in the provision of assistance to CSOs working on priority areas defined by the Forum. As stated by one of its members, the Forum is not intended to implement public policies but, inspired by the CURP practices of other countries, aims to promote collaboration, knowledge, scientific analysis and technical teams to assist the implementation of public policies in the province of Cordoba (Camera, 2014).

The Forum of Rectors advises organizations working on addiction prevention, social violence, and technology transfer. Supporting the first line of work, in 2014, Caritas Cordoba launched a call to submit action plans for addiction prevention. Caritas Cordoba was responsible for selecting nine projects presented by local CSOs that are implemented with the support of the Forum's Executive Board. The selected proposals are primarily aimed at promoting partnerships between organizations with expertise in addiction prevention and other relevant institutions, including provincial universities.

One member of the Forum had publicly stated that the work done by Caritas Cordoba has allowed the institutionalization of partnerships between universities and CSOs that needed to improve the quality of their services and programs to effectively reduce the problem of addictions in the province (El foro de rectores..., n.d.)). Following the initiative on addiction prevention organized by Caritas Cordoba, in October 2014, the Forum of Rectors was invited to the Third Regional Meeting of the Union of Universities of Latin America and the Caribbean (UDUAL) to share its experiences with other universities and try to replicate them in other countries of the region.

## Discussion

In this section we present the common factors that enable research partnerships. These recurrently emerged from the analysis of the institutional arrangements that promote community-university engagements. It is not our purpose to evaluate and compare the effectiveness of the S-L activities or select a "best practice" that should be replicated in other contexts. Evaluating the effectiveness of S-L experiences and structures implies a deep discussion on assessment mechanisms and criteria beyond the scope of this chapter. Likewise, it is not possible to choose a best practice since it would indicate the existence of an organizational arrangement, research method or teaching technique that has consistently shown results superior to those achieved with other means, which is clearly not the case here.

Based on the synthesis of the four experiences, it is clear that there is no unique way to develop research partnership structures through S-L practices at Argentinean HEIs and CSOs. Service-learning practices and community-university engagements vary based on the institutional structures and governance mechanisms in place, the regional and local contexts where the organizations are located, and the needs, objectives and constraints of those involved within and outside the organization. Despite these differences, the Argentinean examples suggest that S-L practices may generate effective research partnership structures and sustained academic outcomes when the following conditions are in place:

**Institutional leadership.** University rectors, academic deans, community leaders and CSO executive directors committed to the co-creation of knowledge play a critical role on the definition of an institutional identity that favours associative mechanisms of community participation. Institutional leadership is key to overcoming internal resistances, including and sustaining S-L goals in the institutional agenda, motivate partners and staff, and raise internal and external awareness about the importance of funding stable and lasting CURPs to solve community problems.

**External recognition.** An S-L project receiving an external award (such as the presidential prize, technical assistance or funding from an international organism) helps to support research partnerships by reducing internal resistances to the institutionalization of S-L and community outreach practices within HEI and by providing public legitimacy and a dissemination platform that encourages civil society actors to connect with HEIs.

**Long-term motivation and commitment.** One of the key challenges for universities and CSOs developing partnerships is to engage staff unfamiliar with this approach. Institutional and monetary stimuli may help overcome some organizational inertias and resistances. However, it was clear from the experiences analyzed here that participation in S-L practices is usually voluntary, and based on beliefs that collaborative processes address community needs and achieve an enhanced sense of personal values and civic responsibility. Personal motivation for engaging with the community may vary, and be related, for instance, to personal experiences, political-ideological motivations or religious identities. Institutional leaders committed to collaborative research and pedagogic engagements are critical not only to challenge traditional identities and roles, but also to canalize individual efforts and sustain motivation over time. Keeping staff motivated to undertake community engagement projects is particularly important if we take into account the actual mismatch between the temporal horizons of outreach, extension and S-L projects, and the time course of conventional processes of academic and scientific evaluation.

## Conclusions and Challenges Ahead

Given the pedagogical nature of the S-L approach promoted by the national education framework, the community-oriented activities and practices in Argentinean universities have stronger implications for the teaching function than for the research production function. This is not only explained by the lack of more specific governmental measures for better integrating S-L with participatory research processes and evaluating them on equal footing with more conventional scientific research, but also due to the inherent difficulties and long-term time horizon of community-based research processes. One of the faculty members interviewed for this study synthesized what we have observed in the Argentinean case:

...eventually you ‘find the way’ to make research projects out of intervention processes...sometimes the individual benefit [for the academic staff] is not so visible as the publication of articles in scientific journals that directly impact on your CV. The personal capitalization process of doing participatory research has revenues in the long run...

One of the consequences is that even when changes are being introduced in institutional research agendas, education projects and curricula, community voices are still timidly accepted in the execution of research, for example, data analysis and administration of research funding. Thus, participatory research in Argentina is largely university-driven. In other words, the active participation of community partners in decision-making and distribution of funds for research projects is predominantly controlled by the universities.

Providing more structured training opportunities on community-based participatory research for civil society actors and internal staff is still challenging for Argentinean HEIs and CSOs. However, it seems to be critical to develop collaborative processes and partnerships that can have an impact on institutional knowledge production within and outside Argentinean universities. Based on the results of a global survey on supporting structures for CURP, Tremblay, Hall and Tandon (2014) have identified three training needs that have to be addressed in order to achieve equity in research partnerships and more active involvement in collaborative research processes: (i) competencies on practices of participatory research (e.g., knowledge ownership, intellectual copyright, trust and mutual respect), (ii) community-based methodological training (e.g., methods and tools in participatory research, research design, data collection and analysis), and (iii) ‘emotional intelligence’ in personal development (e.g., self-awareness, empathy, critical self-reflection, and social skills). We strongly believe that offering training on these topics to the current and the next generation of Argentinean community-based researchers will help to build practical and theoretical capacities for community-university engagement and to achieve the goal of social transformation as stated in national and institutional education frameworks.

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# BRAZIL

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## Celebrating Community-University Research Partnerships: Experiences in Brazil

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This chapter provides a brief overview of Brazil's national and regional policy initiatives and financial incentives that support collaboration between higher education institutions and society. We discuss two examples of higher education institutions—the University of São Paulo (USP) and the Federal University of Rio de Janeiro (UFRJ)—and highlight the different structures that have emerged through 'incubators' meant to stimulate innovation and entrepreneurial activities. Government support for the incubator model has been increasing at the federal, state and local levels. The national social mobilizing network COEP and the community-based organization CEPAGRO are also featured in this study as examples of successful civic-led partnership research with higher education institutions (HEIs). The information presented in this chapter was collected through documents and websites, in addition to in-depth interviews with key informants at each of the institutions/organizations.

### Civil Society and Popular Education in Brazil

With democratization in Brazil, in 1986, began the reformation of institutional roles and structures, and the flourishing of civil society that has shaped contemporary community-university engagement. This re-organization of civil society allowed for a new set of policies to be developed, and created conditions for the establishment of new types of university-based 'hybrid' organizations. As part of the shift from an authoritarian regime to democracy, a new Constitution of Brazil was developed in 1988. Now known widely as the *Constituição Cidadã*, or "Citizen Constitution", it promotes the right to work, the right to a decent wage, the right to social security, and the right to education (Rizzini, 2011). The new constitution also allowed public funds to be allocated to private, community, religious, or philanthropic schools for their support in meeting these rights. In the post-1988 constitutional framework, these institutions must develop policies and

frameworks that link teaching, research and services to communities (*extensão universitária*) and provide tuition-free education in official establishments.

A further development was the Brazilian Educational Law of 1996, which stipulates that universities must develop extension activities alongside teaching and research. These extension services have been emphasized with the National Forum of Extension of Vice Chancellors of Brazilian Public Universities. This permanent forum has put extension in a prominent position, and has stressed its importance as part of the public university mission to meet its social role. Brazil's universities also deliver extension services to provide practical experience for their students. According to the National Forum, extension is the educational, cultural and scientific process that articulates teaching and research and enables the integrated relationship between university and society. This establishes the exchange of systematized academic and popular knowledge. It also involves the democratization of academic knowledge and enables communities to effectively participate in the activities of the University.

Most faculties in Brazil's universities have deans of extension (Marchesan & Senseman, 2010) whose function is to coordinate the programs and services of centres and university units, as well as their products and publications. Extension programs in Brazil also contribute to the diffusion of social technology to disadvantaged communities that are intended to create employment, increase income and motivate participatory actions (Silva, 2006). The 'citizenship laboratory' at the Federal University of Rio de Janeiro, described in this chapter, provides an example of the processes and outcomes of collaboration. The deans of extension in federal universities are organized as the national forum *Associação Nacional de Instituições Federais de Ensino Superior* (ANDIFES), and also belong to the nationwide Rectors Council, the *Conselho de Reitores das Universidades Brasileiras* (CRUB). The *Brazilian Journal of University Extension/Revista Brasileira de Extensão Universitária* is a publication by the Association of Vice-Presidents for Extension of Brazilian Public Higher Education. Its objective is to increase the interchange of good practices, reflections and results from their extension and outreach programs through a wide network of actors and social institutions.

Brazil's Technological Innovation Law (No. 10.973/2004) was a particularly important turning point in the role of universities as it "established innovation incentive measures and situated scientific and technological research within a productive environment, seeking to create technological autonomy and industrial development in Brazil" (Almeida, 2008, p. 41). This law was intended to encourage strategic partnerships between universities, technological institutes and companies, stimulate the participation of science and technology institutes in the innovation process, and create incentives for innovation within companies (Almeida, 2008). An innovative institutional structure that has emerged as a result has been 'incubators', a hybrid-organization that supports interaction between university, industry and government. The incubators are part of a broader trend of devolution

from “bureaucratic and hierarchical organizations to knowledge-based networks and clusters” (Etzkowitz et al., 2005). It is a shift from central government, where policy has traditionally emanated, to multiple sources of initiatives. The result has been bottom-up initiatives from universities and municipal governments converging with lateral ones from industry groups, regional associations and state governments, as well as top-down programs from the national government.

The incubator model involves the expansion of the academic educational mission from training individuals to educating civil society organizations. The incubators have enabled universities and political groups to create cooperatives and solidarity organizations as a means to combatting poverty, inequality and unemployment. This model has led to a cultural transformation of academia, so that it plays a more active role in society at several levels. As Cervantes (2002, p. 44) suggests, “(r)esearch and teaching activities need to be developed and directed to contribute to economic and social development as well as to the education of students and the advancement of knowledge”.

The incubator concept has been applied to a broad range of industrial and social problems (Cervantes, 2002). The first Technological Incubator of Popular Cooperatives (ITCP) was established at the Graduate Engineering School (COPPE) of the Federal University of Rio de Janeiro (UFRJ) in 1994. The university was assisted in this effort by the social network called the Committee of Public Entities in Action against Hunger and in Favour of Life (*Comitê de Entidades Públicas no Combate à Fome e pela Vida—COEP*), by the Banco do Brasil Foundation and by the National Innovation Agency (FINEP). COEP played a pivotal role in the creation of the incubator model and engaging with community organizations to enable partnerships and capacity training. The COEP and its partners later created the National Program of Popular Cooperatives Incubators (PRONINC) in 1997 in order to disseminate the model to other Brazilian universities. In 2003, the program came under the coordination of the National Secretariat for Solidarity Economy at the Ministry of Labor and Employment.

The movement has expanded and gained support from universities, government and industry associations. By 2006, there were over 370 incubators in Brazil (Almeida, 2008). The potential of incubators to contribute to social and economic development has made them a subject of public policy both at federal and state levels (Pires et al., 2010).

## Funding Mechanisms

There are several mechanisms the government uses to facilitate the involvement of HEIs in community extension programs. For example, the government agency Solidarity Community supports the travel costs for students working on social projects throughout Brazil. In addition, the Brazilian government uses tax exemption to motivate universities with philanthropic status to play a civic role in society.

The main source of research funding for HEIs in Brazil is through the National Secretariat for Science and Technology. Several agencies are under the Secretariat supervision, including the National Research Council (*Conselho Nacional de Desenvolvimento Científico e Tecnológico-CNPq*), the Financing Agency for Studies and Projects (*Financiadora de Estudos de Projetos-FINEP*), four national research laboratories, the Institute for Space Research (*Instituto de Pesquisas Espaciais*), the Research Center for Computer Science (*Centro de Tecnologia para a Informática*)—the Amazon Research Institute (*Instituto de Pesquisa da Amazônia*), and the National Technological Institute (*Instituto Nacional de Tecnologia*). The federal government, through several agencies like FINEP, has substantially increased programs and investments in innovation. The result has been an increase in business dynamics in this field and greater interaction between universities, private industry and civil society.

## Expansion and Democratization of Public Education

Structural changes were initiated in 2007 to expand and democratize education opportunities in the Education Development Plan (*Plano de Desenvolvimento da Educação*). Since then several changes have been implemented to provide funding for more seats in public and private universities. The federal government has invested funds into two programs to meet this challenge. The Financing of Higher Education Student Fund (*Fundo de Financiamento ao Estudante do Ensino Superior*) provides funding until completion with a grace period for repayment of the amount borrowed of 18 months at a rate of 3.4 percent per year after graduation. The University for All Program (*Programa Universidade para Todos*) provides scholarships of 25, 50 and 100 percent to economically disadvantaged students in private higher institutions with no repayment (Costa, 2013).

The structural changes also included expanding distance education through the Open University of Brazil (*Universidade Aberta do Brasil*). Data from the Coordination of Improvement of Higher Education Personnel (Costa, 2014) show that between 2007 and July 2009, 557 face-to-face support centres were approved and implemented, resulting in the creation of 187,154 seats. By the end of 2013, the system expanded its cooperation network to all public HEIs in Brazil and has created 800,000 seats.

## HIGHER EDUCATION INSTITUTIONS

### HEI Case Study 1: University of São Paulo (USP)

The following case study discusses collaborative learning developed at the University of São Paulo (USP), and provides specific examples of community participation in research and outreach. This section provides an in-depth discussion of the *Participatory Sustainable Waste Management* project (PSWM), an international, community-based research collaboration which displayed a deep level of community participation over a prolonged period of time.

### Institutional structures

USP is a public, government funded university. Nevertheless, the majority of the incoming students have been educated in private schools. To address this inequity USP implemented an affirmative action policy in 2006 to facilitate the access of students from disadvantaged socio-economic backgrounds. The *Programa INCLUSP* policy aims to significantly increase the number of students coming from public versus private secondary schools with the aim of reducing inequality in public education (Capuchinho, 2013). As a consequence, the socio-demographic composition of the student population is becoming more diversified.

The office of the Dean of Culture and University Extension (*Comissão de Cultura e Extensão*) was created in 1991 with the objective of fostering community-university engagement through research and outreach. This office has the directive to organize, strengthen and regulate community-oriented activities within all faculties. Under this office the *Technological Incubator for Popular Enterprises* (ITCP-USP) was created in 1998, with the mandate to promote a solidarity economy. ITCP encourages and supports community enterprises such as food production, clothing and tailoring, urban agriculture, production of cleaning and hygiene products, and data processing. Most of these enterprises are located in the outskirts of the metropolitan region of São Paulo. The methodology of this incubation initiative draws from *Paulo Freire's* popular education pedagogy and from understandings of complementary knowledge creation between local and academic knowledge. Today ITCP is one of forty higher education institutions that form the national network of incubators in Brazil.

### Challenges to community based research

A key obstacle in community-based research is the scarce financial and human resources available for this kind of work. Not all higher education funding agencies value community-university partnerships and many do not recognize the respective research outcomes and non-academic modes of disseminating research results. Today funding is insufficient to cover the breadth of themes that need attention and the long-term dedication that is required for building trust between researchers and community members. Projects must be medium to long term in order to implement the actions for social change proposed by community participants. This funding dilemma is addressed through new university partnerships with local governments. However, the number of projects funded by local government agencies is still small and they remain more the exception than the norm (Costa, 2013).

Most examples of community outreach and community-based research activities at USP have been initiated by professors and students whose research agendas are participatory in nature and who aim at social inclusion and community benefit. Some professors incorporate community perspectives into the curriculum and supervise students who work in community settings with marginalised and vulnerable populations.

### Courses offered for experiential learning

In some cases, community-based research has become part of the academic curriculum. One example stems from the Department of Mathematics, where students develop prototypes for disabled people as part of their coursework (IME/ USP). Elsewhere, as part of their curriculum students in the Faculty of Education often complete a their work placements in public elementary schools which primarily serve students from low income families. As a result, mutual learning experiences between public schools and the university have emerged.

The experiences of community-university learning are manifold at the Faculty of Architecture and Urbanism. There are several working groups that have created new courses that facilitate relations between students and employees, with the ultimate goal of facilitating community work. The research commission at this faculty explicitly mentions the commitment to projects that involve community. The research program at FAU provides technical assistance to organized communities, in particular, through supporting their initiative for self-management, social interest housing, and other participatory projects in urban development. Examples include a project to integrate bicycling paths, the *Life park* project which supports community efforts to expand public spaces, participatory projects fostering a cooperative approach to selective household waste collection and separation, and finally a project to develop social and environmental sustainability in a recycling triage centre. The faculty has also created the Centre for Experimental Building (*Canteiro Experimental da FAU USP*), which works with community to promote appropriate construction methods.

### Community-university partnerships at USP

The Faculty of Education at USP has several community-university partnerships, many concerned with environmental sustainability and public health. For example, a thematic community-university project between the Faculty of Education and two impoverished municipalities in the western part of the state of São Paulo has resulted in the production of the book called *Environmental Research: Construction of a participatory process of education and changes*. This research was built in partnership with several units at USP (FEUSP, Public Health, *Escola Superior de Agricultura Luiz Queiroz-ESALQ*), the *Instituto Agronômico in Campinas*, as well as, the municipalities of Espírito Santo do Turvo and Vera Cruz. One of the goals of that project was to increase the income of disadvantaged and impoverished groups.

Another initiative from the Faculty of Education is to train teachers from public elementary schools in environmental studies methodology. The project also established youth and adult education programs in Guarulhos city. A similar project with the Federal University of Rondônia (UNITE) was conducted to recover the memory of the schooling program in the Amazon rainforest-RO called “The ideal, the poetic, the history, the real”.

### Participatory sustainable waste management project

The collaboration between the Faculty of Education at the University of São Paulo and the Department of Geography at the University of Victoria, Canada, was started in 2007, in cooperation with groups of organized recyclers, local governments and NGO representatives. The project aimed at strengthening recycling cooperatives and their operations in six municipalities within the metropolitan region of São Paulo, in Brazil. This research collaboration was funded primarily by the Canadian International Development Agency (CIDA) between 2005 and 2012.

The objectives of this project were to improve the organization of informal recyclers and strengthen their networking capabilities; to empower the recyclers to improve safety while handling recyclable materials; to promote the integration of the recycling cooperatives with the collective commercialization of their recyclable materials; to promote inclusive and supportive public policies on solid waste management; and finally, to promote social and environmental sustainability in cities.

A significant difference of this project from many other university community collaborations is the deliberative project management structure. A management council composed of various representatives from universities, recycling co-ops and local government (see Figure 5.2) was in charge of the project. This council met three to four times a year to discuss strategies and evaluate outcomes. Continuous reflection on outcomes, barriers and assets revealed an unforeseen contribution to the capacity development of all participants.

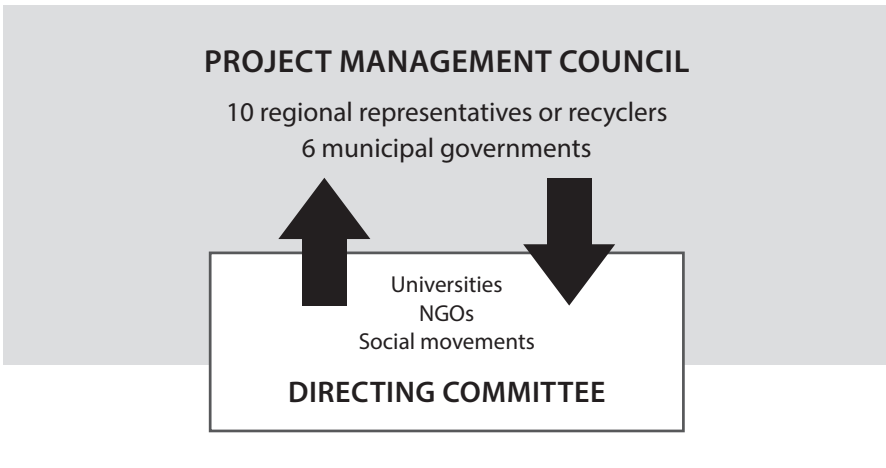
Informed by a critical interdisciplinary literature, the methodology applied in this project was primarily participatory and often action oriented (Brandão, 1987; Thiollent, 2008). During the project design all participants agreed that the mandate should emphasize awareness building processes reminiscent of Freire's (1970) *conscientização*, and that the major beneficiaries of this project should be the organized recyclers.

The structure of the Management Committee was fundamental to knowledge democratization and the collective creation of new knowledge, principles that have been discussed elsewhere by Cahill (2007) and Hall (2005). In this case, research was combined with capacity-building strategies designed to overcome

*"The everyday practice and immersed knowledge of the political dimension of these groups of cooperative members and supporters/researchers consolidated a commitment towards promoting empowerment, autonomy and the ability to overcome the oppression of the hegemonic power so present in capitalist modes of production. Respect for the knowledge of the participants, the co-construction of new knowledge and its systematization for collective ownership were fundamental principles in our methodology"*

*(Gutberlet et al, 2013 p. 4612).*

knowledge gaps and deconstruct power relations. The use of interactive, participatory methods of documenting the ideas and perspectives of the participants made these meetings a rich learning experience.



**Figure 5.2** PSWM project management council

The ideas for action and sub-projects developed by the Management Committee were implemented by the Directing Committee (DC), a diverse group composed of three university professors, two leaders from the co-op recycling initiative, two representatives from civil society organizations and a fluctuating number of graduate students from diverse backgrounds. Three of these participants were also field coordinators, responsible for maintaining close contact with participants and stakeholders.

New interdisciplinary knowledge was collectively generated during these gatherings and during the various activities carried out by the project members. The discussions, reflections, and actions of the Management Committee were concerned with solid waste policy and management issues, including participatory management, social inclusion, gender issues, collective commercialization, and microcredit. Participatory video, photo-voice and other arts-based research tools were used to capture perspectives on participatory sustainable waste management. Many different readings and imaginations of the world became apparent during the Management Committee meetings and workshops and were analyzed to help develop actions and interventions. Interactive activities facilitated by members of the Directing Committee or by specific professionals, helped articulate the circumstances and challenges of recyclers and other members. The focus and research objectives were always defined with the knowledge and collective approval of all Management Committee participants.



Results of the PSWM social intervention project included:

- 1) the creation of a strong network of recycling cooperatives and the formation a second cooperative with focus on collective commercialization;
- 2) the establishment of dialogue between local governments and recycling cooperatives concerning the participation of coops in solid waste management activities;
- 3) improvement of the organization of recycling operations, from collection and separation to commercialization;
- 4) co-creation and dissemination of educational material;
- 5) development of autonomy and self-management of the cooperatives;
- 6) training for participants on project management, business administration, computer literacy, material composition and conflict resolution; and
- 7) production of theses and academic articles as well as videos, photographic essays, and other educational materials.

The PSWM project was one of several university-community initiatives implemented at the University of São Paulo. It is an example of how knowledge can be generated based on inclusion, participation and deliberation. The project generated learning outcomes that demonstrate the potential of transformation amongst the participants. The recyclers developed their skills and recognition as environmental stewards and educators and also created new opportunities for social and economic inclusion.

### Discussion

These examples from USP of experiential curriculum and collaborative research and action demonstrate that there is a small yet viable window for non-conventional university-community partnerships. We feel that if specific supportive policies and infrastructures for university and funding agencies are developed, progress can be made to expand these pluralistic and heterodox means of addressing critical social and environmental concerns.

### HEI Case Study 2: The Federal University of Rio de Janeiro (UFRJ)

The Federal University of Rio de Janeiro is the largest federal university of Brazil, offering 156 undergraduate programs in all areas, 94 master's programs, 75 doctorate programs, 112 extension projects and 315 graduate courses. UFRJ has also established partnerships with many national enterprises, some of which have facilities on the UFRJ campuses (i.e., Petrobrás). Moreover, the Science Park of Rio de Janeiro is in Cidade Universitária, which stimulates a close exchange of knowledge between students, professors and civil society.

*The university will:*

- *contribute to the formation of the student, the qualification of teachers and technicians and exchange with society;*
- *ensure the bidirectional relationship between the university and society, so that pressing social problems receive attention from the university;*
- *prioritize practices for the care of emerging social needs, such as those related to the areas of education, health, housing, food production, job creation and increased income;*
- *include environmental education and sustainable development as part of the extension activity;*

*(Selections from Article 3A of the UFRJ extension plan)*

The university's Dean of Extension office, which reports to the VP of academic affairs, develops policies, evaluates programs, and provides funding for civic engagement initiatives in the university.

### **Partnering with Civil Society**

The Graduate Faculty of Engineering (COPPE) at the Federal University of Rio de Janeiro (UFRJ) is one of the largest centers for engineering research and education in Brazil, and is a pioneer in bringing together university and society. In 1970, COPPE established the Coppetec Foundation to manage its partnerships and projects. Since then, it has administered more than 12,000 contracts and partnerships with national and international, private and state-owned companies and governmental and non-governmental agencies. Presently, the foundation manages approximately 1,300 active projects.

The institution has applied engineering and technology to the fight against poverty and inequality, serving as a bridge between Brazil's privileged and under-privileged classes. COPPE founded the Technological Incubator of Popular Cooperatives (ITCP) in 1995, with the goal of creating collective solutions to the problems of economic exclusion and unemployment and to foster development allied to social justice. The incubator supports the creation of popular cooperatives, particularly those initiated by disadvantaged people, and women.

Since its founding, the UFRJ/ITCP has incubated 125 cooperatives (Leca et al., 2014), and has become a model for other states and countries. The ITCP, with funds from FINEP and Fundação Banco do Brasil, started a national network for Incubators of Popular Cooperatives, known as PRONINC (*Programa Nacional de Incubadoras Tecnológicas de Cooperativas Populares*). Currently the network includes 42 ITCPs throughout Brazil (De Oliveira Atrualpa, 2012). The ITCP model has stimulated internal change and transformational knowledge for the universities (Guimarães, 2002). Projects undertaken directly by the ITCP, in partnership with government agencies, have resulted in the creation of official national programs throughout the country.

In 2011, COPPE and the national social network, Committee of Entities Against Hunger and for Life (COEP), inaugurated the Herbert de Souza

Laboratory for Technology and Citizenship. The Laboratory aims to promote sustainable communities by using technical innovation to strengthen collective assets. It also aims to enhance the participation of public universities in community development projects that seek to elevate the quality of life in low-income communities.

Another project is the incubation program of cooperatives and community organizations in areas with high tourist potential, which has been incorporated into the policies of the Ministries of Labour and Tourism. It began in the Northeast, covering the Lençóis Maranhenses in Maranhão; the Parque Nacional da Serra da Capivara and Parnaíba Delta in Piauí, and the Jericoacoara beach in Ceará. Here, local tourist industries only use the local population as workers in hotels and restaurants, while small service providers, like taxi drivers and beach buggy drivers, remain in the informal economy and have no input with the agencies that send tourists to the region. The aim is to transform the tourism industry with programs that encourage the use of cooperatives to formalize and enhance local employment.

The ITCP is also helping to bring the waste recyclers in Brazilian cities out of exclusion by encouraging them to organize themselves into cooperatives. These people are given training in safety and logistics, as well as in the market values of different materials so they can sell them.

In summary, the case of the ITCPs reveals the central role that academics and educational institutions can play in the development of worker cooperatives

## COMMUNITIES AND CIVIL SOCIETY

### Communities and Civil Society Case Study 1: The Committee of Entities in the Struggle Against Hunger and for a Full Life (COEP)

COEP is a national social mobilization network established in Rio de Janeiro in 1993 to mobilize institutional and public action in support of the popular movement against hunger and poverty. The network's membership now includes more than 1000 member organizations including public enterprises, non-government organizations, private-sector firms, and government departments. COEP was created by a small group of activists led by sociologist Herbert de Souza, known as 'Betinho'. Together with Luis Pinguelli Rosa of the Federal University of Rio de Janeiro, and André Spitz of Furnas, the electricity utility, Betinho invited the presidents of the major public entities to discuss their integration into the 'Struggle against Hunger and Misery'. Soon over 30 enterprises, representing sectors such as banking, energy, telecommunications, health, agriculture and education, declared their membership.

Each year COEP focuses on a specific theme for social development at a national level, aiming for collective impact at the community level throughout Brazil. Currently, major themes throughout the networks are climate change and poverty. An agenda concerned with both preventing and addressing the effects of climate

change has been constructed, with the intention of informing dialogue and public policy as well as implementing specific initiatives (Gutberlet & Tremblay, 2014).

The network is active in all 27 states. By mid 2008 there were also several municipal networks with functions similar to their national and state counterparts. These networks enabled COEP to engage with communities and brought it closer to the local realities of poverty in Brazil, thus allowing it to support community development initiatives with local presence, knowledge, and credibility. COEP's affiliates include a network of individuals (with more than 32,000 members) and a network of well over a hundred "COEP communities" throughout Brazil. COEP encourages its members to support and participate in development projects that combat poverty (Saxby, 2004). Its aim is to foster responsible citizenship both within the participating organizations themselves and within communities. It challenges public entities to break with narrowly sectoral and competitive logic, to cooperate with each other and with other organizations, and to become truly public bodies by grappling with paramount social issues (Schnell & Saxby, 2010).

An example of COEP's work is the 'University Citizens' Project, which promotes the participation of public universities in the implementation of community development projects in low-income communities. Developed in the Northeast, there is now one university in each state involved with community capacity building. This project has had a significant impact on the organizational development of community organizations throughout Brazil (F. André Spitz, Interview, January 5th, 2015).

### **Organizational structure – A national 'hybrid'**

COEP is a voluntary nationwide network with many characteristics of a civil society organization, but which operates in the border area between the state, the parastatal sector, private business and civil society. Through its national and state-level networks, COEP has conducted vigorous campaigns to mobilize institutions and the public to support the fight against poverty, and to encourage 'active citizenship' (Saxby, 2004). Through its campaigns and development projects, COEP promotes cooperation and partnerships among its affiliates, who have committed substantial resources to social responsibility and action.

As membership grew from the mid 1990's, COEP's Deliberative Council encouraged the formation of state and municipal level networks. This decentralization enabled more effective responses to regional realities, particularly those related to poverty. Since 1998, COEP has had a designated secretariat, the *Oficina Social* (Social Workshop), which is based in the Federal University of Rio de Janeiro and financed by 18 national entities. The *Oficina* maintains a database of projects, publicly accessible on COEP's website. In addition to several documents, COEP has produced more than 30 videos about COEP's work.

## Financial mechanisms

COEP has been sustained by major financial and in-kind contributions from its affiliates. Public entities, such as banks, have opened branches in poor communities and established microcredit and financial management schemes for street vendors. Although public entities are no longer the sole members of COEP, they remain important. COEP “has succeeded by adopting a non-hierarchical, yet structured, organizational configuration that leaves room for members’ initiative, while at the same time maintains internal consistency and integrity” (Schnell & Saxby, 2010, p.2). In addition to substantial financial and physical resources these public entities provide national reach, since their subsidiary structures extend nation wide. The largest energy producer in Brazil, Furnas, has committed significant leadership in the secretariat function and other roles. Other companies, such as Banco do Brasil, have been active in the *Ação Cidadania*, with over 2000 branch committees participating. According to André Spitz, Executive Secretary between 1993 and 2003, COEP sought to engage the wealthier and more powerful sectors of society in the campaign against hunger:

It was founded as a committee to mobilize people and organizations, and to challenge the culture of indifference. Public enterprises could not be islands of excellence building walls to keep out the surrounding social reality. Poverty was a problem for everyone, and ending it would require a concerted national effort. With their invitation to the entities, COEP’s founders were challenging them to change their culture and methods as well - to break with narrow sectoral and competitive logic, to cooperate with each other and with other organizations, and to become truly public bodies. (Saxby, 2004, p. 3).

## Social impacts through partnerships

COEP has promoted the scaling-up and replication of successful community-level projects through partnerships. An example of this kind of partnership is Cootram—Cooperative of Self-Employed Workers in the Manguinhos Complex—a poor favela in Rio de Janeiro. Using COEP as a forum for communication, Fiocruz, a public health institution under the Ministry of Health, mobilized a number of organizations, including universities, banks and the private sector, to develop a pilot project for the creation of a popular cooperative. These organizations contributed according to their specific capabilities: COPPE, the Graduate School of Research and Engineering from the Federal University of Rio de Janeiro, provided professors and students for training; Finep, the Brazilian Innovation Agency, and the Foundation of the Bank of Brazil offered financial support; and the Bank of Brazil also contributed its experience with supporting cooperatives. The project was replicated in another six universities throughout the country and resulted in the creation of the National Program of Popular Cooperative Incubators (PRONINC) (Gutberlet, Tremblay & Moraes, 2014). This program has been one of COEPs

most visible achievements and has been taken up as government policy through the *Programa Comunidade Solidaria*, resulting in ‘cooperative incubators’ around the country (Schnell & Saxby, 2010).

COEP also used technology to mobilize people and promote active citizenship. Examples include project databases for mobilization, COEP TV, media and information systems.

### International networks

In 2012, COEP, the Federal University of Rio de Janeiro (UFRJ) and the Centre for Community Innovation (3ci) at Carleton University in Ottawa, Canada, formed the Better Futures Network, an international network among universities and research organizations active in community development, and the communities they work with. The network disseminates knowledge about policies, models and cases produced through research partnerships and social innovation. Some of the goals of these research and social innovation projects have been to promote full citizenship rights and better employment opportunities, address climate change, increase access to affordable food and water, reduce violence against women, and build youth leadership capacity.

### Communities and Civil Society Case Study 2: Center for the Study and Promotion of Agriculture Group (CEPAGRO)

The Center for the Study and Promotion of Agriculture Group (CEPAGRO) was founded in 1990 by a group of farmers and technicians interested in promoting collective agriculture as a way of making small rural properties feasible. Throughout its 24 years of existence, and through critical reflection, CEPAGRO has established various projects, partnerships and agreements in the state of Santa Catarina in southern Brazil. The aim of the organization is to encourage rural and urban communities to work together using the principles of agro-ecology.

CEPAGRO is a bridging organization that links and integrates the university/academic space with community management. It promotes the idea of development through a series of community processes (as proposed by Furtado, 2009) that channel social forces to generate new, more dignified living conditions for lower income communities. The institution takes a Freirian perspective (see Freire, 1970) which suggests that transformation in the community and in the organization itself can be accomplished through a process of *praxis*. The objective of the projects is to establish new standards of understanding food production, managing waste and selling local products. In 1996, the organization was recognized as a Public Utility Entity by the Government of the State of Santa Catarina, with Law no. 10.212/96, and by the Municipality of Florianópolis, with Law 4846/96.

### Networks, structures, projects and relations with HEIs.

In networks that promote CBR, especially for facilitating engagement of civil society with HEIs, the projects are drawn up with the communities and have public and private supporters, both national and international. The work is sustained by projects in which the Federal University of Santa Catarina (UFSC) is a partner in the activities and works with the direct involvement of teachers and students.

The governance of CEPAGRO is shared by a group of eight people, including educators, agronomists and technicians. Some members are former university students who participated in previous CEPAGRO projects. Although there is support from University Professors through in-kind participation in meetings and community actions, it is CEPAGRO that makes the decisions.

The governance of specific projects is the responsibility of each one of the different CEPAGRO teams with the community. In order to promote an autonomous process of local leadership, the community partners have a central role in deciding project actions as well as the financial destination of some resources. During the project all members participate in decision-making.

CEPAGRO provides the physical space, work structure and guidance for interns, scholarship holders, researchers, graduate and post graduate students who participate in collaborative projects. Cooperation with the university is performed through university extension, enabling students with different interests to establish practical and theoretical insights into collective practices, production and organization in rural and urban settings. This cooperation also gives rise to such deep learning that some students involved in this work move on to formal employment in CEPAGRO.

The following are some examples of the work of CEPAGRO and its relationship with the UFSC:

- Participation of agronomy students in the Urban Agricultural Project in partnership with City Halls, municipal schools of Florianópolis, needy communities and community associations
- Participation of students in field activities conducted under CEPAGRO Projects financed by the Brazilian Ministry of Agrarian Development
- Lectures on themes such as Agro-ecology, group agriculture and Eco-life Network for courses in Agronomy, Geography, Economy, Social Sciences, Nutrition, Administration, Design, Arts, History and Student housing—demands from teachers and students, approximately 300
- Developing student internships in other CEPAGRO partner organizations, through agreements signed with UFSC
- Providing professional training for students who became agronomists while working at CEPAGRO

- Organization, supervision and support of course internships and national and international exchanges for graduate and post graduate students at universities (UFSC, UDESC and UNISUL)
- Partnership with the *Projeto Família Casca da UFSC*, for environmental education
- Participation by CEPAGRO Technical Team on TCC panels.

Some examples of the studies and themes include:

- A partnership between the Nucleus for Environment and Development at UFSC and CEPAGRO, conciliating territorial development with agro-ecological practice
- Exchange trips with the ethnological museum between Guarani villages along the Santa Catarina coast, encouraging the exchange of seeds and re-introducing native species of flora and fauna
- Compiling a list of small landowners/farmers linked to the Nucleus of the Santa Catarina Coastal Region that could take students for extra-curricular and curricular internships that develop activities linked to agro-ecological production, product processing, sales and agro-tourism
- Firming agreement with Foundations of Research for the effective delivery of the Voisin Grazing system aimed at producing pasture based livestock
- Participation by CEPAGRO Technical Team on end of course panels
- Partnership with departments and teachers, with the two extension programs for 2007: Ecological and Solidarity Initiative Networks in Rural and Urban Communities in Santa Catarina, and Institutional Strengthening of the Rio Cachoeira do Norte Microcatchment Association, municipality of Palhoça, south central coast of the state of Santa Catarina with the Center of Philosophy and Human Sciences/Geography
- On establishing partnership with UFSC, the Fifth Regional Meeting of Farmers from the Agro-ecology Eco-life Network was held at the Center for Agrarian Sciences. More than 80 people, from ten municipalities from the Coastal and High Valley regions of the State of Santa Catarina, attended the event.

CEPAGRO plays a key role in the process of creating, promoting and ensuring engagement opportunities at the national and the provincial level. With the formulation of public policies, the organization acts in different public spaces including: Pronaf State Council, State Commission for Organic Production, State Council for Rural Development, member of Ecumenical Center for Support to Development-CEADes, State and Regional Forum of Economic Solidarity, State Committee of Alternatives for Cultivation of Tabaco/DFMDA, Monte Cristo Network, and the Coordination of Eco-life Network. In these deliberative spaces, there is dialogue



between different public and social spheres, encouraging the creation and implementation of public policies focused on the interest of family farmers and urban communities thus reinforcing the relationship between micro and macro spheres. Through identifying significant institutional agents and through interactions with decision-makers, the communities take part in the decision-making process.

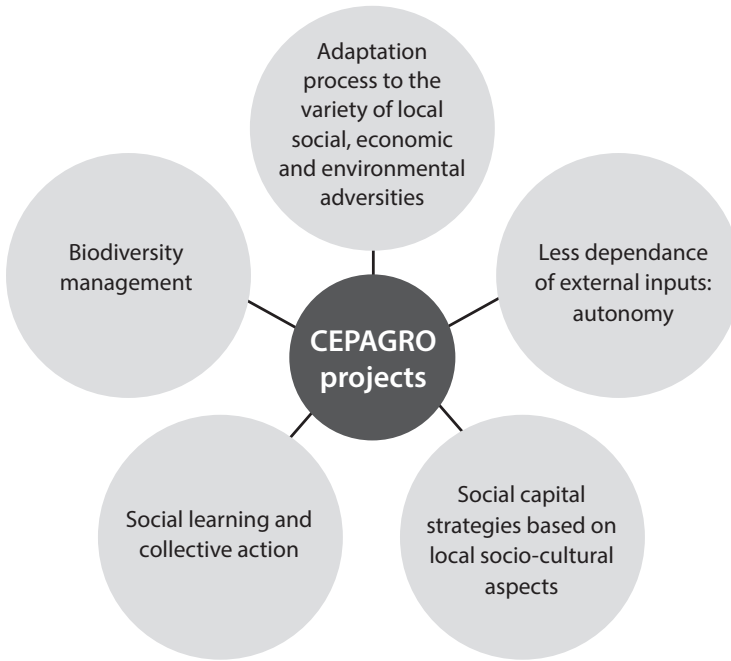
To facilitate engagement by way of their interventions, CEPAGRO projects are drawn up with the community according to its needs and context. This allows individuals and groups to be actors of development, and to negotiate individual and collective interests. The projects are sustained through the autonomy of communities that when organized effectively manage their own development.

### **Monitoring community vegetable gardens in two municipalities in Santa Catarina**

There are structures in place to facilitate the engagement between university and CEPAGRO. The research is conducted directly with residents from less privileged areas, fostering and giving value to the practices of composting, communal vegetable gardens, school and domestic gardens for helping pedagogic projects in environmental education. This process is linked to local socio-cultural characteristics and to the strategies of biodiversity management, and encourages lower dependence on external supplies, and collective social/action learning for the adaptation and transformation of adversities (see Figure 5.3).

*Some projects of CEPAGRO:*

- *certification and the sale of agro-ecological products*
- *preservation and maintenance of agro-food assets*
- *education programs on the didactics of growing good food*
- *urban agriculture and community management of organic waste through composting*
- *ecological management and environmental education*
- *technical assistance and rural extension for tobacco growers aimed at agro-ecological transition.*



**Figure 5.3** Decision-making mechanisms in CEPAGRO projects

Participatory methodologies are usually used for research design and leadership development. For example, community members design different elements of operation with schools, churches, health centers, leadership associations, community centers, and other organizations. Furthermore, the community engages in dialogue with public and legislative management in public councils and forums.

Funding is one of the main challenges for CEPAGRO. There are several mechanisms for funding CEPAGRO projects. Government agencies, such as the Ministry of Rural Development, for example, support part of the costs for social projects. Furthermore, the organization receives financial support from the Pro-extension Department. Others challenges are insecurity and instability of guaranteed work for the work team and an increase in government control measures on NGO activities in Brazil with high taxes on the projects' activities.

## Final Considerations

The culture of civic engagement in Brazil is rich and extensive, and reflects the institutional structures of its universities, social networks and organizations. Extension and service to society are seen as necessary components of student learning, the creation of new knowledge as well an appropriate response to societal needs. The emergence of the National Forum of Extension made up of Vice-

Chancellors of Brazilian Public Universities in 1987 was a landmark in the future of university-community collaborations. This forum put extension in a prominent position into Brazilian public universities, and enforced the universities' tripartite mission—teaching, research, and extension.

Although the 'incubator' model is not new, what makes it unique to civic engagement in Brazil is its innovative approach. Local needs and attempts to alleviate poverty have shaped the emergence of different incubation models. Many were intentionally established as a remedy to unemployment, aiming solely at job creation especially in traditional sectors, such as agricultural equipment and the textile sector (Akcomak, 2009). Other incubators have since specialized to foster entrepreneurship in cultural activities, such as music, art, and cinema industry (Scaramuzzi, 2002).

The incubator of popular cooperatives has generated positive outcomes in employment and income. Additional benefits have been the qualification of people in the communities, increased capacity of the cooperatives, and university knowledge exchange with communities.

The incubator of popular cooperatives has generated positive outcomes in employment and income. In addition, community members have had the opportunity to improve their skills and qualifications, and the general morale of the cooperative has increased. Finally, opportunities for knowledge exchange between university and community have greatly expanded.

This and other practical experiences like those of COEP, CEPAGRO, and the PSWM project demonstrate the contributions universities are able to make towards transformative social learning. These case studies illustrate some of the specific social action learning approaches HEIs can use when working in collaboration with cooperatives, community initiatives and social movements. Further, they highlight the important bridging function of HEIs, through collaborative learning, in the emancipatory struggles of these grassroots initiatives.

## Acknowledgements

The authors would like to thank the following individuals for their valuable contribution to this case study: Prof. Nidia Nacib Pontuschka, Faculty of Education, University of São Paulo, Brazil; André Spitz, Director of COEP; Gleyse Peiter, Executive Secretary of COEP's national network; Marcos José de Abreu, Coordinator of Urban Projects CEPAGRO; and Julio César Maestri, Coordinator of REVOLUÇÃO DOS BALDINHOS, CEPAGRO.

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# CANADA

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## Kamúcwkalha<sup>1</sup>: Canadian Approaches to Community-University Research Partnerships

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The widening of the circle of knowledge is a quintessentially Canadian notion. We have worked hard in our country to build an education system that balances equality of opportunity and excellence. I'm confident that if any nation in the world can build a true democracy of knowledge, it's Canada. (Hon. David Johnson, Governor-General of Canada, May 26, 2012)

### History of CBR in Canada

In Canada we can divide the history of community based research into three periods: The foundational years (to 1998), the institutionalization period (1998–2012) and the national engagement period that we are currently experiencing. The foundational years end with the creation of the Canadian Social Sciences and Humanities Research Council (SSHRC) Community-University Research Alliances (CURA) funding window in 1998. The institutionalization period covers the years between the creation of the CURA mechanism and May 26, 2012, when the Honourable David Johnson, Governor General of Canada, delivered the opening keynote address to the Congress of the Humanities and Social Sciences on the democratization of knowledge.

The foundational years include experiences with Frontier College (1899); the university extension programmes of the University of Alberta, (1912); the Antigonish Movement at St. Francis Xavier University (1930s-60s); the Workers'

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*1 - Kamúcwkalha i Kà-mú-kà-shà means the energy of a group attuned to its collectivity in the language of the Lil'wat First Nations People*

Education Association with links to the University of Toronto (1930s); the emergence of Indigenous researchers breaking free of colonial research models (1960s-90s); the development of university structures such as Service aux Collectivités at the UQAM in Quebec (1970s); the participatory research network's sharing of traditions inspired by work in Africa, Asia and Latin America (1970s and 80s); knowledge creation in social movements such as Gay/Lesbian/Queer movement influence in HIV/AIDS research (1980s); women's movements linking knowledge to taking action for health, and against violence and poverty (1970s and 80s); the establishment of the Community Based Research Centre in Ontario (1982); and the development of the community psychology movement (Flicker, Savan, McGrath et. al, 2008; Graham, 2014; Hall, 1992, 2005; Hall & Berube, 2009, 2014; Lord, Schnarr & Hutchinson, 1993; Ochocka & Jantzen, 2014; Travers et. al, 2008).

Prior to 1998, the community based research movement was centred outside the walls of academia. University linkages were limited to individual activist scholars with personal involvement in a variety of social movements. Canada had a deep and politically oriented practice of activist researchers working in the labour movements, the anti-apartheid movements, struggles for Indigenous sovereignty and more. But, during the foundational years there were no courses on participatory or community-based scholarship, no Deans of engaged learning, no Vice-Presidents for community outreach, no degree programmes and in fact little academic presence at all. There was, however, plenty of community-based research!

The creation of the SSHRC Community University Research Alliance granting opportunities, itself inspired by the early participatory research traditions from Toronto, the Québec university community experiences and the Dutch 'Science Shop' movement of the late 70s and 80s, marked the beginning of the institutionalization era. Academics whose ideological or epistemological preferences were aligned to working with community groups flooded the SSHRC offices with proposals which were, for the first time, products of alliances between scholars based in universities and scholar-intellectuals located in community groups. So great was the interest in CURA grants and the built-up demand for funding windows of this nature that the SSHRC grants soon became the most competitive of any of the SSHRC grants, meaning that it had the highest ratio of applicants to awards of the various funding windows. It was the CURAs that laid the contemporary foundations of the engaged scholarship practices in Canada, not the work of Boyer and others in the United States (Hall, 2005).

The engagement era began May 26, 2012 in Kitchener, Waterloo, when David Johnston, the Governor General of Canada, called on universities and communities to become closer partners in knowledge production and use. He told the assembled scholars:



As a scholar—a Canadian scholar—I believe we must reconsider the role of scholarship in how we apply our learning, in how we make knowledge more widely available to Canadians, and in how we further democratize knowledge for all people. (Governor General of Canada, 2012)

The fact that the Canadian head of state, however symbolic his role, would choose to speak about knowledge and community was a signal that community-based research had come of age. By 2015, Canadians have a national scene where nearly every university has community-based research or its equivalent written into their strategic plans, has some kind of community-university research support structure, or both. Simon Fraser University, for example, has rebranded itself as “The Engaged University” with “engaged research, engaged communities and engaged students” in its logo. As the SFU President Andrew Petter noted, “Our Strategic Vision demonstrates how a university, by integrating commitments to community engagement into its educational, research and other activities, can generate deep and lasting benefits for itself and for its communities”.

The rise of Indigenous research approaches and an Indigenous academic research community needs to be understood in order to understand the Canadian CBR experience. Research along with education has historically been a loaded and highly negative experience in Indigenous communities. As Hanselmann (2001, p.3) has noted, Indigenous peoples “are the most studied-but least understood-group in Canadian society”. Research has been used to subjugate and oppress Indigenous peoples for over a century. Indigenous resistance to top-down, extractive research has accelerated the advance of Indigenous research approaches, most of which are community-based. Indigenous communities have been at the forefront in creating the “OCAP” principles of health research. OCAP refers to ownership, control, access and possession of the knowledge generated in a research process. The Royal Commission on Aboriginal Peoples (RCAP) of 1996 created a research unit to carry out its mandate of assessing the cultural, political, educational and economic challenges for Aboriginal people living in Canada. The research unit was mandated to follow principles of Indigenous participatory research, and supported hundreds of Indigenous researchers to carry out a wide range of community based studies. This research unit and their innovative work created a powerful foundation for CBR in Canada.

The Arctic and Northern Territories, the home of Inuit and First Nations Peoples as well as diverse settler populations, have also played an important role in the development of community based participatory research in Canada. In these regions, distances are vast and populations are small. There are few post-secondary institutions and local university research communities are virtually non-existent. Research practice has, by necessity, been created with a home grown, local character that links Indigenous leadership with government services and settler researchers. Community-based participatory research has often been the approach of choice over the past years throughout these territories. The work is supported by

the Arctic Institute for Community-based Research, which works in all three of the Arctic territories (Yukon, Northwest Territories and Nunavut), and is jointly governed by Indigenous and non-Indigenous leadership (see Arctic Institute of Community Based Research, n.d.).

## The Canadian CBR Policy Environment

Canada is a Federation of twelve provinces and territories. It has no federal ministry of education, nor federal ministry of higher education nor university-grants council. Primarily the provincial governments fund higher education. There is a Council of Education made up of provincial and territorial Ministries of Education, but this body is given little power as the control of education is a constitutional right given to the provinces and vigorously defended. Quebec has historically been ahead of the rest of Canada in supporting CBR. Researchers benefit from supportive Quebec policies and also have access to trends happening in the rest of Canada such as funding arrangements and research networks. Canada now has a policy climate that is favourable to the institutionalization or mainstreaming of community based research. This favourable climate is based on four sources: the partnership principles of SSHRC and other funding agencies; the early institutionalization and policy initiatives in Quebec; the creation of the Community-Campus Collaboration Initiative and the statements of the Governor General and recommendations of the AUCC to its members.

Quebec has historically had a stronger sense of collectivity and community action than the rest of Canada, which was evident in the 1970s when the Service aux Collectivités structure was created in the Université de Québec à Montréal (UQAM) and elsewhere. It can also be seen today with the creation of community information structures designed to support the dissemination of co-constructed knowledge, practice, experience and research to better serve community needs. In 2013, the Government of Quebec supported the establishment of a new overarching group, Territoires innovants en économie sociale et solidaire (TIESS), to support the development of the social economy. This new structure is a direct result of collaborations between the social economy sector and academics.

The Honourable David Johnson, whose keynote speech to the Humanities and Social Science community in 2012 announced a new era for CBR, also lent his name and prestige to the creation of the Community-Campus Collaboration Initiative (CCCI), which brought together the AUCC, the SSHRC, and the United Way of Canada with key CUE leaders and funders. The stated purpose of the CCCI is to “increase the capacity of Canadian communities to develop and implement innovative and sustainable solutions to address the variety of complex challenges that face them by linking more effectively to the resources and expertise of post-secondary institutions” (One World, 2012).

The Association of Universities and Colleges in Canada (AUCC) is the umbrella organization of Canadian universities and colleges. In the absence of

a federal governmental dossier on higher education, the AUCC plays a critical agenda-setting role for higher education. In 2013/14 they initiated a Working Group on Campus Community engagement chaired by President Andrew Petter of Simon Fraser University. Their final communiqué states that “all members were encouraged to deepen community partnerships, appropriate to their institutions’ missions, because of the significant benefits for both parties” (AUCC, 2013). In addition and in support of the engagement agenda, Paul Davidson, the President of the AUCC, and Ian Bird, the Director of Community Foundations of Canada issued this joint challenge to the university and community sectors,

We are calling for a cultural shift in how we address community needs, how we prepare for the unexpected and how we pursue opportunities. Collaborations and partnerships must be standard operating procedure from the earliest stages of new ideas and initiatives for building community resiliency and prosperity. (Davidson & Bird, 2013)

David Johnson added these thoughts at CUexpo 2013 in Newfoundland:

...when it comes to bringing about positive change, this is where universities and communities can work together to great effect. Communities know what the needs are, and post-secondary institutions know the methods and possess the experience and the expertise to help determine how to go about meeting those needs—a wonderful combination of the what and the why. (Johnson, 2013)

### **Partnership Funding with the Social Sciences and Humanities Research Council**

We have mentioned the critical role played by the creation of the Community University Research Alliance (CURA) grant in 1998. It would be useful to elaborate further on the nature of that grant and on the evolution of SSHRC funding into what they call a partnership funding strategy that cuts across the entire funding structure by 2015. The original CURA programme was developed requiring successful applications to be partnerships between community bodies and academics. The grants initially were for periods of one to three years for amounts of \$75-200 thousand. So attractive was this granting category that within a few years, the grant became the most competitive of all SSHRC grant categories, with the highest proportion of applicants to available funding.

SSHRC recognized that the issues facing Canadians were ones that were often beyond the reach of single disciplinary approaches. They felt that for social sciences and humanities research to have the most impact on our collective futures, community groups, businesses and academics would have to find new ways to work across disciplines and sectors. With this in mind, and drawing from the experience of the CURA grants, they initiated the current ‘partnership strategy’ that is the current approach. The CURA grant was discontinued, but the principles involved in that grant were spread across virtually the entire funding programme.

In 2014, SSHRC made \$337million worth of grants to 8,674 projects. Of this, \$120million went to 1200 Aboriginal research grants. Both university and non-university partners may apply and hold the grants, although it is still most common for university partners to provide the administrative support. There are also Partnership Development Grants, designed to help build research partnerships. These are for one to three years and are valued at between \$75 and \$200 thousand dollars. If a more mature partnership has already been established, Partnership Grants for four to seven years at a value of up to \$2.5 million are available. Crystal Tremblay and Budd Hall have done a study of the social and economic contributions of some of SSHRC funded work in a recent article in the *International Journal of Action Research* (Tremblay & Hall, 2014). It is also important to note that the partnerships may also include international partners.

### **National Networks**

Canadians have created four national networks that support CBR efforts. Research Impact, founded by York University and the University of Victoria and based at York University has a focus on knowledge mobilization ([researchimpact.ca](http://researchimpact.ca)). The Community Engaged Scholarship Partnership based at Guelph University works on university policies such as career advancement and credit for work in the community ([www.cespartnership.com](http://www.cespartnership.com)). The Canadian Alliance for Community Service Learning based at Carleton University links community and university groups working with students' experiential learning in community, ([www.communityservicelearning.ca/en/](http://www.communityservicelearning.ca/en/)). Finally, Community Based Research Canada, which is based at the University of Victoria and the Centre for CBR in Kitchener Waterloo, links universities and community groups in order to expand and strengthen investment, quality and impact in the field ([communityresearchcanada.ca](http://communityresearchcanada.ca)).

### **Community Based Research Canada and the Community University Expositions (CUExpos)**

Community Based Research Canada (CBRC) has emerged as the network with the most inclusive range of members, being open to all Canadian universities and other national NGOs involved in community based research. CBRC's mission is to be a "national champion and facilitator for collaborative community based research and community engagement in Canada" (Community Based Research Canada, 2015). CBRC's *raison d'être* and mandate are nested within a national research ecosystem whereby post-secondary institutions and allied research organizations engage on an equal footing with community partners to address societal challenges and achieve positive impacts for the benefit of Canada and Canadians. CBRC plays a coordinating, convening and enabling role to harness research resources and assets and to facilitate and build collaborative relationships, especially between community partners and universities, colleges and hospitals, in ways that might not otherwise occur or be sustained. CBRC sits at the table of

the Campus Community Collaborative Initiative championed by the Governor General of Canada and has recently hosted a national summit to look at establishing centres of excellence to address major societal issues in Canada. CBRC organizes the biennial gatherings of the national CBR community - the Community University Expositions or CUexpos.

In 2003, the University of Saskatchewan organized the first event that brought together as many of the early SSHRC Community University Research Alliance grant holders as possible. They called this meeting CUExpo. It was a big success and was one of the first times ever that researchers located in community organizations were present in equal numbers, and as equals in research terms, as university based local researchers. The hunger for this kind of space, outside of academic circles and outside of government circles, led to a second CUexpo in Winnipeg in 2005, a third in Victoria, BC (2008) and others in Kitchener-Waterloo (2011), Corner Brook, Newfoundland (2013) and Ottawa (2015) (for more about the CUExpo movement see Ochocka, 2014). CUExpos are the places where good practices are shared, new funders met, project ideas tried out, good work celebrated and individual learning flourishes. It is a wonderfully creative space where the arts, Indigenous ceremonies, spoken word and more are found. It can be argued that without CUExpo there would be no CUE movement in Canada

## **A Diversity of Research Partnership Structures**

In the Canadian context, history, traditions, and policy directions have led to the creation of a wide variety of institutional structures for the facilitation of community-university research partnerships. These structures fall under four main categories: community controlled, government led, comprehensive university structures and disciplinary or issue-based university structures. Examples of community structures are the British Columbia Association of Aboriginal Friendship Centres, the Community Social Planning Council in Victoria and other cities, and the Centre for Community Based Research in Kitchener-Waterloo. An example of a government led structure is the Office of Public Engagement of the Government of Newfoundland ([www.ope.gov.nl.ca/](http://www.ope.gov.nl.ca/)). York University with its knowledge mobilization unit, the University of Victoria with its collection of structures including an Engagement Advisor and the Office of Public Engagement of the Memorial University of Newfoundland are examples of comprehensive structures that aspire to cover all disciplines.

Community partners jointly govern some of the later types of structures and university partners (such as the University of Victoria and UQAM) while the universities wholly govern others. Most of the structures remain within single disciplines or sectors, for example the Research Shop which is linked to Social Sciences at Guelph ([www.theresearchshop.ca](http://www.theresearchshop.ca)); the Community-University Partnership for the Study of Children, Youth and Families (CUP) at the University of Alberta ([www.cup.ualberta.ca](http://www.cup.ualberta.ca)) or the Carleton Centre for Community Innovation ([www.carleton.ca/3ci](http://www.carleton.ca/3ci)).

## **Recognizing CBR for Career Advancement in Canadian Universities**

The Community Engaged Scholarship Partnership, a network of eight Canadian universities committed to advancing this work across the country, has challenged academic institutions' "culture, policies and practices in order to recognize and reward CES" (Community Engaged Scholarship Partnership (CESP), 2015, para.2). In a study of 16 Canadian universities, they concluded that while many universities have inserted the language of community engaged scholarship, CBR, or something similar into their strategic plans (Barreno et al., 2013), there remains a gap between the rhetoric and the recognition of CBR for tenure and promotion purposes or annual merit pay. Working conditions for academics within universities in Canada are regulated by the collective agreements in each institution setting out all aspects of working life. Their study indicated that the collective agreements were virtually silent on the question of recognizing CBR for tenure and promotion purposes. The experiences 'on the ground' in the universities was found to be more positive. The University of Victoria was found to have the most overall institutional support for CBR, but their interviews revealed a long and active history of CBR and much innovation and openness to recognizing engaged scholarship as something to be taken into account for career progress. Specific language on how to recognize excellence in CBR has been found in documents from the College of Social Sciences at the University of Guelph, the Faculty of Extension at the University of Alberta, the Faculties of Humanities and Human and Social Development at the University of Victoria. The CES Partnership has developed an implementation handbook that would be of interest to those in Canada and other parts of the world (CESP, 2015).

## **Four Organizational Approaches to Facilitating Community-University Research Partnerships**

### **The Centre for Community Based Research (CCBR)**

The Centre of Community Based Research (CCBR) is an independent, non-profit organization, located in Kitchener-Waterloo, Ontario since 1982. CCBR has played a key role in pioneering community-based research (CBR) in Canada and has been a national leader in CBR engagement. The founder of CCBR, Dr. John Lord, had experience as a university-based researcher, but saw the need for research to be more closely linked to community-based work. He was also interested in how research could provide insight into innovation and be more relevant to social change. He worked with others to facilitate collaboration among academics, consumers, service providers, and advocates.

Early CCBR researchers recognized that they were promoting a view of education and research epistemology that was very marginal in Canada. From the beginning, CCBR embraced participatory approaches to both teaching and research,

using both qualitative and quantitative methods, local knowledge, and on-going campus-community engagement. In order to ensure that CCBR, with this new approach to research, had the independence to provide a true alternative to academic research, it was incorporated as a charitable, not-for-profit organization. Board membership was expanded to include consumers, researchers, service providers, academics, and advocates, in order to ensure that CCBR remained grounded in the experiences of those who make use of human services.

In 1996, CCBR experienced major changes in staff and leadership. The responsibility for developing new projects and finding new research areas was shared by a team of experienced senior staff, including Dr. Andrew Taylor, Dr. Rich Janzen and Dr. Joanna Ochocka as CCBR's executive director. Project theme areas began to spread beyond the initial focus on disability issues, which increased the number and variety of research projects. This was also a time when many university students became involved in CBR through their practicum under the supervision of senior staff. Some of these students developed and completed their academic theses at CCBR, and some went on to become CCBR staff.

Since this broadening of focus, CCBR has conducted many complex multi-year, multi-method and multi-partner partnerships with the result of mobilizing knowledge for innovation and social change. Some examples of theme areas include early childhood development and family support, which began with a provincial evaluation of Community Action Programs for Children. Another theme area was immigration, starting with a 1998 report entitled Dignity and Opportunity, leading to a series of interconnected projects including the 2001 Immigrant Parenting provincial study. Another major undertaking was a seven-year study of Consumer/Survivor Initiatives in Ontario that was conducted in partnership with Wilfrid Laurier University and Centre for Addiction and Mental Health.

The development of an evaluation framework for twenty-six provincially funded early childhood initiatives was a highlight of the CCBR's on-going program of research on interventions that support families with young children. In 2005, CCBR initiated a five-year Community University Research Alliance (CURA) on mental health and cultural diversity bringing together over 40 partners. This research developed a theoretical framework for improving mental health services for cultural communities with six demonstration projects with secured external funding beyond the study. CCBR is also one of only four non-academic institutions which received SSHRC provisional eligibility.

Researchers at CCBR have always seen this organization as one that twins community research and education. Since 1997, graduate and undergraduate classes offered in local universities have been taught by CCBR staff. Student interns, community learners and volunteers have always been an important part of CCBR life. Staff members frequently offer workshops on CBR and often hire and train community researchers who have direct personal experience with the issues under study. As CBR is mainstreaming in Canada, CCBR's role is expand-

ing. With over 370 research projects completed, CCBR is well positioned to build capacity for CBR through academic education, community training, publishing, and presentations. Recent CCBR work with scholars and government officials in the province of Newfoundland and in Indonesia have been successful examples.

### **The Université du Québec à Montréal (UQAM)**

The Service aux collectivités (SAC) of the Université du Québec à Montréal (UQAM) was established in 1979 to build capacity for community-university partnerships that address concerns brought by communities. The SAC mandate is to promote, coordinate and facilitate community-based training (CBT) and community-based research (CBR) activities to be carried out by faculty members in collaboration with NGOs. All faculty members that are interested in such an approach can be helped and accompanied by the SAC. An institutional policy was adopted, recognizing and integrating these activities as part of the regular tasks of faculty members. Therefore, these activities were not considered as extension or outreach but were integrated into the research and teaching activities of faculty members. Concrete means were implemented to facilitate and encourage the development of such activities conducted in partnership. Amongst these, a Board of Community Services was established, as well as financial support through seed money for research projects, hours of training activities, and project coordinators dedicated to the development of CRC and CBT projects.

Steered by eight community representatives and eight university leaders, the Board of Community Services provides recommendations on community-university engagement and evaluates research and training projects that are presented for institutional support. \$100 000 to support students participation in research projects (CBR), and 900 hours of training activities (CBT) to faculty members are provided annually are provided by UQAM. This seed money often provides leverage for more substantial financial support from federal or provincial granting agencies.

Since its foundation, the SAC has conducted more than a thousand research and training activities, has initiated two major partnership grants and was involved in several major grants provided by the provincial government. Annually, more than a hundred projects involving as much Faculty members, students and NGO's are on-going. These projects, action-oriented, are designed to enhance the quality of life and the economic, environmental, cultural and social well being of communities. Based on a cross-cultural perspective -scientific and practitioner views- academics and NGOs have established a knowledge dialogue through these projects.

The work at UQAM is an example of a successful community-university partnership in the social economy. Coordinating networks of researchers and community partners developed social-economy related research directed by communities. Sharing knowledge and practices between universities and communities stimulated engagement by bridging spheres of research and action.



Between 2000 and 2006, over 100 research projects were completed, which led to the publication of research findings and the organization of seminars, workshops, and conferences. These activities were carried out by more than 160 researchers and partners who are active in the social economy, from universities, research centres, and various collective businesses and non-profit organizations, mostly based in Québec, but also in the rest of Canada and many other countries...(ARUC-ÉS & RQRP-ÉS, n.d.).

### **The University of Victoria (UVic)**

The Office of Community-Based Research (OCBR) was established in 2007, with Dr. Budd Hall named as its director, to build capacity for community-university research partnerships that would enhance the quality of life and the economic, environmental and social well-being of communities. Jointly steered by community and university leaders, the OCBR garnered attention from academic and community foundations, granting agencies that were keen for new approaches to create social change in areas such as housing affordability, community planning, Indigenous language and culture revitalization and food security.

Building on the success of the flagship OCBR and the commitment of the university to community engagement articulated in the UVic strategic plan, several task forces and working groups were formed that resulted in UVic embarking on the development of an enhanced structure to support community-university engagement broadly, and within that, support for CBR. While community engagement had been identified in the strategic vision of the institution, the momentum for community engagement actions and strategies happened from the ground up. The UVic reputation is that of being practitioners of community engagement.

In early 2013, the academic leadership retreat focused on community-university engagement, affirming the commitment to community-university engagement. A new infrastructure of support for community engagement was subsequently developed, including a senior level coordinating council, and several new initiatives were launched. For example, the Research Partnerships and Knowledge Mobilization unit was created within the Office of Research Services to provide administrative support services to the development of research partnerships and to the facilitation of knowledge mobilization. In addition, two new senior positions were created: the Special Advisor on Community Engagement and the Director of Indigenous Academics and Community Engagement. Another initiative was the Engaged Scholar Awards, which were established as distinguished professorship to recognize excellence in community engaged research and scholarship. Finally, CUVIC2014, a global conference on community-university engagement was held with great success.

As part of this new infrastructure, a new research centre, the Institute for Studies and Innovation in Community-University Engagement, was created as

a ‘doing think-tank’ to extend the work of the OCBR, nurture innovation in community engaged research and to study community engagement.

The Institute for Studies and Innovation in Community-University Engagement (ISICUE) works with other research centres and units that conduct community-engaged research and with community partners to assist in building capacity for CBR, to build collaborative initiatives, to develop insight into the practices of community engagement and to support regional, national and global networks. It has retained the foundational values of the OCBR: respecting multiple ways of knowing and learning; valuing interdisciplinarity as necessary to address the complex issues of our times; recognizing the transformative power of knowledge and community mobilization; and honouring the value of universities and communities working in partnership. As a champion for CBR, ISICUE hosts innovative initiatives in the practice of CBR such as the Indigenous Child Wellbeing Research Network, the Pacific Housing Research Network and the Community Mapping Collaboratory. It is involved in research about community engagement including a networks study, an exploration into the role of students in knowledge mobilization and the development of a collective impact framework for community engaged research.

The UVic administration intends to build on the success of these recent initiatives and is developing an institution-wide framework for community-engagement. Community-engaged research is one of five strategic components in this emerging framework that will see a continued enhanced commitment to community-engagement. The components of community-engaged learning, knowledge mobilization, good neighbour and institutional policies round out the framework that is designed to facilitate integration across the sectors of the university.

### **British Columbia Association of Aboriginal Friendship Centres (BCAAFC)**

The BCAAFC is a provincial umbrella association for twenty-five Friendship Centres throughout the province. It is part of a national movement of urban non-profit social service organizations known as Friendship Centres that work to improve the quality of life for Aboriginal peoples throughout Canada. Located in Victoria, BC, the BCAAFC has offered policy and program support to its member Friendship Centres for over 40 years. Governed by their members, they enjoy an Elders Council and a Youth Council that often engage in collaborative initiatives.

A key aim of the BCAAFC is to build capacity in Aboriginal communities, and they have developed a “5 by 5” plan to facilitate employment opportunities for five thousand people over in the next five years. Liaison and advocacy with government is a key role as they negotiate for resources to enable local Friendship Centres to provide programming that supports the 5 by 5 plan. From youth training programs to social innovation initiatives, the BCAAFC offers expertise and support to local Centres. Other areas of policy and programming work include infant and

child development, family violence, and financial literacy. The BCAAFC works in partnership with governments and other agencies in the development of policies and programs. For example, it is a partner with First Nations Health Authorities, Métis Nation B and the federal and provincial governments in the development of an Aboriginal mental wellness and substance use plan.

The BCAAFC has some signature initiatives as part of its repertoire. It hosts an annual youth conference, *Gathering Our Voices*, that last year saw 2000 Aboriginal youth plus chaperones, exhibitors and mentors come together for a week to explore, learn and engage with their culture. It also was the initiator of the *Moosehide Campaign*, a grassroots movement of Aboriginal and non-Aboriginal men who are standing up against violence towards women and children. Wearing a small patch of moose hide to symbolize their commitment, they are working in the spirit of brotherhood to protect Aboriginal women and children.

The BCAAFC has recognized the importance of research and policy analysis to its work. As a non-profit organization with limited resources, it has partnered with others to continue to build its capacity in these areas. As it is grounded in Indigenous ways of knowing and being, the approach to research taken up through the BCAAFC brings new opportunities for learning and knowledge creation through its partnerships.

The Indigenous Outcomes Measurement Initiative was designed to articulate outcomes that are meaningful to Indigenous people and organizations. This initiative developed in response to a growing understanding that performance management processes designed for non-Aboriginal children and families shape service delivery in a manner that may not enhance outcomes for Aboriginal children and families. This initiative attempts to ground the development of processes and indicators in the realities of families and communities and is helping the BCAAFC redefine their contract reporting requirement and contract management processes.

The Aboriginal Non-Profit Sector Human Resource and Workplace Strategy Initiative aims to strengthen the Aboriginal non-profit workforce, increase attraction and retention of Aboriginal employees and enhance workplace wellness. As part of this initiative, extensive community-engaged research was conducted. Partnerships with Indigenous researchers, consultants and universities facilitated this work. One project in this initiative inventoried promising practices for the incorporation of cultural and traditional values in the workplace and developed a cultural assessment tool for agencies. In their 2013 report (see [www.aboriginalnonprofits.com](http://www.aboriginalnonprofits.com)) it notes that the research team was assembled to facilitate an 'Indigenous Approach' and included people with expertise in cultural knowledge and protocols, facilitation, community-based research with Indigenous peoples, non-profit administration, data analysis and human resource management.

The BCAAFC is also a participating partner in the Urban Aboriginal Knowledge Network, a national research network of urban Aboriginal com-

munities, policymakers and academics engaging in community driven research (see [www.uakn.org](http://www.uakn.org)). It is a partner in the Indigenous Child Wellbeing Research Network that strives to support research that is grounded in Indigenous ways of knowing and being. As Paul Lacerte, executive director of the BCAAFC stressed in a recent conference presentation at the University of Victoria, research partnerships are important to the BCAAFC and these partnerships are built on relationships with people, not institutions. Bruce Parisian, treasurer of the BCAAFC commented on the desire to grow research capacity within the Friendship Centre movement. “If every Centre could have the capacity to do research it would be a huge help in developing better services for the urban people we serve. We need to understand the needs and strengths of our communities and how we can best work with them” (personal communication, 2014).

## **CHALLENGES**

### **Reconciliation with Indigenous Peoples**

Canada has been striving to reconcile with Indigenous peoples, but key policy structures such as the Indian Act along with continuing colonizing practices, often reinforced through Western research and knowledge construction, as well as unequal resources, make reconciliation an inappropriate goal. Rather, attention to building relationships of dignity holds promise.

### **Engaging Philanthropy**

Imagine Canada, Community Foundations of Canada and other research foundations are important to the creation of knowledge for the betterment of society. The foundations are having an increasing role in investing in the creation and support of new ideas and strategies for our society. Social innovation and community engagement are current discourses where foundations are often leading the initiatives. The Governor General’s CCCI initiative saw foundations taking a key role in defining the relationship between universities and communities.

### **Building Research Capacity in Non-profit/Civil Society Organizations**

The non-profit sector does not have the capacity for research that universities enjoy. They do not necessarily want extensive capacity to do their own research, but rather the capacity to engage with universities, whose mandate is to do research, in order to conduct research that is of use to civil society. Current funding mechanisms such as SSHRC do not make getting resources to the community very easy to do. The university is still ‘at the centre’ of the research funding endeavour which can place the NGO in a passive position.

### **Getting the Provinces on Board**

The mandate for higher education in Canada is provincial rather than

national. Engaging government is important in CUE research, but the different provincial regimes make having a national strategy or support system difficult. The Province of Newfoundland co-hosted CUExpo 2013 and has taken a lead in the initiative to interest the other provinces in investment in and support of community campus engaged scholarship. May of 2015 saw the first of several inter-provincial meetings.

### **Working Nationally**

Canada is a big country with its people concentrated in several cities. This physical size makes collaboration difficult and community based researchers often rely on technology to facilitate communication and collaboration. Partnering with another region in Canada is often more difficult than partnering with another country. Relationships matter, and the sheer size and diversity of Canada make building these relationships very interesting and challenging work.

### **Building More Faculty Interest**

One of the challenges UQAM in Quebec is facing is to increase the number of faculty members willing to engage their research activities into these non-traditional approaches, and in addition, to have recognition institutionally and among peers for their work. For example, in 2031, ninety-five out of one thousand faculty members were involved in 100 projects, and the majority of these academics originated from social sciences and humanities. While the ninety-five professors indicated is impressive, there is clearly room to expand this work.

### **Broadening support from other funding bodies**

A major issue remains the lack of recognition from granting agencies of such partnerships, mainly in natural sciences and engineering, and evaluation of academia's scientific production based almost solely on main stream peer-reviewed publications. Only a few programs of Social Sciences and Humanities Research Council encourage and recognize university-community partnerships and evaluate differently the scientific production.

### **Issue Complexity**

Another challenge is related to complexity of issues brought up by community partners often requiring follow-up accompanying measures. An example is provided by the project called "A Pension Plan Made to Measure" that was set up to remedy the lack of a pension plan for 80,000 employees, mostly women, in Quebec's NGOs and social economy sector. With the support of a university resource, a pension plan adapted to the community movement's needs and constraints was elaborated. The plan manages 15 million dollars and has a growing membership of 3,210 employees from 416 different community and women's groups (Régime de retraite, n.d.).

## Conclusion

Canada has a long history of community-based research linked to many of the major social movements of the 20th and 21st centuries. In spite of the decentralised nature of higher education funding and governance in Canada, a national policy environment has emerged that supports institutional change towards stronger community-university research partnerships. The next phase of research partnership development will be a focus on specific sectors where barriers to a just and sustainable society still exist.

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# INDIA

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## India: New Hopes and Fresh Beginnings

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### Introduction

The higher education sector in India has witnessed a tremendous increase in the number of universities and colleges since independence. In the years between 1950-2014, the number of universities increased 34 times, now totaling at 677. During the same period, the number of colleges registered a manifold increase of 74 times, now numbered at 37,204 (MHRD, Government of India, 2015). By the end of the 11th five year plan (2007-2012), Gross Enrollment Ratio (GER) in India reached 17.9%, up by more than five percent from the beginning of the plan period (12.3%) (Pujar, 2014, p. 4). Therefore, over the last 30 years, the persistent increase in GER has put India in the second position in the world, in terms of enrollment of students in Higher Education Institutions (HEIs), which includes all post-secondary colleges and universities. With such enormous expansion of higher education, questions are now being posed to its relevance and credence in the context of the societal problems of inequality, degradation, insecurity and exclusion that the country faces today.

It is in this context that the agenda of Community University Engagement (CUE) has assumed increased importance in academic debates and policy circles. The rationale behind this thinking is to re-establish the connection between universities and society, in an attempt to seek sustainable solutions to pressing societal challenges. In India in particular, this agenda is gradually being pursued by policy-makers and HEIs alike.

This paper outlines the Indian case with respect to CUE. The first section of the paper traces the historical roots of the Indian Higher Education sector, and goes further to examine the evolution of modern policies on higher education, and its role in the national development agenda, with special focus on the 'engagement angle'. The second section outlines the experience of two universities (Bhagat Phool Singh Mahila Vishwavidyalaya and Gauhati University) in promoting CUE. They have been selected because of their interesting work in this area. The third section describes a unique civil society network, Participatory Research in Asia (PRIA), practicing and promoting Participatory Research (PR) and CUE in India and South Asia. The final section presents a set of conclusions that emerged from the case studies.

## An Historical Overview of the Development of Higher Education in India

Education in ancient India was considered important and had a deep impact on the achievement and advancement of its early societies. The higher educational history of India can be traced back to the existence of universities such as Nalanda and Taxila. While the Taxila University (700 BC) was the world's first university, the Nalanda University (4 AD) was the world's first residential university. In November 2010, the university was re-established by a special Act of the Indian Parliament, which bears testimony to the important status it occupies in the Indian intellectual landscape. A university as historically significant as the Nalanda places tremendous importance on its relationship with the community, as is evident in its vision statement:

A university of the third millennium has to be universalist in its outlook, open to currents of thought and practice from around the globe, and it has to respond to the needs of the world, before it can ensure peace and prosperity with equity and hope, for all the people of the world. It must be adapted to the rhythm of nature, where it is located and enrich the lives of the people in the neighborhood. (Nalanda University, 2015)

Likewise, ancient higher education in India did incorporate the aspect of community engagement and functioned in sync with the society at large, serving the latter's requirements. In those times, practices of holistic health were taught via the channel of the large number of Ayurvedic colleges, with Ayurvedic sciences being an important branch of study at the ancient universities. Here, much importance was given to the traditional methods of herbal medicines as one of the trusted modes of human treatment. With the advent of modern medicine, however, such traditional knowledge systems in higher education have been gradually marginalized.

Historically, higher education in India has attempted to integrate advanced knowledge and skills with larger social concerns. General education, complementing curricular instruction of more specialized varieties, was thought to be important in shaping future citizens and enabling active engagement with the society (Tandon, 2014, p. 7). From the pre-independence Zakir Hussain Commission to the post 1947 Radhakrishnan Commission, educationists have emphasized the need for students to be aware of social issues. Post-independence, the most important document on education in India is the *Report of the Education Commission (1964-66)*, under the chairmanship of Dr. D. S. Kothari, then chairman of the University Grants Commission (UGC), the apex body regulating higher education in India. Along with an improvement in the quality of higher education and in university administration, this report called for an "expansion of higher education to meet the requirements of the nation, the rising social ambitions and the expectations of the people" (Choudhary, 2008, p. 62). This report became the basis

of the first national policy on education in independent India, the *National Policy on Education, 1968*. With this began the restructuring of courses at the undergraduate level, and centres of advanced studies were set up for post-graduate education and research. Examples of such centres were the UGC funded Centre for Gender Studies and the Centre for Adult Education.

This policy underwent revision and the new *National Policy on Education* appeared in May 1986. Along with developing human power for serving the economy, it also aimed at developing crucial values. This policy envisaged education for equality and understanding of the diverse socio-cultural systems of the people, along with increasing the relevance of higher education (Choudhary, 2008, p. 62). Government's commitment to take the engagement agenda forward was also reflected in the 11th five year plan, which prioritized education as a central instrument for achieving rapid and inclusive growth with specific emphasis on expansion, excellence and equity. This was evident from the budget proposed for education, which saw a five-fold increase over the 10th Plan. During the 11th Plan period, the Yash Pal Committee Report, *Renovation and Rejuvenation of Higher Education*, was released in 2009. This report was an important addition to a completely new perspective on knowledge management. It provided for the concept of a university which is suited to the production of universal knowledge that is of benefit to the society at large (Safdar Hashmi Memorial Trust [SAHMAT], 2009, p. 26). The report states: "We have overlooked that new knowledge and new insights have often originated at the boundaries of the disciplines. We have tended to imprison disciplinary studies in opaque walls. This has restricted flights of imagination and limited our creativity" (Yash Pal Committee, 2009, p. 2). It further suggests that

...it is important that the universities relate to the world outside and the walls of disciplines are porous enough to let other voices be heard. It would also be necessary that university education is seen in its totality and the subject areas are not designed in isolation. (Yash Pal Committee, 2009, p. 13)

The report points towards the fact that universities in developing countries have the social responsibility for evolving strategies for meeting the different demands of a knowledge society (Narasimharao, 2010, p. 11).

## Positioning of CUE in Indian Higher Educational Policy

The post-independence era was marked by an urge to introduce social service for students, both as a measure of educational reform and as a means to improve the quality of education for the workforce (Government of India, 2006). Therefore, the UGC recommended the introduction of national service in academic institutions on a voluntary basis with a view to developing healthy contacts between the students and teachers on one hand, and establishing a constructive linkage between the campus and the community on the other (Government

of India, 2006, p. 5). Launched in 1969 by the Ministry of Youth Affairs and Sports, the scheme was initially introduced in thirty seven universities, involving nearly 40,000 students. At present, the NSS covers more than 3.2 million student volunteers spread over 298 universities and forty-two senior secondary councils and directorates of vocational education all over the country (National Service Scheme, 2015). NSS volunteers worked with villages, slums and voluntary agencies to complete 120 hours of regular activities during an academic year. This was however, in the mode of 'adding on' community engagement to teaching and learning. While many worthwhile projects are undertaken by the NSS (such as blood donation, building village roads, afforestation, teaching children in urban slums), they tend to remain as assorted activities without any clear links to the role of higher education itself (Tandon, 2014, p. 7).

One of the major recommendations of the 1986 *National Policy on Education* was the establishment of the National Assessment and Accreditation Council of India (NAAC), an autonomous body established by the UGC to assess and accredit institutions of higher education in the country. Established in 1994, NAAC has been placing particular importance on community engagement in HEIs for improving overall quality of higher education. NAAC believes that there is a need to give a concrete shape to institution-community partnerships, since both higher education and community play important roles in modernizing a country's human resources, and their interests have a natural affinity. Further, best practices in community engagement need to be identified in order to disseminate them among the HEIs in the country for the benefit of the academic community and the society at large (NAAC, 2006, p. vi). It has been involved in documenting and promoting best practices in community engagement, which validates NAAC's philosophy of leading by example. Such an exercise also coincided with the NAAC's accreditation agenda in two important ways. Firstly, it aimed at institutional improvement and secondly, it improved the quality of higher education. The motivation for this entire exercise stemmed from a need to promote renewal of civic mission of HEIs (NAAC, 2006, p. 3).

In line with this, there have been examples of innovation and effort in this field, with some universities pursuing interesting work despite the absence of a regular structured framework. For example, in 2005 the University of Pune launched the *Samarth Bharat Abhiyaan Programme*. Under this initiative, at least one village was adopted by each college. In total, 573 villages were adopted for an overall integrated development. A twelve point agenda was chosen which covered issues such as environmental awareness, drug addiction, water and soil testing, socio-economic and health (Tandon, 2014, p. 7).

Further, in view of the critical role that knowledge institutions would play in making India a global leader in the 21st Century and in meeting the growing aspirations of the young population, the five year plans also began to place a special emphasis on the higher education sector. While the 9th five year plan recognized

extension and outreach activities as the third and the fourth dimension of university education, the 11th plan (2007-2012) placed highest priority on education as a key instrument for achieving rapid and inclusive growth. It was during this plan that the National Knowledge Commission (NKC) was envisaged as one of the key concurrent processes. The commission was constituted on the premise that “the ability of a nation to use and create knowledge capital determines its capacity to empower and enable its citizens by increasing human capabilities” (National Knowledge Commission, 2008). Quoting Mr. Sam Pitroda, the Chairman of the NKC:

The real challenge now is to create an appropriate environment to engage and empower local communities and various other stakeholders and at the same time build effective models of collaboration, including public private partnerships and partnerships between academia, industry and the local communities at large, to bring about generational changes in our knowledge institutions and infrastructure needed to respond to the opportunities for growth and prosperity in the 21st century for all our people. (National Knowledge Commission, 2008, p. iv)

NKC, in particular, focused on promoting applications of knowledge for sustained and inclusive growth, and using knowledge applications in efficient delivery of public services (National Knowledge Commission, 2008, p. iii).

Taking forward the similar thought process was the 12th five year plan (2012-2017). It proposes an innovative aspect of furthering the quality of higher education in the country in terms of strengthening community engagement and promoting social responsibility. It states:

In the face of growing isolation of HEIs from the society, there is a need for renewed effort for HEIs for genuinely engaging with the community, conduct socially relevant research and education and foster social responsibility amongst students as part of their core mission. For this purpose, a National Initiative to Foster Social Responsibility in Higher Education would be launched. An alliance for community engagement, an independent association of practitioners, academics and community leaders would be created to support its implementation. (Tandon, 2014)

A major push in this direction was provided by the Ministry of Human Resource Development (MHRD) and UGC. In line with this, the Planning Commission set up a Sub-Committee called Strengthening Community Engagement in Higher Education. Its recommendations led to the UGC launching a scheme to foster community-university engagement in HEIs in October 2014. Under the 12th plan guidelines, the UGC rolled out a scheme for the establishment of Centre(s) for Fostering Social Responsibility and Community Engagement (CFSRCE) in universities. The main objectives of the scheme include promoting community-university partnerships to develop knowledge for

improving the lives of the people, to encourage participatory research, and to promote alliances with community based organizations in planning and execution of projects. It seeks to propagate integration of service, service-learning and experiential learning into curricular programmes. It also aims at creating neighborhood networks of educational institutions and providing policy suggestions and technical assistance to help foster community engagement and social responsibility in higher education. Under this scheme, the UGC will be financing the respective universities approximately half a million dollars for setting up CFSRCEs. The UGC is also involved in disbursing funds to the universities under innovative programme scheme, as part of plan/non-plan expenditure, for undertaking community engagement activities.

Another initiative championed by the MHRD to further promote community engagement and social responsibility of universities has been the recently devised scheme on National University Rankings for HEIs. Although the framework is still being constructed, what is unique about these rankings is that it will include a university's social contribution and its social responsibility as a crucial parameter for judging its national rank. This would help domestic institutions pursue academic and social excellence, and achieve the goals set by the national rankings framework, in addition to the focus on publications and research. In turn, the government will press for funds to be used to boost universities' social and policy role. This will play an important role in further strengthening community engagement in HEIs.

## CASE STUDIES: UNIVERSITIES PROMOTING CUE

### **Bhagat Phool Singh Mahila Vishwavidyalaya (BPSMV), Sonapat, Haryana**

Community Engagement in societal development has always been the mainstay of our university. We believe that engaging with the community should be an integral part of the university activities (Dr. Pankaj Mittal, Former Vice Chancellor (VC), BPSMV, from speech given during the launch of the *GUNi World Report 5 on Higher Education*, Planning, New Delhi, March, 2014).

Located in the rural area in the state of Haryana, BPSMV is the first state women's university in North India. Its history traces back to a small Gurukul for girls, started by Bhagat Phool Singh Ji, a revenue collector turned reformer in 1936, and continued through community participation and people's donations. It gradually grew in size, stature and reputation and was accorded the status of a full-fledged university by an act of the legislature of the state government in the year 2006. The university's mission is to educate women, as it believes that the latter are the key to social development. BPSMV has been one of the very few universities which have institutionalized community engagement initiatives through a formally operational structure known as the *Centre for Society University Interface* &

*Research (CSUIR).* The proposal for the establishment of the Centre was put before the executive council of the university and was formally established in August 2010. This centre facilitates research partnerships between the university and the community through a variety of innovative, add-on courses.

CSUIR aims at creating a liaison between the university and the society. The underlying idea behind its conception is twofold. First, the university believes that education is a process that requires practical exposure for learners beyond their conventional syllabus and classroom teaching, as education is not comprehensive unless coupled with practical application. The second idea is that the life of villagers is difficult and there is a lot that the university students can do to make it easier, cleaner and more hygienic by developing small technologies for their day-to-day use. It therefore aims to expose the students to the realities of daily life, and to encourage them to imbibe from the villagers ideas on ancient, traditional and extremely effective techniques. For example, Indian women in general and rural women in particular, are recognized as an unparalleled resource of knowledge in areas such as energy management and home remedies. This learning is made possible only when the students interact with the community members. The latter, in turn, are acquainted with modern ideas on sustenance and livelihoods, which are simple, effective and locally feasible.

CSUIR conducts research on all aspects of social growth like self-help groups, adoption of villages, computerization of land records, solar lights, and adult education. This is made possible through the courses, which add to the skills and the employability of the students, who in turn act as anchors in the process of societal development. The university assigns the responsibility of co-ordination of each course to a regular faculty member, along with three faculty members who function as field trip coordinators. There are fifty students in each course, who are graded through semester tests which include classroom work and field activities. The centre offers four courses on integrated energy resource management, microfinance practices and women, folk medicine and co-operative management. Its pedagogy is such that half of the theoretical curriculum is completed in classrooms, and the knowledge gained is then applied in the field at a practical level.

Community University Research Partnerships (CURPs) facilitated by CSUIR are in the form of joint projects with the community, thus combining community's indigenous knowledge with academic expertise. For instance, the course on folk medicine is based on the premise that indigenous knowledge residing within the communities is valuable and needs to be documented. In this case, it concerns the herbs/plant based effective remedies known to village women. This knowledge is tapped by the students going into the communities, who then document indigenous medicines and treatment methods, and finally produce it as academic literature.

Under knowledge sharing initiatives, the Centre conducts workshops, seminars, training sessions, extension lectures, etc. It invites farmers from neighbour-

ing areas for knowledge dissemination on latest farming techniques, operation of herbal gardens, and more. The students also engage in socially beneficial projects, such as designing useful instruments for rural households, which help in the sustenance of daily livelihoods. For example, they invented a washing machine which washed clothes through a cycling process. Considering the scarcity of electricity in villages, this machine served the dual purpose of getting the clothes washed and ensuring fitness of the people. This form of ‘learning with the community’ envisaged providing service to the community while the students continued to learn.

The courses, although not integrated into the curriculum, have been accorded the status of audit courses, which reflects on a student’s transcript. This gives the student an added advantage in terms of professional skills and employability in the future. Similarly for the teachers, apart from monetary incentives as salaries, there is no separate incentive in place for engaging in such efforts. The course coordinators are regular professors at the university and take on this responsibility in addition to their teaching commitments. The Centre is funded by the university, which releases the amount from the state government’s consolidated grant. The budget that is provided to the Centre ranges around \$3,000 per year, subject to the Centre’s requirements.

The university’s networking with the local civil society for promoting community engagement is also noteworthy. The university collaborates with PRIA in a campaign for ending violence against women in Haryana. Known as the ‘Kadam Badhao Campaign’, it is a youth led initiative which involves participation by both the university students and the rural youth, who form the core group and steer the campaign activities. This presents a unique case of tripartite networking between the university, community and civil society in an attempt to promote CUE.

### **Gauhati University (GU), Guwahati, Assam**

“The knowledge that resides outside the campus premises must be tapped through a two way process between the universities and the communities in a way that it proves to be mutually beneficial for both”. (Nani Gopal Mahanta, Associate Professor, Department of Political Science, Gauhati University, from speech given at the dialogue on ‘strengthening community engagement in HEIs’, at IIT-Guwahati, September, 2014).

Established in 1948, Gauhati University is the oldest and largest university of North Eastern India. It is funded by the UGC and the state government of Assam. The university’s commitment to serve the society is indicated in its mission statement, which focuses on “taking a leading part in the regional development through higher education in the form of teaching, training, research, consultancy, collaboration and extension services to the community at large” (Gauhati University Collaboration, n.d.). The Department of Political Science at Gauhati Univer-



sity had institutionalized a structure known as the Centre for Peace and Conflict Studies (PACS). This programme was offered under the Innovative Programme Scheme launched by the UGC, as part of its initiatives under the 11th plan period. Launched in 2007, PACS accommodates students from varied academic backgrounds, professional associations and interests and is expected to foster research activities on the prevailing situation in North Eastern India.

The programme achieved its intended objective of innovative research by virtue of its design, which included a number of field based interventions and extracurricular activities along with the regular course work. The course was designed in a manner that the community as central subjects remained the focus of the initiative. Incorporation of their ideas and perspectives on various issues remained the high point of the research report that emerged from such studies. Further, sharing of such reports with the local government gave the initiative enormous social relevance, in addition to academic importance.

### **Classroom teaching**

Students from varied academic backgrounds, professional associations and interests such as media, economics, law, political science, journalism, film making, sociology, anthropology, psychology and philosophy were accommodated in this programme. The programme also saw participation from lawyers, army personnel, etc. The innovativeness of this programme gets highlighted here, as it witnessed representation from different sections of the society, rather than being boxed into academic confines alone.

### **Field based research**

Field research was in the form of conduction of surveys with respect to the ground situation, mostly in conflict affected areas. It aimed at mapping the conflict, actors involved, coping mechanisms, plight of the people in displaced camps, negotiation processes and the role of the state. After the survey was completed, a comprehensive report was presented to the state government with a slew of recommendatory measures. The field research also included exposure trips to relief camps in post conflict times to adjudge the ground realities. The students and faculties would spend time with the communities for some days at a stretch. This provided an opportunity to build rapport, and elicit views from the community's perspective, which held utmost importance in a context of ethnic conflicts. This paved the way for the community to be internalized into the research process, rather than just being 'passive data providers' for 'traditional research'. The students and faculties also organized 'follow up visits' to the camp areas, to assess the changes and get feedback from the community on a number of related issues.

## Other interventions

The programme also included events such as round table conferences, lecture series, workshops, conferences, and sensitization which saw participation from both the students and the community. The students were also provided with opportunities to engage in workshops while on field visits.

The programme acted as a platform for bringing together various stakeholders working in fields such as peace building and conflict resolution, human rights protection, gender, and justice. The programme offered an additional qualification, that was not integrated into the curriculum. Therefore, it was in addition to the regular courses into which the students were enrolled, and purely up to their choice whether to opt for it or not. Considering the conflict prone nature of North-Eastern India, the course also provided an opportunity to examine the lives of the people closely and see the conflicting angles of ethnicity, build on confidence building measures, and give solutions for reviving peace. Such an approach adopted by the course attracted the attention and enthusiasm of students. Also, they were able to earn valuable additional degrees, which not only gave them practical exposure, but also professional expertise.

Being a UGC initiative, the financial requirements were taken care of by the funds disbursed by the Commission. The UGC under its innovative programme scheme funded universities to the tune of \$1,000,000. The Centre also entered into partnerships with research institutes, and local print and electronic media, for furthering the cause of research and dissemination of ideas with respect to ethnic conflict issues in the north-eastern region. Partnerships with diverse agencies gave the research purpose a broad horizon and unlimited opportunities. The involvement of the local media ensured that the work of the Centre was widely disseminated. This helped the Centre gain visibility in both academic and social circles. In return, this helped build the socially responsible stature of both the Centre and the university, and also helped them fulfill their obligations towards society.

## CIVIL SOCIETY & CUE

### Participatory Research in Asia (PRIA)

PRIA presents a unique case of networking with academia in an attempt to further the cause of community engagement in HEIs. PRIA began in 1982 as a network of practitioners involved in awareness generation, community organizing and adult education to empower the poor and marginalized. In order to bridge the divide between the world of practice and the world of research, PRIA undertakes a number of initiatives to promote engagement between HEIs and local communities for fostering knowledge generation and mutual learning. By doing this, it has helped HEIs realize their social responsibility towards community needs and aspirations. Through its extensive networking with an array of HEIs in India, PRIA

has played an important role in bringing universities closer to communities. It has played, in varied contexts, the role of facilitator, supporter, and partner.

PRIA's journey over the past three decades has been to promote participatory research (PR) in order to enhance the value of local practitioner knowledge. To some extent, HEIs have been influenced to accept this approach. As a civil society organization, PRIA has been able to pioneer such an approach due to a combination of its expertise drawn from practice and its commitment to PR. Its bridging character has enabled it to gain credibility with both HEIs and community-based organizations such that mutual engagement becomes possible (Participatory Research in Asia, 2014). It has also played an important role in strengthening the network of civil society organizations (CSOs), both in India and South Asia.

As a civil society organization, PRIA encourages students to undertake field work to understand the socio-economic conditions of communities, and to suggest solutions to everyday problems. PRIA's long-term presence and trust built in these communities facilitates the engagement. PR is emphasized as the cornerstone of the field work process. For example, in collaboration with M.M. College, Haryana, PRIA conducted a survey to capture the situation relating to registration of births and deaths in Haryana. NSS students of the college were involved in a campaign to update voters lists as well as conduct a survey on the status of birth and death registration in ward number 4 of Fatehabad Municipal Council, Haryana. The findings were then shared with the concerned municipal officials. This activity was comprised of 'service learning', which seeks to ensure 'learning with the community'. In this process, while providing the service (an extremely valuable one of updating voters lists and of documenting the status of registration of births and deaths), the students gained both theoretical and practical learning on data collection and conducting field surveys (PRIA, 2014, p. 4).

As an enabler of partnerships, PRIA also facilitates linkages between HEIs and local communities to prepare for and undertake joint research. In taking such an enabler role, PRIA's 'bridging' nature proves to be very useful. PRIA is able to influence various departments and schools in HEIs to look at research as a joint enterprise with the community. PRIA's important contribution in many such efforts has been to demonstrate the value of indigenous knowledge available in the community, and the need for a mutually supportive approach in research partnerships. An example of such a collaborative research effort has been the study on the 'Status of Primary Education and Scheduled Castes in Five Districts of Haryana', in association with Dr. Ambedkar Study Centre, Kurukshetra University, and young Scheduled Caste (SC) girls (coming from marginalized sections of society). The young girls not only conducted the study but also analyzed the findings with the help of professors of the university and PRIA facilitators (PRIA, 2014, p. 8).

PRIA's approach to empowerment is based on the process of learning with the community, where sharing new knowledge is a core focus. As part of PRIA's engagements to link HEIs with communities, it created an enabling environment

for knowledge sharing to be meaningful from the point-of-view of the community. For example, it organized a workshop in association with MS University, Baroda. It aimed at enhancing understandings of the philosophy and principles of PR, and assisting participants to incorporate the principles into their work. The workshop also helped understand and explore the feminist dimension of PR and also provided an opportunity for dialogue between NGOs and researchers (PRIA, 2014, p. 13).

PRIA also partners with various HEIs to develop a range of courses whose content is prepared by practitioners having field expertise in association with teachers and researchers in HEIs possessing theoretical knowledge. The bulk of the practical knowledge for these courses comes from PRIA's own field experiences, thereby presenting a useful mix of theory and practice. The courses also validate and give value to community knowledge. An example is a certificate course offered by PRIA, International Perspectives in Participatory Research and Evaluation, that was developed in association with the University of Victoria (UVic), Canada.

In consideration of the strong role that PRIA has played in community based research over the last few decades, it was included in the formation of a UNESCO Chair in Community Based Research and Social Responsibility in Higher Education. It was launched in 2012, co-chaired by the President of PRIA, Dr. Rajesh Tandon, and University of Victoria professor Dr. Budd Hall. After the rolling out of the new UGC scheme, the Chair has facilitated growing circles of partnerships and engagements between HEIs and communities in a more mutually beneficial and respectful manner.

## **Conclusion**

The aforementioned account on fostering CUE through the channel of various actors and institutions points towards its growing importance in India. Although there was no specific policy on CUE until recently, the NSS seems to have historically fulfilled the role of linking HEIs with communities. Although the NSS programs did provide the students an opportunity to be exposed to local realities, its link to the learning agenda or the course curriculum was missing. In this context, the new UGC scheme and the funding that comes along with it has contributed to building an encouraging environment, and enthusiasm among universities interested in working along this agenda. As it focuses on specific areas of community engagement, with explicit emphasis on research partnerships, the new policy does have tremendous potential to scale up CUE in a systematic manner. It is also true that the scheme is in its early days, and although it seems promising, it needs to be observed as to how far it can go to achieve its purpose. The Indian leg of the UNESCO Chair recently convened a consultation of universities interested in submitting proposals under the scheme and has offered full support in the process.

It is also seen that having an explicit structure for promoting CUE, such as the CSUIR in BPSMV and PACS in GU, helped in channelizing engagement efforts in the right direction. However, a challenge here is ensuring the sustainability of the structure. While the CSUIR in BPSMV is a permanent unit in the university, PACS in GU depended on the duration of the UGC's innovative scheme, under which the Centre was built and financed. Therefore, it is essential that such structures are integrated into the university system, which happened in BPSMV, but not in GU.

Another point worth mentioning is the importance of an encouraging leadership. The kind of leadership provided by the former vice-chancellor of BPSMV, Dr. Pankaj Mittal, clearly made a significant difference in streamlining CUE efforts in the university, unlike in GU, where the top leadership was not as forthcoming in supporting engagement efforts. As a result, PACS remained a prerogative of the department of Political Science and its faculties, who took up the initiative, driven by passion and interest for working in such areas.

Attention also needs to be paid to the fact that there is no separate set of funds allocated for 'research'. Faced by financial constraints, the important aspect of research partnerships between the universities and communities is abandoned. Much of what is done continues to be viewed from the lens of the 'extension' function of the universities. Therefore, it is important to develop a clear vision of CUE, as considerable discrepancies in views exist among the Indian HEIs on this topic. In this context, systematization and mapping of current practices helps the interesting and unique cases gain visibility, which in turn builds a strong case for community engagement.

Another issue is the exclusion of engagement activities from the regular curriculum, which leads to such activities being treated as an 'add-on' component, instead of an integral process. It needs to be realized that inclusion in the regular curriculum and teaching will undoubtedly enhance student and teacher participation and their enthusiasm. Most of the CUE work has been ghettoized into social sciences/humanities. The need of the hour is to bring streams such as the natural sciences under the engagement umbrella as well. This will not only help give engagement a whole new dimension, but will also accord social relevance to the respective streams.

Along with the institutional support in the university framework, the importance and value of having a national/regional network like PRIA cannot be contested. The role played by PRIA as a civil society organization committed to PR has been distinctive. This exemplifies the need of having an organization outside the university system, which can both support and challenge meaningful community engagement and research partnerships.

Finally, after observing all the research work carried out by the universities, in association with the universities, we can conclude that even where such joint

research is being carried out, academic knowledge and expertise continues to be given primacy over traditional/indigenous knowledge. Although a reference is made to Community Based Participatory Research (CBPR) in various CUE efforts, the former still does not occupy a dominant position in such research partnerships.

Therefore, the Indian case presents an example of budding hopes and new energies ready to be streamlined into something more meaningful and positive. The gaps and missing links in the process notwithstanding, it can be said that we in India are now definitely looking into a future more bright and beginnings more promising.

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# INDONESIA

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## Long Road to Heaven: Active Roles for Indonesian Universities with Communities

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### The Meaning of Tri Darma Perguruan Tinggi

Widely known in Indonesia, especially among higher education stakeholders, is the term *Tri Darma Perguruan Tinggi* as the core idea of how higher education institutions (HEIs) should function. The word “*tri*” means three, *darma* means virtue, requirement, obligation, or commitment, and *perguruan tinggi* means higher education. *Tri Darma Perguruan Tinggi* can be roughly translated as three obligations of higher education that consist of education, research, and *pengabdian masyarakat* (community service); known also as three pillars of higher education.

Whereas the meaning and translation of *Tri Darma Perguruan Tinggi* in English is quite clear, it is not so with the meaning of *pengabdian masyarakat*. The word *pengabdian* means service, dedication, devotion, or servitude, while *masyarakat* means community. *Pengabdian masyarakat* literally means service, dedication, devotion, or servitude for/toward community. Common phrases in English often used to describe this type of context like public service, community service, knowledge transfer, or community engagement cannot be used singularly to capture the whole meaning of *pengabdian masyarakat*. For practical reasons, “community engagement” and “community service” are chosen for the translation of *pengabdian masyarakat* and are used interchangeably.

At the beginning, the meaning of this term encompassed quite varied public and community service activities. For example, social services, incidental health services, or extension programmes. Since around year 2000, the meaning narrowed towards programmes that initiate or drive social change as well as solve problems in community using a partnership approach with community. Communities, were then, considered as equal partners in all activities.

### The Structure

Nationwide, almost every HEI in Indonesia has institutionalized its community service activities under a structure known as *Lembaga Penelitian dan Pengabdian Masyarakat* (LPPM) which translates as “Institute of Research and Community Engagement”. In some cases, research is separated from community service. So, instead of one, some HEIs have a *Lembaga Pengabdian Masyarakat* (LPM) or “Institute of Community Engagement” and a *Lembaga Penelitian* (LP)

or “Institute of Research” as separate bodies. The structure of each LPPM or LPM varies across HEIs, but they are all positioned at the university level and are not under the faculty structure due to their multidisciplinary nature.

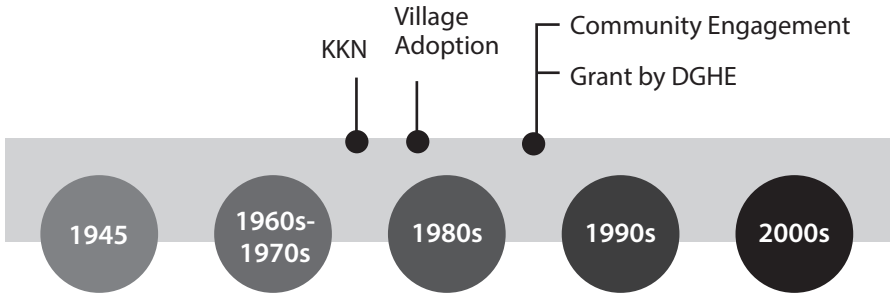
The structure of LPPM or LPM mirror the national structure in which community engagement is managed nationally under the Directorate of Research and Community Service, the Directorate General of Higher Education (DGHE) and the Ministry of Education and Culture.

## History

Community engagement activities in Indonesia can be traced back to its independence day in 1945 or even longer depending on each university’s history. Some big universities in Indonesia have their own history of community engagement activities since the universities were founded.

In the 1980s, the state obligated HEIs in Indonesia, especially state HEIs to run “village adoption” programmes that involved all students. This programme is known as *Kuliah Kerja Nyata (KKN)* or “Students’ Community Engagement”. Students had to take part in this programme as part of the completion of their studies. The students would receive three to eight credits, depending on their university’s policy. Students were required to attend classes that would prepare them for the programme. They would be assigned to a group that consisted of students with various backgrounds. Together with teachers who were assigned as their supervisors, students became involved in working with the local government to determine the problem, design programmes, and work with the community to implement their programme. During the implementation of the programme, the students would live-in for one or two months with the community. By the end of 1990s, with the change of power in Indonesia, KKN is no longer an obligatory for HEIs, but has changed to an elective subject.

In 1992, the government through the DGHE launched a national Community Engagement Grant (*Hibah Pengabdian pada Masyarakat*) to promote and encourage HEIs to start community engagement initiatives. The programme specifically was intended to encourage the science, art, technology and knowledge that are developed in HEIs.



**Figure 5.4** The history of the institutionalization of community engagement in Indonesia

In 1994, a new scheme was launched. This scheme, called *Vucer*, focused on the partnership between university and micro, small and medium enterprises to increase trade and, if possible, boost non-oil-and-gas export. The scheme provided funds for a year programme. Three years later, this scheme was extended to be a multiyear programme, called *Vucer Multi Tahun* (VMT) or “Multi Year Vucer” that spans three years. In addition, to boost non-oil-and-gas export, this programme was intended to increase entrepreneurship in HEIs. The state would provide a maximum of Rp75 million (US \$6,000) in the first year, Rp65 million (US \$5,200) and Rp35 million (US \$2,800) for the second and third years, respectively. On the other hand, the enterprises as the partners are expected to provide matching fund at least Rp 25 million (US \$2,000), Rp35 million (US \$2,800) in the first and second years, respectively, and a maximum of Rp50 million (US \$4,000) in the third year.

In 2000, another scheme was launched. The programme, called UJI unit (*Unit Usaha Jasa dan Industri*) or “Service and Industry Business Unit”, was expected to encourage universities to open commercial businesses that produce products or services and goods as the result of their research. In opening commercial enterprises, universities can establish their own business entity or partner with the industries sector. This UJI unit would be owned by the universities and can be established and maintained by the laboratory, pilot plant, workshop, department, faculty, research and development centers, or other institutions that are within the universities’ structure.

In 2001, the government launched SIBERMAS Programme (*Sinergi Pemberdayaan Potensi Masyarakat*) or “Community’s Potential Synergy” which facilitated universities to work with local government in solving local problems using local resources. Applicants were required to provide an memorandum of understanding with local government and initial analysis of the potencies and problems to be addressed.

In 2009, seventeen years after the launch of the first grant scheme, the government changed the name of the schemes into five schemes: IbM (*Ipteks bagi Masyarakat*) or “Science, Art, and Technology for Community”, IbK (*Ipteks bagi Kewirausahaan*) or “Science, Art, and Technology for Entrepreneurship”, IbW (*Ipteks bagi Wilayah*) or “Science, Art, and Technology for a Region”, IbPE (*Ipteks bagi Produk Ekspor*) or “Science, Art, and Technology for Export Products”, and IbIKK (*Ipteks bagi Inovasi dan Kreativitas Kampus*) or “Science, Art, and Technology for Campus’ Innovation and Creativity”. The latest addition is IbW-CSR (*Ipteks bagi Wilayah*) or “Corporate Social Responsibility; Science, Art, and Technology for a Region”.

The government provides guidelines during a call for proposals every year. The latest guideline is the 9th edition. A group of reviewers were selected by the government to review all proposals submitted for the grants. These reviewers received training on how to assess best programmes that follow the intended end result expected by the provision of the grant. Programmes are monitored and evaluated midterm to determine continuation or termination

## **The Role of National Accreditation of HEIs**

Community engagement has become an important element in Indonesia National Accreditation of HEIs. Some of the measurements of community engagement activities in HEIs are:

- 1) The quality, productivity, target relevance, and efficiency of research and community engagement fund.
- 2) The agenda, sustainability, and dissemination of research and community engagement.
- 3) The research and community engagement activities that are done by faculty members together with students.
- 4) The number and quality of research and community engagement run by students.
- 5) The connection between teaching, research and community engagement.

## **Community Engagement as Part of Career Development**

Career development for a faculty member in HEIs in Indonesia is very much tied to community engagement. The credit score for a promotion always includes community engagement as one of its elements. The latest law regulating this is the Decree of Ministry of Education and Culture no. 92/2014. While there are main elements and supporting elements used to determine the credit score for promotion, community engagement is included as one of the main elements. Each promotion requires a faculty member to carry out at least one community engagement activity.

## Legal Basis

The importance of community engagement programmes in Indonesian HEIs is emphasized by national laws and government regulations as follows:

- 1) Law Number 20/2003 on National Education System (*Undang-undang Nomor 20 Tahun 2003 tentang Sistem Pendidikan Nasional*)

**Article 20 section 2:** “Universities are obliged to provide education, research and community service.”

**Article 24 section 2:** “Universities have the autonomy to manage their own arrangements for the institution as a centre of higher education, scientific research and community service.”

- 2) Law Number 9/1999 on Education Legal Entity (*Undang-Undang Nomor 9 Tahun 2009 tentang Badan Hukum Pendidikan*)

**Article 27:** “Duties and powers of educators representation organs on education legal entity is sectioning curriculum policy and learning process with reference to the benchmarks of success in achieving the target of education, research, and community service are set out in the strategic plan of education legal entity, and to suggest improvements to the education management organs.”

**Article 33 section 2:** “Duties and authority of the management organs of higher education on education legal entity is managing research and community service in accordance with the work plan and annual budget of the education legal entity that has been established.”

**Article 37:** “the wealth and education legal entity’s revenue are used directly or indirectly for the implementation of education, research, and community service in the case the education legal entity have higher education unit.”

**Article 48 section 1:** “Supervision of legal entities of education is done through annual reporting system.”

**Article 48 section 2:** “The report includes statements organizing academic field of education, research, and community service.”

- 3) Law Number 12/2012 on Higher Education (*Undang-Undang nomor 12 Tahun 2012 Pendidikan Tinggi*)

This law is the basic law where community engagement is always mentioned in the same line with research and teaching. Some important articles are quoted here:

**Article 1 section 9:** “*Tridharma Perguruan Tinggi*, hereinafter referred to as *Tridharma*, is the three responsibilities of Higher Education is to organize education, research, and community service.”

**Article 1 section 11:** “Community Service is the academic community activities that utilize science and technology to promote the welfare of the community and educating the nation.”

**Article 1 section 14:** “Lecturers are professional educators and scientists with the main task of transforming, develop, and disseminate through the Science and Technology Education, Research, and Community Service.”

4) Government Regulation Number 60/1999 on Higher Education (*Peraturan Pemerintah Nomor 60 Tahun 1999 tentang Pendidikan Tinggi*)

As Law Number 12/2012, this regulation has many articles that mention how community engagement should be organized in HEIs. Among important articles are as follow:

**Article 3 section 1:** “Higher education institutions hold higher education, research and community engagement/service.”

**Article 3 section 4:** “Community service is an activity that utilizes science in an effort to contribute to the progress community.”

**Article 27:** “Higher education institutions consist of the following elements... (e) academic units that is consist of... (3) area of community engagement.”

**Article 38 section 2:** “The vice-rector in charge of academic activities assist the Rector in leading the implementation of education and teaching, research and community service.”

**Article 44 section 1:** “Community engagement/service carried out by universities through community service organizations, faculty, research centers, departments, laboratories, groups and individuals.”

5) Government Regulation Number 66/2010 on the Change of Government Regulation Number 17/2010 on Management and Provision of Education (*Peraturan Pemerintah Republik Indonesia nomor 66 tahun 2010 tentang Perubahan atas Peraturan Pemerintah nomor 17 tahun 2010 tentang Pengelolaan dan Penyelenggaraan Pendidikan*)

**Article 1:** “Lecturers are professional educators and scientists at universities with the main task of transforming, develop, and disseminate science, technology, and the arts through education, research, and community service.”

**Article 58F section 1a:** “Governance of higher education units held by the Government as follows: a. rector, chairman, or the director run autonomous higher education for and on behalf of the Minister in the field of higher education, research, community service and other fields in accordance with the provisions of laws and regulations.”

Many faculty members who often run a community engagement programme start to realize the there is a need to bring this programme further by working together with others from different universities. In July 2011, five Regional FlipMas founded FlipMas Indonesia. FlipMas (*Forum Layanan Ipteks bagi Masyarakat*) is a forum for community engagement practitioners in Indonesia. Currently, there are 27 Regional Flipmas. The University of Indonesia (UI) is the secretariat for FlipMas Jakarta, Depok, Bogor, Tangerang & Bekasi Region.

The last few years show a trend in Indonesia where universities have started to define their own field of expertise on community engagement. For example, UI excels in urban and health issues and shows some progress in technology applications. Gadjah Mada University is famous with their KKN (Students' Community Engagement) programme. Bogor Agricultural University is strong in agricultural issues including technology applications.

In the future, there is a plan for a decentralization of community engagement programmes in Indonesia in which HEIs would be able to manage the fund provided by the government to manage their community engagement programmes. HEIs would be required to submit their *Community Engagement Master Plan* which will be used by the government to determine the funds each university will receive.

### Case Study 1: Universitas Indonesia (UI)

The Vision of UI's community engagement programme is to make Universitas Indonesia the center of community engagement initiatives. Its mission is to:

- 1) develop awareness and sensitivity of the academic community to social issues, conducted under the principles of universal ethics/moral of humanity, benefits, efficiency, effectiveness, accountability,
- 2) provide and develop the infrastructure supporting the implementation of community engagement to internal and external stakeholders of UI,
- 3) encourage the development of new ideas and resources of community engagement,
- 4) develop community engagement cooperation with various parties, at national and international level.

UI's Strategic Plan 2013-2017 has five basic strategies to realize its vision and missions. One of its basic strategies is to develop excellent research and community engagement clusters that are able to produce intellectual products and contribute significantly to human wellbeing, especially in Indonesia.

The strategic plan on research and community engagement is also elaborated further on strengthening the programme of research and community service, as follow:

- 1) Realize and strengthen the implementation of research and community engagement in accordance with UI's roadmap 2012-2017 focused on flagship areas that are unique and multidisciplinary as well as cutting-edge, frontier sciences.
- 2) Provide research and community engagement funding priorities so as to achieve 20% of the total budget of UI to improve the quality and quantity of basic and applied research in international journals indexed in international databases and have a high citation index.
- 3) Create policies on applied research and community engagement that are multi-disciplinary in nature that are directed to solving the nation's problems.

## Legal Basis

- 1) Decree of UI's Board of Trustees Number 004/SK/MWA-UI/2004 on Community Engagement and Community Service (*Ketetapan Majelis Wali Amanat UI No. 004/SK/MWA-UI/2004 tentang Pengabdian dan Pelayanan kepada Masyarakat*)
- 2) Decree of UI's Board of Trustees Number 002/SK/MWA-UI/2008 on Research University Norms (*Ketetapan Majelis Wali Amanat UI No. 002/SK/MWA-UI/2008 tentang Norma Universitas Riset*) Chapter I article 1; Chapter IX article 11 and 12.
- 3) UI's Board of Trustee Regulation Number 001/Peraturan/MWAUI/2006 on Fundamentals of Community Engagement and Community Service Quality Control (*Peraturan Majelis Wali Amanat Universitas Indonesia No. 001/Peraturan/MWAUI/2006 tentang Pokok-pokok Pengawasan Mutu Kegiatan Pengabdian dan Pelayanan kepada Masyarakat*)
- 4) UI's Strategic Plan (*Rencana Strategis Universitas Indonesia*) 2007-2012
- 5) UI's Strategic Plan (*Rencana Strategis Universitas Indonesia*) 2013-2017
- 6) Strategic Plan of Directorate of Research and Community Engagement UI (*Rencana Strategis DRPM UI*) 2008-2012
- 7) Strategic Plan of Directorate of Research and Community Engagement UI (*Rencana Strategis DRPM UI*) 2013-2017

## Defining "Community Engagement"

Based on the Decree of UI's Board of Trustees Number 004/SK/MWA-UI/2004, community engagement consists of activities that encompass efforts to improve the quality of human resources. This is seen in terms of widening the insight, knowledge and skills of academics by encouraging an active role in improving the welfare of the people, and in terms of empowering the general public, especially those who are economically disadvantaged. Article 3 of the same decree states that the forms of community engagement and community service activities may include consultation services, training, workshops, seminars, applied research, and/or the organization of courses that are incorporating analysis to formulate and find solutions to problems, as well as to encourage innovative and creative attitudes.

The decree of UI's Board of Trustees Number 002/SK/MWA-UI/2008 article 1 states that community engagement is the embodiment of servitude as well as the form of caring by taking an active role to provide insights, increased prosperity, and empowerment of the community at large. Article 3 states that the forms of community engagement and community service activities may include extension programmes, training, consultation, health services, laboratory tests, applied research and publication/dissemination service that are provided without pay.

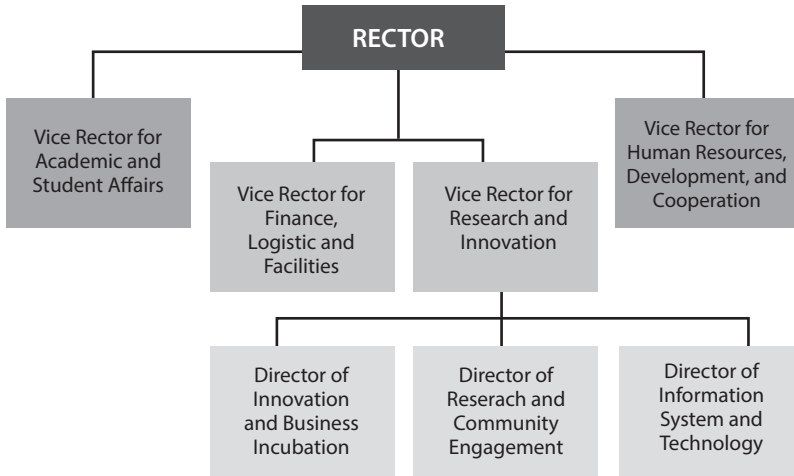


UI's Board of Trustee Regulation Number 001/Peraturan/MWAUI/2006 article 1 states that community engagement and community service quality control is the process to monitor, direct, and improve the activities to control the quality of community engagement and community service activities. The quality control is implemented in three stages: during the preparation of the project, during the projects, and post project. The implementation of the projects should apply the following principles:

- a) Compassion and social responsibility of academicians toward community without leaving their professionalism
- b) Community engagement and community service are carried out institutionally, not individually and are based on working contract
- c) Engagement and service activities are intended for the general public and carried out simultaneously based on humanity values by putting into account the availability of operational funds.

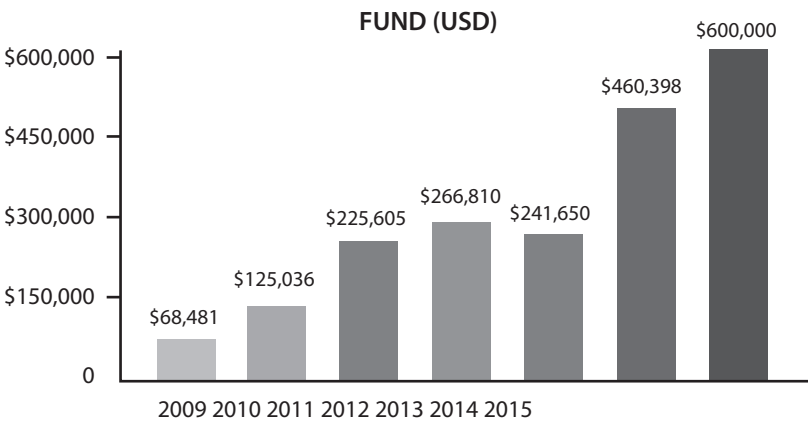
### **Structure and Support**

Community engagement in UI is managed by the Directorate of Research and Community Engagement (*Direktorat Riset dan Pengabdian Masyarakat or DRPM*) UI that operated under the coordination of Vice Rector for Research and Innovation (see Figure 5.3).



**Figure 5.5** The institutional context of community engagement at Universitas Indonesia.

Since 2008, a special sub-directorate was created in DRPM’s structure to manage community engagement activities. The support for institutionalization of community engagement is demonstrated in the provision of grants provided from the university’s budget, the highest in Indonesia for community engagement. Starting with US \$68,481 in 2009, UI raised the budget for the community engagement grant every year to almost seven times its initial budget to US \$460,398 in 2014. Next year, the budget is expected to pass US \$500,000.



**Figure 5.6** UI’s budget 2009-2015 for Community Engagement Grants (CEGs)  
*Note: Predicted budget for 2015*

Since 2013, the fund for community engagement programmes received additional funding from the state that was allocated to UI, known as the BOPTN fund. Additional funds over the last two years amounted to US \$520,000 in 2013 and US \$272,000 in 2014.

## **CEGs Scheme**

CEGs were provided with the same schemes as the national community engagement grant managed by the DGHE, Ministry of Education and Culture between 2009-2012. Starting from 2013, CEGs are available in three schemes: (1) research-based community engagement project, (2) problem-based community engagement project, and (3) curriculum-based community engagement project.

### **Research-based community engagement project**

This scheme is provided to encourage faculty members to use the results of their research to solve problems in community or to increase the wellbeing of the people. Research sometimes provides a contact with community and in the process offers a glimpse of their problems. Following a discussion with the community, faculty members are urged to work together with the community to solve their problems. The project may target their quality of life, improve the social relations within the community, increase their income, or other related improvements for the community.

### **Problem-based community engagement project**

This project has the same targets as the first scheme. The difference is that this scheme does not require the applicant to use research they have done as the basis for the project. The scheme is provided to support collaboration with stakeholders to solve problems in the community, accessing the expertise of the team from UI to work together with the community. It is expected that the team consists of experts from different fields that are related to the problem set to be solved.

### **Curriculum-based community engagement project**

This scheme is designed to solve a problem in the community while at the same time providing students with opportunities to learn about real-world issues. These projects are required to be linked with a subject taught at UI and in this case the whole class becomes involved in the project. This scheme encompasses the same aims as the two previous schemes, with an addition of providing enrichment for students in connecting the theories they learn with practice while in the same time also benefitting the community they work with.

All proposals should involve more than one faculty member and at least two students, except for curriculum-based community engagement where the whole class should be involved.

Since 2013 (for 2014 CEGs), all proposals should address one of eight community engagement focuses set by UI through DRPM (Figure 5.7). These are: (1) poverty, (2) micro and small enterprises, (3) education and culture, (4) youth, (5) health, (6) marginal and vulnerable groups, (7) environment, and (8) science and technology transfer.



**Figure 5.7** Eight focuses of community engagement at UI

## Awards and Recognition

UI holds a Best Lecturer with High Involvement in Community Engagement Award every 3 years in appreciation for faculty members who show their dedication in serving and working with communities.

## UI and Community Partnerships

The CEGs programme aims to have a two way interaction between the university and the society. To ensure that there is knowledge exchange as well as involvement of the community in the programme, applicants need to provide a justification for the programme in their proposal. This section should inform whether they have discussed the issue with the community. Applicants need to also include a letter from their partner (e.g., community or other group) that states their involvement and contribution to the joint effort. In a number of cases, a participatory planning approach is adopted as the main activity of the programme in which the community shares their knowledge in planning, implementation and evaluation.

tion of the programme. In Kampung Cikini, a densely populated area in Jakarta, three CEG programmes providing public facilities used this approach. This aim is so important that proposals can be funded only if the stakeholders and community are involved in its programme from the beginning. Partnership between the university and the community is the basis for each programme.

Starting in 2015, proposals are required to address three main factors:

- 1) The relevance of the programme with the community's need
- 2) Multidisciplinarity
- 3) Sustainability

The process that has to be followed in starting a programme are:

- 1) **Input:** In this process, applicants should discuss the issue with the community in terms of identifying problems and courses of action. Applicants also must ensure that the programme is appropriate to the requirements of the community. After this, applicants are required to prioritize identified tasks. The faculty members involved in the programme should be those who have the relevant skills to solve the problem. In this stage, there should be agreement on who will contribute what in the process.
- 2) **Process:** At this stage, the planning should be done together, including the timeline. The programme needs to be broken down into two stages of five months duration. Targets and success indicators should be stated, as well as the outputs, the outcomes, and the expected impact of the programme. The plan should encourage active participation of all parties involved.
- 3) **Output:** Analysis of the success of the programme should be made at this stage. What went well, what needs to be perfected, and what needs to be done, and what needs to be altered, should be discussed at this stage.
- 4) **Outcome:** Achievements of the programme should be defined at this stage. An evaluation of the programme needs to be assessed by the community together with the faculty members involved. Did the programme solve the problem? Was it beneficial for the community? Was everybody happy with the process?
- 5) **Impact:** The impact of the programme should be discussed and stated at this stage.

Under the CEGs programme, some community-based research (CBR) was initiated even though this approach has not been officially addressed. The need to solve some problems has brought academicians working together with communities in community settings to collaboratively utilizing expertise from both sides to make positive social change and promote social equity and wellbeing through systematic methods. This reciprocal approach is carried out in all processes, starting from the design phase to its until its implementation and dissemination.

## CSO and NGO Partnerships

NGOs play a major role in UI's community engagement initiatives. The NGOs work with the university in reviewing proposals. They provided different but useful feedback for UI and the teams proposing the engagement programmes. In the first phase, they were asked to provide written feedback, and later during the selection stage, they provided verbal feedback to each team. Mid year, these NGOs were invited to evaluate the progress report. Finally, at the end of the year, they were involved in reviewing and evaluating the overall programmes.

## Involvement of Students

Students play a crucial role in this programme. UI is currently preparing an academic credit system for student involvement in community engagement programmes. The K2N (*Kuliah Kerja Nyata*) or "Students' Community Engagement" elective programme provides academic credits for the students. In addition, CEGs curriculum-based programme is embedded in a course, so students get credit for their work.

## Impact Evaluation

A crucial process in this programme is the measurement of impact evaluation of the engagement initiatives. Each year, the university conducts a selected monitoring and evaluation programme called "site visit". During this visit, the university, through DRPM, talk with the people in the community about a programme that was implemented and listen to their feedback. All beneficiaries of the grants are required to write progress and final reports followed by a session with reviewers to discuss the progress and evaluation of the programme. Community members and partners of the programme are also invited to this discussion.

The university is very open to requests from its stakeholders regarding the co-construction of research to solve problems. Some examples include:

- a peace education programme in a conflict area in Maluku was implemented some years ago based on requests from the local NGOs and communities.
- a national NGO, Dompot Dhuafa, replicated an initiative in different places to help local fishermen increase their income through changing their fishing practices.
- a post-disaster mitigation by Aksi Cepat Tanggap (ACT) Foundation
- the NGO PATTIRO (*Pusat Telaah dan Informasi Regional*) or "Center for Regional Information and Studies" is exploring the use of modules from previous initiatives, especially those related to health, engineering, and education/training for local governments.

## Case Study 2: Universitas Gadjah Mada (UGM)

Unlike UI, UGM focuses more on community engaged teaching and learning. The university is very famous for its KKN (students' community engagement). This section will describe KKN's history in UGM.

### History

The history of KKN can be traced back to 1951 when UGM mobilized its students to set up a high school outside Java where they also helped with the teaching there. Implemented just two years after the university was founded, this was the first form of UGM's community service. For the next ten years, they set up 109 high schools outside Java Island and involved 1,218 students as volunteers in the process. This programme ended ten years later due to the country's financial problems.

In 1962, two years before the school projects ended, UGM started a water provision project in three villages at the foot of Mt. Merapi, where people faced clean water shortages. Spring water was located four km away from the villages and people had to pass a deep ravine that in some places was as deep as 150 meters. The objective of this project was to build pipelines for the villages.

At around the same time, UGM's students started working in areas where outbreaks of infectious diseases often occurred. The cases of outbreak they worked on were smallpox and dysentery outbreaks in Central Java, and some infectious disease outbreaks in Southern Sumatra. They were also involved in a vaccination programme in Yogyakarta. They worked on this issue for around four years, from 1961 to 1964. Starting 1964, students from Faculty of Agriculture were sent to various villages in Java and Sumatra Islands to be involved in the extension programme to promote green revolution, focusing on increasing rice production and the processing of agricultural products.

Based on these experiences, a UGM scholar, Prof. Koesnadi Hardjosoemantri UGM initiated a KKN programme in 1971. This was a compulsory programme for students in their 4th year for which they earned three credits. The KKN was organized in teams of twenty to thirty students. Each team had students with different backgrounds: infrastructures, socio-economic and culture, health, and agricultural related fields. They stayed and worked with the community for two months to solve problems together. The programme is now known as *Kuliah Kerja Nyata-Pembelajaran Pemberdayaan Masyarakat* (KKN-PPM: "Students' Community Engagement-Community Empowerment Learning").

The programme is expected to be a means for students to transform their knowledge into skills and to train them to use their creativity to solve problems. One of its aims is to produce young leaders that have high concern for people with disadvantages, especially economically. The programme is expected to mediate knowledge transfer and be beneficial for the community in which they live and

work. The programme emphasizes themes such as co-creation, win-win solutions, co-finance, sustainability, and flexibility.

Its aims are (1) to raise students' empathy and compassion, (2) to use science and technology to solve problems, (3) to increase the spirit of teamwork and multidisciplinary works, (4) to provide opportunities for students to learn to be a scientist and researcher, (5) to train students to work collaboratively with various stakeholders (university, government, private sectors, NGOs, and communities), and (6) to promote experience-based learning processes.

The focuses of interest of this programme are: (1) education improvement in remote areas, (2) community based health policy, (3) women's empowerment, (4) disaster early warning system and mitigation, (4) cultural and local wisdom-based natural resources conservation, (5) cultural based conflict resolution, (6) rural governance and administration, (7) law and political awareness, (8) small and medium enterprises development, and (9) sustainable agricultural production.

Funding for this programme comes from the state, the university, and its sponsors.

### STAR Programme

In 2008, UGM initiated a learning model called STAR (Student Teacher Aesthetic Role-Sharing) as an extension of SCL (Student-Centered Learning) method. The STAR programme combines approaches in SCL, *Patrap Triloka* philosophy and 6 other philosophies. *Patrap Triloka* Philosophy was founded by an Indonesian scholar, Ki Hajar Dewantoro, that consists of three leadership principles: (1) *Ing Ngarso Sung Tuladha* (at the front act as a role model), (2) *Ing Madya Mangun Karsa* (in the middle motivating), and (3) *Tutwuri Handayani* (at the back providing constructive support). The other 6 philosophies are (a) *Niteni* (to observe intentionally), (2) *Niroke* (to imitate constructively), (3) *Nambahi* (to add, modify, and develop), (4) *Nularake* (to disseminate), (5) *Nutugake* (to continuously improve), and (6) *Ngrembakake* (to grow and multiply benefit).

The STAR programme is an effort to build a better culture in education. This programme is done gradually to achieve three major aims: (1) form a conducive academic atmosphere, (2) create creative, innovative, and independent students, and (3) increase teachers' attention and concern on their students' academic achievement.



## Structure

Community engagement in UGM is managed under *Lembaga Penelitian dan Pengabdian Kepada Masyarakat* (Institute for Research and Community Engagement) that was founded in 2006. It was previously two separate bodies, *Lembaga Pengabdian Masyarakat* (LPM: Institute of Community Engagement) and *Lembaga Penelitian* (LP: Institute of Research). It is under the coordination of Vice Rector on Research and Community Engagement.

UGM's KKN PPM is managed collaboratively between faculties, the Directorate of Academic Administration, the Directorate of Finance, the Directorate of Assets' Management and Maintenance, and the Gadjah Mada Medical Center.

## Discussion and Conclusion

Even though community engagement is very deeply embedded in university life, both structurally and institutionally, support for it needs to be demonstrated in the higher level structures of HEIs. Even though UI provides generous funding support, compared to other universities in Indonesia, the phrase "community engagement" or "*pengabdian masyarakat*" does not appear in the name of high ranking positions in UI. In other HEIs the structure is in place to manage community engagement in high ranking positions, but there is a lack of funding and willingness to initiate impactful community engagement.

The next challenge is determining how to create impactful community engagement initiatives and how to measure community impact. An impact evaluation would be beneficial for the community to show that they have achieved progress and improvement, and for the HEIs themselves to show how effectively it uses its funding. Impact evaluations of community engagement in HEIs should also be made available for the public.

The other challenge is the sustainability of the programme, in terms of funding, programming, and the creation of agents of change. Most funding mechanisms are based on the fiscal year. This leads to short term approaches for community engagement initiatives while most problems need a multi-year approach. Some HEIs have started to shift to multi-year approaches, for which there should be incentives and other supports since long term initiatives need proper planning and budgeting. Otherwise, the initiatives might be multi-year, but the impact is low. The principle of sustainability is very important in this instance. Planning should include the creation of agents of change in the community so when the project finishes, the community can stand on its own feet.

Solving problems in communities requires a multidisciplinary approach. A solution should come from different perspectives and approaches. More effort is needed to bring experts and people from different backgrounds together to promote mutual understanding. Collaboration within and between HEIs or even between HEIs from different countries should be considered and explored.

The last challenge is considering the academic impact of community engagement initiatives. It is to find or create a red line connecting teaching, research and community engagement. There have only been a few in Indonesia that have successfully linked these three elements.

As a conclusion, we can safely say that even though Indonesia has a long and mostly successful history of engagement between universities and communities, reaching the main goal of having better livelihoods in communities throughout the country through equal partnerships with universities is still a long way away. It is a bumpy and long journey, but one that we should enjoy in our every single step.

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# IRELAND

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## Community-University Research and Partnerships in Ireland: Confronting the Crossroads

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I think I can speak on behalf of all my fellow presidents and heads of higher education institutions in Ireland when I say what a pleasure it is to sign this charter. With this charter, we recognise the huge importance of campus civic and community engagement – the importance, that is, both to our own and our students’ development, and to the communities in which our campuses are embedded.  
(Prendergast, 2014)

This was articulated by the Provost of Trinity College Dublin in June 2014 at a gathering of the twenty-two Presidents of Irish higher education institutions, with the then Minister for Education, as they signed the Campus Engage Charter for Civic and Community Engagement. Campus Engage was established in 2007 by Irish higher education institutions to provide a national platform for the enhancement and co-ordination of civic and community engagement across the higher education sector, and to support the development of community-based research and potential partnerships.

The Campus Engage ten-point charter compels these institutions to underscore their commitment to community-based research and partnerships. Principle Three of the Charter states that leadership “...will promote civic and community engagement through a variety of community-based learning, community-based research, public scholarship and volunteering activities and seek to align these with the overall teaching, research and outreach missions of our institutions” (Campus Engage, 2014, p. 2). At this landmark event hosted by Dublin Castle, each President in turn signed the Charter. This historic moment for the advancement of the community-based research and partnerships agenda arose from a series of complex, multifaceted and overlapping series of avocations, institutional and national practices, funding opportunities and resource allocations, new policy directions and the enactment of legislation for at least two decades at local institutional and national levels.

Within the context of Ireland, civic engagement and community-based research both as a prevailing ethos and practice reside at a crossroads in terms of enabling further development. The fall of the Celtic Tiger, (the name given to the

Irish economic boom during the late 90's to early 2000's), into a profound fiscal recession brings both opportunities and challenges in terms of further activities and practices. The Irish higher education landscape is in flux due to a variety of challenges, including a move from the Celtic Tiger era to one of economic recession, a sense of structural growth and arising incoherency, mission drift, massification, growing competition, governance issues related to institutional autonomy and a centralised governments desire to regulate the sector, to mention a few (Coate & MacLabhrainn, 2009). The purpose of this chapter will be to explore the mechanisms and environments for embedding community-based research and research partnerships through mission, practice, policy and legislation, resources allocation and infrastructure in Ireland at institutional and national levels with a view towards the roads to be taken.

## Policy at Local Levels

We know from elsewhere in this book, and within the literature, that the idea of civic and community engagement within higher education aligns with the historic foundations and missions of many universities internationally. However, as Gonzales-Perez et al. (2007) note:

...the current political climate in much of the world today places considerably greater emphasis on the economic role, rather than the civic (or indeed, the cultural), purpose and many universities' focus of endeavour is on the national and international stage: competing in the 'global marketplace' both for students and 'high quality' researchers who, in turn, it is hoped, will improve the reputation of the institution in 'league tables'. (2007, p. 188)

However, a recent study of Irish higher education mission statements is significant. The study of twenty-four Irish HEIs reports that within the context of Ireland:

...all the institutions describe their mission in terms of their contribution to society and the 'external world'. The particular aspects of this, which they choose to highlight, however, vary. We can identify six broad categories of such contributions: (a) a stated social/civic commitment; (b) explicit mention of the development of intellectual capabilities and critical thinking (hence forming an 'educated public'); (c) continuation of historical contribution and maintenance of tradition; (d) an explicit reference to the ethical and moral development of students/graduates; (e) contribution to the economic well-being of the local or national community; (f) 'cultural' contribution. (Gonzales-Perez et al., 2007, p. 191)

To varying degrees, these align with community-based research principles, and while the authors recognize that the purpose or function of mission statements is hotly debated, they conclude that while "economically-focused commitments are very common, the social, civic and cultural dimensions are even more strongly

emphasised, particularly in the universities. This suggests that there is recognition that the civic purpose of institutions does need to be publicly espoused and that, in theory at least, such values have not yet been completely abandoned by an economic focus” (Gonzales-Perez et al., 2007, p. 195). This overarching community or civic-centred mission in addition dovetails with practice excavated through another national Irish study of twenty-four HEIs conducted between 2010 and 2011.

Lyons and McIlrath (2011) note that this was the first time a survey of this nature has been carried out in Ireland. The findings were both extensive and enlightening with 75% of institutional responses positively stating that there existed “moderate to substantial” acknowledgement of civic engagement activities with reference to this work within “strategic plans, mission statements, websites, publications, composition of governing bodies/authorities, awards, access initiatives, outreach and public addresses by senior management” (2011, p. 7). For the purpose of the survey ‘community engaged research’ was the adopted term and defined as “research that is primarily concerned with engagement with community and uses participatory approaches in carrying out research, e.g., action research, participatory action research, community-based research, community-based scholarship” (Lyons & McIlrath 2011, p. 14). In the survey, 50% of respondents indicated that Community Engaged Research (CER) is included within the research strategy of their institution. Few data are provided on strategy whereas a selection of practices and thematic areas are provided as evidence to support this response. A diverse range of community partners were also identified but, worryingly, 60% of responses indicated that that current promotion policies did not make provision for civic and community engagement practices. In addition,

...evidence offered in some cases suggests explicit support for community engaged research while in others it is implicit, being articulated through the thematic areas of research to which the institution is committed...community-engaged research activity is facilitated through a range of institutes, fora, centres and projects. Thus while there may not be explicit reference to community-engaged research in strategic documents, community-engaged research is being carried out in a devolved way through centres, etc. (2011, p. 26)

In addition, Lyons and McIlrath (2011) articulate that almost 50% of respondents claimed moderate or substantial collaboration by community partners in establishing research priorities of institutions and just over 25% reported either no or little collaboration. In certain institutions there are centres or units that facilitate the work of collaboration, as do particular teaching programmes. In other cases “the research interests and research approaches of individual staff members can create an ethos and environment conducive to working collaboratively” (2011, p. 27). These findings are particularly interesting, as we will see in the next section, because while there is reference to civic and community engagement in national policy, policy vision and legislation, there is little reference to community-based research and partnerships.

## Policy and Legislation at National Levels

We know internationally that “government policies can have a substantial impact on civic engagement through mandates and through incentives and exhortation” (Watson, 2011, p. 250). However, we also know, from this book and elsewhere, that direct policy and legislation for civic engagement and community-based research are not the mainstream and tend to be the exception rather than the norm. Within Ireland there are seven universities with just over 110 thousand registered students and these are governed by the Universities Act of 1997.

The language and vision espoused within the Universities Act 1997 aligns with both the ethos and practices of community-based research and partnership. For example, in Object and Functions Chapter One, the Act references that universities exist “to promote the cultural and social life of society,” “disseminate the outcomes of its research in the general community,” “foster a capacity for critical thinking amongst its students,” and “contribute to the realization of national economic and social development” (1997). Under functions of a university, the Act states that higher education institutions “may collaborate with educational, business, professional, trade union, Irish language, cultural, artistic, community and other interests, both inside and outside the State, to further the objects of the university.” While there is not a total legislative vacuum, there is further scope for legislative development to frontload the concept of civic engagement and the manifestation of community-based research.

The current higher education policy vision in Ireland captures the centrality of engagement. The *National Strategy of Higher Education to 2030*, published in 2011 and most commonly referred to as the Hunt Report, endorses the civic mission of higher education and states that “engaging with the wider society” is “one of the three interconnected core roles of higher education” (DES, 2011, p. 75). Engagement partners have been identified as “business and industry, with the civic life of the community, with public policy and practice, with artistic, cultural and sporting life and with other educational providers in the community and region” (DES, 2011, p. 74). While the central role that research plays within the development of the knowledge economy/society and economic innovation is recognised, little if any attention is given to the potential role of community-based research and community-university research partnerships. The term ‘community based research’ is not mentioned, and the strongest statement is that “higher education research will need to connect to enterprise and society in new and imaginative ways to harness its potential for economic and social well-being, including a more effective approach to knowledge transfer and commercialization” (DES, 2011, p. 12). While Goddard’s work is quoted in that he supports the realization of the civic university through all functions of higher education, (teaching, research and service), this is as far as the Strategy goes in terms of any reference to methodologies related to community engaged research practices and methods. McIlrath et al. (2014) opportunistically note that



...while the Hunt report does not directly name CBR [community based research], we would argue that CBR is a one core element of engagement as it presents a new and an extremely effective way to address the societal impact of research. Whilst the Hunt Report positions engagement on a par with research and teaching, there is much that remains to be done at the operational level, as currently there is no requirement on HEIs to implement an engagement mission. (2014, p. 111)

The report *Performance Evaluation In Higher Education* (2013), published to compliment policy vision articulated through the Hunt Report affords HEIs with autonomy to develop their own key indicators and deliverables drawing from mission and practice. Within the guiding framework, a section on engagement, including civic and community, is included whereby reference is made to international systems and tools that have been embedded elsewhere to capture and measure the concept and practice of the civic engagement. The responses from each higher education institution to the framework are not yet public. It will make for an interesting exercise to ascertain what, if any, institutions document indicators that align with community based research and partnerships.

## Funding and Resource Allocation

There has been, over the last two decades, a mix of funding opportunities to drive growth of civic engagement and community-based research partnerships that can be categorised as statutory and philanthropic.

In the last decade the Irish government, through the Higher Education Authority (HEA), has awarded statutory funding to kick start developments in the areas of community-based research, as well as in other areas aligned with civic engagement. One such initiative has been Campus Engage, the platform to promote civic engagement broadly and in turn a range of manifestations including community based research and partnerships. Campus Engage was established in 2007. During phase one it was hosted by the National University of Ireland Galway (NUI Galway), after which it was mainstreamed nationally within the Irish Universities Association (IUA) where it now continues to both reside and thrive. McIlrath and Lyons (2009) note that “the network has been supported in the main by the HEA Strategic Innovation Fund 1 (SIF 1) which seeks to support innovation and creativity within the landscape of higher education in Ireland. Funds have been matched by five partner institutions and total 1.4m Euro. In the SIF 1 call for proposals, civic engagement was highlighted as a key area in terms of innovation within higher education, being described as “the development of individual students to attain their full capacity both in careers and as citizens in a democratic society facing profound change” (McIlrath & Lyons, 2009, p. 23). Another statutory funded example was funding offered to the Dublin Institute of Technology (DIT) by the Department of Community, Rural, and Gaeltacht Affairs. In 2005, DIT received €330,000 to develop the Community

Learning Programme (CLP) with the aim of spreading “community based learning” which promotes community-based research and partnerships between academics, community and students (McIlrath & Lyons, 2009, p. 25). More recently, the Irish Research Council (IRC), an agency of the Department of Education and Skills, has partnered with an umbrella organization that represents over 1000 community-based organizations called The Wheel on a new higher education and community funding scheme. ‘The Wheel’ is the support and representative body to connect community voluntary and charitable organizations in Ireland. Strand 1 of the New Foundations scheme entitled ‘Engaging Civic Society’ supports “small, discrete collaborative research projects between postdoctoral or senior researchers (acting as the applicant to the Council) and a community/voluntary group” (IRC, 2014). The main objectives of Strand 1 are to: “Develop networks between academia and societal groups in the community and voluntary sector; Encourage knowledge exchange between these groups; Develop expertise to support civic society within the higher education community; Develop capacity and routes for engagement with civic society on a longer term basis” with up to 10K per project funding (IRC, 2014). This is a very promising road towards progressing the ethos, principles and practice of community-based research and the forging of new research partnerships.

The availability of philanthropic funding, in particular that of Chuck Feeeney’s Atlantic Philanthropies, has been particularly significant towards the enhancement of higher education in Ireland. It awarded 1.6 million Euro to establish the Community Knowledge Initiative (CKI) at the National University of Ireland, Galway in 2001. This was the first attempt in Ireland to create an institution-wide coordinating unit to develop deeper relationships between the university and communities, and to place communities at the centre of debate. The funding awarded has allowed for the mainstreaming of civic engagement at NUI Galway, and since 2008 the unit was core funded by the university. The members of the CKI teams are permanent members of staff, and the ethos and practice of engagement is firmly embedded in the strategic vision of the university. The Atlantic Philanthropies funding was fundamental in the case of NUI Galway, but there are few other philanthropists in Ireland and the culture of such is a new and evolving phenomenon.

We now stand at crossroads, as the future of national funding for civic engagement broadly and community-based research specifically is both unclear and uncertain. Atlantic Philanthropies plan to wind down in 2016 with all funds committed to existing projects, while higher education funding has been restricted to activities that are deemed to be at the core of operations. Thus the future is unclear. External to universities and within the community sector there are no particular agencies that act as advocates for community-based research presently, but the IRC New Foundations initiative may promote activity in the area of advocacy and perhaps future funding. However, despite this uncertain future, a number of institutional structures exist by operating on different

funded allocated modes. These centres continue to grow in terms of activity and significance at a national level. The following five case studies of actual practice in five higher education institutions highlight a commitment espoused by these institutions, some operating from a grassroots dimension and others from a top down direct mission and commitment.

## Higher Education Institutions

### University of Limerick-The UL Practicum

“At the University of Limerick, the UL Practicum supports applied research carried out at the invitation of a ‘community sponsor’ that is designed by faculty and carried out by students. One such project is the Ennis Hub Plan: People, Place, Potential where Ennis town council and elected officials invited the UL Practicum to facilitate all citizens/residents and visitors of Ennis town to participate in a series of events designed to give each and every person a voice in the future of the town. Supported by the UL Practicum, staff and students from the Department of Politics & Public Administration and Technical Communication undertook a series of visionary events that included focus groups, world café events and public space conversations (in shopping centres) and on line...to document views of residents. Students are currently collating all the information and will feed back what has been gathered to all parties involved. A second phase commenced in September 2011 focusing on more thematic strands derived from the visionary events.” From *Survey of civic engagement activities in higher education in Ireland* (p. 28), by Lyons, A. & McIlrath, L., 2011, Ireland: Campus Engage. Reprinted with permission.

The four CBR institutional case studies included below are from McIlrath, L., Bates, C., Burns, K., Lyons, A., McKenna, E., & Murphy, P. (2014). Emerging policy and practices on community-based research—Perspectives from the Island of Ireland. In Munck, R., McIlrath, L., Hall, B., & Tandon, R. (Eds.), *Higher education and community-based research: Creating a global vision* (pp. 101-116). Palgrave Macmillan. Reprinted with permission.

### Queen’s University Belfast-Science Shop

“The Science Shop at Queen’s University Belfast was established in 1988 based on models in the Netherlands where the name literally translates as ‘knowledge exchange’. The Science Shop works with Civil Society Organizations (CSOs) to develop research projects based on their research

needs which are suitable for students within the university to carry out as part of their degree programmes. Science Shop research projects are therefore examples of co-created research, with community organizations bringing their specific needs and knowledge, and students bringing their research training and skills. Organizations typically receive a piece of research that they do not have the resources to carry out, whilst students get the experience of doing a piece of research in a real life situation which benefits both their learning and their career development. The Science Shop is based within Academic and Student Affairs, and has 2.2 FTE staff. Since 2007, this Science Shop has been funded by the Department of Employment and Learning through the Higher Education Innovation Funding Scheme. It is funded by the Department, with the rationale that there was an “absence of a dedicated Higher Education Active Community Fund in Northern Ireland” and also that “the NI Science Shop...was widely regarded as an EU exemplar of best practice in Higher Education” (Department of Employment and Learning, 2010). During the last three years of HEIF funding, 320 projects were developed with 110 CSOs, of which 200 were completed. Over 400 students in total were involved in completing these research projects. A further round of funding for 2013-2016 was recently confirmed. Whilst the Science Shop works with students right across the university, in practice more projects take place in environmental and social science disciplines. To give an example, a group of undergraduate Social Policy students worked with the Forum for Action on Substance Abuse on potential links between substance abuse and suicide. Their report was brought to the Northern Ireland Assembly’s Inquiry into the Prevention of Suicide and Self-Harm.” (McIlrath et al., 2014, pp. 105-106)

#### **Dublin Institute of Technology (DIT) - Students Learning with Communities (SLWC)**

“The Programme for Students Learning with Communities (SLWC) at DIT was set up in 2008 on the basis of a successful funding application to the HEA’s Strategic Innovation Fund (SIF). Two full-time coordinating staff were appointed for three years to develop the Programme. It built on a previous DIT pilot called the Community Learning Programme. SLWC is based in the Directorate of Student Services, as part of the DIT Access and Civic Engagement Office. In 2011 the staffing level was reduced from 2.3 full time equivalents to 1.3 as the three-year SIF funding came to an end. SLWC staff secured some additional funding from

the EC as part of the four-year PERARES project, which aims to increase the involvement of civil society in research...Community research ideas are framed as broad questions, categorised by disciplines, and advertised to students and academic staff through the SLWC website ([www.dit.ie/ace/slwc](http://www.dit.ie/ace/slwc)) and in regular e-mail updates. Individual students can apply with the support of their supervisor to undertake research in response to these community research ideas. A three-way meeting between the academic, student and community partner is facilitated by SLWC staff to discuss and agrees the detail of the research question and approach. Academics can also decide to work with a cohort of students on research questions from one or more community partners. As an Institute of Technology, DIT has programmes in many applied subject areas, and students' research projects with communities can lead to a product concept or a design as much as a traditional thesis or research report. Since 2008, over 140 research projects have been undertaken by DIT students in response to questions from community partners. One example of a CBR project in DIT is a PhD project in Product Design, jointly supervised with Enable Ireland, to research and develop a design framework for user-centred collaboration by designing an alternative computer input device for people with disabilities. Another example is two Master's thesis projects in Higher Education and Child, Family and Community Development in collaboration with AONTAS (the national adult learning organization), which investigated supports needed by community and adult learners in order to access Higher Education." (McIlrath et al., 2014, pp. 106-107)

### **University College Cork (UCC) - Community-Academic Research Links (CARL)**

"CARL was established at UCC in 2006 and commenced student and community project work in 2010. CARL is based on the Science Shop community-based research methodology. This initiative began as an academic-led volunteer initiative largely within the School of Applied Social Studies. CARL is now part of the University's strategic plan (University College Cork, 2013) and work has begun to translate CARL into a university-wide community-based research initiative. As CARL is a volunteer initiative with only a very small number of paid co-ordination hours, it has a limited capacity to undertake projects. Since 2010, CARL has completed research studies with 19 community and voluntary groups and 28 students, with 12 more projects on-going. CARL began its life as a Science Shop with the aim of meeting the research needs of

community and voluntary groups, principally through student research dissertation work...[but] this term did not ‘translate’ well in the university...This misunderstanding arose due to the more restrictive English language meaning of the word ‘science’ as encompassing the physical and life sciences, compared to the more liberal German meaning of *wissenschaft*, which comprises all domains of knowledge and knowledge production. Thus the name was changed to Community-Academic Research Links. CARL is an interesting case study for the establishment of a CBR initiative in a period of fiscal crisis with a concomitant retrenchment of government investment in higher education. With a committed group of individuals-community partners, academics and administrators-who believe in the principles of civic engagement, widening access to the resources of the university and promoting students’ critical engagement with the wider community beyond the campus, it is possible to begin small and do good work, even in the initial absence of a formal university mandate. Moreover, the support of the wider European Science Shop community, their resources and counsel, along with the advice of senior university policy makers, can offer opportunities for creativity in the design and running of a CBR initiative. One example of the contribution students can make to the community is illustrated by a CBR project between a Master of Social Work student and a cancer support charity (O’Connor, 2013). Cork ARC Cancer Support service sought to provide information and support through a blog. The student did a review of the research evidence to establish whether there was support for the efficacy of such a blog. Following this review, a blog was then created by the student in WordPress and evaluated. At the end of the pilot the blog had a 1,000 users a month, is still running and has had very positive feedback from users. CARL is now working with this group to further develop their use of technology through the research and development of a mobile app for evidence-informed diet plans for cancer patients.” (McIlrath et al., 2014, pp. 107-108)

### **Community Knowledge Exchange at Dublin City University**

“Community Knowledge Exchange (CKE) is the title of the CBR facilitating unit or Science Shop at DCU, launched in 2012. CKE is cross-disciplinary and comprises a ‘Knowledge Broker’ who facilitates exchanges between academics, community partners and a management team of three DCU academics. CKE takes a theoretical and practical approach, influenced by thinking in contemporary science communication and Science

and Technology Studies, to facilitate co-construction of knowledge within the local community. By ‘match-making’ DCU researchers with local societal issues, CKE facilitates CBR activities and instils a culture of engagement within teaching and learning practice within DCU itself. CKE is now a vital part of the output of DCU in the community. There have been several community initiatives in recent years at DCU. However, the first that might be recognized as a science shop project was New Communities and Mental Health in Ireland. An analysis was published by DCU in 2008 in partnership with Cairde, a group that challenges inequalities in society for ethnic minorities. This project identified specific mental health issues and needs of Ireland’s migrant and ethnic communities. Since CKE’s official opening in 2012, two projects have been completed from the BA in Communication Studies—a study of volunteers from Volunteer Ireland and a report on mobility issues for the Dublin 12 Disability Mainstream Access Project. Further studies from the Faculty of Humanities and Social Science and the BSc in Health and Society at DCU were due in 2014, and the target is to have twelve projects completed by the end of 2015. The central person in the relationships between Deans, Heads of Schools and Research Convenors on one side, and community partners on the other, is the Community Knowledge Broker. This person maintains links, facilitates social enterprises in formulating research questions and brokers relationships with suitable researchers, personnel and programmes. The job of the Knowledge Broker is to manage the relationship of academic assignment and local dissemination, and indeed, local activism. Up to this point, CKE has been relatively cost neutral, depending on a volunteer Knowledge Broker and a management team of DCU academics and NorDubCo. It now requires more buy-in centrally from DCU.” (McIlrath et al., 2014, pp. 108-109)

### **Engaging People in Communities (EPIC) at the National University of Ireland, Galway**

“EPIC is part of the Community Knowledge Initiative (CKI) at NUI Galway and it co-ordinates the community-based research aspect of the work of CKI. Created in 2012, it is a relatively new area of activity within CKI, and follows on from initiatives in student volunteering (ALIVE programme) and service learning, which were established at the inception of CKI in the early 2000s...As well as co-ordinating community-based research, EPIC is also involved in the related areas of knowledge exchange and advocacy...EPIC is core-funded by the university,

employs one full time staff member and operates on a university-wide basis. It is an important point of contact for students and staff throughout the university who want to be involved in CBR. In addition, because EPIC is based in a centre for community engagement, it is 'community-facing' and functions as a vital first point of contact for community-based organizations that wish to engage in collaborative research with the university. EPIC strives to be an effective mediator of relationships within the university and between the wider community and the university. EPIC is guided in its work by the principles of community-based research exemplified by Ochocka et al. (2010, p. 3), who define this approach to research as being community-situated, collaborative and action-orientated. EPIC has been greatly influenced by the Science Shop model, and puts elements of its approach into practice through community-based research carried out by students for dissertation and/or course-work purposes. However, its activities are not restricted to students carrying out CBR, since EPIC also supports community-based research activities of staff. Further, through its co-ordination of public knowledge exchange events, EPIC provides a forum for sharing knowledge on community-based research and advocacy. In this context, EPIC has established strong links with individual staff members, teaching programmes and research centres within the university that are committed to advocacy, action and community-based approaches to research. These relationships are forming the basis on which EPIC is building collaborative partnerships within the university to support community-based research. EPIC has also been forging relationships with a number of CSOs. Projects concerning the rights of migrants and asylum seekers, biodiversity and land-use, design of space in urban environments and socially engaged arts, are currently underway." (McIlrath et al., 2014, pp. 109-110)

## Crossroads and Conclusion

While we are at a crossroads in terms of the future of community-based research, within a far from favourable economic climate, there continues to be great hope and momentum building for partnership. In the past, funding has been awarded from both statutory and philanthropic sources, but additional funding pathways are required. We know from the 2010-2011 national study that there is passion, practice and recognition of community-based research, but promotion policies are problematic. We can also strongly state that the civic or community engagement focus of higher education mission statements is as strongly espoused as the economic contribution. Significantly, the heads of twenty-two institutions of higher education, including all Presidents of universities in Ireland, have articu-



lated their commitment in a very public way through the signing and adoption of the Campus Engage Charter for Civic and Community Engagement in 2014. Policy vision to 2030 is favourable towards research that contributes broadly to society, but community-based research could be named as a discourse and practice. Legislation through the Universities Act 1997 nuances the contribution that universities make to society and the contribution of knowledge to community, but additional opportunities exist. Campus Engage as the national platform continues to attract increasing national and international attention, with membership having increased from five founding higher education institutions to the inclusion of twenty-two presently. While challenges exist, opportunities abound. The time is here and the time is now. It is perhaps the current President of Ireland who can lend additional courage and inspiration at this developmental crossroads as he reminds us of the necessity of this work:

Universities are both apart from and a part of society. They are apart in the sense that they provide a critically important space for grasping the world as it is and – importantly – for re-imagining the world as it ought to be. The academic freedom to pursue the truth and let the chips fall where they may isn't a luxury – in fact it is a vital necessity in any society that has the capability for self-renewal. But universities are also a part of our societies. What's the point unless the accumulated knowledge, insight and vision are put at the service of the community? With the privilege to pursue knowledge comes the civic responsibility to engage and put that knowledge to work in the service of humanity. (Higgins, 2012)

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# JORDAN

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## Strategizing for the Kingdom's Future: Community-University Research Partnerships in Jordan

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As community-university partnerships continue to gain momentum and grow on an international level, there are many exciting opportunities on the horizon. However, communities and universities also face challenges formally establishing and cementing those partnerships as a permanent part of university and community practice. The case for the Arab World and in particular, Jordan, is no different. One subcategory of community-university partnerships is community-based participatory research where universities and communities partner to solve a particular problem or achieve a particular goal. This chapter focuses on evaluating successes and challenges that exist in Jordan today, in order to give perspective on the road ahead for these types of partnerships. This is especially pressing for Jordan: addressing national priorities primarily depends on finding homegrown solutions to its existing socio-economic challenges.

Certain problem areas have reached a crisis point in the past decade. Mass protests stemming from inadequate social and economic opportunities for youth, compounded by the ongoing Syrian and Iraqi refugee crisis have put the government under intense pressure to find and implement solutions. In order to address these issues, Jordan must utilize its resources to develop new strategies from local knowledge. While Jordan is renowned in the Arab world for its educational standards and efforts to develop a knowledge economy, academic research output remains low, particularly in the social sciences. Due to exceptionally weak in-country capacity, ministries and aid organizations often depend on foreign researchers or institutions to inform policy decisions in Jordan. This foreign dependency emphasizes that Jordan's in-country resources for research are underdeveloped and underutilized.

In Jordan, while research partnerships remain infrequent and informal, individual efforts described in these case studies display tremendous impact and potential for the future. Jordan stands to benefit by promoting and providing incentives for university-community partnerships as part of its national education strategy

for the coming years. In order to do so, however, a practical strategy must be formulated. This paper highlights success stories in Jordan, elucidates challenges, and proposes recommendations.

## Background

In the past several years, Jordan's neighbors have experienced severe instability and war. Consequently, the government has found itself in a state of crisis management. The invasion of Iraq and influx of Iraqi refugees, protests from the Arab Spring, the Syrian war and establishment of largest refugee camp in the world in northern Jordan, university violence, and the emergence of ISIS have all threatened to destabilize Jordan. Despite local criticism of electoral processes and increasing internal discontent, Egypt, Syria, and Iraq have served as reminders to its citizens of what political unrest can bring. Therefore, presently Jordan prioritizes its efforts to address crises that weaken its stability over long term, sustainable development strategies.

Above all, Jordan struggles to cope with the direct and indirect costs of the substantial influx of Syrian and Iraqi refugees and address youth grievances. With the Syrian conflict entering its fourth year, Jordan now hosts the world's largest refugee camp and more than 600,000 Syrian refugees (UNHCR, n.d.). This influx has had negative effects on social cohesion with subsequent economic consequences to Jordanian residents. It has also created setbacks for the country's efforts to prohibit members of radical groups from entering Jordan. In addition, the crisis has placed additional strain on areas with limited absorption capacities and weakened economic growth in northern Jordan (Needs assessment review..., 2013).

Jordan is among the top 30 countries in the world with a youth bulge (Ortiz & Cummins, 2012), and has experienced increasing pressure for government reforms via mass youth demonstrations in 2011. The monarchy has so far successfully avoided a Jordanian "Arab Spring", but has difficulty managing public opinion. One of the consequences of unresolved youth concerns has been the phenomenon of on-campus violence, regularly needing to be dispersed by riot police, and often sending students to the hospital and shutting down classes for days at a time. National statistics from the Public Security Directorate reported that the number of incidences of violence doubled from 2006 to 2010 (Dalgamouni, 2012).

In addition to regional pressures, Jordan also faces international pressure regarding its critical political situation. The country delicately balances internal pressures to maintain security and stability with external pressures to reach benchmarks towards a democratic transition. Though there is some genuine basis for internal pressure for democratic changes amongst civilians, larger pressures come from Western aid partners. Jordan's dependence on foreign aid has a great impact on Jordan's foreign and domestic policies.

## Higher Education and Universities

Years spent at any Jordanian university serve as a foundational and formative time for any young Jordanian. The university is an essential part of community life in Jordan (Feinstein, 2014). While campuses historically have been off-limits to civil society (Nizam, 2014), that has significantly changed in the past five years. Today, there are a number of programs and activities sponsored by civil society on campus, particularly focused on youth political participation and entrepreneurship. Examples of these programs include INJAZ (King Abdullah Foundation for Development); Al-Hayat Center; and National Democratic Institute programs.

Jordan is well known for its educational standards and its efforts to develop its human resources for a knowledge economy (Al-Shalabi, 2012). The education system has undergone rapid expansion over the past few decades, and the gross enrolment rate for the 18-25 year-old population has steadily increased since 2001. In fact, universities are now facing over enrolment in Jordan and throughout the Arab World.

Dr. Sultan Abu Orabi, Secretary General of the Association of Arab Universities and former President of Yarmouk University sums up Jordan's position and policy on higher education:

...really if you look at Jordan, we are a unique country. We have no oil; we have no gas; we don't have natural resources. We are a poor country. We are very small in population but we are big in our activities. Our investment here in Jordan, I would say are the human beings; human capital is our natural resource (personal communication, November 15, 2014).

Jordan's accomplishments are results earned by a government supporting a strong education policy.

## Jordan's Civil Society

The concept of civil society is still relatively new in Jordan and organizations under this umbrella only began to flourish in the 1990s. However, Jordanian civil society is largely viewed as representing foreign interests instead of public demands (Jarrah, 2009). Additionally, this work is often regarded as a service to foreign countries rather than genuinely generated from community demands (Al-Hourani, 2010). A healthy and thriving civil society is still developing in Jordan.

When applying the concept of civil society to Jordan, one must recognize its weakness in addition to informal "non-Western" considerations, such as tribal leadership, deeply embedded in the society and operating alongside formally established systems. Tribes in Jordan play a political role, offer an alternative judicial system, and provide services to communities (NGO Law Monitor, 2014). Many other types of community affiliations operate in Jordan that would not ordinarily be considered

part of civil society in a Western context. For this reason, this chapter focuses both on CSOs and informal community partnerships in Jordan.

## Policy

Despite the great need for coalitions to address national socio-economic issues, there is a lack of cooperation and utilization of these resources. Furthermore, there is no official strategy towards community-university research partnerships. While there are some laws and regulations relating to education and research that point to an awareness of these challenges, in practice they are not readily enforced.

In the Law (No.23) of Higher Education and Scientific Research(2009), several articles promote research and partnerships on an individual basis. Article 3 clearly states that,

...higher education aims to...encourage, support and upgrade scientific research especially applied scientific research which aims at community service and development; create a coherent institutional link between the public and private sectors on one hand, and the institutions of higher education on the other;...and to enhance the scientific, cultural, artistic and technical cooperation in the field of higher education and scientific research with other countries, international organizations, Arab Islamic and foreign organizations....

Furthermore, Article 9 explains the details of the Scientific Research Support Fund, established in 2005 with the aim of encouraging and supporting scientific research in Jordan. It details the requirements of the General Director of the Fund, his or her appointment, and the makeup of the Board of Directors that supervises the fund. Article 10 details the funds' financial resources, which are subject to approval by the Ministers Council if funding comes from a non-Jordanian source.

Article 26 of the Jordanian Universities Law and its Amendments states that any Jordanian university must allocate 3% of its annual budget for scientific research, publication and conferences. This can support faculty research in addition to masters and undergraduate student research. The university is also required to allocate 2% of its annual budget as scholarships for Jordanians pursuing masters and PhDs abroad that will help develop the academic cadres of the universities. Any unspent revenue will be transferred to the national Scientific Research Fund if unspent within three years of their date of allocation. In practice, however, this regulation was only enforced in the past year. Also, the fund has been flexible in reallocating other university expenses to this fund that could have been interpreted as supporting research at the universities, due to the economic constraints under which Jordanian universities have been operating.

The Jordanian Universities' Law requires that public universities allocate 2% of their budget to research production. However, this funding remains unspent at many universities and only recently has the Ministry of Higher Education begun

to enforce the collection of unspent funds. Moreover, in consideration of the financial deficits at overenrolled public universities, the ministry has been flexible in reallocating other purchases to the research budget such as computers and scholarships. The ministry additionally oversees the publication of nine journals, seven of which focus on applied sciences and the remaining two on language and literature, none of which provide the social science research support Jordan needs. Jordan University publishes one journal for social sciences, but it contains only 30 articles per year, with few articles focusing on Jordan.

Socio-economic crises have highlighted the need for evidence-based and innovative research in Jordan. One of Jordan's most valuable resources is its education sector, which ranks number one in the Arab World according to UNDP's Human Development Index. It is surprising, however, that despite a strong education policy and commitment to its human capital, Jordan's research output is extremely low, particularly in social science research. Jordanian universities fund applied science research over social science research ten to one. Furthermore, the MOHE has confirmed that funding available for academic research remains underspent, or reapplied toward other educational expenditures such as scholarships.

While Jordan has implemented some reforms, these efforts have seen little measurable impact. This is unsurprising due to the lofty goals and vague approaches listed in the Jordanian National Agenda of 2007. The agenda cites goals of "increasing national spending on academic research from 0.34% to 1.5% of GDP by 2017," but lists only two strategies to accomplish this: (1) establish a National Commission for Academic Research and (2) encourage academic research and a culture of innovation. The National Commission for Academic Research has not yet been established and the second strategy is too vague to be measured. Furthermore, data regarding Jordan's academic research spending has remained unavailable since 2007 (Jordan National Agenda, 2007).

In 2009, several amendments were made to the Jordanian Law of Education and Academic Research which sought to "create a coherent institutional link between the public and private sectors on one hand, and the institutions of higher education on the other, and to develop these two sectors through consultation and applied academic research." Jordan has witnessed little successful collaboration. Articles 3, 9, 10 and 11 establish the Academic Research Support Fund which provides additional funding for academic research. However, this fund lists seven out of eight priorities related to applied science research, with the remaining and eighth priority as Humanities, Social and Economic Sciences without any mention of the application of these studies in Jordan (Law No. 23 of Higher Education and Scientific Research, 2009).

These policies can be seen to support research of all kinds in Jordan, and in particular community-university research partnerships. However, as cited in our interviews, without specific guidelines or benchmarks, the knowledge, practice, promotion and enforcement of these policies is infrequent.

## Case Studies

### University of Jordan

The University of Jordan, located in Amman, is the country's largest and oldest institution of higher education. The university has the highest admission averages in the country and is considered the premier university in Jordan. One of the university's goals is to "strengthen ties with the local community, Arab and regional educational institutions and bodies" (University of Jordan-Amman, n.d.). The University is the home to several research centres including the Hamdi Mango Centre For Scientific Research, the Water, Energy and Environment Centre, the Centre for Strategic Studies, and the Centre for Women's Studies (University of Jordan, n.d.). All centres interviewed report to be mainly funded by outside grants, with the university providing basic foundational office support.

The University of Jordan has the largest budget for research of all the public universities based on its size, approximately 1 million JD per year, and fully spends these funds. The deanship also hosts seven journals. The UJ Deanship of Academic Research, founded in 1973, organizes, supervises, promotes and supports academic research at the university (University of Jordan, Deanship of Academic Research, n.d.). A quarterly call for proposals allows all faculties the opportunity to receive funding for their research. The deanship at the University of Jordan says it has made efforts to improve the management of research at the university. According to the faculty we spoke with, in the past there have been complaints about the bureaucracy and lag time for funding requests to be approved, but now the deanship averages one month to approve requests, sometimes reducing the proposed budget.

### Women's studies center

The Women's Studies Center was founded by HRH Princess Basma Bint Talal in 1998, and grew to become a department in 2006. It was the first in the Middle East to offer a Masters degree in Women's Studies. The degree is interdisciplinary and works with faculty in several other departments and disciplines such as anthropology and sociology. Its research priority is to produce new knowledge about women and gender issues. Additionally, it tries to facilitate teaching, research, publishing, consultancy, and awareness for women's studies, feminism, and gender-related issues in Jordan and in the Middle East. The vision of the center is deeply related to the every day lives of women in Jordan and the region.

The center frequently engages with CSOs involved in women's advocacy such as the Arab Women Legal Network and the Jordanian National Commission for Women. "They come to us with expertise and sign an MOU with our research team made up of faculty and students," Dean Dababneh explained. She suggested that this department and research center does not seem to face the same barriers to cooperation that other centers and CSOs face in other areas, perhaps



due to the recent funding streams towards women's empowerment in Jordan in the late 2000s. One of the center's highly publicized projects is the "Women's Legal Literacy Campaign" which started in July 2008. This campaign was the first national-level effort to raise women's awareness of their legal rights in the constitution and international conventions. It started with a survey in collaboration with the Jordanian National Commission for Women (JNCW) to assess the legal questions of greatest interest to women. The survey tested knowledge about personal status laws, labor codes, and retirement benefits, and produced a widely distributed document. Furthermore, the project later hosted local level workshops for legal literacy inspired by the national campaign with Women Business Owners' clubs. The Jordanian Women's Unions are also very involved in outreach for the project. Recently, Sister is Global Institute launched the Aman Online Information and Resource Center on violence against women (see <http://www.sigi-jordan.org>). Even while conducting the interviews for this research, our Jordanian researcher faced scrutiny and surprise about his role. It was not commonly accepted that he was conducting intellectual work.

Additionally, the Effat El-Hindy Online Counseling Center has become a source of information and resource on legal and social issues in Jordan and the region (Women's Learning Partnership for Rights, Development and Peace, 2008).

### **The Centre for Strategic Studies**

The Centre for Strategic Studies Jordan (CSS) was established at the University of Jordan in 1998 with the objective of providing government bodies and organizations in the public and private sectors with high-impact studies of politics, foreign policy, economy and society of countries in the Middle East region. While CSS is not a government institute and receives almost no government funding, their audience is largely decision-making bodies and stakeholders in political roles including political parties, members of Parliament, and the Royal Court. The Board of Directors is also largely comprised of ex-politicians, ex-ambassadors, and other leaders in the public and private sector. The center has received Presidential recognition in 2012 for its role in serving Jordan's national priorities (M. El Shteiwi, personal communication, October 19, 2014).

CSS is in constant production of books, surveys, and papers and determines its own research agenda based on the consultation and approval of its Board of Directors regarding the emergent research needs of the society. The centre specializes in policy papers and polling. Some recent policy papers on topics such as coping with the refugee crisis, parliamentary political process recommendations, university violence, and economic return on education and recycling in Jordan have been successfully adopted into policy. They carry out domestic and regional projects in partnership with many international funders such as the Arab Barometer for Democracy, Transparency International, and UN agencies.

The centre engages with the community and civil society through workshops with stakeholders, civil society leaders and political parties. An example of this is the centre's star project for 2015, titled "Jordan in 2030", which is a conference to determine a set of proposals for Jordan's biggest challenges and national priorities that impact future economic, political, social and human developments. It receives contributions from governmental institutions, the private sector, and civil society and is fully supported by the University in an effort to bolster its role as an active and engaged member in the community. The director hopes that this project will preempt a lack of strategic planning at the government level. The director also explained that the project will produce a unique document on economic, human development, energy, water, politics, and governance recommendations. Civil society's role will be consultative after drafts are prepared, especially for economic, youth, and political recommendations.

### **Yarmouk University**

Yarmouk University is the second largest university in Jordan with a total of 33,000 students and 12 colleges, located in Irbid, Northern Jordan. It was established by a Royal Decree by King Hussein Bin Talal in 1976 and has seen a significant expansion since that time. Yarmouk's mission includes "adopting a global vision in terms of principles and universal humanitarian standards and seek to positive interaction with all cultures and open the doors of cooperation with all international universities and research centres of excellence" (Yarmouk University (b), n.d.). The Deanship of Scientific Research and Graduate Studies was established in 1977 to administer academic research and graduate studies at the university and facilitates the development of academic research to be on par with global standards. The Deanship works to foster cooperation with scientific and academic institutions (Yarmouk University (c), n.d.).

In past years, Yarmouk University has performed well in research, however interviews with all departments revealed that the deanship still has ways to go in improving bureaucracy. Members of the administration explained that proposals are usually rejected because they do not meet university standards. When projects are funded abroad, a faculty member reported that while the university policies support cooperation with the community and CSOs on an official level, in practice the university is neutral: "They neither support or impede the work, but university administrators attend our events when invited."

### **Um Qays community-based tourism project**

The Um Qays Community Based Tourism project is a wonderful example of community engagement by Yarmouk University. It is managed by Dr. Zaid Al Sa'ad, a team of 6 professors from various disciplines, and several MA students through the Yarmouk University Archeology, Conversation and Management of Cultural Heritage Department. Funded by the EU, this project is aimed at

developing the Um Qays Cultural Heritage Sight, hand in hand with the local community. Um Qays is the site of the ancient Greco-Roman city of Gadara, and archeologists have uncovered many impressive remains, including a colonnaded street, a theater, a mausoleum and a Byzantine church. The ruins are also set against a backdrop of hills and countryside overlooking the Golan Heights and the Sea of Galilee. The site attracts hundreds of thousands of international and Jordanian tourists.

Dr. Al Sa'ad's background is working with the tourism sector on cultural heritage and tourism development, which he sees as extremely important for sustainable development and community engagement. His team identified a problem in Um Qays that exists throughout Jordan, which is the lack of engagement of the local communities to the heritage sites in and around their villages and cities. At Um Qays, there was a disassociation between the community and the site, which has resulted in negative attitudes and feelings in the local community. This led the local people to become antagonistic against the site, and the efforts of the government to develop it. Dr. Al Sa'ad's team started this project to understand what had gone wrong:

Um Qays used to be a big problem at the beginning. The government tried several times at initiatives for tourism development, all failed because of the negativity and position of the local community. The community used to be part of the problem and not part of the solution. There were certain mishandlings of the site because of the community. They also had a bitter feeling of dealing with the government in the past, trying to enforce certain development plans with private sector bodies. Decisions taken in Amman would be enforced on the community without consulting with them (Dr. Al Sa'ad, personal communication, November 16, 2014).

This project was about formulating a new approach, based on working with the community from the very beginning. During the planning phase, researchers consulted the local community:

...we introduced ourselves as an educational institution trying to help them. They didn't believe us in the beginning. It took us one year of confidence building, of workshops, meetings, and we explained to them what we are, what we intend to do for them, and our perspective on how it should be done (Dr. Al Sa'ad, personal communication, November 16, 2014).

The approach was to utilize "community-based tourism development" as an alternative to the failures of the government's centralized tourism development, which engages the community in all activities and decisions about the site. With the typical centralized approach, a certain central authority takes decisions for the site with involvement from the private sector (such as building a big hotel, restaurant, and tourism facilities). Consequently, most of the benefits go to the private

sector and not to the community, while community members are often only hired as employees and cheap labor for construction.

In contrast, community-based tourism development includes consultation with the community and their direct involvement. If there is a need for certain facilities for tourism, such as opening small motels and guesthouses, then they are developed by the community. In the end, tourists enjoy these efforts, because they do not only visit these sites to see archeological remains but also for traditions and to experience the community. A feeling of interacting and mingling with the people is rewarding for both the visitors and the community and is also part of the attraction of the site. The project convinced the community to develop certain initiatives and small projects, such as souvenir shops where traditional products could be sold. In this case, the people of the local community feel the benefit of tourism:

...they used to complain at the beginning that ‘Tourism is not doing anything for us – people come from Amman even with their bottles of water with them. Visitors pay entrance fees to the government to visit the site, and all they leave us with is the litter. This is what we get from tourism’ (Dr. Al Sa’ad, personal communication, November 16, 2014).

The project team invited members of the community to the university in addition to organizing two workshops at the site. Not only were these workshops hosting an exchange of ideas, but also an exchange of culture. Locals cooked traditional food. The research team met with different groups, not just community leaders but anyone in the community who wanted to be involved. These workshops featured open discussion about development plans for Um Qays, and the community expressed their concerns and provided feedback. “We identify and engage the most influential people in the community, the sheikhs, the activists, influencers. We go to schools. Even with the young generation to start there. We pass a strong message in an effective way” (Dr. Al Sa’ad, personal communication, November 16, 2014).

A big part of this project was spreading awareness about the importance of preserving the site. During the workshops, attendees discussed how the site was linked to their identity, their national feeling, and to feel proud that they are the owners of the site. Once a sense of pride was established, the workshops addressed the economical aspects of tourism development so the community could understand the best ways to make money from the site.

Since the recent completion of the three year Yarmouk University project, the situation in Um Qays has changed dramatically:

We have the full support and satisfaction from the community and it was a very successful experience which got them directly involved. Best of all, now they are associated with the site and feel they are the real protectors of the site (Dr. Al Sa’ad, personal communication, November 16, 2014).

Together, the team put together an integrated development plan and a shared policy for the site.

I hope we can try this approach with other sites in Jordan for Petra, for Jerash, which is the most preserved roman city outside Rome but it is not on the world heritage site list. The local people must feel the site is so important for them. There is a big potential for economic value for them. Then they start to see that it is important for their futures and for their families (Dr. Al Sa'ad, personal communication, November 16, 2014).

## Challenges

While universities have reported success reaching out to the community, the civil society organizations with whom we spoke cited little success in recruiting university involvement in their own research projects. Conversely, university administrators and faculty members cited challenges including NGO capacity, quality standards and transparency issues.

## NGO Capacities

Currently, Jordan remains highly dependent on foreign research. A dean we interviewed explained that the top research centre producing and providing research for the government is a private for-profit centre that is foreign owned and operated, and none of the research is available publically. "It is a problem to have women's research conducted by researchers not from the region," commented the Dean of the Centre for Women's Studies at University of Jordan. This lack of confidence in local research and knowledge production can be seen in the fact that foreigners author the majority of studies conducted about Jordan's current social and economic crises.

The university faculty and administrators we interviewed also suggested that there is a weak capacity for research, lack of quality standards, and internal failures at NGOs. These academics reported that the academic level of NGO research does not meet university standards: "We have no idea about the theoretical tools which produces shallow research" suggested one interviewee. Another said, "you will find that many reports that do not follow research standards, fall prey to common mistakes such as plagiarism, or only exist to fulfill a donor requirement."

They also complained of a lack of transparency in financial and electoral processes and an absence of basic management skills, suggesting that "NGOs use money differently." One interviewee reported that NGOs often operated too much like businesses, while at the same time distrusting their political agendas. "It is difficult for a university, which is a government institution, to be seen as partnering with a partisan/opposition organization such as an civil society organization. Also, we don't serve clients. Besides that, many organizations are still immature." Another interviewee said, "There are two scenarios for working with CSOs, working

on a service contract as a researcher, or as an institution as partners on a research team.” One administrator summarized that

...policies need to be put in place to ensure proper power balance between communities and higher education institutions. Too often relationships are not partnerships at all rather the higher education institution fulfills the role of the provider of research material for the NGO.

### **Lack of Networks**

“CSOs and universities act as isolated islands,” said one interviewee. There is a great need for a network of expertise and practice in Jordan that would enhance knowledge sharing with communities. Due to the lack of networking and engagement between the overall university community and NGO community, there remains great opportunity to connect and engage those communities on a local and national level.

Two successful coalitions cited by interviewees are RASED and Forum for the Future. For example, RASED is a coalition of civil society organizations monitoring national and municipal elections in Jordan. The RASED coalition for election monitoring, a household name in Jordan, is one of the few successful collaborations between the CSO community in Jordan. Founded in 2007 by the Al Hayat Center for Civil Society Development, RASED was the first local organization to observe parliamentary elections in Jordan and present its findings in the Jordanian media. Over the years, RASED’s reputation grew, as did the coalition. By 2010, the coalition consisted of 50 CSOs and in 2013 it comprised 125 organizational members. As one faculty member explained, “now, you cannot be viewed as a legitimate CSO in Jordan and not be a member. This experience is a lesson that in civil society, if you prove yourself, over time people will trust you.”

### **University Funding, Bureaucracy and Lack of Strategy**

At the same time, NGOs aware of university procedures are afraid to approach universities due to the bureaucracy and follow up involved. This same bureaucracy of the university also contributes to students seeking out CSOs to support them in their initiatives and projects rather than the university.

Many interviewees cited lack of adequate funding from the university as a reason for weak research. One interviewee and Dean of Academic Research at University of Jordan said “this funding should not be understood as enough to complete a research project, but rather as starter funding to then apply to foreign donors. Those who understand the funding this way have a much easier time.” However, many faculty do not even bother to go through the university processes for such small rewards, rather going straight to foreign donors. This may contribute to the fact that the national research fund, which is over \$30 million, has been

cited as not adequately spent. Administrators defend this by reporting that the quality of the proposals sent to the fund is lacking. However, few programs to train faculty on how to adequately fill the funding proposal applications exist. Further inquiry on the part of the Ministry of Higher Education needs to be done in order to diagnose how these three pieces interact with one another.

### The “Real” Science: Arab World Cultural Bias

It is quite common to witness a bias towards applied sciences over social sciences in the Arab World, and Jordan is no exception. From the time a student is in primary school this idea is typically reinforced by families and then later during the *tawjihi* placement exam at university. Based on the scores of the exam, the brightest students scoring highest on the exam will be admitted to applied science faculties such as engineering, medicine, and pharmacy and students scoring lower have more limited options and are admitted to departments such as languages, social sciences, or law. In rare cases, a bright student would opt for a discipline that did not require a higher score.

Our interviews revealed that this social stigma is perceived to affect the frequency of support from research funds towards the social sciences and also affects the quality and capacity for social science instruction and research output. In fact, during interviews conducted in English, the deanship for academic research was typically translated as “the deanship for scientific research,” even by the deans themselves. The numbers of applied science research projects funded compared to social science projects as advertised by universities also reflects this, in addition to the amount of funding and journals available in which to publish.

### Brain Drain

What is often referred to as ‘the Brain Drain’ impacts research in Jordan, as explained:

...the best of our researchers find a better environment abroad, every year we are losing thousands of researchers for many reasons. Better environment for research, we don’t have academic freedom and social justice. The Arab world loses on the average 30,000 researchers per year (personal communication, November 17, 2014).

Jordanian faculty members frequently travel abroad to earn their credentials and many remain abroad for better opportunities. “We have many university professors here graduating from the United States and Europe,” explained a faculty member, “which indicates that the individual quality of our faculty is okay. But we don’t have the resources to drive that kind of practice here.”

## Opportunities and Proposed Recommendations

Despite the many challenges, there are a growing number of opportunities and low hanging fruit for community-university research partnerships in Jordan. In several cases, due to the informal nature of research partnerships, we found that many universities display a lack of knowledge management by claiming to engage with the community without the ability to cite specific examples or statistics. However, in one case, at Al El Beyt University, the Dean of Academic Research provided us with an annual report on research for his deanship. Well aware of the challenges his deanship faced in promoting research production for the university, he also had statistics to cite. This dean produced this document in order to identify weaknesses in the deanship and also to share with other faculties and administrative bodies. The document was so well researched that we hope it becomes a common practice among all deanships at Jordanian universities.

From our interviews, we were able to identify several (sometimes contradictory) factors which contribute to a lack of university-community research partnerships in Jordan. How these factors interact requires further inquiry. We propose that the Ministry of Education take on that role, using the following recommendations. Given its role in supporting higher education, the ministry should take the following steps to address this policy challenge:

- Adequately evaluate the failures of the JNA 2007 and draft a more detailed plan to inject a culture of research, encourage academic and especially social science research in Jordan including:
- Fairly enforce the “Law of Higher Education and Academic Research”.
- Closely evaluate individual cases of low research output at public universities that are consistently unable to spend their funds.
- In cases of underproductive faculty, brainstorm strategies with the Deanship of Academic Research to incentivize and encourage faculty research production.
- In cases of productive faculty but inefficient university bureaucracy, implement new policies to ensure efficient processing for funding proposals.
- In all cases, organize tutorials for faculty demonstrating techniques to successfully apply for funding and raise awareness about available research funding streams.
- Tackle the evident bias for applied science research over social science by separating the funding streams and open spaces for new research currently drowned out by costly applied science projects. Agree on new guidelines on a consultative basis on what types of expenses can be charged to research and analyze constant obstacles.



- Organize a national research conference for social science research. Invite both higher education institutions and NGOs to bolster research output and address the lack of networking and engagement between the university and NGO community. Doing so will take advantage of the opportunities to connect and engage higher education institutions and NGO researchers on a local and national level.
- Use this moment to establish a network that can capitalize on new linkages between NGOs and higher education institutions and maintain synergies.
- Encourage undergraduate and graduate research. Young Jordanians are concerned about their country's future and eager to address these challenges, but lack the practical research skills and support to investigate these issues. Universities have seen an influx of political education programs in the past three years, however few focus on methodological research and critical thinking skills. It is never too early to learn how to conduct sound research, and young Jordanians need activities to keep them intellectually engaged and discouraged from participating in activities harmful to society.
- Encourage a practical application of social science research. The ministry can play a role in reducing the gap between theory and practice in Jordanian academia by promoting the rhetoric that local social science research will be given weight in Jordanian policy decisions.

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**The authors would like to thank all interviewees for their time and opinions shared during fieldwork.**

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# NETHERLANDS

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## Strengthening Community-University Research Partnerships: Science Shops in the Netherlands

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Science Shops were established as part of the Dutch science and society landscape in the 1970s (Mulder, 2010). They are university offices that are open to any civil society group or non-profit organization that wants to have research done for and in consultation with them. A Science Shop provides independent, participatory research support in response to concerns expressed by civil society.

The main characteristic that distinguishes the Science Shop from other forms of engagement is that its research is fully demand driven, starting from the problem that the Civil Society Organization (CSO) has articulated. The research aim and questions are then based on tackling this problem. The CSO is actively involved in the research project and can bring its knowledge and specific needs during the process. In the end, the output will be tailored to its needs as much as possible.

The level to which a CSO or its members are involved in the actual research process itself varies across projects. In some cases, the research is very specialized or the CSO specifically requests that the research is totally independent from them. In the latter case, the independent research design is strategic and concerns the potential impact of the research on policy. In other cases, when the CSO is, for example, interested in developing the services it provides, participatory action research may be an appropriate approach. In all cases the research is dedicated to supporting the CSO's work.

In general, there is no financial cost for CSOs to have research carried out for and with them. In many cases, the research is conducted at very low cost or even for free. Since most research is integrated in student curricula, the additional costs for a university to provide this service are low. While students obtain course credits for their work and professors supervise them, the costs for this are already included in the higher education system. Only the topics, for example, for a practical experiment or a thesis come from 'outside'.

Although they have been around for a long time already, the Science Shop approach is still seen as innovative in bridging the gap between science and civil society. The Dutch Science Shops are often taken as an example for similar activities

abroad, and receive much support from the European Commission to share their experiences across Europe. More information on the whole movement is accessible through the Living Knowledge Network ([www.livingknowledge.org](http://www.livingknowledge.org)).

In this case study we will highlight the work of two Dutch Science Shops within the context of their respective universities. We will illustrate their work with an overview of projects completed for various CSOs and conclude that the Science Shop approach is a proven way to establish connections between science and civil society.

## Policy Context

### National

The Netherlands' Law on Higher Education states that next to supplying higher education and doing research, the third mission of universities is to “transfer knowledge on behalf of society” (Law on Higher Education, 1992). ‘Society’ is not defined in this clause and can be interpreted as ‘businesses’. The law does not define specific ways of knowledge transfer, nor is co-creation of knowledge the main objective. However, this law does offer a justification for the work of the Science Shops and for projects with community organizations to be included in the curriculum. In addition, internship coordinators can make connections to the non-profit sector if the content of the work fits their students’ programs.

There are currently no specific guidelines for engagement activities with community organizations. The Law on Higher Education allows for the universities to interpret how to implement it. Most universities have outreach activities focused on high schools, which are also meant to motivate potential new students. All universities have press officers, some operate Science Museums or Science Centers, even mobile ones, and others have a botanical garden. Most universities have a business liaison office and about half the universities in the Netherlands operate a Science Shop.

The Law does not give SMART (Specific, Measurable, Assignable, Realistic and Time-bound) objectives for monitoring programs. Universities, however are currently expected to develop indicators to measure their ‘valorization’, a term used in the Netherlands to denote the creation of added economic or societal value from research. The universities are expected to justify about 2.5% of their budget based on these indicators. By 2016 this exercise is expected to have been tested and implemented broadly.

In the coalition agreement that the Dutch association of universities (VSNU) signed with Deputy Minister of Research Zijlstra in December 2012, it was agreed that universities will develop indicators to measure their efforts or input in creating societal impact, or to directly measure the results and impact on society (“Valorisatie”, n.d.). The idea is that in the coming years, the universities will take responsibility to develop these indicators in an open and experimental form. This

will help to make ‘impact’ measurable and can provide legitimization and even incentives to engagement. However, many of the possible indicators are quantitative, and there is a risk that the real quality in engagement could be hidden. The development of valorization indicators is still in its experimental, set-up phase. It is also as yet unclear how the indicators will relate to budgets. Currently, universities can pick their own set of indicators from a long list. Some of them have chosen purely economic indicators, while others have chosen a more balanced set.

‘Societal impact’, whether economic or non-monetary, is already a criterion in the assessment of research in the Dutch research assessment (Rathenau, 2009; KNAW, 2015). Also, in the UK ‘societal impact’ has become important in evaluating ‘excellence’ of research at Higher Education Institutes (Research Excellence Framework, 2014). Engagement can help create and demonstrate this impact, which means that the scores of individual research programs are influenced. A recent report by Kun et al. (2014) describes many policy options to support different forms of engagement.

While there is currently no indicator to reward the university as a whole, the new indicators for ‘valorization’ may change this.

## Funding Mechanisms

Engagement activities between universities and communities are basically funded from universities’ budgets. All universities are public and obtain their core funding from the national government. Additional funds for research can be obtained from research councils and governments, companies and the European Union. Universities pay the salary and overhead costs for Science Shop and internship coordinators, and for supervising professors. The research that is facilitated by the Science Shops is mostly accomplished by students as part of their curriculum. Hence, they get course credits, and for the professors the supervision is part of their regular teaching obligation. These costs would be similarly incurred for curiosity driven research and learning, thus the only overhead costs are for managing the co-operation process, such as the salary of the Science Shop coordinators, and for non-salary budget items such as office costs.

For specific projects, a community contribution can be requested if the costs of the project are larger than a regular student project. This depends on the financial status of the organization. In some cases subsidies could be obtained either by the university or the community organization. If a paid researcher is to be employed, these funding sources become necessary. PhD students, for example, can only be employed if there is a budget for their salary and research costs. The community organization is required to co-operate in kind with their knowledge, data, time and networks.

The funding that Science Shops have at their home institutes suffices for the brokering of research requests from civil society organizations, as long as they can use Bachelor or Master student work, which is not paid other than with course

credits. However, the budget limits the possibilities to conduct larger (e.g., PhD) projects. Moreover, in working with students timing may be an issue. It is clear that with more funding, more can be done.

The engagement processes described above consist of commissioned or co-operative research. Universities also have other initiatives in public engagement, such as summer schools, courses for seniors, pupils, and various public lectures and dialogue events, such as Science Café's. They are funded from university budgets, sometimes with contributions from participants. 'Community development' as such is not a core activity performed by universities in the Netherlands.

## **Higher Education Institutions - University of Groningen**

### **University of Groningen**

#### **Institutional structures**

The mission statement of the University of Groningen states that it provides high quality teaching and research, is internationally oriented, respects differences in ambition and talent, works actively with business, the government and citizens, and ranks among the best universities in Europe. There are various outreach structures to work with citizens, or 'the public', as it is translated on the English pages of the University at the University of Groningen. For co-operative research with and for community organizations, the university has six Science Shops at different faculties: Mathematics and Natural Sciences; Economics and Business Management; Languages, Culture and Communication; Educational Studies; Medicine and Public Health; and Applied Philosophy ("Science Shops", n.d.). In addition, various study programs have internship coordinators.

For a less intensive form of engagement, there are also persons in charge of organizing public lectures under the umbrella of "Studium Generale" and Science Cafes are organized regularly to discuss more informally, topics relating to hot issues in science and/or society ([www.sggroningen.nl/nl/programma](http://www.sggroningen.nl/nl/programma)). Finally, the university has a University Museum, a Science Center-Science LinX ("ScienceLinX", n.d.) and a press office.

The key provision to enable community-based research (CBR) within the research carried out on the University premises are the Science Shops, though they mostly work with students and not with paid researchers. Some individual projects do have engagement built in, for example, some projects undertaken by the Science & Society Group and the Energy Academy Europe. Other disciplines, such as Spatial Planning, have engagement of stakeholders built in to their type of research.

The sustenance of the collaborative ventures with the community is guaranteed only by the goodwill of the university and faculty leadership, and the hard



work and motivation of the Science Shop coordinators. Despite its ups and downs, the Science Shop has been in place since 1979.

Although there is no obligation to work with community organizations, the Law on Higher Education, as mentioned above, is used as a justification for cooperative research. Moreover, the Dublin Criteria, which state the competencies of each graduate, support community-based research as part of the curricula. (“Dublin Descriptors”, n.d.)

Especially for Master’s degrees, the official requirements fit Science Shop projects nicely, since graduates need to have demonstrated that they “can apply their knowledge and understanding, and problem solving abilities in new or unfamiliar environments within broader or multidisciplinary contexts related to their field of study; have the ability to integrate knowledge and handle complexity, and formulate judgments with incomplete or limited information, but that include reflecting on social and ethical responsibilities linked to the application of their knowledge and judgments; and can communicate their conclusions, and the knowledge and rationale underpinning these, to specialist and non-specialist audiences clearly and unambiguously” (“Dublin Descriptors”, p. 2, para. 2, n.d.).

### **Institutional Incentives**

Almost all projects of community-based research are included within the curricula. Thus, the students receive course credits for these projects. For professors, supervising these projects counts towards their teaching hours. They sign-off on the credits, and this is automatically incorporated in the university system to calculate teaching loads and budgets. With the new indicators for valorization, there may be a more direct link to scores that count towards promotion or tenure. However, most valuable for researchers is usually the inspiration for new angles to research and the access to knowledge, facilities and networks of the community partners. This will add to the value of their research output.

The institution does not encourage students to undertake this work specifically, apart from the regular course credits, though projects may be part of the honors college that does give extra credits to students involved.

### **Institutional Capacity**

The university has allocated about 3 full-time equivalents of staff hours to the Science Shops. It also gives a small, non-salary budget to the individual Science Shops, and 50,000 Euro for common publicity and support. The Science Shops at U. Groningen do about 50 projects each year with and for community organizations. These projects involve about 193 students. This means that about 3.2% of all students, including those in departments without science shops, participate in a Science Shop project once during their studies.

The key research areas for the university are currently: Healthy Aging; Energy; and Sustainable Society. These key-areas are a good umbrella for many Science Shop projects.

Apart from the Science Shops, there are no specific provisions within the University structure that are in line with the theme of community university engagement in research, nor any means through which the University endorses such activity other than paying for the coordinators of the Science Shops, internships, and museums/science centres.

## **Wageningen University and Research Center (Wageningen UR)**

### **Institutional Structures**

There are various outreach structures at Wageningen UR which help facilitate the process of Community-University engagement: Science Shop; Academic Consultancy Training; ‘Onderwijsloket’; and other structures such as Internship coordinators, Press officers, Studium Generale, Centre for Development Innovation, and the Science Café (“Society”, n.d.).

For co-operative research with and for community organizations, the university has one central Science Shop which provides CSOs access to students, researchers and staff of the different sciences groups of Wageningen UR.

Students of nearly all masters programs at Wageningen University participate in the Academic Consultancy Training. (ACT) (“Academic Consultancy Training”, n.d.). In multidisciplinary groups, students learn to carry out research projects commissioned by CSOs, government bodies or companies.

A third structure favoring CBR is the ‘Onderwijsloket’ (“Onderwijsloket,” n.d.) Onderwijsloket matches real-life projects with bachelor and master courses of Wageningen University. Onderwijsloket collaborates with multidisciplinary networks in different regions in the Netherlands. These networks consist of regional actors, education and research. They focus on collaboration, development of the region or sector and reducing the distance between education and labor market.

Most study programs have internship coordinators. For a less intensive form of engagement, there are also persons in charge of organizing public lectures under the umbrella of “Studium Generale”. And Science Cafes are organized regularly to discuss more informally on topics relating to hot issues in science and/or society.

The Centre for Development Innovation (CDI) works to inspire new forms of collaboration between citizens, governments, businesses, NGOs and the scientific community, mostly in an international setting (“Center for Development Innovation”, n.d.). Finally, Wageningen UR has a press office.

The key provision that enables CBR between CSO’s and Wageningen UR is the Science Shop. The Science Shop works with students, their supervisors and

with paid researchers. ACT and ‘Onderwijsloket’ projects do have a provision for engagement, sometimes with CSOs, and sometimes with government organizations, companies, or private persons. Thus, the approach of Wageningen UR favors participation of CSOs and other societal partners in research projects realized by Wageningen UR researchers.

The sustenance of the collaborative ventures with the community is guaranteed only by the goodwill and the hard work and motivation of Wageningen UR staff, researchers and students, and of the coordinators of the Science Shop, ACT and ‘Onderwijsloket’. In this way, with ups and downs, the Science Shop system has been in place since 1985. The ACT has been in place for more than 10 years and the ‘Onderwijsloket’ for more than 5 years.

The Law on Higher Education as mentioned above is used as a justification for this cooperative research. Moreover, the Dublin Criteria, which state the competences of each graduate, also support community-based research as part of the curricula.

### **Institutional Incentives**

Most community-based research student projects are included within the curricula. Sometimes it is not possible to find a student in the period the research should be done, in which case the Science Shop has a budget to pay professional Wageningen UR researchers. Sometimes recently graduated students contribute to CBR projects to gain some valuable research experience. In all community-based research student projects, students receive course credits for their contribution.

Similar to Groningen U, supervising these projects counts towards the teaching hours of professors and the credits are calculated into teaching loads and budgets. New valorization indicators may create a more direct link to scores that count towards promotion or tenure. Also similar to Groningen U, CBR projects provide inspiration for new angles to research and access to knowledge, facilities and networks of the community partners, which adds to the value of research output.

### **Institutional Capacity**

Wageningen UR has allocated 1.2 full time equivalents (FTEs) to coordinate the Science Shop and a budget to pay for project managers, professional researchers and for transport, support and publicity. The ACT has 9.5 FTEs for coordination, the ‘Onderwijsloket’ 1.8 FTEs.

Every year, the Science Shop at Wageningen UR offers learning opportunities for students in forty projects. The ACT realizes approximately 160 projects per year and the ‘Onderwijsloket’ realizes thirty projects. The Science Shop limits itself to CSOs. The ACT and ‘Onderwijsloket’ also include projects for companies and government organizations. As science shop projects need more time, often more than a year, than ACT projects which usually require six to eight weeks, it is well

possible to incorporate ACT-projects within science shop projects. Every year ten to twenty ACT projects which can include sixty to 120 ACT students, contribute to science shop projects. Similarly ten to twenty ACT projects contribute every year to Onderwijsloket projects.

More than 200 students per year participate in Science Shop projects. In ACT projects this figure is 1000 students per year and for the 'Onderwijsloket' this is more than 300 (University of Wageningen colleagues, personal communication).

The domain of Wageningen UR consists of three related core areas: food and food production; living environment; and health, lifestyle and livelihood. These core areas are a good umbrella for many CBR projects.

Currently, a new education philosophy is being developed within Wageningen University. 'Learning in Communities' is one of the four pillars of this new approach favoring CBR and CBL.

## **Community/Civil Society**

### **Networks**

There are many umbrella organizations that are familiar with the Science Shop concept. These can guide smaller organizations to find their way. Some examples of these umbrella organizations are the Nature and Environment Foundation; the provincial federations for nature and environment; and PGOsupport, a non-profit organization that supports patient organizations.

The CSOs are not involved in lobbying for community-based research as such. They do lobby for research on their behalf in specific cases, or lobby for the implementation of recommendations derived from reports made through Science Shops.

CSOs facilitate community-based research engagement by making available their networks, their knowledge and their time to the HE-students. In return, the CSOs obtain research output that serves their needs. By showing the impact of the research projects, for example in national and local media, they strengthen the link between the CSO and the HEI, hence facilitating future CBR projects.

CSOs network with other organizations in various ways. Successful CBR projects may inspire CSOs in other networks, inviting them to engage as well.

### **Structures**

The structures of CSOs can vary widely. There are many CSOs in The Netherlands, often well organized and networked through umbrella organizations, and many non-profit institutes as well, which makes working with HEIs relatively easy. There are no specific NGOs or similar purely focusing on supporting HEI-CSO co-operation. There are, however, some funders such as the charity KNHM

and the Doen foundation, a lottery charity, that provide financial support to HEI-CSO co-operation (“About KNHM”, n.d.; “DOEN”, n.d.).

A special subsidy program of the Ministry for the Environment for environmental CSOs was abolished late 2010. This program, called Subsidy-regulation Societal Organizations and Environment (SMOM in Dutch, *Subsidieregeling Maatschappelijke Organisaties en Milieu*) was used to commission research and had existed for 30 years with an annual budget of 6-10 million Euro. It was cancelled by the first Rutte administration, a coalition of VVD (liberals), CDA (Christian democrats) and PVV (Geert Wilders’ party).

Other research subsidy structures, like innovation vouchers and strategic research initiatives are not aimed at the inclusion of CSOs, but geared towards industry and SMEs.

The presence of a strongly organized civil society and Science Shops means that these structures do not need to be created ad-hoc. Often the co-operation with established CSOs continues through the years. However, the Science Shop also collaborates with informal, less structured emerging interest groups, which are often not organized as a legal entity. Commissioning research projects to a Science Shop helps these groups to increase their influence, hence the Science Shop may play a role in empowering young, small or marginalized CSO’s.

If one looks at it as a system, Science Shops are open to the whole community. In one project they will work with one community organization, in the next project with another, even if these organizations have competing views on society.

### **Capacity**

Many CSOs are quite well organized and some have professional staff. Over the past five years, because of the financial crisis, budget cuts have taken their toll: government subsidies have been lowered drastically, as has income from donations and memberships.

The Netherlands is a well-organized, small country with a high proliferation of internet access, which makes networking rather easy.

While some CSO’s have some funds available, most of these organizations are poorly funded. They can have access to subsidies from sources not available to universities, but these sources are lower nowadays because of the financial crisis, which has also affected political decisions and the funding climate.

Since there are no specific financial resources for university-CSO engagement, other than the universities’ own budgets, what makes a project work is the win-win situation achieved: the CSO will invest some time and knowledge, data, networks, and will get an academic, research-based answer to their question. The university will have obtained a valuable community-research based learning project for its student(s), and some new angles and knowledge to advance their research programs. Both sides cover their own costs and get a non-financial return from the

co-operation. Because of the integration in research-based teaching and learning, the costs of the system are low and even economically speaking Science Shops are a good way to facilitate research with and for society (Boere & Heijman, 2012).

## Examples of Projects

Since the proof of the pudding is in the eating, we will give a number of examples of projects below. These examples are taken from the submissions to the bi-annual Dutch-Flemish Science Shop Award Competition. For this award, projects are assessed on their societal relevance and impact, their scientific quality and the learning experience for the student/researcher involved. For this, testimonials are invited from the CSO that commissioned the research, from the academic supervisor and from the Science Shop involved. These are handed to a jury with the original research reports and materials developed. The jury consists of an academic, a representative of a CSO, a student and a policy maker. The Chair is a well-known person, familiar with the interface of research and society, for example a former Minister, a Mayor, or an MP. On average, about fifteen to twenty projects of outstanding quality are submitted every two years.

Additional information was collected in a survey among the Dutch Science Shops, which was held in 2013-2014, to inform the Dutch Ministry of Education, Culture, and Research. It should be noted that we authors have insights into these projects through our own personal experience. Henk Mulder has been secretary to the jury three times and thus has access to the submissions of these years, while Gerard Straver made an overview of Science Shop activity in 2013-2014 to inform the Ministry of Culture, Research, and Education.

## Groningen, Science Shop Mathematics and Natural Sciences

### Project Stone-Break

**CSO:** *Working Group Stone-Break, a coalition of nature protection organizations, municipalities and research institutes.*

**Question:** More and more private gardens now have tiles instead of green. What are the consequences for nature and environment in the city? What are the motives and would it be possible to turn this development around?

**Student:** MSc environmental sciences

**Answer:** The student visualized the trend with data from the land registry. Especially rain water flow causes problems. The temperature rise because of the tiles is less of a problem, though it could be an issue for elderly people.

**Impact:** The municipality organized a conference to discuss the findings. Five other municipalities will use the method to make an inventory as well. A follow-up study into biodiversity is being prepared.

The thesis won the prize for the best thesis in environmental studies 2013-2014: the Rachel Carson Award, from the Dutch Association of Environmental Professionals.

*Comment of the CSO:* Through Operation Stone-Break, a broad counter-movement has started which seeks to replace the use of tiles in private gardens with environmentally sustainable alternatives. The work of this student provides an essential scientific foundation for this movement.

## Groningen, Science Shop Medicine and Public Health

### Stable Love, Stable Life? The role of support and acceptance in relationship satisfaction of couples living with Meniere's disease

*CSO: Commission of Meniere of the Dutch Association for the Hearing Impaired (NVVS)*

*Question:* What is the influence of Meniere's disease on the life of the patient? May acceptance of the disease contribute to the quality of life?

*Conclusion:* Meniere's disease has a major impact on the life of the patient but also on that of their partner and the relationship. When both partners accept the disease, and can talk about it, the focus is on issues that are still possible and limitations have less impact on the relationship.

*Impact:* The NVVS uses the results of the survey in its information both on the website of the NVVS and through specific brochures. This information is aimed at both patients and otolaryngologists. The students presented the results of a nationwide day of NVVS and during 'patient and partner weekends and on international conferences.

The Student graduated with honors.

## Groningen, Science Shop Medicine and Public Health

### Evaluation of mindfulness training for lay-carers, a project requested by lay-carers

A video interview with the student can be seen at [http://www.unifocus.nl/site/pagina.php?id\\_item=486&tab=journaals&pag=1](http://www.unifocus.nl/site/pagina.php?id_item=486&tab=journaals&pag=1)

This project won the first prize in the bi-annual Dutch-Flemish Science Shop Award 2014.

*Question:* Can you evaluate how mindfulness training helps lay-carers cope with all the demands placed upon them.

*Conclusion:* The main outcome of the study is that the quality of life of lay-carers has clearly improved after the training. *Impact:* One of the large health insurance companies of Netherlands announced during the final symposium that

it would take up mindfulness training for lay carers in its supplementary package. In addition, new groups started in which carers receive training, and another student commenced a research project on the longer-term value for lay-carers.

The lay-carer who initiated this project states that “the study, described in the thesis and presented at the final symposium, really contributes to the wellbeing of carers. The student could connect existing knowledge and theories about human welfare, and changing perspectives in that, to practices and policies that will make it possible for people to improve their wellbeing” (A. Brunner, written recommendation for Science Shop Award, 2014).

## **Groningen Science Shop for Languages, Culture and Communication**

### **Project: Close to home, the childhood memories of the Groningen illustrator Cornelis Jetses (1873-1955)**

This project won the second prize in the bi-annual Dutch-Flemish Science Shop Award 2014.

*Question:* The Cornelis Jetses Foundation, a non-profit organization that curates the legacy the Groningen illustrator of textbooks and literature, wanted to put a newly discovered manuscript of Jetses in historical perspective.

*Results:* A Master student in History made the manuscript accessible to a broad audience. He puts Jetses’ youth in historical perspective, creating value far beyond the usual nostalgic associations with Jetses, and offers an insight into the modernization of the Dutch education system.

*Impact:* Apart from creating a book on Jetses’ youth, the student also organized a temporary exhibition. The Foundation is very happy with the efforts of the student, which led to the creation of a book and an exhibition based on the childhood memories of Jetses; “two products that we are proud of and which many people will enjoy” (Corelis Jetses Foundation, written recommendation for Science Shop Award, 2014).

### **More Groningen examples in brief**

In 2009, The Science Shop for Economics and Business Management did a project for the CSO Foundation *Zorg op Maat* (Tailor Made-Care) called “The judgment of the client”. They investigated the quality of the care provided by the Foundation from a client perspective. The Foundation stated that “in other investigations of the quality of the care provided, usually up to 15% of the clients are interviewed. In this study, 80% of the clients participated. That provides enough reliable results and an in-depth look at the situation” (Foundation “Zorg op Maat”, written recommendation for Science Shop Award, 2010) which can be used as a basis for changes where needed.



In another project that was started at the request of an environmental organization, the Wadden Sea Protection Foundation, as participant in the project *North Sea Ballast Water Opportunity Project*, the Science Shop for Mathematics and Natural Sciences won the first prize in the bi-annual Dutch-Flemish Science Shop Award 2012. It concerned the transport of ballast water from ships, which is one of the main causes of pest invasions. Soon, ships will be internationally required to treat ballast water. However, they can be exempted from these obligations when navigating in a restricted area or between specific ports. A student did a risk analysis of this and showed that, for example, the North Sea cannot be seen as a restricted area since there are many sub-ecosystems. The student concluded that exemptions to the obligatory treatment of ballast water should not be given automatically.

## Wageningen Science Shop

### Project Allotment Garden Complex De Koekelt in Ede – a multifunctional neighbourhood park

#### *CSO: Association of Amateur Allotment Gardeners (VAT) in Ede*

**Question:** The question posed by the VAT asked how they could develop a new design for their garden complex to increase the involvement of garden members and other inhabitants of the surrounding area.

**Result:** A design was made in an interactive process with various stakeholders. Investigations into the engagement of members and local residents have contributed to create a beautiful and multifunctional integrated garden park in the neighbourhood.

**Impact:** The design has been implemented and the garden complex refurbished. The project has contributed to the policy on allotment gardens of the municipality of Ede. The Garden Park De Koekelt was nominated for the provincial Prize for Spatial Quality 2014. The Office International du Coin de Terre et des Jardins familiaux decided to issue the international certificate for innovative projects to De Koekelt in 2014.

The park serves as an example project for the AVVN, the Dutch association of hobby gardeners. In total, sixteen students have earned credits and Wageningen researchers developed new contacts in the field of urban agriculture thanks to this experience. More information about this project can be found at <http://www.wageningenur.nl/en/Education-Programmes/science-shop/Testimonials/Show/Allotment-complex-turned-into-multifunctional-neighbourhood-park.htm>

## The Touch Table as a Way to Discuss a Village Energy Plan

#### *CSO: A residents organization and a municipality*

In a project that was nominated by the The ‘Onderwijsloket’ of Wageningen

University for the Dutch-Flemish Science Shop Award 2014, five students, (from The Netherlands, Russia, Uzbekistan and Ethiopia), created an interactive tool to discuss local energy plans. In their seven weeks for this assignment they created a touch table. The students held two sessions with different stakeholders, in which the touch table was used to facilitate the discussion on a Village Energy Plan in which the aim was to reach consensus. With the touch table, participants could make individual plans, and then combine these with others. The touch table used GIS (Geographic Information Systems) data which consisted of landscapes and spatial characteristics of different types of energy supply.

**Impact:** After the project, an ‘info, learn, and do’ day was organized by the commissioning organizations, “Village Energy Plan Gasselternijveenschemond” and the Municipality Aa en Hunze, who stated: “the students influenced the increase in the participation of the residents with their input during this day. The possibilities to bring down energy use were shown, and the gains were made clear. Although studies on the opportunities to save energy and the preparation of the village energy plan are one-time activities, actions taken based on these studies will have a long-term impact” (written recommendation for Science Shop Award 2014).

### Other brief examples from the Wageningen Science Shop

Another example from the Wageningen Science shop included the provision of dietary advice for persons with HFE hemochromatosis, on behalf of the Hemochromatosis Association in The Netherlands. Persons with iron overload disease (hemochromatosis) have a genetic defect which causes them to take in too much iron from their food. This causes all sorts of complaints such as fatigue, joint problems; in severe cases it can lead to liver cirrhosis and diabetes. The treatment of hemochromatosis consists of blood draining. Another solution would be the ingestion of less iron by a suitable diet. The central question of the project was: “What nutritional advice can be given at HFE hemochromatosis?” where HFE stands for one of the genetic variants of hemochromatosis. The question was answered through a literature review and interviews with experts and patients. The results showed that with a suitable diet, the number of blood drains can be reduced by one or two per year, depending on the individual (“Concrete Dietary Advice”, n.d.).

A final example from Wageningen is the project “Welcome to Rotterdam”, which investigated whether and how policy interventions aimed at fostering intercultural encounters contribute to social cohesion in an immigration society. This was done on request of a foundation that supports immigrants. Based on the research findings, it was concluded that the social networks of ‘old’ and ‘new’ Rotterdam are strongly separated, which increases the risk of alienation and lack of social trust. The respondents stated they indeed needed bridging contacts, which can be seen as a contemporary form of solidarity in an immigration society. The encounters that occur during the project meetings are often short-lived, but help avoid alienation and promote rapprochement. The stranger becomes less strange and the distinction between ‘us’ and ‘them’ becomes blurred. The involvement of

people in meetings is a form of social capital and thus has a modest but undeniable influence on the social cohesion of a city. This project won the third prize in the Dutch-Flemish Science Shop Award 2012.

## Conclusion

New developments in European research policy may advance the inclusion of CSOs in research. In *Horizon 2020*, the European Commission's research funding scheme for 2013-2020, there is a lot of emphasis on engagement. The Commission has deemed that engagement is necessary to solve the societal challenges of our time, for both democratic and instrumental reasons. This means that citizens should have a say in how societal issues are tackled not only because much research is funded from tax-money, but also because the inclusion of their knowledge and ideas are essential to creating the best solutions to these challenges. Thus, the whole idea behind the Science Shops remains highly relevant and for many countries is new and innovative.

To further advance this way of doing research with and for society, the work of Science Shops can be connected to other forms of engagement that currently have a lot of momentum. For example, informal discussions take place in the Science Cafes on new scientific developments or on the role of science in societal issues. Usually these discussions have no strings attached—there is no impact on the wider society, policy or research expected. Now what if during these sessions the question was posed: 'what do we not yet know that is still important to know'? We could then start to develop small parts of a research agenda. Similarly, many projects now involve citizens in data collection and analysis. This is not yet common practice in Science Shops, which are used to discuss and set up research with citizens' organizations. Combining both approaches could help increase the engagement of citizens over the research cycle, which would move the work of both the Science Shops and Citizen Science projects closer to participatory action research.

In conclusion, it can be stated that the Science Shop approach that was developed in the 1970s is still a good way to establish connections between science and civil society, and to create new knowledge together based on societal needs. It is also clear that for universities this is not a form of charity, but brings them valuable data and educational benefits as well.

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# SOUTH AFRICA

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## **One Bangle Cannot Jingle: Community-University Research Partnerships in South Africa**

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The promotion of community-university research partnerships (CURPs) in South African public higher education must be seen in terms of the mandate of higher education to be responsive to the needs of social, political and economic transformation of post-apartheid society and the development of the country into the future (Department of Education (DOE), 1997; National Planning Commission (NPC), 2012). Among the legacies of apartheid is that South Africa is one of the most unequal societies in the world, characterised by very high levels of unemployment, poverty and deprivation coexisting with pockets of great wealth and privilege. Against this, higher education in South Africa is well developed; it is understood within the larger system of post-school education and training and constituted by a differentiated system of twenty-five public institutions, including traditional research and teaching universities, universities of technology, and comprehensive universities, as well as numerous small and largely vocationally oriented private institutions. The institutional landscape of public higher education in South Africa includes large comprehensive universities such as the University of South Africa, which is the oldest distance learning university in the world and enrolls over 330,000 students, as well as new and small institutions such as Sol Plaatjie University in Kimberley, which started in 2014 with less than 150 inaugural students. It includes urban research universities such as the University of Cape Town (UCT) as well as teaching-focused rural institutions such as the University of Venda.

All higher education is governed by a national regulatory framework, which includes the national Higher Education Act (1997), and has been amplified by the White Paper for Higher Education Transformation of 1997 (DOE, 1997) and the White Paper for Post-School Education and Training of 2013 (Department of Higher Education and Training, 2013; see also DHET, 2014).

Most higher education institutions in South Africa were specifically established to cater to the needs of an apartheid society, in that they were segregated by race and ethnicity and directed to serve a particular population group only. While the dawn of democracy meant that all institutions were opened to all population groups and the “geo-political imagination of apartheid planners” (Asmal, 1999, p. 11) was to some extent ‘undone’ in a process of post-apartheid mergers and incorporations, directing public institutions to address a developmental mandate and avail their expertise to directly engage with the needs of multiple and new constituencies, including communities which have been historically underserved by public higher education in general, remains an ongoing challenge at the conceptual, political and practical level. Universities in South Africa enjoy a fair degree of institutional autonomy in a context of public accountability and limited ability of the national government to directly interfere in their operation. In order for national policy to be implemented at the level of institutions, government has a limited set of steering instruments related to the planning, funding and quality assurance of higher education. Hence, there is variation in how universities respond to national policy, including policy related to social responsibility.

Considering the trajectory of post-apartheid policy development in South African higher education in general, three periods can be discerned in terms of the predominant focus of policy and the development and implementation of related policy instruments (Lange & Luescher-Mamashela, in press, p. 6). The first period from 1994–2000 focused on establishing a political consensus for the transformation of higher education in a democratic South Africa, and putting key policy, legislation, and structures of government into place. This included a single national Department of Education and a statutory advisory and quality assurance body for higher education. The second period (2001-2009) was characterised by much contestation in the course of the implementation of key policies, such as the restructuring of the programme and qualification mix of public institutions and, in some cases, mergers and incorporations. It was also characterised by a perception of the “rise of the evaluative state” (Neave, 1998) and increasing managerialism at the institutional level. Finally, in the third and current period the scope of general system-level policy has widened to view higher education more explicitly within the overall system of the post-schooling sector, along with technical and vocational training institutions and adult learning institutions. At the same time, the development of new policy structures and instruments such as a Transformation Oversight Committee and new reporting requirements, signal a more directive intent of the current Ministry and way of demanding responsiveness and accountability from autonomous institutions (Lange & Luescher-Mamashela, in press). Correspondingly, national policy on the social responsibility of higher education has evolved over the twenty years of post-apartheid policy from the largely symbolic pronouncements in the White Paper of 1997 to a number of initiatives, including the development of policy instruments, to quality assure various forms of community engagement including community-based research (CBR)

facilitated through community-university research partnerships (CURPs) (Favish et al., in press).

**Table 4.1** Periodization of policy development  
(Adapted from Lange and Luescher-Mamashela (in press))

| Periodization | General system level policy   | National community engagement policy  |
|---------------|---|---|
| 1994 - 2000   | Political consensus, implementation vacuum and the setting up of government | Symbolic policy of community engagement; dominant notion of CE service learning   |
| 2001 - 2009   | Policy contestation, state steering and the rise of the 'evaluative state'  | National quality assurance criteria include community engagement; seeking national conceptual consensus fails; wide-spread establishment of institutional CE structures                             |
| 2009 - 2014   | State managerialism and the question of democratic accountability           | Focus on a grounded approach to developing the field of CE. Some consideration, development and implementation of national CE policy instruments in planning (reporting) and funding (esp. NRF/DST) |

This chapter analyzes South African higher education's experience of community-university research partnerships by means of an analysis of national policy development, institutional policy and case studies. It conceptualises CURPs in terms of higher education's commitment to be socially responsive, and community-based research as mutually beneficial partnerships with external constituencies whereby university-based capacity, resources and expertise are employed to address challenges and needs in collaboration with external partners (cf. Favish, McMillan & Ngcelwane, 2012). The aim is to describe and analyze the policies and structures established at the national, university and civil society level related to community-university partnerships, and illustrate actual practice in the concrete cases of two partnerships.

Except with reference to the university-based South African Higher Education Community Engagement Forum (SAHECEF), the chapter does not explicitly discuss the roles of national networks or mechanisms that promote community engagement in South Africa, as there are no community-based networks specific to this task. There are, however, several sector-based organizations and networks which include the promotion of CBR (but not specifically CURPs) in their respective constitutions. They include, for example, Disabled People South Africa (DPSA) (see [www.dpsa.org.za](http://www.dpsa.org.za)), Equal Education (EE) (see [www.equaleducation.org.za](http://www.equaleducation.org.za)), and the African Bioersivity Network in Kenya (ABN), which are mentioned in the institutional case studies.

The first section discusses the trajectory of national policy development in relation to community engagement in general, focusing on key policies and structures, mechanisms and instruments put in place to strengthen community engagement of universities with particular reference to community-university research partnerships. The following sections consider CBR partnerships in the case of two different public universities: the University of Cape Town and Rhodes University which, despite sharing some important characteristics as urban research-led universities established in the anglophone South African tradition, vary in size, context of operation, and approaches towards creating an enabling environment for CURPs. The case studies discuss the institutional conceptualization of community engagement and related notions such as ‘social responsiveness’ and ‘engaged scholarship’ as they apply, as well as related policies and structures established at each university respectively and how they support CURPs. This includes illustrations of the different types of community-university partnerships. The case of a specific research partnership is then described and analyzed in-depth with reference to each university. The case studies consist of purposefully conducted interviews with persons immediately involved in the partnership, including academic staff and postgraduate students, university-based community engagement staff, and NGO and community-based partners, as well as primary and secondary documents related to the partnerships. The chapter concludes with a summary highlighting the main findings and a comparison of the two institutional approaches and their respective partnerships insofar as they provide new learning for ways to strengthen community-university research partnerships in the global South.

## **South African National Policy and Community Engagement**

The notion that higher education should serve the public good is widely recognised in higher education internationally as well as in South Africa at the national policy level and in the policies and practices of public universities. In the wake of the transition to democracy, South African post-apartheid policy committed higher education to a process of transformation in the spirit of an open and democratic society based on human dignity, equality and freedom (DOE, 1997). ‘Development’ became one of the key principles to guide higher education “to contribute to the common good of society...” in the process of democratic transformation (DOE, 1997, Section 1.20). This was elaborated *inter alia* “to promote and develop social responsibility and awareness among students of the role of HE in the social and economic development through community service programmes” (DOE, 1997, Section 1.27) and the institutional goal “to demonstrate social responsibility of institutions and their commitment to the common good by making available expertise and infrastructure for community service programmes” (DOE, 1997, Section 1.28).

The erstwhile policy-based conceptualization of social responsibility as ‘community service programmes’ masked a wider range of notions related to social responsibility familiar in the South African context, including civic and commu-



nity engagement, community service and outreach, and volunteering. It also could not account for a wider range of practices by which universities engage with communities. Moreover, the ensuing transformation programme focused on equity of access and quality as well as a process of fundamental restructuring of the higher education landscape by means of a process of rationalising academic program provision and institutional mergers (CHE, 2004). Hence Favish et al. (in press) would argue that:

...despite the South African government's articulated desire to see higher education institutions play a more active role in addressing development needs of the country, there has been a policy vacuum with respect to strategies for enhancing the developmental role of universities. (Favish et al., in press, p. 1)

National higher education policy in relation to higher education and social responsibility or community engagement was largely a matter of symbolic policy (Jansen, 2001). It signalled a new discourse to key political constituencies without putting in place national policy instruments for steering the sector. This policy environment only changed after the Higher Education Quality Committee (HEQC) was set up in 2001 and the first phase of post-apartheid higher education restructuring drew to a close.

In the process of moving from political symbolism to state steering, the South African Council on Higher Education (CHE) played a key role. The CHE started operations in 1999, to monitor and evaluate the higher education system, provide advice to the Minister, and assure the quality of higher education. The HEQC became the key driver of an extended process of conceptualizing and promoting community engagement and was committed to establishing a transformative and developmental national system of quality assurance in which "knowledge-based community service" would be relevant in programme accreditation and institutional audits. According to the HEQC's first Executive Director, Prof. Mala Singh,

The reasons for the HEQC focus on community engagement in higher education had to do with issues of academic reconstruction, and wanting to bring the three core functions much more explicitly into the restructuring framework...In addition...there was already in the HEQC a clear awareness that...community engagement was a potentially powerful way of giving content to the transformation agenda in higher education, through new partnerships and relationships between higher education and its multiple communities. (Singh, 2006, p. 17-18)

In addition to applying quality assurance criteria to community engagement, the HEQC formed a partnership with a local education NGO to expand the thinking about the nature and practice of community engagement in South Africa in a series of workshops, conferences and publications. An authoritative

analysis of audit reports reveals “a remarkable degree of homogeneity in recommendations [for improvement], and very few commendations” in relation to institutions’ conceptions, policies and practices of community engagement (Favish et al., in press, p. 11).

A second key national policy actor in community engagement policy and strengthening community-university partnerships was the Department of Science and Technology (DST) and its research funding agency, the National Research Foundation (NRF) (see [www.nrf.ac.za](http://www.nrf.ac.za)). The NRF was established in 1998 by the DST to support research in higher education. The NRF’s objectives for promoting and supporting research and facilitating the creation of new knowledge, while not explicitly supporting community engagement, would support CBR projects by providing funding to emerging and established researchers and scholarships for research students working on community engagement. For example, the NRF established South African Research Chairs (SARChI) dealing with matters of social responsibility in higher education, such as the SA Research Chair in Higher Education and Human Development at the University of the Free State which explicitly interrogates the role of education in advancing human development (University of the Free State..., 2014).

The South African Higher Education Community Engagement Forum (SAHECEF) was established in 2009 as a national forum representative of all South African higher education institutions with the objectives to advocate, promote, support, monitor, and strengthen community engagement at South African higher education institutions; further community engagement of higher education in partnership with other stakeholders; and foster an understanding of community engagement as integral to the core business of higher education. The forum serves as an important platform for community engagement debates and discussion among CE professionals, and for sharing best practices in SA community engagement (SAHECEF, 2014; UWC, 2014).

After lobbying by SAHECEF, the NRF launched a community engagement funding programme in 2010 with a funding allocation of over R30 million. The analysis of the first two cycles of disbursement shows that about sixty percent of the CE funds were allocated to the running costs of community engagement programmes and most of the remaining forty percent as scholarships to research students and staff (Favish et al., in press; NRF, 2014). At the same time, the DST created its own Community University Partnerships Programme (CUPP), involving four rural universities. According to Kaniki and Steele CUPP was designed precisely “as a corollary to the NRF Community Engagement Programme...to facilitate community-based assessments that will promote partnerships between Higher Education Institutions (HEIs) and communities, as an effective vehicle for solving problems and facilitating development” (2012, p. 13). In addition, the Minister of Science and Technology established a Ministerial Review Committee on the National System of Innovation which highlighted the need for the NRF

and the entire national system of innovation, to develop strategies for the advancement of social innovation, including a social innovation fund (Nongxa Committee, 2012). These concerted initiatives by the DST and NRF were accompanied by commissioning research into community engagement in South Africa, resulting in the HSRC-NRF collaborative study “Investigating the Contribution of University-Community-based Interaction to building a National System of Innovation” published in 2012.

A third policy actor was the national Department of Higher Education and Training (DHET) which has shown increased resolve since 2009 to follow up on the 1997 White Paper commitments to include social responsibility and community engagement in its policy instruments. With regard to funding, the 2013 Report of the Ministerial Committee for the Review of the Funding of Universities dedicated an entire section to community engagement. On the one hand, it acknowledges that “the debates on community engagement in South African higher education—its conceptualization, practice, and funding—remain unresolved” (Ramaphosa Committee, 2013, p. 262). On the other hand, it also considers that among the diversity of conceptualizations and practices there are common elements in the criteria in HEQC institutional audits, the development of academic staff performance indicators in several universities, and the fact that many institutions have structures to promote, support and monitor community engagement (van Schalkwyk, 2011, in Ramaphosa Committee, 2013, p. 264; see also Kaniki & Steele, 2012). However, in its recommendations to the DHET the Committee noted with reference to submissions it received from universities that:

...(t)he tendency was to locate community engagement in what higher education scholars would describe as the ‘extended periphery’ as opposed to the ‘academic core’ (Clark, 1998). The extended periphery refers to “all those activities that are situated outside the academic core of universities, and that are usually associated with their third mission”. (Ramaphosa Committee 2013, p. 264)

Hence, in terms of the funding of community engagement, the Committee came to the conclusion that “only those community engagement activities that are an integral and structured part of the research and teaching functions of universities should be funded” (Ramaphosa Committee 2013, p. 265). Therefore no new item for community engagement would be introduced in the higher education funding formula over and above the regular subsidies for teaching inputs and outputs as well as subsidies disbursed for accredited research outputs (such as peer-reviewed scholarly publications). Moreover, no special allocation was recommended for block grant funding of community engagement. The committee’s recommendations eventually informed the DHET’s 2013 White Paper. On the one hand, it recognises that “community engagement, in its various forms—socially responsive research, partnerships with civil society organizations, formal learning programmes that engage students in community work as a formal part of their

academic programmes, and many other formal and informal aspects of academic work—has become a part of the work of universities in South Africa” (DHET, 2013, Section 4.8). The White Paper maintains that “it is likely that future funding of such initiatives in universities will be restricted to programmes linked directly to the academic programme of universities, and form part of the teaching and research function of these institutions.” (DHET, 2013, Section 4.8). Thus, costs associated with community engagement per se including costs related to building CURPs are likely to remain unfunded.

The DHET did, however, introduce minor changes relevant to community-university partnerships in a planning instrument. New regulations for the annual institutional reporting to the Ministry published in June 2014 include the explicit requirement for university councils to report on “how a public higher education institution has both positively and negatively impacted on the economic life of the community in which it operated”, including the “inclusivity of stakeholders; innovation, fairness, and collaboration; [and] social transformation” (DHET, 2014, p. 26). In addition, included in the reporting of university management is a provision to report on “relationships with the community, both academic and service” (DHET 2014, p. 28). Whether the reporting will eventually lead to the development of indicators that can inform funding decisions remains to be seen; overall they represent minor additions to rather onerous new reporting requirements.

This section shows that after a period of largely symbolic policy, the policy discourse shifted due to efforts by the HEQC and other university and NGO-based actors to develop a national consensus on what constitutes community engagement. As this process drew to a somewhat inconclusive end towards 2009, the debate and scholarship which it generated invigorated the actual practice of community engagement, with a diversity of conceptualizations grounded in institutional practice and local and international scholarly work. Policy instruments beyond quality assurance were developed with respect to funding and monitoring CE in the current period. Moreover, as Favish et al. (in press, p. 24-25) highlight, while there is no explicit national agreement, there is an emerging consensus among universities in South Africa on “common elements which institutions believe should characterise the field of community engagement.” These are that:

- community engagement involves universities and multiple social partners, excluding academic constituencies;
- the interactions between universities and social partners should be characterised by reciprocity and mutual benefit;
- community engagement is a key mechanism for building civic consciousness amongst students and their commitment and capacity for critical citizenship;
- engagement can take multiple forms (including research oriented forms such as participatory action research and community-based research);

teaching oriented forms (including service learning, clinical service, continuing education courses, and the collaborative production of popular educational materials) at multiple levels - local, regional, national, sectorial, etc.; and

- activities should have an intentional public purpose and form part of the broader notion of the social responsiveness of universities. (Favish et al, in press, p. 25)

Against the developments of national policy with regard to the funding of CE in particular, it can be understood why research partnerships between communities and universities carry a high level of currency in the South African public higher education context: they are an expression of higher education's commitment to social responsibility and contributing to social development. In addition, there is some potential for attracting national research and third-stream funding, on which public universities increasingly depend for their financial sustainability.

### **Strengthening community-university research partnerships: the case of the University of Cape Town**

The University of Cape Town (UCT) is South Africa's oldest and internationally highest ranking research university (see [www.uct.ac.za](http://www.uct.ac.za)). Of 26,000 students enrolled, about one-third are postgraduate students and about one in five international students. The University is home over 30 NRF A-rated researchers and over 400 with B, C, and other NRF research ratings.

In 2010, the South African Human Sciences Research Council (HSRC) conducted a survey of community engagement among five South African public universities "to map the scale and forms of interaction of South African universities with external partners" (Kruss 2010, p. 21). We found that UCT's approach to interacting with external social partners included distinctive features such as a clearly articulated and senate endorsed guiding policy and conceptual framework. Unlike other public institutions influenced by the HEQC's conception of community engagement, UCT's notion of 'social responsiveness' included an intentional connection of teaching, learning and research to the public good by means of partnerships with external, non-academic partners, such as local communities, community-based organizations and NGOs, as well as firms, government, and development agencies. Furthermore, the university's approach to enabling knowledge connectivity partnerships was one of advocating, brokering and show-casing, as well as providing a system of recognition and rewards for researchers and students. Finally, unlike other institutions, UCT's reporting on social responsiveness tended to focus on research; only after 2009 did teaching and learning receive the same attention (Kruss, 2010, p. 21-22).

The University's Social Responsiveness (SR) Policy Framework as revised in 2012 outlines the scope, forms and practices, and institutional structures and

incentives established to “provide an enabling institutional environment for SR” (UCT Senate, 2012, p. 1). It locates executive accountability for social responsibility in the office of a Deputy Vice-Chancellor but also asks faculty deans to oversee SR in their faculties by assessing staff performance in this category and reporting annually on SR activities. It similarly tasks all heads of academic departments and directors of support services “to ensure that an enabling environment is created for promoting social responsiveness in their areas of competence” (UCT Senate, 2012, p. 2). The Senate’s Social Responsiveness Committee, which is chaired by the DVC and includes Senate and faculty representatives, representatives from key support departments, and students (but no external members), is responsible for promoting and strengthening SR at UCT.

The University’s SR conceptual framework, while acknowledging all forms of engagement with external constituencies, explicitly promotes engaged scholarship as

...the utilization of an academic’s scholarly and/or professional expertise, with an intentional public purpose or benefit (which) demonstrates engagement with external (non-academic) constituencies. It can help to generate new knowledge, promote knowledge integration, the application of knowledge, or the dissemination of knowledge. (UCT Senate, 2012, p. 2)

UCT’s conceptualization of social responsiveness and engaged scholarship are underpinned by reflexive contemplation on practice and theoretical engagement championed by academics and staff in the Department of Institutional Planning (compare Cooper, 2010, p. 26-37; Favish et al., 2012; Lorenzo & Joubert, 2011; McMillan, Goodman & Winkler, 2013).

In practice, the approach of the university to support engaged scholarship is decentralized in keeping with its overall governance and management approach. Nonetheless, an enabling environment has been created institution wide through several means, such as: the establishment of a “Distinguished Social Responsiveness Award” by the Vice-Chancellor; inclusion of SR staff promotion categories; staff development workshops in social responsiveness; seed funding to support new initiatives through the Vice-Chancellor’s Strategic Fund and a partnership between the Western Cape Provincial Government, the City of Cape Town, and four public universities in the Western Cape under the auspices of the Cape Higher Education Consortium (CHEC); and the Social Responsiveness Unit and the Knowledge Co-op established in the Directorate of Institutional Planning (UCT Senate, 2012; S. Ngcelwane, personal communication, October 27, 2014). Moreover, in response to a commitment in the UCT Strategic Plan 2010-2014 to “expanding and enhancing the university’s contribution to South Africa’s development challenges,” the University Council allocated an annual R20 million over five years to four strategic themes. They are championed by four vice-chancellors specifically appointed to provide academic leadership and coordinate partnerships in

areas of safety and violence, public schooling, African climate and development, and poverty and inequality (Favish et al., 2013, p. 46-49).

Other institution-wide structures supporting CURPs are the SR Unit and the Knowledge Co-Op established in the Department of Institutional Planning. The SR Unit promotes SR through its annual social responsiveness report, and the organization of an annual SR colloquium. The SR Unit also facilitates the Western Cape-CHEC partnership, which includes collaborative research around social inclusion, digital innovation, climate adaptation and mitigation. (UCT Senate, 2012; S. Ngcelwane, personal communication, October 27, 2014)

Apart from the initiative of individual academics and research groupings, the UCT Knowledge Co-Op established in 2010 is a “gateway for external constituencies to access the knowledge, skills, resources and professional expertise within the University” (UCT Knowledge Co-op, 2014). Moreover, it “builds capacity of community-based organizations through research and skills development” (Favish et al., 2013, p. 34). The Knowledge Co-Op office receives requests from community groups and NGOs, local government, small and medium enterprises, and trade unions. It explores the fit between the requests and disciplinary/professional expertise at the university, and then arranges for matching partners to enter into a Memorandum of Understanding (MOU). To date community groups have submitted 220 collaboration requests. This brokering role for new community-university partnerships, as well as the partnerships themselves, is typically of no cost to the external part-

*Prof Theresa Lorenzo, Disability Studies, School of Health and Rehabilitation Sciences, UCT*

Debates and negotiations between academics at UCT and South Africa’s Disability Rights Movement led to the launch of the first postgraduate programme in Disability Studies offered in Africa and an ongoing mutually beneficial partnership between Theresa Lorenzo of UCT and disability rights activists. Over the years, the programme has provided a platform to forge a research community made up of academics, activists, policy makers and practitioners (UCT, 2013, p. 25; 2007, p. 15-19).

Recently, Lorenzo was among the partners collaborating in a country-wide multi-site study that “explor[ed] how disabled youth from vulnerable communities in South Africa are able to sustain their livelihoods given the high levels of poverty”. It involved academics from six universities, community-based workers, NGO representatives and research students (Lorenzo & Joubert, 2011, p. 254). By purposefully reflecting on the research process of the main study, Lorenzo and Joubert (2011) developed a set of principles for reciprocal capacity building and collaborative relationships involved in country-wide collaborative relationships with multiple organizations.

ners. An external grant has given the Knowledge Co-op the means to provide bursaries to a few Master's students to collaborate for their dissertation research. The Knowledge Co-Op is an expression of UCT's commitment to linking the academic community to communities at the grassroots level (S. Ngcelwane, personal communication, October 27, 2014).

Individual initiative as well as the policies and structures established by the institution have resulted in a wide range of CURPs across all faculties at UCT. They include partnerships with the City of Cape Town; the Percy FitzPatrick Institute of African Ornithology providing postgraduate research capacity to conservation bodies; the Development Policy Research Unit facilitating and producing research as part of the Employment Promotion Programme; the Centre for Law and Society in partnerships with rural community-based organizations and NGOs; and the Programme in Disability Studies which involves a long-standing relationship between UCT academics and disabled and non-disabled activists, policy makers and practitioners (UCT, 2013; 2010; 2007). The following section discusses one successful CURP between UCT, national NGOs based in the KwaZulu-Natal and Limpopo provinces, community-based organizations, and local farming communities.

### **The “Seed and Knowledge Initiative (SKI)”: Biowatch SA and UCT’s Department of Environmental Geographical Science**

The “Seed and Knowledge” partnership between the University of Cape Town’s Bio-economy SARChI Chair (see [bio-economy.org.za](http://bio-economy.org.za)), the national environmental NGO Biowatch South Africa (SA) (see [www.biowatch.org.za](http://www.biowatch.org.za)) and the Mupo Foundation, is a recent one, even though Biowatch SA was established in 1997 as a small public interest NGO working in the field of biodiversity, food sovereignty and security, and striving for social and ecological justice through research, advocacy work and the development of training materials (Wynberg & Fig, 2013, p. 13). In its early years of establishment, Biowatch SA became tied up in a lengthy court battle with the National Department of Agriculture (NDA) and the multinational agro-biotech company, Monsanto (Wynberg & Fig, 2013, p. 28). The landmark case eventually ended in victory and research again became a significant part of the work of Biowatch, but the NGO needed to build research capacity.

In a collaboration with UCT from 2011, Biowatch became a partner in research into farmers’ rights in South Africa (Wynberg, van Niekerk, William & Mkhali, 2012), which provided the prelude to the Seed and Knowledge Initiative (SKI) between Biowatch SA, UCT, the Mupo Foundation, various funders, and small-holder farming communities. A pilot project started in 2013 involving three communities in KwaZulu-Natal, some of whom Biowatch SA had been working with for over five years (R. Wynberg, personal communication, October 20, 2014).



Rachel Wynberg, a founder of Biowatch SA, joined UCT in the mid-2000s and continued her involvement with the NGO. Wynberg holds the South African Research Chair on Social and Environmental Dimensions of the Bio-economy at the University of Cape Town (funded by the NRF/DST) and is a crucial partner in providing capacity for CBR in partnership with Biowatch. Generally, the university's commitment to engaged scholarship provides a relevant conceptual and policy framework. UCT is experienced by Wynberg as "very supportive" because her community engagement work is recognised along with other forms of engaged research approaches. The work of the Environmental Evaluation Unit was recognised with the UCT Social Responsiveness Award of 2012 for the various ways the unit worked with marginalised communities, which signals support for the approaches taken, a financial grant and publicity. Wynberg's work is also evaluated as one of four categories relevant for promotion.

One of the concerns that engaged scholars like Wynberg have with UCT is that in keeping with national criteria for research subsidy, only conventional scholarly outputs, such as peer reviewed articles and books, are included in the university's research reports. Policy briefs, community briefs and other popular publications do not receive such recognition even though their social impact may be much greater (R. Wynberg, personal communication, October 20, 2014). Another constraint the SKI partnership with Biowatch SA faces in relation to the university's framework is the top-slicing of external funding to recover administrative costs and the use of university facilities, typically up to 20% but potentially as high as 40% in cases where rights to intellectual property have to be shared between UCT and an external partner (R. Wynberg, personal communication, October 20, 2014).

Other institutional structures established to support SR at UCT, such as the Knowledge Co-Op and the SR Unit mentioned above, are of little consequence for the UCT-Biowatch SA partnership. This is not to say that their work is not appreciated. For instance, the SR Unit's publications provide an important form of recognition to SR work, which in turn give evidence to other social partners, the public in general, and to external funders and the NRF (R. Wynberg, personal communication, October 20, 2014). However, the relationship with the NGO has matured to a point where no brokerage or facilitation is required from the side of institutional structures.

Possibly the most crucial university-based support for the research partnership with Biowatch SA related to Wynberg's institutional location is that graduate students can get involved in the projects. National funding channelled through the university is a key enabler for mobilizing research capacity for the partnership. The SARChI Chair includes funds for scholarships, fieldwork, and post-doctoral research (R. Wynberg, personal communication, October 20, 2014).

All research projects related to the Biowatch partnership, including post-graduate students' research proposals, are considered at the SKI Project Steering Committee level in terms of their topical fit, research questions, as well as the methodology and implication of involving community members. The research may be theoretical or practical in nature but it must be community needs driven and follow ethical research procedure which includes confidentiality, ensuring community feedback, and highlighting the voices of community partners. Not all research is necessarily participatory action research; rather the research methodologies will vary in keeping with the research questions, the disciplinary backgrounds, expertise and preferences of the researchers, as well as the committee's experience of what is appropriate in a particular community setting. Finally, a protocol or agreement has to be put in place with the community. Student and staff researchers meet with Biowatch SA and are introduced to community members by Biowatch staff. In this process Biowatch acts as a broker in initiating the relationship with the local community, facilitating introductions to the community and assisting in drawing up jointly the rules of the research encounter. Thus, if a conflict situation arises, Biowatch can step in to act as mediator. A final principle is that there must be feedback to community on the findings and implications of the research (R. Wynberg, personal communication, October 20, 2014; R. Williams, personal communication, October 31, 2014).

While postgraduate student research represents one of the major ways in which UCT lends research capacity to Biowatch SA for addressing community needs, community-based research is conducted at many levels and in various modalities. University and NGO staff also support communities to conduct their own agricultural research using tools such as "eco-mapping, calendars and community research" (Seeds and Knowledge, 2014, p. 3). Innovative approaches to knowledge production and knowledge sharing include facilitating seed festivals, farmer exchanges and training "to revive and enhance traditional seed and agricultural knowledge systems" and thus "to build a community of practice around seeds and knowledge in the region" (Seeds and Knowledge 2014, p. 30).

One of the striking features of this partnership is the large geographical distances between UCT Biowatch and the farming communities in rural KwaZulu-Natal. According to Lawrence Mkhaliphi, Biowatch's Agro-Ecology Manager, this is not an issue. As Rose Williams related his experience:

Community members felt empowered because they had something to tell the University; it [was] empowering and motivating. [Community members felt that] even if UCT is far away, it is still in contact with the community and values the importance of their community work. (personal communication, October 31, 2014)

The approach of UCT to enabling CURPs and "Seed and Knowledge" can be compared with Rhodes University and the case of its Maternal and Infant Health Initiative in the Faculty of Pharmacy.

## Strengthening community-university research partnerships: the case of Rhodes University

Rhodes University (RU) is a medium-size public research-led university located in Grahamstown, a small town in the mostly rural Eastern Cape province of South Africa. Its roots go back to 1904, which makes it one of the first English, liberal universities in South Africa. It has more than 7,000 students, of which 26% are postgraduate students and 20% are international students (Rhodes University, 2014). For Grahamstown and its rural surroundings, RU is very important. The university is the largest employer and contributes to an air of cosmopolitanism. Grahamstown serves as an educational centre and knowledge hub for this part of the Eastern Cape. At the same time, the Eastern Cape is the second poorest province of South Africa with huge socio-economic developmental challenges, which the university seeks to address as part of its vision to be “recognised and respected nationally and internationally as a leader in community engagement; and for its commitment to social and individual transformation, sustainable community development, student civic responsibility and scholarship of engagement” (RUCE, 2012, p. 10).

The university’s current policy of community engagement was adopted by the Senate in 2010. Senate has established a Community Engagement Management Committee, chaired by the Deputy Vice-Chancellor (DVC) of Academic, Students and Community Engagement and includes broad representation from faculty, students and staff, the Director of Community Engagement as well as external CE partners and NGOs.

The Rhodes University Community Engagement Directorate (RUCE) was established as a separate entity to directly report to the DVC in 2009. Its role is to support community engagement as a core responsibility of the university (RUCE

*Alex Sutherland, Senior Lecturer, Applied Theatre, Drama Studies, RU*

Sutherland is a recipient to the 2013 VC Distinguished Community Engagement Award of Rhodes University. As part of her community engaged research focus, Sutherland works among others with men in the Maximum Security Unit of the Psychiatric Hospital and the Medium Correctional Facility in Grahamstown. The partnership with the hospital called the Performing Change Project, is part of the hospital’s rehabilitative programme and has many benefits for the men in the facility (Dugmore 2013, p. 11-22).

For Sutherland, in turn, who specialises in applied drama and drama education, the partnership provides an opportunity to integrate her applied teaching and research focus, which includes “the social and aesthetic meanings of performance for adults in criminal justice contexts” with community engagement in a mutually beneficial way (Sutherland 2013, p. 131).

2012, p. 13). Among its aims is to “contribute to the sustainable development of Grahamstown communities”; “contribute to the development of the Eastern Cape Province through partnerships with provincial government departments, NGOs and other institutions of higher learning in the Province”; and “create and sustain partnerships between the university and its community partners” (RUCE, 2012, p. 14). The focus of CE activity is therefore decidedly local, seeking to contribute to social development in the communities surrounding the University.

Given its broad range of responsibilities—which include encouraging and supporting a scholarship of engagement along with service learning, outreach programmes, volunteerism, student leadership development, and various kinds of partnerships between the university and external partners, community engagement at Rhodes is defined by principles that apply across all types of CE programmes and projects, including CURPs. Accordingly, such engagement must be “planned, focused, reciprocal and mutually beneficial” (RUCE, 2012, p. 20; D. Hornby, personal communication, October 24, 2014). RUCE does not only broker relations between the academic community and external partners but also develops and implements programmes of its own, monitors and reviews all CE related activity and reports on them to the Senate committee.

CE at Rhodes is incentivized in various ways. In 2008, the merit-based “Vice-Chancellor’s Distinguished Community Engagement Award” was established, which includes R 40,000. The three runners-up for the award are recognised with an “Excellence Award in Community Engagement”, which also has a funding component. Community partners, student organizations and student researchers are honoured annually at the Community Engagement Gala Dinner, where the CE awards for the year are announced in various categories, including “Community Partner of the Year”; “Volunteer of the Year”, and “Engaged [Student] Researcher of the Year”. In all cases, the criteria relate to excellence in community engagement (RUCE, 2014). For academic staff, community engagement has become one of the five criteria assessed in the promotion process (along with teaching, research, professional involvement, and leadership/management involvement). The Director of CE and Head of RUCE, Di Hornby, introduces academics to potentially matching partners. Her experience in this respect has been very positive: “The lucky thing is that there is no academic who has got started with community engagement who has stopped...It has added value to their academic programme and they think it’s worthwhile” (D. Hornby, personal communication, October 24, 2014). In addition, RUCE also assists start-up initiatives in applying to the university’s Sandisa Imbewu (Growing the Seed) Fund for seed funding.

Moreover, Rhodes has established various ways of showcasing community engagement. They include major events on the university’s annual calendar like the Community Engagement Week. It is a week filled with debates and dialogues for academics, students, and community partners to sample their work, and refresh their thinking and networks. Other events of that sort are the annual

Science Festival, and the University's weeklong Mandela Day celebrations. Finally, in collaboration with the RU's Communication Department, CE is featured in a number of university publications, including the University's Engaged Research report (Dugmore, 2013). Engaged research at Rhodes covers a wide range of disciplines, including drama education with street youth and men in correctional facilities, environmental science, computer science, journalism and media studies, and water research (Dugmore, 2013). The example of a successful CURP in pharmacy studies as a public health initiative in two rural communities surrounding Grahamstown is analysed in detail below.

### **Maternal and Infant Health Initiative: Ubunye Foundation, RUCE and the Rhodes Faculty of Pharmacy**

The collaborative partnership between Prof Sunitha Srinivas of the Faculty of Pharmacy of Rhodes University, the University's Community Engagement Office (RUCE), and Ubunye, a non-profit community development organization located in Grahamstown (see [www.ubunyefoundation.co.za](http://www.ubunyefoundation.co.za)), along with participants from the rural communities of Glenmore and Ndwayana at the outskirts of Grahamstown, was originally conceived as a "community-engagement-based health promotion intervention". The initiative focuses on the Millennium Development Goals which address infant and child mortality and maternal health (Srinivas et al., unpub.). The partnership illustrates the key role a well-networked CE office can play in facilitating community-university research partnerships.

The rural community of Glenmore is an apartheid resettlement of a forcibly removed Xhosa community, while Ndwayana is an organically settled rural Xhosa community. They face similar challenges in maternal and infant health. RU Master's students were introduced by Ubunye to community health workers and conducted a series of focus group discussions with key stakeholders in the community. The public health concerns identified were the promotion of exclusive breastfeeding as an intervention in infant mortality, and maternal health in teenage pregnancies (K. Court, personal communication, October 23, 2014).

Ubunye started its work in the villages in 2006, taking an asset-based approach to community development. It encouraged community members to start savings and credit self-help groups which over time developed strong bonds of trust in the communities. As the relationship with Ubunye grew, early childhood development, public health, and food security became part of the work (Lucy O'Keeffe, personal communication, October 23, 2014; Diana Hornby, personal communication, October 24, 2014). Ubunye's approach to local development has helped community members to confidently interact with local, provincial and national government offices. They have adopted the asset-based approach to the extent that when asked what would happen if Ubunye was to disappear tomorrow, MaNomhlobo, a nurse in the local clinic of Ndwayana and Ubunye answered: "We would sit down and talk; maybe we must start our own Ubunye" (N. Gidane, personal communication, October 23, 2014).

Prof. Srinivas was introduced to Ubunye through RUCE. She is a health care professional who uses transdisciplinary approaches in her student-centred teaching and community-centred research (S. Srinivas, personal communication, October 23, 2014). Her work challenges the traditional notion of pharmacy as a profession focused on dispensing medicine based on a biomedical model. Using a public health approach, health promotion and disease prevention based on social determinants of health has been part of her holistic view of the profession (S. Srinivas, October 23, 2014). Srinivas works with groups in the Grahamstown community as part of her engaged academic work, including patients with chronic conditions, school learners, and traditional health practitioners, integrating health promotion in her teaching and research (Srinivas & Hornby, 2011). Srinivas and a colleague were awarded the “Vice-Chancellor’s Distinguished Community Engagement Award” in 2008 (RUCE, 2014). Srinivas is deeply involved in various activities related to CE at Rhodes. Most recently, the Pharmacy Students Association was one of the 2014 finalists in the university’s “Student Society of the Year Award” which recognizes excellence in CE. It was her initiative to develop a community-based response to the maternal and child mortality pandemic, which led to a meeting with the Director of Community Engagement of Rhodes University (D. Hornby, personal communication, October 24, 2014).

RUCE is the fourth crucial partner in the CBR partnership between Ubunye and RU. Di Hornby, its director, acts as a networker and broker in this partnership and as co-supervisor of the Master’s students involved. Before she joined RUCE in 2010, Hornby was an educator and community development activist and in 2006 helped define the Ubunye Foundation’s assets-based approach to holistic community development as its first Director. Her approach to resourcing CE initiatives at RU is deliberately cautious, suggesting that “a needs-based model alone is not enough; communities have capabilities and the assets-based approach is about valuing that” (D. Hornby, personal communication, October 24, 2014).

The partnership is informed by this philosophy. External funding extends little beyond providing scholarships for the research students involved and for producing a first run of the information materials that are jointly developed. Funding has been received from the Rhodes University’s Sandisa Imbewu fund. More energy has gone into identifying with the communities the resources and strengths they can bring to the partnership and establishing relationships of trust. Limited funding in this partnership is a consciously preferred approach, yet Srinivas also noted that as an international scholar with international students on the project, funding is difficult to raise in South Africa (S. Srinivas, personal communication, October 23, 2014). The Masters’ students involved in the research would not have been able to do postgraduate studies without the scholarships attached to the partnership (S.M. Katsinde & N. Chemuru, personal communication, October 23, 2014).

In the relationship between the four partners, the research aspect is facilitated through the NGO, Ubunye, whose role includes: introducing the project and the research students to the community; facilitating the relationship with the community health care workers; helping to set up community meetings and focus groups; stepping in when a problem arises, and eventually leading the project to sustainability. Thus, when the second cohort of students was initially introduced to the community in 2014, there were questions by community leaders about the purpose of their presence. Ubunye's Family Health Programme Coordinator and the community-based health champions sat down with all parties and listened to their questions and concerns. Yet the health information booklets that had been produced by the first two students, which are now widely used by the health champions and nurses at the local clinics, spoke for themselves. After it was explained that the production of training and facilitation manuals will further the project, which is the second cohorts' work, community members embraced the two students. According to one student on the project, being outsiders to the community and foreigners (Zimbabweans), "we would never have been able to talk to [the community members] was it not for Ubunye" (S.M. Katsinde, personal communication, October 23, 2014). Similarly, Srinivas argues:

For me, the role of the NGO is a non-negotiable one. The reason is we are Rhodes University; we are foreigners in every aspect. And there are no connecting points with the community that is embedded in a deeply rural place. [...] So we are banking on the trust factor that the NGO brings into this. [...] The other key factor that the NGO brings into this is sustainability. [...] Sustainability cannot be ensured if it is just an academic and a bunch of students. (S. Srinivas, personal communication, October 23, 2014)

Considering that the main researchers and actors from the side of the University are Master's students who will eventually complete their degrees and move on, the NGO who has facilitated the research encounter also ensures that the health information materials that have been developed through their research will continue to be in use in the public health programmes in the communities and the clinics in which they work (S. Srinivas, personal communication, October 23, 2014). Along with various intangible benefits of the research encounter, as well as the academic outputs, there are lasting benefits to the community. According to Ubunye, they include the community dialogues and focus groups which formed part of the research, manuals on teenage pregnancy and exclusive breastfeeding, and training manuals for health workers. The booklets are already highly sought after in clinics in other communities, and they will be translated from English into isiXhosa and Afrikaans to make them more accessible. Ubunye hopes that Rhodes University will be able to bring more research students to develop resource materials on similar topics. It also hopes that with Rhodes will become involved in developing a community-based methodology for the evaluation of the NGO's work and participate in the evaluation itself (K. Court & L. O'Keeffe, October 23, 2014).

## Discussion

The two case studies of community-university research partnerships analysed in this chapter suggest that research collaborations between academics and local communities rely on community-based intermediaries and an enabling environment in the university to be successful. Community-based organizations bring the necessary social capital, particularly trust, while university-based partners contribute intellectual capital in the form of research capacity and, perhaps, prestige. Conversely, there is a more ambiguous relationship between community-based resources and external funding for partnerships; the two case studies offer therefore very different approaches to the mobilization of external funds. Moreover, community-based organizations bring to a partnership the potential of greater continuity and sustainability as university-based partners are bound to operate by the logics and calendar of the academic life cycle as against those primarily determined by the context and locality of community members.

Against the evolving national policy framework for social responsibility and community engagement, South African universities have developed largely autonomously, but in conversation with each other and with an eye to national funding opportunities, approaches to creating an enabling environment for, and strengthening existing CURPs. Both the University of Cape Town and Rhodes University's approaches share many features in terms of the structures that have been set up to broker, seed fund, monitor and showcase research partnerships, and give recognition to the academics involved. UCT's approach is more devolved and responsibilities are shared by a number of units. In contrast, Rhodes has established an institution-wide CE hub in the form of RUCES, its Directorate for Community Engagement, which combines a similar range of responsibilities in one central office. There are also differences in the geographical scope of partnerships. Rhodes University's CE policy explicitly prefers to focus on communities in the more immediate environment of the university whereas UCT's policies express no such preference.

Accordingly, external support for the partnerships has a different status. The two partnerships also require a different scope of networking. For the purpose of the partnership profiled at Rhodes, Ubunye's network does not need to extend far beyond the local communities and their governance structures, clinics, and the self-help organizations and local health champions. Conversely, the Biowatch partnership draws on an international network of civil society partners like the African Biodiversity Network in Kenya ([www.africanbiodiversity.org](http://www.africanbiodiversity.org)), local partner organizations in Zambia and Zimbabwe, and the Mupo Foundation in the Limpopo province. It is funded by several world-wide development funders, and can draw on substantial national funding through the NRF rating and Research Chair held by the university-based partner. The Ubunye-Rhodes partnership, in contrast, is able to operate at a fraction of those funds, most deriving internally from the university-based Sandisa Imbewu Fund. Yet both are examples of suc-



successful community-university research partnerships in South Africa, and offer different models for thinking about how to strengthen such partnerships in the Global South.

## Conclusion

The African idiom ‘one bangle cannot jingle’ reminds us that it takes more than one to affect change. In their reflections on collaborative disability research, Lorenzo and Joubert (2011, p. 256) argue that the idiom “seemed to symbolize the intention of the process we were engaging at the time.” This chapter has analyzed and highlighted conditions that facilitate the ‘jingle’ in successful community-university research partnerships at two South African universities against the background of the evolving national policy on community engagement and social responsibility. The “Seed and Knowledge” partnership and the “Maternal and Infant Health Initiative” provide diverse and rich material for considering different models and ways of strengthening CURPs.

## Acknowledgements

This research was conducted under the auspices of the Department of Institutional Planning at the University of Cape Town, in response to the call for participating in the research on Strengthening Community-University Research Partnerships by the UNESCO Chair in Community Based Research and Social Responsibility in Higher Education. Financial support was received for the study from the UNESCO Chair, as well as from the Rhodes University Community Engagement Directorate. We are grateful to all interviewees who readily shared their time, experiences and expertise, and provided us with valuable comments on a draft of this chapter. SDG.

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# UGANDA

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## **Strengthening Community-University Research Partnerships within the Context of Community-University Engagement: The Case of Two Ugandan Universities and One NGO**

George Ladaah Openjuru, Gulu University

This chapter presents a case study from Uganda of community based research (CBR) and community-university research partnerships (CURP) within the context of community-university engagement (CUE). The case study is comprised of two universities: one rural or upcountry based in Gulu and one urban, based in Kampala. These are Gulu and Makerere University respectively. The study also involves one non governmental organization (NGO), the Uganda Adult Education Network (UGAADEN). This chapter starts with a presentation of the national policy framework for CBR/CURP within the context of CUE in Uganda and moves on to present the case study of the selected universities (Government of Uganda, 2001) and UGAADEN as a community based organization. In this chapter, it is understood that CURP can only be undertaken through a structure set up to promote CUE.

### **National Policy**

In Uganda, higher education national policy is guided by the Universities and Other Tertiary Institutions Act (UOTIA) which came into force in March 2001. It provided for the establishment of the National Council for Higher Education (NCHE), which functions to streamline the establishment, administration and standards of universities and other tertiary HEIs in Uganda along with other related matters in higher education.

The only article in the statute that remotely relates to CUE and therefore CBR and CURP is article 127, which states that “universities shall endeavour to include in [their] teaching and research programmes, solutions to social and economic problems in the community” (Government of Uganda, 2001). This is the only policy at the national level. While this policy does mandate Higher Education Institutions (HEIs) to include some attention to the community in relation to curriculum development and delivery, it tends to be in the interest of the universities and not the communities. The policy does not commit universities to involve the community in finding solutions to the problems that are affecting them. The spirit behind this policy statement is that of service to the community and not research partnerships or engagement, which dictates mutuality and equality in the relationship.

There is, however, the nation wide students' field attachment policy that is being implemented by all private and public universities in Uganda. In this policy of field attachment, students are placed with industry or not for profit and government organizations to work as interns. While this policy exists in the higher education statute, it is, in my view, not sufficient in terms of supporting CBR and CURP in HEIs. It is weak in its formulation. It makes CUE non-compulsory for higher education, which, in turn, makes CBR and CURP non-existent in specific terms. Additionally, the article does not commit the universities to engage with communities in the process of seeking solutions to the social problems in the community. It also does not list the specific provisions for engagement activities. There is not even a statement on how community engagement can be monitored or evaluated. The article reinforces the old community service mentality in which the university extends its service to the community instead of engaging with them as equal partners.

Although not provided for as part of national policy in higher education, all universities in Uganda require their academic staff to engage in community service activities, and this contributes to their promotion from one academic level to the next. Assessment normally includes provision of evidence for such involvement in terms of entries into a CV or letters of appreciation or reference from the non-university organizations.

Neither of the universities included in this study have a clearly articulated model for CBR and CURP. National higher education policy documents have yet to include them as part of the qualifying criteria for the accreditation of new universities by NCHE, and neither is it part of the criteria for periodic review of universities performance in Uganda. Basically, there is no coherent agenda focusing on CBR and CURP apart from fragmented efforts in different individual project initiatives in the different colleges and faculties. There is no proper institutionalised structure beyond individual initiatives. A study that focused on establishing the role of universities and economic development in Africa also came up with similar findings (Bailey, Cloete, Pillay, Bundting, & Maassen, 2012).

## **National Funding Mechanisms**

In the past, the Department of Extramural Studies (DEMS) funded community-university engagement public lectures on democracy and nationalism. In the beginning, only Makerere University was funded since it was the only university in existence.

Presently, limited public funding arrangements at the national level for community-university engagement is available in the form of Presidential initiatives for a few selected projects at the universities. There are a number of such projects under the Presidential Science Initiatives at various public universities. Most of these intervention projects are implemented in collaboration with the local communities.

Government also provides general funding for government sponsored students in universities and this includes funding for their field attachment activities. It can be assumed that since the government provides subvention funding to public universities to take care of staff salaries that the staff are expected to get involved in community-university engagement. It can thus be concluded that government funds community-university engagement indirectly by picking up the cost of staff salary.

Private students pay for their field attachment, internship and industrial training. They normally get this funding from their self, sponsors or parents. There are no other sources of funding with the exception of some donors who fund specific universities to initiate the internship programs. For example, from 1996-2002 USAID (ADC/IDEA Project) provided funding for some students to undertake internships at Makerere University and the I@mak.com project also offered funding for several students in the same university. Civil society organizations contribute by hosting the students who come for their field attachments.

Donors like Carnegie, NORAD, DFID, and USAID fund a number of community intervention projects and at research different universities. There is also research grant support from the Governments of Sweden and Norway, JICA (Japan International Cooperation Agency), Carnegie Corporation of New York, World Bank, DANIDA, and USAID/CRSPS. This type of funding has always been very useful in enabling universities in Uganda to implement research activities in the communities.

## **Selected Higher Educational Institutions in Uganda**

In the absence of national policies, HEIs are free to devise their own institutional policy guidelines to engage in CURP. Accordingly, most universities provide for CUE as part of their mission statements, which is teaching, research and service to the community. This is popularly known as the “third mission”. The language of “engagement” or “community outreach” is sometimes used but mostly it is “service”. With that provision at the institutional level, all universities in Uganda can explain their CURP under the community outreach or knowledge partnership arrangement.

CBR is only part of the other extra-mural activities such as community development projects and relationships with industries and commerce. It also includes lecturers engaging in community intervention activities or sitting on NGO Boards and providing short courses and doing consultancy research for different non-university organizations (Bailey, Cloete, Pillay, Bundting, & Maassen, 2012, p. 69). Basically this policy definition is very broad and does not specifically focus on CURP. It cannot therefore be substantively regarded as a policy that provides for and commits higher education institutions to undertake CURP.

For this particular case study two institutions have been selected. Gulu University founded in 2003 in Northern Uganda as a rural based university and

Makerere University, which is in Kampala in Central Uganda as an urban-based university. Both these universities are public.

### **Gulu University**

Gulu University is one of Uganda's public universities located in Gulu Municipal Council, Laroo Division in Northern Uganda. It was founded in 2003 by an act of parliament and started its operation in a newly established District Farm Institute.

Gulu University prides itself as a university that focuses on community transformation through engagement with the community in addressing the socio-economic problems affecting both the university and the community. This is enshrined in its mission statement which states, "To provide access to higher education, research and conduct quality professional training for the delivery of appropriate service directed towards community transformation and conservation of biodiversity" and in the Motto of the university which is "For Community Transformation" (Gulu University, 2010, p. 5).

With the vast intellectual resources and talents represented by its faculties and institutes, staff and students, the university seeks to maintain and improve its interaction with the society that sustains and nurtures it by focusing on improving human conditions and providing effective and lasting solutions to diverse needs. In particular, the university has a mission to serve groups that do not have positions of power within society.

The proposed guiding principle for Gulu University's CBR and CURP is reciprocity. In this, CUE is a joint effort in which members of the community work together with faculties, staff and students to identify needs and develop solutions in a community based research context that is naturally a CURP arrangement. This can also be described as the principle of mutuality and respect for each other as equal partners in seeking solutions to the problems that affect both the university and the community.

The university is now in the process of developing a policy that can support the goals of CUE within which CURP will be done by providing guidance to individuals and academic units on how to appropriately integrate CUE into the academic and research programmes of the University. While still in its draft form, this policy is envisaged to guide the design, implementation, and evaluation of CUE activities including CURP. The guidelines will also help faculty and institute members, mentors, and supervisors to ensure that CUE research projects are both engaging and scholarly so that both the university and its communities are well served.

The proposed policy draft provides for an institutional structure that is headed by a Director of Community University Engagement that is equivalent to the Directorate of Graduate Training and Research and the Directorate of the Quality Assurance also under development. This directorate will be responsible for



facilitating the process of and coordinating university wide community-university engagement activities.

The strategic plan of Gulu University identifies “Community Outreach Services” as one of the ten major issues on which to focus its action. It is also one of the seven selected priority areas of the University. While these are clear indications of the university’s commitment to the community, the idea is still that of service to the community and not rigorous research engagement with the community. The difference is that engagement, unlike service, is a two way process in which the two parties are involved as equal partners and not as giver and recipient of an intervention. There are mutual benefits to both parties in such a mutual research context. The university also lists outreach programmes including research as one of the key highlights and achievements during the last planning period of 2009/10. One of the key areas of CUE relevant to the region in which the university is located, and in which the university is already making a significant contribution, is peace building and conflict transformation (Gulu University, 2010).

The strategic goal for Community Outreach Services (COS) is that, “Transformation of Communities is enhanced and sustained” (Gulu University, 2010, p. 12). To achieve this goal the university has planned a number of objectives, one of which is the development and strengthening of the community outreach programmes. In relation to peace building and conflict resolution, the university is promoting the traditional conflict resolution and training of trainers in peace building and conflict resolution. In promoting the traditional conflict resolution based on the Acholi traditional justice system of “Mato Oput”. This traditional justice system is part of the Acholi Indigenous Knowledge systems, and it involves restorative justice as opposed to the western retributive justice. It is being promoted by the academy, Gulu University, in partnership with the community, the elders of the Acholi people whose main medium of communication is the local language (Lenhart, 2012; Lonergan & Anyeko, 2012).

In the strategic plan, community-university engagement functions, which are termed “Community Outreach Services” (COS), are placed under the Dean of Student’s office who is responsible for the implementation of all the planned activities. The Dean is expected to form an Outreach Services Committee. This committee is already in place and it is the one the formulating the CUE policy under the guidance of the Deputy Vice Chancellor Academic Affairs. Along with the development of the CUE policy, the committee is also going to be tasked with the responsibilities of developing the quality assurance criteria for assessing CUE activities in the university.

At the moment all CUE activities are going on as part of the commitment of the academic staff’s effort in fulfilling the third mission of the university and also to their own terms and condition of service that specifies that they be expected to engage in community-university engagement activities. Under this arrangement, there are a number of community outreach projects. One such project is the

COPP, which is the Community Outreach Peace Project of the Institute of Peace and Strategic Studies. There are a number of other such projects in the Faculty of Agriculture and Faculty of Medicine. These projects are being implemented in collaboration with other universities in Uganda and Europe and funded by different donors. Examples of such projects include the Capacity Building for Local Government, Psycho Traumatology Project, Epilepsy Project, the Millennium Science Initiatives, and the guidance and counselling services offered by Gulu University to the surrounding community (Gulu University, 2010).

The concept of community based research (CBR) is still not very popular. What is popular is applied research geared towards community transformation (Gulu University, 2010). Therefore, all community-engagement activities are driven by the idea of applied research. This shows that while research and community-university engagement is properly linked, the link between community-university engagement and the curriculum is not very clear.

The fact that the concept of community-university engagement is not very well known confirms that the current discourse of community-university engagement is not yet known in Uganda. Higher education and the old community service discourse is still very much the defining concept in Uganda. That is why the term or concept of “Community Outreach” service is still very popular in discussing or presenting issues relating to university interaction with the communities in Ugandan higher education (Openjuru & Ikoja-Odongo, 2012).

Community-university engagement is part of the responsibilities of all academic staff and it contributes to their professional growth. There are credits or points awarded for community-university participation when staff apply for promotion to the next academic rank in the university (Gulu University, 2010). In addition to promotion, staff participation in CUE helps to enhance their publications, which contributes to the profile of the staff internationally as well as locally. Students are also encouraged to participate in community-university engagement activities as part of their learning experiences.

There is limited public funding for community-research partnerships beyond the indirect funding of salary payment for the academic staff who are expected to initiate and participate in community research activities. Of course the academic staff are paid to execute their responsibilities of teaching, research and community engagement. The second line of funding is from the various donors that fund community-university initiatives as outlined above. Some of this funding is for research and community development initiatives.

### **Makerere University**

Founded in 1922, Makerere University is one of the oldest universities not only in Eastern Africa, but also in Africa as a whole. Community-university engagement (CUE) has a very long history as one of its core functions. According to Atim (2004) the history of community service at Makerere University dates back to 1953 with

the formation of the Department of Extra-Mural Studies (DEMS) to help prepare the country for political independence. According to Openjuru and Ikoja-Odongo (2012, p. 161), “Makerere University is unusual in that it can demonstrate some university-wide strategies and structures” that promote community-university research partnerships in its knowledge transformation partnership initiatives. The departmental motto was taking the university to the people and bringing people to the university. The power element loaded in this statement is that in both cases the university is the one taking the leading initiative while the people are the ones to be taken to and brought into the university. The discourse of CURP and CUE dispenses with that kind of power relation. Even the knowledge transfer partnership paradigm moves away from that kind of power asymmetry.

Since 2008 all Makerere community-university research partnerships and engagement were guided by research, innovation, and the knowledge-transfer partnership and a networking strategic focus. Some of the relationships take the form of a tripartite partnership of Makerere University, an international development partner, with a community based organization (CBO). In this relationship, the funding will come from the international development partners, with implementation done by Makerere University in collaboration with the community based or civil society organization (Okech, 2004; Makerere University, 2010; Openjuru & Ikoja-Odongo, 2012).

The universities strategic goals and objectives for the next ten years describe community-university research partnership and engagement in terms of knowledge transfer partnership and networking (Makerere University, 2008). This was a shift from the old ‘community outreach services’ discourse. This paradigm shift was brought about because it is now known that knowledge does not only reside in universities but in the communities, the private and public sectors. Universities can also “learn and leverage their entrepreneurial and innovative capabilities” (Openjuru & Ikoja-Odongo, 2012, p. 161). Under this new thinking at Makerere University, knowledge production and transfer between universities and the broader community is a two way process which calls for a closer collaboration between universities and the communities outside the university. Accordingly both the community and the university are regarded as both knowledge recipient and knowledge generators in all community-university research relationships (Openjuru & Ikoja-Odongo, 2012).

Under this paradigm and knowledge transfer partnership, Makerere University has positioned itself to meet emerging socio economic challenges. This focuses on enhancing the university’s capacity to link with and serve the community, the private and public sector of the country (Makerere University, 2009). To promote Community University Engagement, Makerere University designed a plan for

...creating an enabling environment for the public and private sector to interact with the university in the promotion of education in a competitive setting and providing a partnership framework for

assessment and utilization of university products in a value chain.  
(Makerere University, 2008, p. 18)

The key performance objectives for the implementation of CUE at Makerere University are as follows:

- 1) To increase private sector participation in University activities,
- 2) To promote increased joint research, technology innovation and transfer initiatives to address stakeholder needs,
- 3) To establish a partnership for public and private sector utilization of university competencies.

The following strategies are deployed to realize these objectives

- 1) Involve stakeholders in the development of the university policy agenda
- 2) Establish collaborations and networking with public, private sector institutions
- 3) Create research and technology innovation and incubation business centres and model villages.

To measure the success of the above goals and objectives, the following key performance indicators have been developed:

- 1) The number of joint projects established with the private sector
- 2) The number of operational business and technology innovations incubation centres established
- 3) The number of staff scholarships from the private sector.

To establish a partnership for the public and private sectors to utilise university competencies, the following strategies are deployed:

- 1) Involving the public and private sectors in the development of University curriculum
- 2) Involving stakeholders in planning the supervision and evaluation of the students on field attachments
- 3) Creating a resource pool of university expertise for the public and private sector to utilise.

The key performance indicator for the use of university product is the level of participation of the private sectors in university policy and curriculum development (Openjuru & Ikoja-Odongo, 2012, p. 166; Makerere University, 2008, p. 18).

In the above strategy of CUE at Makerere University, the primary focus is on government (public) and industry and commerce (private) and not communities or civil society. The aim of this strategy is very obviously financial. The university hopes that in working with those financially abled sectors they will enjoy some financial rewards to the university. The motive is therefore neo-liberal and not

civic. That is, the CUE is being driven by the desire of the universities, now under limited public funding and therefore experiencing financial constraints, to raise some funds for the university. It denotes that there are financial constraints which limit civic CUE at Makerere University and even Gulu University, since both are public universities.

### **University-wide structure for community-university engagement.**

Makerere University has a very decentralized structure for the provision of CUE and thus CURP. That is to say, the different schools and colleges have a lot of freedom for implementing CURP activities without reference to any university wide coordinating centre or office. Some colleges, like the College of Health Sciences have established the Infectious Disease Institute (IDI), through which the School of Medicine conducts research in the community and collaborates with other health organizations in addressing the problem of infectious diseases including HIV/AIDS. The College of Veterinary Medicine and Biodiversity (COVAB) has the Africa Institute for Strategic Animal Resource Services and Development (AFRISA), through which it conducts all its community-university engagement. These are semi-autonomous entities that operate within the university but without the limitation of university administration placed on it. This is one emerging community-university engagement model at Makerere University.

Colleges, schools and departments in most cases sign Memoranda of Understandings (MOUs) with local governments or civil society organizations to implement some community development intervention and research project. Makerere University was particularly active in capacity building and research for the decentralised governance that was introduced in Uganda from the year 2000.

Alternatively there are other university wide permanent structures such as the Makerere University Private Sector Forum (MUPSF). This came through a university wide committee structure known as the Academia Network Committee (ANC) that works with the Makerere University Private Sector Forum (MUPSF). MUPSF is a SMART partnership arrangement set up by Makerere University in response to the Africa Wide SMART Partnership Dialogue to work as a cross-sector forum that brings together the Public, Private sectors and Makerere University to address issues of mutual concerns in line with the objective of the Global SMART Partnership movement of promoting socio-economic transformation. Through this arrangement, the private sector is brought into close collaboration with the university. Through the MUPSF the university is stimulating the private sector's active participation in university activities, policy agendas and the promotion of education and access of the private/public sector to university services. A SMART Partnership Dialogue Think Tank established in July 2009 is charged with the identification of the type of knowledge that can be transferred between the university and the community (Makerere University, 2010). This SMART Partnership dialogue is a global movement within which the MUPSF was created

to facilitate the participation of Makerere University, as key stakeholder, in the Africa SMART Partnership Dialogue Think Tank chapter (Ministry of Foreign Affairs, 2009; Openjuru & Ikoja-Odongo, 2012, p. 172).

One of the outstanding university wide community-university engagements involving students, lecturers and members of the community in a single activity is the field attachment. The Makerere University Senate approved this curricular inclusion in July 2006 to provide students with hands on work experience in their discipline. This is now a major component in all academic programmes not only at Makerere University but in all other public and private universities as well. Makerere University like all other universities that adopted this curricular development has developed a policy guideline for the implementation of field attachment. In field attachment there is a feedback loop for improving the internal academic programmes of the university. The students undertake research in the community in which they are doing their field attachment supervised by a member of an organizations in the community together with a university based supervisor, and write a report.

As Openjuru and Ikoja (2012, p. 173) explain, “the importance of field attachment in the university training and as an engagement function can not be disputed.” This is because one of the key objectives of field attachment is to enhance and consolidate the linkages between the university and the community. It is one way through which the university involves the community, the private sector, and the public sector including civil society in their training and research programmes as equal partners. The field attachment provides the stakeholders with an opportunity to understand the working of the university curriculum and reflect on its relevancy in terms of the job or performance expectation and advise the university accordingly during their programme review process. The field attachment also helps the university to identify the training and human resource needs of the different organizations and tailor their programme development to respond to those needs.

### **General Observations about Institutional CUEs**

In general universities will need to have some training in Community Based Research (CBR) to enhance the participation of both faculty and staff in community-university research engagement. At the moment, outside of the field attachment there are neither guidelines nor principles on how community-university engagement should be done. Nor is there any understanding, outside of the university community service mentality, of what really constitutes community-university engagement. What is in place is the perspective that anything that is done outside the university constitutes university- community engagement, regardless of the power asymmetry in the relationship.

## Community/Civil Society: UGAADEN

It is incomplete to talk about community-university engagement without including an understanding of what happens in the communities with whom the universities are expected to engage.

In Uganda, the community outside the university consists of community based organizations (CBOs), non-government organizations (NGOs), private industrial and commercial organizations and government, which also consist of local governments, ministries and government statutory bodies. Community-university relationships are usually conducted through memoranda of understanding (MOUs), which specify the details of the responsibilities between the two institutions, including how the funding is to be generated and utilized to support their engagement activities.

For this case study, I have selected the Uganda Adult Education Network (UGAADEN), which is a network of adult education organizations in Uganda. One of the founding members was the former Institute of Adult and Community Education (IACE) now the School of Distance and Lifelong Learning of the College of Education and External Studies. This civil society organization has the responsibility of promoting the teaching and practice of adult education in Uganda. Accordingly, together they have worked on a number of community development intervention projects in which the university has provided expertise for the network members who are, for example, engaged in skills training and adult literacy education. They (UGAADEN and the university) engaged in the promotion of a number of community livelihood projects, environmental sustainability projects and many other projects which can be achieved through community education and training programmes. They have also organized a number of joint conferences with support from the German Adult Education Association DVV-International. This relationship started in the early 1980s and lasted until 2012 when DVV-International terminated its support to UGAADEN after a period of over 30 years.

While UGAADEN works closely with the university in the promotion of the profession, teaching and practice of adult and community education, they have not in anyway engaged in the promotion of CBR or CUE as active areas of focus. However, within the last year UGAADEN has picked up interest in community-university engagement as a key activity to which it is planning to devote its efforts. Already, they have been very active in the organization of an East African Meeting on Community University Engagement, thus becoming the founding members of the East African Network of Community-University Engagement. UGAADEN also participated in the launch of the Higher Education in the World 5-Knowledge, Engagement and Higher Education: Contributing to Social Change (Hall & Tandon, 2014). These are the only activities in which any CSO is actively promoting CUE in Uganda, which means that UGAADEN has become the first CSO to go in this direction.

Already UGAADEN has signed an MOU with the College of Veterinary Medicine and Biodiversity (COVAB) of Makerere University, to promote the community education programmes of this college and conduct community-based research and community-university research partnerships. It is also redirecting the COVAB's community initiative along the discourse of community-university engagement and focusing them on the engagement scholarship. The purpose is to encourage the college staff to recognize the contribution of community members, as well as tap into this ignored knowledge base in their teaching of Vet Professionals who are expected to work with these communities. Already the college leadership was very active in the GUNi World Report launch after being encouraged by UGAADEN to provide a keynote address based on their colleges' community-university engagement experience.

Taking advantage of its networking role, UGAADEN plans to roll out to other universities as well as encourage other civil society organizations to start working closely as equal partners with the university. Already with the intervention of UGAADEN, the Federation of Education NGOs of Uganda (FENU) was able to hold one of its bimonthly thematic meetings hosted by the School of Distance and Lifelong Learning. The School of Distance and Lifelong learning was encouraged to become one of the active members of this FENU thematic group meeting as it relates to the school's teaching focus. This is another way by which UGAADEN is already actively promoting CUE in Uganda.

The Uganda Adult Education Network is the only community-based structure that has been facilitating engagement with Universities and directly promoting the discourse of CUE in Uganda. Two factors are new in this initiative: firstly, the deliberate presentation of community members as equal partners and secondly, the promotion of CUE and CBR as an active discourse in Uganda. However, to measure up to this task, UGAADEN will still need to develop the capacities within its membership for CBR. In that way they will be in the position to relate with universities as equals.

As far as engaging with the university is concerned, UGAADEN has sufficient human resource capacity that can be mobilized from the university and from other civil society organizations for the promotion of this CUE and CBR agenda in Uganda. It also has the capacity to mobilize financial resources from development partners, yet as of now there are still limited financial means for UGAADEN to promote the agenda of CUE and CBR in Uganda. What it relies on is its available human resource capacity in terms of the executive members and few volunteer staff who are running the secretariat.

The leadership of UGAADEN, notably the chairperson, is already very active in the international movement that is promoting community-university engagement and Community University Research Partnerships. The chairperson works with a committee of eight other members strategically located in different parts of Uganda. Using this committee structure and its membership that is spread



throughout the country, UGAADEN has the capacity to work with all the universities located in different parts of the country.

## Conclusion

In this case study I have highlighted CUE efforts of three institutions: two universities-one urban and one rural-and one CSO (Civil Society Organization). In all cases, it is clear that whereas these institution have been having a long practice of CUE, they have been doing it under the COS (Community Outreach Service) arrangement in which the university will approach the community not as equal partners but as potential beneficiaries of their services. In this kind of relationship, community contribution in terms of knowledge has been disregarded, The relationship between the CSO in this study (UGAADEN) was around working together as partners receiving support from the German Adult Education Association. This relationship as already pointed out was about sharing the funding that was coming from DVV-International, the German adult education organization. Therefore, while the potential for CUE is great, the capacity to raise funding to finance CUE is still very limited, as is the capacity for CBR. Overall, the discourse of community-university engagement as different from the old community service discourse that motivated the extra-mural functions of the university is just emerging over the last two years and is beginning to gain ground.

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# UNITED KINGDOM

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## Community-University Research Partnerships: United Kingdom

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This case study provides an overview of the policies in place to support community-university engagement and community-based research in the United Kingdom, and provides some vignettes of how these policies are being implemented in university and community settings.

### The National Policy Context

The last 15 years have seen an increasing interest from UK policy makers in how to effectively incentivise deeper engagement between universities and wider society. Much of this activity has been focused on research partnerships with business, but increasingly interest is spanning across the broad range of disciplines and considers social and cultural, as well as, economic benefits.

Whilst there are a range of factors, for simplicity we will consider two different motivations for these developments. The first is centred on challenges around trust and responsibility, leading to a series of interventions to address the cultural factors that inhibit researchers from embedding engagement in their practice. The second concerns the need for research activity to be better tuned to social need: to be more relevant and responsive, and to demonstrably contribute and account for its value to society.

### The Science in Society Agenda: Addressing Declining Trust in Science

From the 1980s onwards there has been a growing concern as to the extent to which the public understand, trust and feel engaged in scientific research. Initially, the response to this focused on ‘public understanding’ of science which sought to communicate and explain science better so that the public would be more likely to support investment in it. Over time this deficit view was challenged. Public resistance and protests about emerging areas of research—such as Genetically Modified crops—made policy makers aware of the jeopardy in not taking better account of public opinion. New thinking about how best to address such fractures in trust and understanding brought fresh insights into how to effectively build engagement into the science and research system. It was recognised that the public didn’t want science ‘explained’ to them, but wanted genuine engagement in debating the ethics and direction of research. More generally, it was recognised that it was vital

to take account of the social and ethical context within which new research was being commissioned and to feed this social intelligence into the system to anticipate and address public concern and interest. This led to an array of funding and policy instruments, including:

- the creation of the Science Media Centre ([www.sciencemediacentre.org](http://www.sciencemediacentre.org)) to address the often dysfunctional relationship between scientists and the media
- the creation of the Public Attitudes to Science Survey (Ipsos-MORI, 2014) set up to track the levels of trust and engagement between publics and science
- the Sciencewise expert resource centre ([www.sciencewise-erc.org.uk](http://www.sciencewise-erc.org.uk)), established to build capacity in effective dialogue with the public to ensure social intelligence was being captured and used to evolve new research priorities

The problem came to be seen as more complex than narratives about public ‘misunderstanding’ could capture. A big part of the challenge was the lack of commitment and capability within the science and research community to listen effectively to the public and to engage them in their work. A critical intervention was a survey commissioned by the Wellcome Trust and the Royal Society to explore the factors affecting this (Royal Society, 2006). The survey of nearly 1500 scientists revealed deep cultural and structural challenges that needed to be addressed if a more healthy culture of public engagement was to be realised:

- 64% said the need to spend more time on research was stopping them getting more engaged
- 29% said that time taken away from research was the main drawback for engaging with the public
- 20% agreed that scientists who engage are less well regarded by other scientists

The research assessment exercise was cited as a key driver influencing the academic community in the UK and as having a negative influence on science communication. Science communication was viewed as ‘altruistic’ and not a central part of academic life. All in all, a toxic climate for engagement to flourish:

...in the qualitative interviews, several researchers highlighted that public engagement activity was seen by peers as bad for their career. A further message that emerged was that public engagement was done by those who were ‘not good enough’ for an academic career; and that public engagement was seen as ‘light’ or ‘fluffy’, and risked reinforcing negative stereotypes for women involved in such activity. (Royal Society, 2006, p. 11)

The report contributed to the establishment in 2008 of a major culture change initiative in UK Higher Education, the ‘Beacons for Public Engagement’

(National Coordinating Centre for Public Engagement, (a), n.d.)). This £9.2m four-year initiative led to the establishment of 6 Beacon projects around the UK and the founding of the National Coordinating Centre for Public Engagement, hosted by the University of Bristol and the University of the West of England. The Beacons project built directly on the ‘Factors Affecting’ survey and report, and was set five aims:

- 1) create a culture within HEIs and research institutes and centres where public engagement is formalised and embedded as a valued and recognised activity for staff at all levels and for students;
- 2) build capacity for public engagement within institutions and encourage staff at all levels, postgraduate students, and undergraduates where appropriate, to become involved;
- 3) ensure HEIs address public engagement within their strategic plans and that this is cascaded to departmental level;
- 4) create networks within and across institutions, and with external partners, to share good practice, celebrate their work and ensure that those involved in public engagement feel supported and able to draw on shared expertise; and
- 5) enable HEIs to test different methods of supporting public engagement and to share learning.

As far as we are aware, this initiative was a unique attempt by national research funders to address these cultural and professional issues, across all research areas—not just the sciences. It was supported by all the key funders of research, namely the UK HE funding councils, the Research Councils and the Wellcome Trust. The project did useful work to identify the key factors affecting culture change and developed a range of ‘self-improvement tools’ for HEIs which have been shared widely and taken up by many institutions.

While the Beacons focussed on 6 university partnerships, a key role of the NCCPE was to work across the UK. A significant part of this work to bring other HEIs into the network was the Manifesto for Public Engagement (NCCPE, n.d.(d)) which set out a high level commitment to engagement:

- We believe that universities and research institutes have a major responsibility to contribute to society through their public engagement, and that they have much to gain in return.
- We are committed to sharing our knowledge, resources and skills with the public, and to listening to and learning from the expertise and insight of the different communities with which we engage.
- We are committed to developing our approach to managing, supporting and delivering public engagement for the benefit of staff, students and the public, and to sharing what we learn about effective practice

The NCCPE also consulted widely to develop a definition of public engagement, to help clarify the scope of their work and provide common purpose across the sector:

Public engagement describes the myriad of ways in which the activity and benefits of higher education and research can be shared with the public. Engagement is by definition a two-way process, involving interaction and listening, with the goal of generating mutual benefit (NCCPE(e), n.d.)).

In parallel, the funders sought to make their expectations about public engagement more explicit. A consortium of research funders came together to develop a Concordat for Engaging the Public with Research (Research Councils UK, (a), n.d.)). Importantly, this included the core funders of the Beacons, but also invited other funders to join the consortium to develop “a single, unambiguous statement of the expectations and responsibilities of research funders in the UK” (Research Councils UK (a), n.d.)).

Building directly on the work of the Beacons project, the Concordat identified four principles to encourage those they fund to develop strategic support for engagement:

- UK research organizations have a strategic commitment to public engagement
- Researchers are recognised and valued for their involvement with public engagement activities
- Researchers are enabled to participate in public engagement activities through appropriate training, support and opportunities
- The signatories and supporters of this Concordat will undertake regular reviews of their and the wider research sector’s progress in fostering public engagement across the UK (Research Councils UK (a), n.d.))

Along with the Concordat, expectations about public engagement were also woven into the development of other frameworks for research, the most notable of which was the Researcher Development Framework (RDF) (Vitae, 2012) which sought to define a core set of professional skills and capabilities for all researchers to underpin training and development across the academic sector. Amongst four domains, ‘Engagement, Influence and Impact’, was included alongside the more traditional domains of Research Governance and Organisation; Knowledge and Intellectual Abilities; and Personal Effectiveness. The NCCPE supported the development of the RDF and created a public engagement ‘lens’ which provided a more in depth account of the skills and capabilities required for public engagement, as well as developing training, and resources including the booklet ‘The Engaging Researcher’ ([www.vitae.ac.uk/images/vitae-publications/the-engaging-researcher-booklet.jpg/view](http://www.vitae.ac.uk/images/vitae-publications/the-engaging-researcher-booklet.jpg/view)).

The Research Councils chose to fund a second wave of culture change projects in 2011: the Catalysts for Public Engagement (NCCPE (b), n.d.) in which eight universities were funded for three years to embed strategic support for public engagement. The original consortium of funders who founded the NCCPE has continued to invest in the centre to provide support for HEIs across the UK to develop a culture that is conducive to the development of high quality practice. The centre inspires and equips leaders to embed engagement in their institution; supports the development of high quality, impactful engagement; connects people together to enhance their work; and works with policy makers and funders to help align policy and funding interventions to enhance engaged practice.

### The Research Impact Agenda: Relevance and Accountability

In parallel with these strategic investments to embed a more socially engaged research culture, there have been significant developments in the funding mechanisms for research and the extent to which these incentivize public engagement.

As in many other countries, there has been a long tradition in the UK of supporting ‘Knowledge Transfer’ and more recently ‘Knowledge Exchange’ activities within universities. In the UK a specific fund—the Higher Education Innovation Fund (HEIF)—was established in 2001 to provide funding to universities to invest in infrastructure and activity to facilitate the exploitation of research.

Although the bulk of this funding is directed at industrial and commercial activity, community and public engagement is also encouraged, and many universities have used their HEIF to invest in infrastructure to support such engagement. The impact of this funding is tracked by the ‘HE Business and Community Interaction Survey’ (Higher Education Funding Council, n.d.) which asks HEIs to account for how they have invested their innovation funding and to detail the returns from this. Useful summary reports are accessible on the HEFCE website ([www.hefce.ac.uk/whatwedo/kes/heif](http://www.hefce.ac.uk/whatwedo/kes/heif)). PACEC’s report *Strengthening the contribution of English HEIs to the Innovation system: Knowledge Exchange and HEIF funding* offers a conceptual framework to describe the different ways in which university knowledge and research contributes to communities (Public and Corporate Economic Consultants, 2012, pp. 73-4):

- ***Facilitating the research exploitation process*** through, for example, supporting the contract research process, consultancy activities and licensing/spin-outs through technology transfer.
- ***Skills and human capital development*** of academics, students and those external to the HEI through, for example, CPD, training for academics and students, providing entrepreneurship and employability training etc.
- ***Entrepreneurship and enterprise education***, including social enterprise activities.

- ***Knowledge networks / diffusion***, including the stimulation of interactions between those in the HEI and those in the economy and society through, for example, the development of networks, and holding events that bring academics and external organizations together to share ideas and knowledge.
- ***Exploiting the physical assets of the HEI*** through, for example, the development of science parks, incubators, design studios, hiring of specialist equipment, as well as museums, exhibition space and so forth.
- ***Supporting the community/public engagement*** through, for example, outreach and volunteering, widening participation programmes and so on

What these surveys and other research have helped to reveal is a relatively vigorous and diverse culture of engagement across UK universities. This was evidenced in research done by the UK-Innovation Research Centre whose 2009 report, 'Knowledge Exchange between Academics and the Business, Public and Third Sectors' (Abreu, Grinevich, Hughes & Kitchen, 2009) describes the findings of a large scale survey of academics in the UK, with over 22,000 responses:

This report shows that academics from all disciplines are engaged in the knowledge exchange process – it does not simply involve those from science and technology based disciplines but also includes academics from the arts and humanities and the social sciences. And the knowledge exchange mechanisms are wide and varied – it is not simply about the codified transfer of science (patents, licences, etc) but includes many people based, problem solving and community driven activities. (p. 7)

The research revealed that—despite much of the policy discourse focussing on incentivizing greater interaction with business, and the generation of patents and IP—here was a much broader tapestry of engaged practice that covered a diverse range of partners, communities and publics:

Academics are engaged with a range of partners – and in the private business sector the range is not confined to the high-technology manufacturing industries but includes services and many so-called low technology sectors. Furthermore, many academics are interacting with the public and third sectors – and on many metrics the level of interaction is higher with these sectors than with the private sector. (p. 7)

This was further evidenced in 2014, when the NCCPE launched a competition for public engagement with research projects (NCCPE, n.d.(c)). With over 230 entries spanning all subject areas, ranging from inspiring young people to ask research questions to citizen science projects, the applications represented the diversity of high quality projects happening across the UK.

HEIF 'innovation' funding is currently capped at £160m—a relatively small amount compared with over £3 billion invested annually in research by the



Research Councils and Higher Education funding councils. There have recently been significant changes in how this much larger pot of funding has been realigned to incentivize external engagement.

UK research funding is invested using a ‘dual support’ system: this involves regular retrospective assessment exercises conducted by the HE funding councils, who then provide institutions with a block grant on the basis of the performance in the last assessment period. In parallel, the Research Councils run competitive funding rounds to which universities can bid.

A major shift in UK research policy was triggered in 2007 with the publication of the Worry Report ([www.rcuk.ac.uk/Publications/archive/TheWorryReport](http://www.rcuk.ac.uk/Publications/archive/TheWorryReport)). This shifted attention from how relatively small scale investments in innovation funding might trigger greater knowledge exchange, to question the extent to which the total research budget and infrastructure was delivering social and economic value—as well as academic excellence. Until that point, mainstream research funding was allocated purely on the basis of academic excellence, assessed by peer review. The report recommended a major shift in all research funding, seeking to ensure that considerations of social and economic impact became embedded in funding and assessment decisions.

Driving this policy was a desire for both relevance (how useful the research was, and the return on investment) and accountability (to better account for the value of the investments in research in times of austerity and increasing pressure on all public spending).

Since the Worry Report significant changes have been implemented to both sides of the dual support system to incentivize non-academic impact. This has been a fiercely contested process—with over 18,000 academics signing a petition in 2009 to demand the withdrawal of the policy (Lewcock, 2009), which has been seen as an attempt by government to impose an instrumental agenda on the HE sector and constrain academic freedom. For others, it was seen as attempting the impossible—how can such impact either be predicted or reliably assessed? However, two major changes have been implemented. First, all Research Council grants now expect applicants to complete a ‘pathways to impact statement’:

At the application stage we do not expect applicants or peer reviewers to be able to predict the economic or societal impacts that research will achieve. However, we want to encourage applicants to consider and explore, in ways that are appropriate given the nature of the research they are proposing to conduct, potential pathways to impact, for example through engagement or collaboration with partners. (Research Councils UK (b), n.d.)

In parallel, the Research Assessment Exercise (RAE) has been replaced by a new Research Excellence Framework (REF), which retrospectively assesses the quality of a research units’ work, and includes an assessment of the impact of the

research ‘beyond academia’. Research units now submit both research outputs and impact case studies—which describe how particular research outputs have contributed to social and economic impact, and for each submitting unit, an impact template is required—which outlines their strategic approach to building impact. This is a radical departure from the RAE which focussed only on the quality of the research outputs as judged by academic peers.

Underpinning both schemes are similar typologies which provide prompts to explain the types of impact which might be expected. For instance, in the Arts and Humanities, the REF guidance (HEFCE, 2012, p. 91) invites researchers to evidence how their research has enriched ‘Culture and Society’ in the following domains:

- **Civil society:** Influencing the form and content of associations between people or groups to illuminate and challenge cultural values and social assumptions.
- **Public discourse:** Extending the range and improving the quality of evidence, argument and expression to enhance public understanding of the major issues and challenges faced by individuals and society
- **Cultural life:** Creating and interpreting cultural capital in all of its forms to enrich and expand the lives, imaginations and sensibilities of individuals and groups’

Possible indicators that might be used to evidence ‘impact’ in such domains are also offered, including specific guidance about accounting for the impact of public engagement. The NCCPE has contributed a range of resources, such as training booklets (for example, see NCCPE & JISC, 2013) and training events to help the wider sector and research funders develop effective approaches. Again it appears that the UK is almost unique in this area of policy development. While other countries—e.g., Australia—have experimented with impact assessment, none has gone so far as the UK.

The developments have brought public and community engagement much more into the mainstream of university research cultures: requiring researchers to think more actively and to plan more carefully their engagement strategies. There is still much to reflect on and to learn. A number of networks have formed to attempt to share insight and expertise in this emerging area. The NCCPE has taken an active role in consulting with the sector to identify lessons learned—and the extent to which impact is actually a positive development for those working inside and outside HEIs who want to see deeper and more effective engagement. A consultation we ran in 2014 revealed a mixed picture (NCCPE, 2014). The impact assessment process was widely acknowledged to be a very time consuming and challenging activity, but with a number of positive outcomes for public and community engagement:

- It has formalised the need for good planning, evaluation and evidence gathering
- It has encouraged a view of Public Engagement (PE) as core business not just ‘good intentions’
- It has given PE a ‘harder edge’ in terms of its financial and strategic value to the institution
- It has created more demand and interest from academics for help and support to develop good PE—many of whom were previously unaware or uninterested
- It has helped make the case for PE to be effectively resourced and supported
- It has opened up opportunities for greater dialogue with outside partners
- PE is now regarded as an essential part of research, although for some PE is restricted to that which leads to REF—relevant impact—rather than more broadly defined outcomes
- It has encouraged staff actively to seek opportunities to share research findings with the wider public

It has also had some negative consequences:

- Some partners/collaborators have been overwhelmed by the sector’s demands for evidence of impact and have felt ‘used’
- It has encouraged an instrumental attitude from some—doing PE for ‘selfish’ reasons rather than to achieve genuine mutual benefit
- There is a risk that all PE becomes focused on the REF/impact, meaning that other valuable forms of engagement won’t be supported or valued
- The friction and negativity associated with the REF has tarnished engagement in some people’s eyes
- Some feel that valuable time which should be spent on innovation is now being spent on auditing

On balance, the feedback suggested the positives significantly outweighed the negatives, but it was acknowledged that there is much still to learn and develop, in particular:

- How to evaluate and evidence impacts arising from Public Engagement. PE was generally viewed by researchers and their managers as ‘softer’ and less easy to evidence than other forms of impact
- How to frame and implement strategies to encourage effective ‘impact generation’

The results of the first REF were published in December 2014. It is likely that research impact assessment will remain key part of research culture in the UK—and

if so, the NCCPE will continue to work hard to help the sector interpret the relationship between engagement and impact.

## Community-University Engagement in Practice

Having provided an historical overview of the policy and funding context for community-university engagement we want to complete this case study by providing some vignettes of the kinds of activity which have been triggered. We have clustered these under four headings. We hope that these provide a vivid account of how these broader policy shifts are being implemented in practice:

- Disciplinary innovation in research funding
- ‘Grass roots’ academic responses to policy developments
- Institutional responses
- Supporting community organizations to work with universities

### Disciplinary Innovation in Research Funding

There is increasingly dynamic and differentiated activity happening within discipline and practice areas. It is clear that there are distinctive opportunities and challenges in different areas of practice—for instance in health, the arts, the social sciences and the hard sciences like engineering.

### The connected communities programme

The Connected Communities funding programme was launched by the Research Councils in 2010, and is led by the Arts and Humanities Research Council (AHRC). The vision for the programme is “to mobilize the potential for increasingly inter-connected, culturally diverse communities to enhance participation, prosperity, sustainability, health and well-being by better connecting research, stakeholders, and communities” (Connected Communities, n.d.). The programme supports research across a number of core themes, including: community health and wellbeing; creative and digital communities; civic engagement and social innovation; sustainable community environments: community heritage, disconnection, division and exclusion.

The Programme brings communities in all their rich and diverse forms to the centre of research agendas. It looks to improve our understanding of the changing connections, networks, values and practices that underpin notions of community across a wide range of historical and cultural contexts. This enhanced understanding is informing the development of more effective ways to contribute towards flourishing communities and address key economic and societal challenges.

The programme aims to build powerful research collaborations between researchers and communities that reflect the challenges and interests of diverse communities and to stimulate cross-disciplinary research innovation. By con-

necting research expertise, knowledge, understanding, and approaches from across the research base with the knowledge, experience and assets of communities, the Programme generates new research insights and meaningful legacies for communities. We provide an example of one of the project funded by Connected Communities below, the ‘Research for Community Heritage’ project.

### Responsible research and innovation

The concerns about moving to a more responsive science and technology research system noted above have continued to evolve. Recently, one of the research councils, the Engineering and Physical Sciences Research Council (EPSRC), launched a framework for Responsible Research and Innovation (RRI). This seeks to embed engagement at all phases of the research cycle:

RRI is a process that seeks to promote creativity and opportunities for science and innovation that are socially desirable and undertaken in the public interest. Responsible Innovation acknowledges that innovation can raise questions and dilemmas, is often ambiguous in terms of purposes and motivations and unpredictable in terms of impacts, beneficial or otherwise. Responsible Innovation creates spaces and processes to explore these aspects of innovation in an open, inclusive and timely way. This is a collective responsibility, where funders, researchers, stakeholders and the public all have an important role to play. It includes, but goes beyond, considerations of risk and regulation, important though these are.

EPSRC has created a framework to help researchers to embed RRI practices. It suggests that “a responsible innovation approach” should continuously seek to:

- **Anticipate:** describing and analysing the impacts, intended or otherwise, that might arise. This does not seek to predict but rather to support an exploration of possible impacts and implications that may otherwise remain uncovered and little discussed.
- **Reflect:** reflecting on the purposes of, motivations for and potential implications of the research, and the associated uncertainties, areas of ignorance, assumptions, framings, questions, dilemmas and social transformations these may bring.
- **Engage:** opening up such visions, impacts and questioning to broader deliberation, dialogue, engagement and debate in an inclusive way.
- **Act:** using these processes to influence the direction and trajectory of the research and innovation process itself (EPSRC, n.d.)

### Grass-roots Academic Responses to Policy Developments

Inevitably, the shifts in policy and funding outlined above have triggered considerable debate and argument across the sector. The Council for the Defence of

British Universities (CDBU) and the London School of Economics (LSE) blog on the impact of social science research—representing two contrasting examples of the kinds of conversations that have been generated.

The CDBU, established in 2012, is not associated with any particular discipline community but represents a broad constituency from across the academic community. They have provided vocal opposition to a variety of recent policy changes and are deeply sceptical about the long term consequences of the impact agenda for research:

Universities add enormous value to our society and economy, enriching the lives of all of us through the education and research they provide. But in a post-industrial age, where knowledge is money and growth is elusive, powerful forces are bending the university to serve short-term, primarily pragmatic, and narrowly commercial ends. And no equal and opposite forces are organized to resist them. The CDBU is dedicated to the purpose of defending academic values and the institutional arrangements best suited to fostering them. (CDBU (a), n.d.)

CDBU actively campaigns for the abolition of the impact agenda as a means of ensuing accountability. They argue that “radical reform is required in order to ensure that the HE sector can continue to produce research whose intrinsic quality is measured by intellectual interest and ambition” (CDBU (b), n.d.).

In contrast, (LSE) launched a blog site (the Impact of Social Sciences) to act as “a hub for researchers, administrative staff, librarians, students, think-tanks, government, and anyone else interested in maximising the impact of academic work in the social sciences and other disciplines. We hope to encourage debate, share best practice and keep the impact community up to date with news, events and the latest research” (LSE, n.d.).

The site provides a rich and very popular space for debates about impact and engagement to be explored, and for effective practice to be shared.

## **Institutional Responses**

One of the fascinating things to observe over the last seven years has been the varied ways in which different universities—and indeed discipline communities—have chosen to respond to the challenges of embracing deeper engagement with communities. The NCCPE’s role has been to act as a hub to connect and network expertise across the sector. While enjoying and celebrating the diversity of activity, we have also sought to distil some generic lessons and to provide a set of resources which can be adapted by any institution to scaffold their work. An example of this is the EDGE tool, designed to help HEIs assess their strategic support for public engagement.

## The EDGE tool

Working closely with the Beacons for Public Engagement and drawing on expertise in other countries the NCCPE piloted and then launched a self-assessment framework to provide institutions and departments with a framework to help them plan how to develop a supportive culture for public engagement. This identified three key focal points for addressing culture change:

- **Purpose:** clarify your purposes and values
- **Process:** build flexible support structures and processes
- **People:** put people first

These focal points provided the basis for the self-assessment tools and institutional case studies which can be accessed from our website ([www.publicengagement.ac.uk/support-it/self-assess-with-edge-tool](http://www.publicengagement.ac.uk/support-it/self-assess-with-edge-tool)).

The NCCPE has also sought to share examples of practice. We do this through hosting a variety of events, including training and staff development sessions; strategy workshops within individual universities or research teams; national workshops and conferences; and through developing a host of web-based resources and case studies ([www.publicengagement.ac.uk/case-studies](http://www.publicengagement.ac.uk/case-studies)).

## Supporting Community Organizations to Work with Universities

A key part of the public engagement agenda is community engagement. How are community partners getting involved in research partnerships—what works well and what does not? What are we learning with and from them about these shifts?

We have chosen to highlight two activities that the NCCPE has been actively involved: The Community Partner Network and the Research for Community Heritage.

## The Community Partner Network

Launched in 2013, following a consultation with community-based organizations working with universities, the UK Community Partner Network seeks to support community-university partnerships. Inspired by community partner Kim Aumann, from the 'Boing Boing' social enterprise and academic Angie Hart, from the University of Brighton, the network provides an opportunity for community partners to meet, connect and learn from each other.

*Continued*

Members of the network are passionate about the value of community-university partnerships because they:

- harness different expertise
- generate new understandings
- provide valuable access to information and resources
- help us know more about how communities could better tackle important problems

However there are some real challenges to working together, such as:

- power differentials—and whose voices are heard
- communication, language and jargon
- inequity in funding and resourcing the partnership
- different time frames
- different expectations as to desirable outputs from the process, and
- navigating universities with multiple points of contact.

Funded initially through the AHRC Connected Communities Funding, and now by the NCCPE, the network runs regional capacity building events; training for academics wanting to work with community partners; develops resources to support effective partnership working; an online network; and an opportunity to lobby for more effective support for community-university partnerships for social change. (For more information see: [www.publicengagement.ac.uk/work-with-us/uk-community-partner-network](http://www.publicengagement.ac.uk/work-with-us/uk-community-partner-network).)



## Research for Community Heritage

The Research for Community Heritage's/All Our Stories project was a unique partnership between the Arts and Humanities Research Council (AHRC) and the Heritage Lottery Fund (HLF) that sought to support community-university partnerships around heritage. The HLF ran a small grants scheme to support community groups to run community heritage projects. As part of the 'Connected Communities' programme, the AHRC funded 18 research organizations to help their researchers work more closely with these community groups—from inspiring community organizations to apply for the lottery funding; providing an opportunity for community groups to meet university researchers and learn about the resources that the research organization had that they could access; providing training to support community groups developing their research skills; and linking them to people with specific expertise relevant to their project.

What the project recognised was the wealth of expertise, enthusiasm and knowledge of all project partners. But it also resourced them adequately to work together on relevant projects. The NCCPE was funded to help coordinate the project. In a wrap up summit in October 2013, participants came together to reflect on successes and challenges from the project, leading to a summary report which can be found at: [www.publicengagement.ac.uk/sites/default/files/publication/research\\_for\\_community\\_heritage\\_full\\_report.pdf](http://www.publicengagement.ac.uk/sites/default/files/publication/research_for_community_heritage_full_report.pdf)).

Research for Community Heritage demonstrated that the projects were enhanced by the opportunity to work with researchers; the researchers developed new skills in working with others and were inspired by the knowledge and expertise of local groups; some new partnerships developed that have received additional research funding; and overall the project was considered very successful—enabling two funders to align their funding to develop really effective outcomes. For more information see: [www.publicengagement.ac.uk/work-with-us/completed-projects/research-community-heritage](http://www.publicengagement.ac.uk/work-with-us/completed-projects/research-community-heritage).

## Taking Stock of Progress and Looking Forward

So where have we got to in this long journey to embed a more engaged research culture in the UK? The NCCPE regularly hosts meetings to bring together staff working across the sector. An event in 2014 was convened to take stock of progress and was attended by over 60 people working across the UK. Delegates identified the following challenges and learning points:

| Learning points  | Challenges  |
|--|---|
| <ul style="list-style-type: none"> <li>• The impact agenda and the Research Excellence Framework has driven uptake and awareness of PE</li> <li>• Increasingly 'joined up' thinking across public, civic, cultural, business engagement activities (helped by impact agenda)</li> <li>• A range of other funding sources and incentives are helping—though requires entrepreneurial, pick-and-mix approach</li> <li>• When it is there, senior manager support is very important</li> <li>• Investment in central infrastructure and support—eg., festivals—provides multiple opportunities</li> <li>• Role of enthusiasts/champions cannot be over-estimated</li> <li>• Bringing together networks of committed people to mobilize and motivate practice and culture change</li> <li>• Forming high level 'coordination'/ strategy groups to align activity</li> <li>• Increasing sharing of expertise and approaches between disciplines</li> <li>• Great resources already exist (e.g., NCCPE website)</li> <li>• Value of partnerships working with external agencies—e.g., museums—with complementary expertise.</li> </ul> | <ul style="list-style-type: none"> <li>• Alignment and coordination: PE often happens in fragmented pockets</li> <li>• Pull towards 'broadcast styles' of engagement still very prevalent</li> <li>• Lack of evaluation and monitoring—though this is improving</li> <li>• Getting PE properly reflected in promotions criteria</li> <li>• Muddled/divergent views of PE and its relationship to other forms of external engagement</li> <li>• Constantly shifting context and priorities—requires very agile and flexible approach</li> <li>• Securing sufficient central resource for coordination</li> <li>• Making a compelling business case to secure strategic, long term investment</li> <li>• Very different disciplinary cultures</li> <li>• Pressure on academics time leaves little room for PE</li> <li>• Moving beyond the 'usual suspects' to work with more diverse communities</li> <li>• Sustaining momentum and networks.</li> </ul> |

## Where Next?

The NCCPE launched a consultation to explore the future of Community University partnership working in 2013. The 18 month consultation has provided us with rich insight into the views of people working inside and outside universities about the possible futures for this area of work.

### What Might an Engaged University of the Future be like?

- What are the key changes/forces of change that may affect its engagement models?
- How can we build upon existing practices within and outside the Higher Education (HE) sector to strengthen our partnerships with other organizations and affect change?
- What can we do to ensure that universities remain relevant and engaged with society?
- How has discussion about engagement changed over the last few years, and how might this change in the light of challenges we currently face within the HE sector and society as a whole?

In a summary report published in December 2014, (Duncan, 2014) we identified six overarching factors that support the ongoing expansion of Public Engagement in UK universities:

- Market-based incentives for universities to distinguish themselves as ‘engaged universities’ in a crowded and competitive market for students and research income
- Bureaucratic controls: academics are increasingly expected to demonstrate the social and economic impact of their research for the research excellence framework, for instance, through the Research Excellence Framework (REF)
- A steadily consolidating policy focus from all major parties on greater societal interaction by universities and researchers, for instance, through public engagement with science and knowledge exchange
- Greater scrutiny of universities and other publically funded institutions and pressure to increase transparency and accountability
- A shift away from single authoritative experts towards more pluralistic forms of evidence and growing recognition of the significance of situated knowledge
- The re-emergence of civic universities, as engines of regional growth and development that contribute to the local community, business and civil society.

The research revealed optimism and enthusiasm for the future of engagement, and that considerable progress has been made over the last ten years to embed high quality engagement within higher education institutions. Despite the unfavourable economic climate and budgetary cuts, which profoundly affect community partners' capacity to engage with universities, people thought a culture of engagement is beginning to take hold and is strengthening.

## Conclusion

This case study demonstrates that there have been some really promising developments in the UK to support effective high quality engagement with research. However, there are still many uncertainties and questions that need to be addressed. These include the need to better understand and assess the social impact of research; the need to conduct more research into engagement processes—and if and how they lead to better research and social outcomes; the need for more capacity building to develop the skills of the next generation of researchers; the need for funders to better align their funding to support engagement; and the continued need for culture change. Addressing these changes will provide a more fertile ground where engagement can flourish and become genuinely mainstreamed in university cultures.

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# UNITED STATES

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## The United States: Opportunities for Growth in a Dynamic Landscape

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The United States—a large, diverse country with a huge economy—has a wide range of experience, history and structures for community-university research partnerships (CURPs), and the variety of philosophies and practices is rich and complex. In areas scattered widely throughout the country, there is authentic community-based research (CBR) being conducted with varying levels of community participation (Strand, Marullo, Cutforth, Stoecker & Donohue, 2003) and a few communities of practice concerned with equitable research partnerships. But in a recent global survey, only 15% of the U.S. institutions that responded to the survey reported that the research challenges originated in the community, despite the institutional structures or centers labeling themselves “community-based” (Tremblay, Hall & Tandon, 2014).

Challenges to CURPs cited by respondents to the UNESCO survey included lack of available Institutional Review Board (IRB) training for community members in Community-based Participatory Research (CBPR); funding for PhD research assistants; more paid staff from the community as co-investigators; and a need to “mandate more equitable partnerships including evaluations from community members”. Another respondent cited funding instability overall, and “insecurity - within the academy...inconsistent support for engaged faculty, fewer tenured positions, tenure decisions often made on the basis of grant and paper production, both of which are present in CURP, but working at the community level is time consuming;” and PIs report “being urged to do less community work and/or have had to make personal career decisions based on their commitment to working with communities” (UNESCO, 2014). Other challenges around short-term availability of students and academic calendars not synchronizing with community time frames have been detailed by previous research in the U.S. on academic-community partnerships such as service learning (Sandy & Holland, 2006; Stoecker & Tryon, 2009). A survey on global service learning was administered in 2012 to members of The Research Universities Civic Engagement Network (TRUCEN) in the U.S., and mirrored these findings, as well as a need for institutional frameworks, and a strong faculty connection to programs and partners (Tryon, Hood & Taalbi, 2013).

In October 2014, Cornell University announced a \$50 million challenge gift to spur a further investment of up to a total of \$150 million, with the stated goal to “educate students with the technical and academic knowledge to be engaged citizens of the world. The effort aims to achieve participation in high-quality, experience-based learning opportunities by all students at the undergraduate level by 2025” (Hayes, 2014). Research is mentioned as one of the activities that will be considered from a student learning outcomes perspective: “...[through] volunteer activities to intellectual engagement to the pursuit of careers that benefit others, students’ ...outcomes will be transformed [and] extend programs beyond the classroom that nurture empathy, initiative, cooperation, self-reflection and compassion” (Cornell Chronicle, 2014).

## History

The Land Grant university philosophy dating from the Morrill Act in the 1850s (Cooper, 1999) created vast numbers of community-university partnerships in agriculture, health-related and many other disciplines, mostly following the one-way or translational methodology of the university ‘extending its knowledge’, but there has also been CBR in a co-constructed framework by engaged scholars with some institutional support. Action research and participatory action research were taken up in the 20th century by scholar practitioners such as John Gaventa and Myles Horton at Highlander and Randy Stoecker at the University of Toledo (Kemmis & McTaggart, 2008; Strand, et al., 2003). Several notable centers have provided structures for this work, which will be detailed in this paper. However, this equitable form of engagement where the community half of the partnership has an equal voice in decisions about design and research agenda has been slow to expand in the U.S. in comparison to the proliferation of service learning and co-curricular volunteer activities or alternative breaks.

## Institutional infrastructures for CURPs

There is no centralized national structure that deals specifically with CBR, although the National Campus Compact, a nonprofit intended to promote campus-community engagement in general, has 1100 institutional members in the United States, and CBR is a piece of their national dialogue. The TRUCEN network is a subset or outgrowth of the Campus Compact that has thirty-nine members ranging from private schools like Stanford, Brown, Tufts and Harvard to state and land-grant universities Michigan State, Georgia, Pennsylvania, Texas-Austin, Michigan-Ann Arbor, Wisconsin-Madison, Berkeley and UCLA. The National Science Foundation (NSF) and the National Institute for Health (NIH) are two ‘major players’ in the federal academic granting mechanism. The NIH website’s homepage does not specifically mention community impact. However, calls in 2007 and 2012 mention CBPR. Since 1997, the NSF has lifted up importance



of community outcomes by a review process that incorporates “broader impacts”, defined here as “the potential to benefit society and contribute to the achievement of specific, desired societal outcomes” (National Science Foundation, n.d., Merit review criteria section, para. 3).

The NSF held summits in 2013 and 2014 on creating institutional infrastructure for broader impacts. Academic leaders such as Nancy Cantor, Chancellor at Rutgers University, advocated for “...[the] need to shift our approach from public communication to public engagement” and for institutions to “be ‘of the community,’ meaning ...[they] come together to commit to innovation and social mobility” (NSF, 2014, p. 1). However, beyond those calls for greater collaboration with community, the language in the most recent NSF grant proposal guidelines does not go beyond a translational approach with this guidance (e.g., “researchers are increasingly reaching out to the general public as a means of raising awareness and increasing appreciation of the role that science plays in the quality of everyday life” [NSF, 2014, p. 1]) toward a recognition of community knowledge or desire for participatory research proposals.

Within institutions, an analysis by Hall, Tremblay & Downing (2009) defines four major types of HEI structures for organizing community-university partnerships (cited in Fitzgerald, 2014). Beyond a common individual-level or “Type one” faculty-community project partnership, a “co-optive” or “Type two” approach has been used in targeted fields such as public health and economic development, and these research partnerships are becoming more interested in the CBPR end of the spectrum in methodology (Fitzgerald, 2014, p. 250). While the U.S. is a decentralized and polarized environment, there are pockets of multi-institutional partnerships that subscribe specifically to an equity approach in their research relationships. Many universities have a commitment to CBR in the field of public health in addressing health disparities. Meredith Minkler at University of California-Berkeley, as well as Nina Wallerstein at the Center for Participatory Research at University of New Mexico and Barbara A. Israel with the Detroit Community-Academic Urban Research Center, are among this group. The University of Illinois-Chicago’s Associate Professor Joy Hammel of the Department of Occupational Therapy responded to the 2014 UNESCO survey with the following information: “We have multiple CBPR/CURP projects that actively involve people with disabilities across diverse communities and result in policy/systems change that are also now being extended to other countries”(UNESCO Global survey data, 2014).

Michigan State University has a centrally-funded office of Outreach and Engagement with about a dozen staff headed by an Associate Provost; thus, in Hall et al.’s (2009) analysis, would also be considered a “Type 3” structure... with “an inclusive investment at the institutional level to define engagement scholarship as central to the mission of the university” (Fitzgerald, 2014, p. 250). The university’s mission statement includes a bullet point:

- “Advancing outreach, engagement, and economic development activities that are innovative, research-driven, and lead to a better quality of life for individuals and communities, at home and around the world”. (Michigan State University, n.d.)

The Office is comprised of thirteen departments. One of note is the Community Evaluation & Research Center, which states that it builds capacity for CBPR among other goals.

Several programs fit Hall et al.’s (2009) fourth type of multi-institutional structure. One is Arizona State University’s University-Community Partnership for Social Action Research (UCP-SARnet), a “growing network of...students, faculty, community activists, and governmental officials engaged in achieving the United Nations Millennium Development Goals” (Hoyt & Hollister, 2014, p. 141) in collaboration with the Kitchener, Ontario Centre for Community-Based Research (CCBR), the Warsaw (Poland) School of Social Sciences and Humanities and other international partners” (Hoyt & Hollister, 2014). Also at this level, not limited to CBR, the University of Minnesota system has an Office for Public Engagement, led by Associate Vice President Andy Furco, a well-recognized scholar on community engagement. The flagship campus in Minneapolis also supports the University Research and Outreach-Engagement Center, a satellite facility in an economically challenged neighborhood of the city. Faculty researchers travel to the site to collaborate with community members on a robust and diverse group of CBR and CBPR projects.

Another is the College/Underserved Community Partnership Program (CUPP), which has participants from thirteen HEI’s and twenty underserved communities in four states, with support from the U.S. Federal government’s Environmental Protection Agency, Department of Energy, Interior, Agriculture and Health, and Human Services (Burns, 2014). The community diagnoses what support they need and then CUPP funds the project through a local university, while allowing the community to remain the drivers of the projects. Other “Type four” networks that have U.S. membership include the *Talloires* Network hosted by Tufts University in Massachusetts, Community-Campus Partnerships for Health (profiled below) and TRUCEN.

One structure that resonates strongly with the global movement toward equitable campus-community collaborations is the “Science Shop” model (Leydesdorff & Ward, 2005; Mulder & DeBok, 2006) in use in the E.U. since the 1970s—a structure that affords communities an invitation to bring research questions in all disciplines to their universities or freestanding research entities, and exemplifies the co-creation and democratization of knowledge. There are many science shops in Europe, and some in Asia, Africa, Australia, and Canada listed in an international network called Living Knowledge ([www.livingknowledge.org](http://www.livingknowledge.org)), which is a major convener of conferences, grants and other resource sharing activities (Tryon & Ross, 2013). Until recently only a few existed in the

U.S. However, in addition to Science Shops at the two HEI's we profile below, others are beginning to catch on in the U.S. The University of Denver's Center for Community Engagement and Service Learning has initiated a Science Shop unit ([www.du.edu/ccesl/scholarship/scienceshop.html](http://www.du.edu/ccesl/scholarship/scienceshop.html)) designed to connect and collaborate with community-based organizations in diverse areas of study. Another new science shop at the University of California-Berkeley ([ucbscienceshop.com](http://ucbscienceshop.com)) is a graduate student-sponsored initiative.

In the context of the dizzying number and type of interactions and overlaps between HEIs and civil society organizations (CSOs) in the U.S., the space limitations of this report make it impossible to present an exhaustive look at these partnerships. Thus, the objective here is to take a deeper dive into two HEI's that have well-developed CURPs aligning with GUNI's 'Big Tent' doctrine with contrasting demographics: a large public, land-grant institution in a small city – the University of Wisconsin-Madison; and a smaller, private Jesuit university in a large metropolis—Loyola University-Chicago, specifically its Center for Urban Research and Learning (CURL). The two CSOs we will profile are also contrasting: one nationwide organization: Community-Campus Partnerships for Health, and one long-term local partnership with a Chicago neighborhood community developed by CURL at Loyola: ONE Northside, which has worked with CURL since the 1990s.

### **Case Study 1: Higher Education Institution–University of Wisconsin-Madison**

UW-Madison is a public, land grant institution with a 'Very High Research' (R1) designation comprising over 43,000 students and ranked 19th academically among world universities. Over a hundred centers and institutes conduct a prolific amount of research (ranking third in the U.S. in funding procured at US \$1.2 billion per year) on aspects of health, agriculture, bioenergy, poverty, and other fields from education to engines, including a unique public-private partnership, the Morgridge Institute for Research, headed by stem-cell pioneer, Professor James Thompson. For more than a century, the "Wisconsin Idea", a tradition first stated by UW President Charles Van Hise in 1904, who declared he would "never be content until the beneficent influence of the university reaches every family in the state" has guided the university (McCarthy, 1912).

#### **Institutional Structures**

The R1 designation would seem to position the UW-Madison well to assume a national leadership role in the field of community-based research, especially since the state of Wisconsin is host to over 31,000 nonprofit organizations and climbing. However, the UW-Madison has no formal office for community engagement, or other centralized support structure. In addition, the high-intensity R1 climate poses challenges to methodologies that take longer lab set-up times for commu-

nity relationship-building to develop and bring research partnerships to a quantifiable data stage. Individual standouts include Professor Randy Stoecker's work since 2005, especially in the area of perceptions of community organizations about service learning (Stoecker & Tryon, 2009), and community organizing and development (Stoecker & Beckman, 2009); and Professor Sam Dennis Jr.'s work on culture/nature landscapes and outdoor play environments with tribal communities ([vimeo.com/111664109](https://vimeo.com/111664109)). Other faculty are conducting research around themes of the environment, neighborhood capacity-building, health equity, and youth development. There are some campus awards, but only a few specifically designed for community engagement efforts including CBR. Despite these barriers, the UW has developed multiple unique centers across campus with a focus on community-based learning (CBL) or CBR that support faculty and graduate students. The following are the largest:

### **The Community & Nonprofit Studies Center (CommNS)**

CommNS is housed within the Department of Civil Society and Community Research in the School of Human Ecology (SoHE). Its stated mission is to facilitate a variety of community engagement efforts between faculty members, students and community to meet critical community needs including health, social services, housing, education, and emergency assistance. An 'Action Research Core' is the center's key structure in facilitating its community engagement. The group gives support to action research academics on campus who often feel isolated due to their small number within such a large institution. Many of the CommNS's community engagement projects have been integrated into the department's for-credit curriculum, with the following elements:

- CBR and action research graduate courses
- An undergraduate research evaluation course with community groups
- Independent study—an ad hoc incentive; sustenance not assured

There are no direct incentives for participation in community engagement projects. Rather, it is under an umbrella of an outreach program that is applicable to CBR or community engagement in general. Since many of the center's projects are funded by external grants, the department has recently hired a staff person to provide grant writing assistance to fund more student researchers.

### **The Morgridge Center for Public Service**

The Morgridge Center is a privately endowed center that will celebrate its 20th anniversary in 2016. Programs include both credit-based and co-curricular volunteer coordination. Credit-based initiatives entail two full-time academic staff and a faculty director who support all forms of engaged scholarship across campus. About forty-two CBL or CBR courses each semester are supported by course development grants, curriculum development guidance, ongoing support from a

trained undergraduate CBL Fellow, or consultation. A US \$5 million matching grant program just concluded with fifty-four CBL/CBR projects funded. In 2011, the UW's Academic Planning Council approved guidelines that include evidence of community support and input for CBL/CBR courses to be listed in the course guide and to be eligible for the Morgridge Center grants and some services.

A pilot CBR/CBL collaboration of the School of Human Ecology and the MCPS in 2010 led to a new program in the Morgridge Center: The Community-University Exchange (CUE), a CBL/CBR facilitation clearinghouse. It follows a hybrid version of the European Science Shop model. CUE facilitates community development work by introducing community partners to faculty and graduate students, and linking academic resources to community-identified priorities gathered in meetings with CSOs. Some projects are executed by CUE PhD Fellows or other faculty or staff. CUE-facilitated projects can either be stand-alone research or pieces of a service-learning course or courses linked together in a larger partnership. CUE has also helped build the professional capacity of graduate students and faculty through workshops and courses that focus on CBL/CBR methodology and pedagogy, or topics like grant writing, conflict resolution, facilitation, evaluation, and strategic planning skills.

Funds have been mostly utilized to support graduate student staff in developing partnerships with CSOs and on a database of faculty members whose research focus is on community engagement and community projects wishing to connect with the university. Faculty members are sometimes supported by course development grants for CBL or CBR courses and projects offered through their department. One example of a funded project was for a CUE PhD student to assist Professor Randy Stoecker in coordinating a variety of grassroots community improvement and violence prevention projects in Madison. The student helped to track projects to determine resource needs, intake and match requests for higher education resources and offers of assistance, facilitate communication between the UW and residents; and support two classes that developed a model of neighborhood/higher education partnership.

CUE is a co-founder, with CURL and De Paul University, of a new regional community of practice called the Midwest Knowledge Mobilization Network, following the principles of the Canadian KMB networks. Other members are centers for CBR at Notre Dame, UW-Milwaukee, Medical College of Wisconsin and Indiana University-Purdue University-Indianapolis.

### **Collaborative Center for Health Equity**

As part of the UW Institute for Clinical and Translational Research in the School of Medicine and Public Health, the Collaborative Center for Health Equity builds lasting partnerships and engages university and community partners in collaborative teaching, research, and service to improve health equity in underserved communities of Wisconsin. It is one of six cores within the UW Institute

for Clinical and Translational Research. The center maintains collaborative partnerships with tribal, urban, and rural partners throughout Wisconsin. For seven years, the center has been working with three Wisconsin Tribes and the Great Lakes Inter-Tribal Council (GLITC) in a family-based intervention to reduce obesity and cardiac risk factors in Native American children—“Healthy Children, Strong Families” (Adams, Miller-Korth & Brown, 2004).

Faculty Director, Alex Adams, M.D., came to understand the practical reasons for reaching out to communities before research planning or grant writing. In an early community-engaged experience with tribal communities, she was excited to take grant-purchased motivational tools like pedometers to a tribal reservation to start a walking/exercise group. However, when she arrived, the tribal women informed her there that walking around the reservation would be unsafe due to the packs of loose dogs roaming the area (personal conversation, October 7, 2010). Subsequent interventions were undertaken by meeting with tribal elders, government officials and other stakeholders to develop strategies that would allow residents more opportunities for exercise and healthy diet (Adams, Scott, Prince, & Williamson, 2014).

## **Case Study 2: Higher Education Institution—The Center for Urban Research and Learning, Loyola University-Chicago; and Long-term partner CSO—One Northside**

Established in 1996, the Loyola University Chicago Center for Urban Research and Learning (CURL) is an innovative, non-traditional, collaborative university-community research center housed within the largest Jesuit university in the U.S. with over 15,000 graduate and undergraduate students. Generally, CURL only completes research where CSOs or community leaders are involved in the research, from conceptualization and research design to data collection, data analysis, report writing, and dissemination. This places CURL and Loyola-Chicago in the forefront of American HEIs that involve communities in an equitable fashion in virtually all of its work.

CURL recognizes that there is both “university knowledge” (developed by discipline-based researchers using knowledge bases and methodological approaches developed over decades and primarily shared among members of particular disciplines) and “community knowledge”, among community leaders and residents, informed by lived experience. It is an awareness of the complex social interactions and histories within a particular community—a geographic community or community of interest.

By combining these and adding chairs at the research table—the place and time where research ideas are developed and research methods are designed—the collaborative approach reflects a community-anchored, community-informed research process that can produce rigorous research valuable in enhancing the quality of life. In addition to crossing university-community boundaries, CURL

research crosses the typical university disciplinary siloes. Since community partners typically have a holistic view of their surroundings, their participation creates everyday issues that typically calls for interdisciplinary research. The negotiation between researchers and practitioner/activists during the research conceptualization process makes this initial stage of research particularly important in shaping the research project. The back-and-forth between community and university produces a space where creative tensions are valued and lead to new approaches. Just as discussion, review, and debates among academics produce more rigorous research through critiques from colleagues, involvement of community partners in the research process adds to the quality of research. It forces academic researchers to better understand pressing needs of local communities. It helps community activists understand the value of systematic research approaches that yield research outcomes with credibility among elected officials and others involved in the policy process.

Research teams composed of faculty, graduate students, undergraduates, community partners, and CURL staff complete most CURL projects. This guarantees that there are multiple perspectives in the research process. All team members are potential teachers and learners. The knowledge of faculty researchers as well as community members and students is recognized in this process. More information on CURL and its projects is available on its website: [www.luc.edu/curl](http://www.luc.edu/curl).

### **CURL's Partnership with One Northside**

In many cases, CURL's connections with community partners span many years and many projects. For example, CURL has been working with a grassroots advocacy organization, Organization of the NorthEast (ONE) since CURL's inception. In the mid-1990s, ONE was battling to preserve affordable housing in ten high-rises in Uptown, a Chicago community area of 60,000 known for its long-term stable racial, ethnic, and economic diversity. Developers of these buildings had received U.S. Department of Housing mortgages in return for providing affordable housing. However, they were attempting to pay off the mortgages early and flip these lakefront community apartment buildings to market rate units during the condo conversion craze that was already displacing low-income families throughout the city. CURL worked with ONE in documenting both the technical issues and tenants' organizing stories.

A 35 page booklet, *Saving Our Homes: The Lessons of Community Struggles to Preserve Affordable Housing in Chicago's Uptown*, contributed to ONE's successful organizing effort that used local confrontational tactics and savvy political organizing to get unanimous Chicago City Council support, favorable editorials in Chicago's major papers, and support of scores of community leaders. This organizing campaign was particularly distinctive because its ultimate target was a member of the U.S. President's cabinet. ONE and its supporters succeeded in forcing the

U.S. Secretary of Housing and Urban Development to end his opposition to the community's demands, and agree to sell to community development corporations that would preserve this relatively high quality affordable housing. The 3,000 copies of *Saving Our Homes* were used to underscore the need for the housing, but also to document the importance of tenant leaders in the success; it continues to be used in leadership training.

After this study, CURL went on to work with ONE on another project looking at the impact of welfare reform on local residents. CURL completed interviews and wrote a series of research briefs highlighting key issues, such as the potential displacement of elderly legal immigrants from stable housing because of welfare reforms that cut off food and housing supports. This report led to newspaper and television coverage that bolstered ongoing organizing pressure by ONE on elected officials to stop the cutoff. ONE and its organizational partners in Chicago, as well as nationally, succeeded in getting these welfare reform provisions dropped.

After almost 20 years of collaboration, CURL is now working with ONE to evaluate its merger with another advocacy organization to create the new ONE Northside—an organization that has doubled in size in the city of Chicago. Recognizing that decisions are made by large forces sometimes appearing beyond the reach of small neighborhoods, ONE Northside is taking on the challenge of these powerful forces at the same time as it maintains its strong grassroots ties, to preserve its democratic underpinnings. As an “organization of organizations”, ONE Northside is combining the power of congregations, businesses, schools, neighborhood associations, youth organizations, and social service agencies to protect the interests of all residents in these diverse communities. The research is guided by a team and advisory committee including both ONE Northside members and CURL staff (one of whom is a former youth organizer before getting her Master's degree). To CURL, this is a critical research issue in its series of collaborative studies on how to preserve stable diversity in urban and suburban communities. Most importantly it represents a long-term university-community partnership that recognizes that effective social change does not happen as the result of just research, rather it comes as a result of the leadership and organizing efforts of community members able to use research for support and guidance in their policy advocacy.

### **Case Study 3: A Large Civil Society Organization–Community-Campus Partnerships for Health**

Community-Campus Partnerships for Health (CCPH) is a “nonprofit membership organization whose mission is to promote health equity and social justice through partnerships between communities and academic institutions” (ccph.memberclicks.net). While having a focus on health, broadly defined, the CCPH has been an invaluable resource in North America and in many other parts of the world since 1997. It plays a crucial role in providing practical tools and inspiring sto-



ries, connecting people, and promoting opportunities for advancement of authentic partnership. Its online resources and toolkits are highly regarded as works of praxis. One of its unique characteristics is a set of “Principles for Partnership” (see box) that focus on the intentional rebalancing of academic-community engagement toward shared power, so that community perspectives have a more equitable voice in decision-making about the research and project work of the partnership (Holland, 2005).

### History

CCPH grew out of the Health Professions Schools in Service to the Nation (HPSISN), a program funded by the Corporation for National and Community Service, The Pew Charitable Trusts and 17 institutions that participated in the program that ran from 1995-1998 (Gelmon, Holland & Shinnamon, 1999; Cruz & Giles, 2000). The Pew Health Professions Commission galvanized support for the CCPH’s early advocacy for competencies needed by the health professions to practice, which included: embracing an ethic of civic responsibility and service; incorporating population-based care; partnering with communities; and advocating for public policy that promotes and protects the health of the public. ([ccph.memberclicks.net](http://ccph.memberclicks.net))

### Institutional Structure

The CCPH organizational model is a membership-based collaborative and interdisciplinary model that focuses on the partnership as a leverage point for societal change in health and beyond. There are over 1500 CCPH members,

**Principles of Partnership:** *recognized and applied nationally and globally (CCPH website)*

- *Partnerships form to serve a specific purpose and may take on new goals over time.*
- *Partners have agreed upon mission, values, goals, measurable outcomes and accountability for the partnership.*
- *The relationship between partners is characterized by mutual trust, respect, genuineness, and commitment.*
- *The partnership builds upon identified strengths and assets, but also works to address needs and increase capacity of all partners.*
- *The partnership balances power among partners and enables resources among partners to be shared.*
- *Partners make clear and open communication an ongoing priority by striving to understand each other’s needs and self-interests, and developing a common language.*
- *Principles and processes for the partnership are established with the input and agreement of all partners, especially for decision-making and conflict resolution.*
- *There is feedback among all stakeholders in the partnership, with the goal of continuously improving the partnership and its outcomes.*
- *Partners share the benefits of the partnership’s accomplishments.*
- *Partnerships can dissolve and need to plan a process for closure.*

including individuals and groups that are affiliated with colleges and universities, community colleges, community-based organizations, health care delivery systems, and/or foundations with a commitment to social justice. They work to improve the health of communities through CBL, CBPR, and other community-academic partnership strategies in the U.S., Canada and abroad.

### **Institutional Incentives and Capacity**

CCPH is funded through member dues and contributions from organizations as diverse as the National Campus Compact and Environmental Protection Agency (EPA), to private donors such as the Annie E. Casey and W.K. Kellogg Foundations, which creates a resource pool for scholarships and awards. The CCPH Annual Awards typify and exalt models of truly authentic collaboration. In 2008, the annual award was given to a partnership between the University of Pennsylvania and the Decatur Community Association in rural Ohio. Air and water were polluted by a chemical from a nearby DuPont production facility. Information disparities between the community, regulators and industry were problematic. The partnership undertook CBPR research with an Environmental Justice grant that found very high levels of the chemical (considered a probable human carcinogen by EPA) in the blood of residents, and identified water as the source. On the day the results were released to the community, DuPont announced it would supply free bottled water to residents served by the water distributor. 78% of eligible residents accepted the offer. Dr. Emmett from the University stated “high-quality CBPR empowered the community and led 95% of studied residents to voluntarily change their drinking water source with subsequent measurable decreases in their blood chemical levels” (Dr. Emmett, personal correspondence, December 1, 2014).

The CCPH hosts a CBPR funders’ interest group committed to advancing CBPR, conducts research to identify CBPR benefits, challenges and best practices, and provides scholarships and other grants for new curricula. CCPH also promotes CBPR through their listserv, training and technical assistance, resource toolkits, and consultancy on topics including research ethics. Founding executive director Sarena Seifer, who served CCPH for seventeen years, has authored or co-authored dozens of oft-cited articles and resources and has acted as a galvanizing force in the organization and the field. Other networks associated with CCPH include the Community Network for Research Equity & Impact, Living Knowledge and Community-University Expo.

### **Conclusion**

As was mentioned earlier, limitations of space make it unfeasible to name every noteworthy CURP in the U.S. and more are being created all the time. Change is happening quickly by academic standards; in the few decades since the rise of service learning as a popular pedagogy, many HEIs are moving toward

a more evolved, equitable practice of community engagement. A National Task Force on Civic Learning and Democratic Engagement convened by the White House in 2012 and commissioned by the Department of Education released a report called “The Crucible Moment”, which calls on the nation to reclaim higher education’s civic mission (National Task Force on Civic Learning and Democracy Engagement). Some of the responses by higher education institutions to this unfunded mandate include developing innovative civic engagement activities, involving more academic staff in campus committees that promote civic learning, and integrating engaged scholarship as part of faculty and instructor professional development and in some places even in new guidelines for tenure review.

The Carnegie Foundation Classification is becoming more sophisticated in its ability to assess authentic CURP work as a part of overall community engagement, and universities and colleges with the designation must prove continuing progress in goals every five to ten years, including assessing community impact, faculty rewards for engaged scholarship, and nurturing collaborative, two-way partnerships (Campus Compact, n.d.).

Looking outward toward global movements and trends will become increasingly important. As one indicator, the U.S. based Engagement Scholarship Consortium’s annual conference was held in Canada for the first time in 2014. Many American participants were able to hear fresh perspectives by Canadian institutions performing groundbreaking CBPR work that could influence U.S. theory and practice. Ties to Living Knowledge Network have strengthened through regional coalitions such as the Midwest Knowledge Mobilization Network. The TRUCEN membership voted unanimously to endorse GACER’s platform and work of the UNESCO Chairs in 2012. Also entering the U.S. conversation is the “collective impact” work based on Canada’s Tamarack Foundation (HanleyBrown, Kania & KraMer, 2012) as well as dialogue around knowledge mobilization, critical engagement and democratization of research.

Mathews (2014) points out that while the civic engagement movement on U.S. campuses has “much to admire”, institutions may be missing opportunities to allow communities the chance for self-rule as opposed to fixating on proving impacts of their academic programs. It seems common sense that solutions devised in an academic vacuum are not likely to be sustained, while collective decision-making in an iterative and democratic fashion has a better chance of creating change. In a recent UW-Madison PhD’s dissertation research on the impact of community-campus partnerships in post-Hurricane Katrina New Orleans, residents shared experiences about the swarms of academic researchers who descended on the Lower 9th Ward at that time of crisis. Some, even when trying to behave in “mutually beneficial ways”, did not possess the skills to listen and collaborate authentically, while a small number actually helped them move their community-wide rebuilding agendas forward. Those are the academic partners who will be invited to return, and whom younger generations of students and new faculty aspire to emulate.

## Acknowledgements

Since the majority of community-university partnerships in the United States are university-driven, the selection of case studies that are indicative of an equity model of CURPs is not particularly easy. Thus, we are grateful to a number of individuals who have provided assistance for this chapter. To Budd Hall, Crystal Tremblay and Rajesh Tandon for advice on the organization on this collaborative project and for their feedback on our initial draft; to Felix Bivens for guidance on identifying potential US institutions, to Amy Hilgendorf for sharing information about the CommoNS; to Sarena Seifer and Dr. Ted Emmett for information about the CCPH awards; Haley Madden and Tessa Sliwa for background research on U.S. CBR programs; and Randy Stoecker for continued guidance and mentorship.

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## CHAPTER 5

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### **A Comparative Analysis of Country Wide Higher Educational Policies, Institutional Structures, and Regional Networks on Community-University Engagement (CUE) and Community-University Research Partnerships (CURPs)**

Rajesh Tandon and Wafa Singh

In this chapter, we present a comparative analysis of the case studies. These studies show that policies and practices at the national, regional, institutional (HEI) and community level will impact whether and how HEIs integrate CURPs into their mandates. All of the case studies, while coming from a diversity of socio-economic, political and cultural contexts, highlight the idea that for CURPs to succeed, governments' and HEIs must support the ideas and philosophies of community engagement (CE) and community-based research (CBR). In addition, specific funding and knowledge sharing structures at all scales must be created that support this philosophical engagement.

We found that on the national scale in most countries, policies for higher education do not situate the contribution of higher education within the framework of socio-economic transformation. This impacts the readiness of HEIs to accept community engagement as part of their mandate. Inclusion of CE in national policies will encourage individual HEIs to adopt it, as has been shown in countries that have begun this formalization process.

In addition, national policy statements on CE often exclude the role of research, whereas other forms of engagement are more common. Some of the case studies show that national funding councils and schemes can encourage HEIs to integrate research into their community engagement.

We also observed that funding mechanisms often fail to incentivize principles of mutuality and co-construction of knowledge with communities, including valuing indigenous and practical knowledge. This may explain why the principle of mutuality is not always practiced in CE at HEIs. National or provincial networks that promote CBPR methodology in research can help address this issue. We suggest that governments can support the emergence of CURPs through targeted research funding, particularly that which emphasizes CBPR methodology.

At the HEI level, we found that several aspects of policy and practice facilitate the adoption of CURPs. This includes the clear institutionalization of practices

and criteria around funding. Leadership at HEIs plays an important role in these decisions and should be made aware of the importance of CURPs.

In addition, HEI structures such as Centres, Shops and Institutes play a critical role in CE. These structures include the human capacity to facilitate linkages inside and outside HEIs, and improve the visibility of CE efforts. However, while these structures do facilitate CE, they tend to be dominated by HEI administration. We feel that adopting co-governance practices with communities and civil society could strengthen their work.

Often led by the work of such centres and institutes, we found that several networking opportunities exist for HEIs. It also becomes clear that similar networks based in civil society are rare. Development of civil society networks could promote CE by providing collective voices, practical experiences and solidarity.

An important aspect of CE at HEIs is the provision of incentives. These take the form of awards, recognitions and accreditations, and can further incentivize CUE.

In terms of training, we feel it is problematic that centres and institutions actively promoting CUE, including CURPs, do not commonly provide for any systematic capacity building to their own staff. A critical form of training for CUE is to build student and researcher capacity in CBPR and mutual learning, yet most HEIs world wide do not focus on CBPR as an essential component of the broad CE framework. Learning to value local community knowledge as the basis on which new knowledge is developed is challenging for students and faculty in HEIs. Structured training in CBPR can facilitate such learning, and can help prepare both students and faculty to work in partnership with communities in an effective manner.

Although communities and CSOs are often a part of CBR projects at HEIs, they do not have access to the research funds allocated to the universities. As a result, civil society has to depend on its own skills of fund-raising and mobilization of local/national/international resources. This causes an erosion of capacity and resources in civil society and community. There is an urgent need to address this challenge in ways that enable civil society and community to work in partnership with universities to undertake joint research.

We conclude finally that recognition must be given to the overall importance of CE activities to the implementation of social responsibility at HEIs. As this area of concern emerges, there is also a need to disseminate the ideas widely, so they gain popularity, clarity and credibility.

We will now discuss these ideas and recommendations at greater length, drawing from the specific examples that emerged from the case studies.

## NATIONAL POLICY FRAMEWORKS

**When overall policy frameworks at national/provincial levels position Higher Education (HE) as contributing to socio-economic transformation, there is greater readiness to accept community engagement (CE) as an integral part of the mandate.**

In this volume, Lepore and Herrero suggest that Argentina's education policy explicitly recognizes S-L (service learning) as an approach through which universities can bridge theory and practice, and integrate the extension, research and teaching functions that contribute to the university's social responsibility and academic excellence. This policy focus resulted in three initiatives at the national level which aimed at developing and consolidating CURP structures and practices in HEIs. These are the national programs of S-L, the University Volunteers Program, and socio-technological development projects. The National Education Act incorporated two pillars of the S-L approach as key objectives of education policy: civic and academic participatory education and advanced learning goals, combined with conscious reflection and critical analysis (Lepore & Herrero). This policy focus on fostering social responsibility for social transformation has played a crucial role in the integration of S-L, as a form of CE, into the higher educational mandate in Argentina.

In Brazil, the 'Citizen Constitution' of 1988 promoted the rights to education, work and decent wages, and social security. It allowed public funds to be allocated to private, community, religious or philanthropic schools that link teaching, research and service to the community—called *extensao* (Tremblay et al., this volume). A constitutional focus at the universities played a key role in the integration of CE into the educational mandate of the HEIs. In addition, university extension services have been emphasized (Tremblay et al.). This illustrates the importance of a university's mission to meet its social obligations and duties.

In Indonesia, Wardhani and Asri (this volume) explain that the higher education policies here have been very clear on the incorporation of community engagement as a part of regular HEI activities. The term *Tri Darma Perguruan Tinggi* points to the three obligations of higher education: education, research and community service. The community engagement focus of HEIs in Indonesia also comes out through the often used term *Pengabdian Masyarakat*—servitude towards the community.

In India, Singh and Tandon assert that a focus on HE as central to socio-economic transformation has been clear since independence. For instance, the most important post-independence document on education, the *Kothari Commission Report* (1964-66), called for the expansion of higher education to meet the requirements of the nation, as well as the social ambitions and expectations of the people. The National Policy on Education in 1986 aimed not only on developing human power for serving the economy, but also on developing crucial values (Singh & Tandon). The focus on HE as key to overall development

also extended to the structuring of the Five Year Plans (FYP) in India. The 12th FYP (2012-2017) proposed to further the quality of higher education by strengthening community engagement in HEIs, and promoting social responsibility. For this purpose, a National Initiative to Foster Social Responsibility in Higher Education would be launched.

Although Jordan has a strong education policy, there is no official strategy towards CURPs. The Law on Higher Education and Scientific research states that HE aims to support scientific research which aims at community service and development, and to create an institutional link between the public and private sectors, and institutions of higher education (Feinstein & Rabai, this volume).

Luescher-Mamashela et al. (this volume) suggest the promotion of CURPs in South African must be seen in terms of the mandate of HEIs to respond to the social, political and economic transformation of post-apartheid society. For example, the National Research Foundation established a number of funded South African Research Chairs (SARChI) dealing with matters of social responsibility in higher education. The higher education policies in South Africa saw overall development of the society as being one of the important objectives of higher education. This, as a result, led to easy and effective integration of CE, in the HEI mandate, as an important criterion for fostering social responsibility.

In Uganda, the Universities and Other Tertiary Institutions Act (UOTIA) of 2011 requires universities to include in their teaching and research programs solutions to social and economic problems in the community (Openjuru, this volume). This positions HE as important to socio-economic development, and mandates them to include some attention to the community in relation to curriculum. While the nationwide student field attachment policy is implemented by all private and public universities, the Act does not mandate HEIs to incorporate CE in the regular course curriculum, nor does it lay down any specific monitoring or evaluation mechanisms.

In this context, it is interesting to note that the European and the North American policies remain silent on this front. In the UK there is an emphasis on public engagement in research with no overarching policy mandate on higher education. In the U.S., there are no clear policies on higher education or community engagement, with the exception of Land Grant Universities (LGU) which have created vast numbers of community-university partnerships. These CURPs usually follow extension methodology, but sometimes implement CBR principles that use a co-constructed framework (Tryon et al., this volume). In Canada, higher education is a provincial government mandate, not federal. This has placed the Association of Universities & Colleges in Canada (AUCC) in a crucial agenda setting role through which they have encouraged their members to deepen community partnerships (Brown et al., this volume).

*We conclude that national policies for higher education in most countries do not necessarily situate the contribution of higher education within the framework of socio-*

*economic transformation. Where public policies embed HEIs in national reconstruction efforts, readiness to accept CE as an integral part of the functioning of HEIs is demonstrated. CE is then viewed as one of the vehicles through which such roles for HEIs can be realized.*

## NATIONAL POLICY FRAMEWORKS

**Explicit inclusion of CE in national policy is a more recent phenomenon in most countries and it encourages HEIs to institutionalize CE.**

In Argentina, S-L learning goals have been explicitly included in legal and normative frameworks of HEIs since the early 2000s. The economic, social and political crisis of 2001 saw increased efforts to engage education institutions with community partners (Lepore & Herrero). Solidarity Education (*Edusol*) encouraged community services and the institutionalization of CE in HEIs. The *Edusol* program also played a crucial role in the enactment of the National Educational Act in 2006, which sees the S-L approach as one of the key objectives of educational policy.

In Brazil, the concept of *extensao* refers to the linking of teaching, research and service to the community. The Brazilian Educational Law (1996) states that HEIs should develop extension activities alongside teaching and research. These extension services have been emphasized with the National Forum of Extension's of Vice-Chancellors of Brazilian Public Universities (Tremblay et al.). The Citizen Constitution of 1988 also calls for universities to develop extension policies as well as institutional frameworks to facilitate their involvement with communities.

The institutionalization era for CBR in Canada was from 1998 to 2012, followed by the current national engagement period. It began with the Canadian Social Sciences and Humanities Research Council's (SSHRC) Community-University Research Alliances (CURA) funding which was inspired by the participatory research traditions and the Dutch Science Shop movements of the late 70s & 80s. As Canadians have institutionalised community-based research, they have drawn on practices from other parts of the world as well as developed their own home-grown strategies of CUE. An important national space for CURPs is the Community University Exposition or CUExpo. Many institutions have adopted the language of community engagement including Simon Fraser University. The University of Victoria launched the first Office of Community Based Research in English speaking Canada in 2006 and has continued to build the institutional infrastructure to support this work (Brown et al.).

In Indonesia, although community engagement activities can be traced back to independence in 1945, it was only in the 1980s that the state obligated the HEIs to run village adoption programs. In the beginning, the meaning of the term CE encompassed a varied number of community service activities or extension programs. However, around the year 2000, the meaning narrowed to programs that initiate or drive social change as well as solve problems in community using a

partnership approach. Such community service activities in Indonesia have been institutionalized nationally under a structure known as *Lembaga Penelitian dan Pengabdian Masyarakat* (Institute of Research and Community Engagement).

In India, the focus on HE as a contributor to overall national development culminated with it being incorporated as a crucial element in the 12th Five Year Plan. Following this, the Planning Commission set up a Sub-Committee on “Strengthening Community Engagement in Higher Education”, whose recommendations led to the UGC scheme on fostering community-university engagement in HEIs in 2014.

In Ireland, there are three national level policy instruments that have played a crucial role in envisioning community engagement as an important component of the academia. They are the National Strategy for Higher Education to 2030, the Higher Education System Performance Framework 2014-2016, and the University Act. The policy vision in Ireland broadly offers support for Community Based Research (CBR). However, there is no requirement for CBR practices to be implemented within the HEIs, or for designated funding for supporting such efforts.

The policy environment in South Africa changed after the first phase of post-apartheid higher education restructuring drew to a close. The South African Council on Higher Education became a key driver in the process of conceptualizing and promoting community engagement, and the National Research Foundation (NRF) launched a community engagement funding program in 2010. At almost the same time, the Department of Science and Technology created the Community University Partnerships Program, while the Minister of Science & Technology established a review committee for developing strategies for the advancement of social innovation. In addition to this, since 2009 the Department of Higher Education & Training has been focusing on the inclusion of social responsibility and community engagement as one of its policy instruments.

*In conclusion, while several national policies on HE have included a general reference to societal good, explicit inclusion of mandates for CE is a relatively recent phenomenon. As international recognition for CE has been gaining momentum, many countries and HEIs have begun to formalize policies for CE.*

## HEI POLICIES

**Policy statements on CE in HE do not mention research explicitly; in its absence, other forms of engagement are more common.**

In Argentina, institutional practices that promote community-university partnerships (CURP) in HEIs of Argentina are commonly framed within the pedagogical approach known as Service-Learning (S-L) (Lepore & Herrero). This is a form of experiential education in which the students engage in organized service activity that addresses varied community needs, and also reflect on it to achieve the desired learning outcomes, and an enhanced sense of personal value and civic

responsibility. These authors suggest that S-L is a key mechanism for engaging faculty and students with community partners.

As per the Citizen Constitution enacted in 1988 in Brazil, the HEIs have adopted the concept of *extensao*, a process that establishes the integrated relationship between university and society. In accordance with the Brazilian Educational Law and the National Forum of Extension's of Vice-Chancellors of Brazilian Public Universities, the HEIs deliver extension services as a primary function of providing practical experience to the students (Tremblay et al.).

CE activities in Canada are broadly manifested under the umbrella of community based research (CBR), which explicitly provides for joint research with the communities for mutual benefits. As per its Canadian definition, CBR is a research methodology which is community situated, collaborative, and action-oriented. The process and results are designed to be useful to community members in making positive social change and promoting social equity (Brown et al.). CBR in Canada also tends to embrace the principles of OCAP (Ownership, Control, Access and Possession).

The Indonesian case presents one of the few examples wherein community engagement explicitly includes the term 'research'. The nationwide institutionalized structure for community engagement is known as *Lembaga Penelitian dan Pengabdian.*, In some HEIs, research is separated from community service through the establishment of both a *Lembaga Pengabdian Masyarakat* (Institute of Community Engagement) and *Lembaga Penelitian* (Institute of Research) (Wardhani & Asri).

The latest policy level developments in India have provided a fresh focus to social responsibility and community engagement in universities. The UGC's latest scheme provides for the establishment of a Centre for Fostering Social Responsibility and Community Engagement in Universities. This provides an overarching framework which includes service learning, participatory research, and knowledge dissemination/transfer (Singh & Tandon).

In South Africa, a number of common elements that characterize community engagement have been identified. These include research oriented forms such as participatory action research and community-based research, and teaching oriented forms such as service learning, clinical service, continuing education courses, and the collaborative production of popular educational materials. All operate at local, regional, national and sectorial levels. Therefore, according to Luescher-Mamashela et al., research partnerships between communities and universities have a high profile in South African public higher education.

In Uganda, the absence of broad national policies allows HEIs to create their own policy guidelines for CUE. Accordingly, most universities include CUE in their mission statements (Openjuru). Often known as the "third mission" in the language of engagement, community outreach takes the form of undertaking

research and community development projects in the community, and of developing relationships with external stakeholders in industry and commerce. Beyond this, universities such as Makerere University describe CUE in terms of knowledge transfer, partnership, and networking. Here, knowledge production and transfer between the university and the community is considered a two-way process which calls for a closer collaboration between the two actors. This follows the school of thought that regards both the communities and the universities as knowledge generators and knowledge recipients.

In the UK, a fresh and renewed focus was given to public engagement in research in 2008 through the “Beacons for Public Engagement” initiative. It provided for the capacity building of institutions, creating networks within and across institutions, and enabling HEIs to test different methods of supporting public engagement. According to the National Coordinating Centre for Public Engagement (NCCPE), public engagement is the myriad ways in which higher education and research can be shared with the public. Engagement is by definition a two-way process with the goal of generating mutual benefit (Duncan & Manners, this volume).

*From these examples, we conclude that CE is being prioritized differently in different contexts. Most CE efforts focus on students’ learning opportunities, sometimes with credit, and often without. A common practice in CE is extending the knowledge and expertise of HEIs to nearby villages and slums, based on the assumption that such extension efforts will benefit the community. Unless explicitly mandated and resourced, research activities do not readily become a part of CE efforts in most HEIs. It appears to be a common assumption amongst HEIs that knowledge production is entirely an ‘in-house’ activity.*

## FUNDING FOR RESEARCH

**Where explicit focus on research in CE is encouraged through funding councils/schemes, HEIs include research as a part of community engagement plans/activities.**

The main source of research funding for HEIs in Brazil has been through the National Secretariat for Science and Technology along with several agencies under the secretariat. In addition, the federal government in Brazil has substantially increased programs and investments in innovation. As a result, there has been an increase in business dynamics in this field and greater interaction between universities, private industry and civil society (Tremblay et al.). Such agencies and mechanisms, by providing research support, play an important role in incentivizing HEIs to integrate research in their community engagement activities. Tremblay et al. discuss the incubator model, which is a hybrid organization supporting interactions between university, industry and government. A premise of this model is that research and teaching activities should contribute to economic and social development as well as to the education of students and advancement of knowledge.



In Canada, the creation of Canadian Social Sciences and Humanities Research Council (SSHRC) Community University Research Alliances (CURA) funding window created a foundation of engaged scholarship. Funding agencies in Canada such as SSHRC helped to create a favorable policy climate for mainstreaming community based research and institutionalizing partnership principles. SSHRC recognized that if social sciences and humanities research was to have the most impact, community groups, businesses and academics would have to find new ways to work across disciplines and sectors (Brown et al.). In 2014, SSHRC made \$337 million worth of grants to 8674 projects. Two federal granting councils, the National Science and Engineering Research Council (NSERC) and Canadian Institutes for Health Research (CIHR) have also been making progress towards engaged scholarship.

Jordan experiences low academic research output, especially in the social sciences, despite being renowned in the Arab world for its education standards and efforts to develop a knowledge economy. The absence of cohesive strategies contributes to the low level of academic research, as does an emphasis on applied science research over social science (Feinstein and Rabai). Apart from the absence of a research culture, the prevailing conditions in the country and region, such as an ongoing refugee crisis, diminishes the scope for community engagement and CURPs.

The National Research Foundation (NRF) in South Africa is mandated to promote and support research in HE. This includes objectives to facilitate the co-creation of new knowledge in CBR projects by providing funding to emerging and established researchers. The NRF established a number of funded South African Research Chairs (SARChI) dealing with matters of social responsibility in higher education. This suggests an explicit focus on research in community engagement initiatives in the South African HE policy (Luescher-Mamashela et al.).

In the UK, the NCCPE has made efforts to broaden the range of public engagement. A consortium of research funders came together to develop a “Concordat for Engaging the Public with Research”. In 2001, the Higher Education Innovation Fund (HEIF) was established to provide funding to universities to facilitate the exploitation of research (Duncan & Manners). Although bulk of this funding is directed towards industrial/commercial activity, community activities and public engagement have also been supported. Additionally, the UK Research Councils have been involved in funding the “Catalysts for Public Engagement”, under which universities have been funded to embed strategic support for public engagement. The UK research funding uses a ‘dual support’ system which involves regular retrospective assessment exercises conducted by the HE funding councils, who then provide institutions with a block grant on the basis of the performance in the last assessment period. In parallel, the Research Councils have competitive funding available to universities (Duncan & Manners).

In the Netherlands all universities are public and obtain their core funding from the national government. These universities then fund individual engage-

ment efforts between the universities and the communities. Additional funds are available from research councils and governments, companies and the European Union. Community contributions are also pursued if the costs of a particular project surpass that of a regular student project. In some cases, subsidies can be obtained by the university or the community organization (Mulder & Straver, this volume). This window for research funding opens avenues for the universities to integrate CURPs as part of their broader community engagement agenda.

In federally funded research in the U.S., the academic granting mechanisms revolve around two major players: the National Science Foundation (NSF) and the National Institute for Health (NIH). Since 1997, the NSF has placed increased importance to community outcomes by using a review process that incorporates intellectual merit and broader benefits to society (Tryon et al.). Recent NSF grant proposal guidelines follow a translational approach towards the recognition of community knowledge, and a desire for funding proposals which include participatory research.

*These cases illustrate that research-based community engagement is encouraged by funders as a distinctive part of CE in HEIs. In some cases, community-based participatory research methodology as a driver of such CE, is explicitly recognized. This legitimizes the use of CBPR methodology in research partnerships between communities and HEIs.*

## **FUNDING FOR PRINCIPLES OF MUTUALITY AND INDIGENOUS KNOWLEDGE**

**Principles of mutuality and co-construction of knowledge with communities, and valuing indigenous and practical knowledge, are not explicitly incentivized in funding mechanisms.**

The broad funding mechanisms and agencies providing funding grants in Brazil have been mainly aimed at increasing business dynamics in this field and have resulted in greater interaction between the university, private industry and civil society. Although networking between different actors has been achieved, incentivizing mutuality with the community has been underemphasized. In the process to achieve larger gains, the funding mechanisms have neglected the essence of research partnerships between the universities and the communities, which is the sense of mutuality and co-construction of socially relevant knowledge. Similarly, the NRF in South Africa does not explicitly support community engagement, although it does offer adequate assistance to community based research projects.

While the NSF granting facility in the U.S. tends to encourage community-based participatory research, it does not explicitly incentivize the mutuality or the co-creation of knowledge. It is important to recognise this general trend which cuts across funding agencies and funding mechanisms, in which the principle of mutuality and the importance accorded to indigenous knowledge in

CBR/CBPR processes tends to be overlooked. According to Tryon et al., despite institutional structures or centres labeling themselves ‘community-based’, only a small percentage reported that research challenges originated in the community.

In contrast, the basis of consideration for SSHRC-CURA funding in Canada is the co-construction of knowledge produced from alliances of university and community based scholars (Brown et al.).

In the Netherlands, the community engagement carried out in research is mostly done as commissioned or co-operative research. At the University of Groningen, the key provision to enable community based research is the Science Shops. Some individual projects have engagement built in, such as some projects of the Science & Society Group and the Energy Academy Europe. Even though there is no obligation to work with community organizations, the Law on Higher Education is used as a justification for cooperative research. Moreover, the Dublin Criteria supports community-based research as part of the curricula. Since the Science Shop model is based on the premise of co-operative research, done with and for community organizations, it can be said that the principle of mutuality is given attention. Also, the Wageningen UR approach favours participation of civil society and other societal partners in research projects executed by its researchers.

The Connected Communities funding program in the UK was launched by the Research Councils in 2010, and is led by the Arts and Humanities Research Council (AHRC). The vision for the program is to connect research, stakeholders, and communities (Duncan & Manners). The program supports research across a number of core themes including community health and wellbeing, creative and digital communities and civic engagement and social innovation. It provides an example of funding councils giving adequate importance to the crucial parameter of mutuality in community based research projects.

*We conclude that the critical question in all research engagements with communities is the actual practice of co-construction of knowledge. In most examples, the principle of mutuality is not necessarily required or adhered to in practice. Greater attention needs to be paid to making research partnerships mutually beneficial and co-constructed.*

## NETWORKS FOR KNOWLEDGE SHARING AND MONITORING

**National platforms for knowledge sharing and regular monitoring of CE with focus on research generate greater momentum at national/provincial levels.**

In Canada, there are five national networks that support CBR efforts: Research Impact; the Community Engaged Scholarship Partnership; the Canadian Alliance for Community Service Learning and Community Based Research Canada (CBRC). CBRC, in particular, has been playing a strong role in harnessing research resources and assets to build collaborative research partnerships. It also organizes biennial gatherings of the national CBR commu-

nity-the CUExpos, which offer opportunities to share practices and ideas, meet funders and promote learning. CUExpos have been a key part of the CUE movement in Canada (Brown et al.).

In Indonesia, many faculty members running community engagement programs have recognized the need for interaction and networking with different universities. There are 27 regional fora for community engagement practitioners, which are referred to as *Forum Layanan Ipteks bagi Masyarakat* (FlipMas). In November 2014, the UI also co-organized the 2nd Asia Engage Regional Conference for scientists, ASEAN universities, and community engagement practitioners. It provided a collaborative environment to present and discuss issues relating to community empowerment in ASEAN, Asia and beyond. Such platforms for knowledge sharing play an important role in furthering the cause of community engagement and providing it with further momentum. Evaluation processes for such programs are an integral process of community engagement initiatives in Indonesia. Every year, the university conducts monitoring and evaluation programs during site-visits. The university representatives would take feedback from the community, and the feedback is discussed with the reviewers and the program evaluated accordingly. Such monitoring mechanisms play an important role in establishing the credibility of such CE activities amongst the community.

New policies in India have mentioned the need for an Alliance for Community Engagement (ACE) which would function as a platform for sharing and learning amongst universities, practitioners and community activists. It is also being proposed that a national Centre for CE be set up to support the functioning of the Alliance.

Although there are no monitoring mechanisms in India to ensure community engagement in universities, one of the latest initiatives at the policy level streamlines this process in academic circles. The Ministry of Human Resources Development has a scheme on national university rankings for HEIs in India. This ranking scheme will include a university's social contribution and responsibility as a crucial parameter. The idea is to devise more relevant rankings beyond the usual focus on international students/research collaborations, and publications (Singh & Tandon).

Although legal frameworks in the Netherlands do not provide for monitoring mechanisms, the universities are expected to come up with indicators for measuring "valorization". This term denotes the creation of added economic and/or societal value from research (Mulder & Straver). In the coalition signed by Dutch universities (VSNU) and the Deputy Minister of Research in 2012, it was agreed that universities will develop indicators for measuring effort/input and results/impact of valorization in an open and experimental form. This will make "impact" measurable, thereby legitimizing and incentivizing engagement.

In South Africa, new regulations for annual institutional reporting require the university councils to report on how public HEIs positively and negatively impact the economic life of the community in which they operate. Some of the substan-

tive matters are the inclusion of stakeholders, innovation, fairness, collaboration, and social transformation (Luescher-Mamashela et al.).

The publication of the 2007 *Warry Report* in the UK played a role in triggering a major shift in the UK research policy from looking at how relatively small scale investments in innovation funding might trigger greater knowledge exchange, to questioning the extent to which the total research budget and infrastructure was delivering social and economic value as well as academic excellence. Prior to this, mainstream research funding was based on academic excellence, assessed by peer review. The report recommended a major shift in which all research funding would include considerations of social and economic impact (Duncan & Manners).

In terms of measuring the impact of CE activities, the new Research Excellence Framework (REF) retrospectively assesses the quality of a research units' work, including an assessment of the impact of the research beyond academia. This is a radical departure from the former practices which focused only on the quality of the research outputs as judged by academic peers. Such mechanisms have brought community engagement into the mainstream of university research cultures.

PACEC outlines a conceptual framework for the different ways in which university knowledge and research contributes to communities, one of which is knowledge networks and diffusion, through, for example, holding events that bring academics and external organizations together to share ideas and knowledge (Duncan & Manners). This provides for greater stimulation and momentum to community engagement efforts at the national/international levels.

*It becomes clear that research networks as well as regular monitoring can stimulate greater mutuality between communities and HEIs in designing and conducting research. Such networks and monitoring can influence the practices of individual HEIs, and provide exemplars of good practices in the co-construction of knowledge in research partnerships.*

## ROLE OF GOVERNMENTS

**When government asks for annual reports and creates a focal office on CE to support and monitor progress, practices get institutionalized in HEIs.**

This is best illustrated in the case of Indonesia, where the government has instituted a full-fledged directorate of research and community engagement, through which the government provides Community Engagement Grants (CEGs). This focused approach of the national government in Indonesia has played a role in getting community engagement institutionalized in HEIs. Additionally, there is a plan in the future for decentralization of community engagement programs. The HEIs would manage funds provided by the government for their community engagement programs. For this purpose, the HEIs would be required to submit a Community Engagement Master Plan, which will then determine the amount of funds received. Along with this, all HEIs which

are recipients of the CEGs from the government would be required to submit progress and final reports.

Similarly in India, a new UGC scheme has provided for the establishment of a centre to oversee community engagement activities. This will also encourage institutionalization of scattered pieces of community engagement work by bringing them under one framework. The UGC also includes monitoring mechanisms and has requirements to submit annual progress reports. Such monitoring mechanisms help to ensure the proper institutionalization of practices and activities.

In South Africa, the Department of Higher Education and Training (DHET) has followed up on the 1997 *White Paper* commitments and considerations on how to include social responsibility and community engagement as part of policy instruments. The new regulations for annual institutional reporting to the Ministry include requirements for university councils to report on how public HEIs impact the communities in which they operate (Luescher-Mamashela et al.). Whether this reporting will eventually lead to the development of indicators that can inform funding decisions remains to be seen.

In the UK, the main governmental policy instrument is the Beacons for Public Engagement (Duncan & Manners). This instrument has played a key role in integrating public engagement in research into the higher education agenda. It was a unique attempt by the national research funders to address cultural and professional issues cutting across a wide range of research areas.

*From these examples, we suggest that if ministries of higher education at national or provincial levels have a nodal unit and/or officer focusing on CE, the institutional responses from HEIs are more direct and timely. If such a nodal officer and/or unit requires regular reports from HEIs supported by government, then it is likely that production of documents related to CE will increase. In the absence of such a requirement, HEIs do not necessarily produce annual reports and responsive documentation.*

## FUNDING SCHEMES FOR CE

### **Separate and explicit funding schemes for CE in research enable use of resources in building CURPs at institutional levels.**

In Canada, the creation of the SSHRC-CURA granting facility marked the beginning of institutionalization of CBR. The focus has been the partnership between the university and the non-university actors in facilitating CBR, wherein the both the actors are eligible to apply for funds, although in most cases the university partner provides administrative support (Brown et al.). This focused funding support has resulted in stipulated resources for building CURPs at the institutional level. Examples are the Service aux collectivités (SAC) at UQAM and the Office of the Community Based Research (OCBR) at the University of Victoria. Both have utilized the designated funding for CBR projects and building capacities.

In South Africa, the key national policy actors in community engagement policy and strengthening community-university partnerships is the Department of Science & Technology (DST) and the National Research Foundation (NRF) (Luescher-Mamashela et al.). Such focused funding towards CBR generates momentum for the overall community engagement framework, thereby strengthening the institutional structures in the various HEIs.

In the UK, designated funding for public engagement in research via the channel of UK Research Councils and the Higher Education Innovation Fund (HEIF) have helped to consolidate engagement activities across the HEIs, along with contributing to the institutional structures. An example is the UK Community Partner Network, which launched in 2013 following a consultation with community based organizations working with universities.

In Ireland, the national Higher Education Authority awards statutory funding for community based research and other areas aligned to civic engagement. One such initiative has been Campus Engage, which has been promoting civic engagement in general, CBR, and other research partnerships. Statutory funding was also offered to the Dublin Institute of Technology (DIT) to develop the Community Learning Program (CLP) (McIllrath, this volume). Philanthropic funding has also been used to establish the Community Knowledge Initiative at the National University of Ireland, Galway, which has allowed for the mainstreaming of civic engagement (McIllrath).

*We conclude that incentivising CURPs requires targeted funding, and that research funding to HEIs can be an effective vehicle for the promotion of CURP. Further, inclusion of CBPR methodology as an approach to research by HEIs can support the emergence of CURPs.*

## FUNDING AT THE HEI LEVEL

**Decentralised allocation of resources at the HEI level from pooled funds to universities do not get adequately channeled to CURPs. In the absence of clear institutionalization of practices and criteria these allocations and priorities remain dependent on the top leadership of HEIs.**

In Argentina, the federal education framework directly regulates the HEIs that depend on the national government, while the provincial HEIs are covered under provincial jurisdiction. Therefore, the Ministry of Education does not provide public universities a specific budget for S-L (Lepore & Herrero). Interestingly, these funds are administered by the Ministry of Science and Technology, and not the Ministry of Education.

In Brazil, although broad research funding comes from the National Secretariat of Science and Technology, focused allocation of funds for CE activities at the HEI level is missing. For instance, in the University of Sao Paulo, funding of CUE activities has been a major challenge. Although efforts are made to secure funding

through the local governments, not many projects are funded through this channel. On the other hand, in the Federal University of Rio de Janeiro, the case study talks about the funding received by ITCP from the FINEP and Fundacao Banco do Brasil. Therefore, it is quite evident that in the absence of focused allocations, and institutionalization of practices, allocation and priorities remain dependent on the university leadership.

In Canada, the provinces fund higher education. Additional funding sources include partnership grants by SSHRC, grants by community foundations, and two other federal granting councils (National Science and Engineering Research Council & Canadian Institutes of Health Research). However, the funding received from SSHRC-CURA granting facility remains focused on targeted priority areas under CBR/CURPs.

In India, funding is received mostly through the channel of the grants provided by the UGC to the recipient universities. The latter then decides on issues related to fund disbursement towards different CE activities. However, a bright pointer in the Indian case has been the newly launched UGC Scheme, which provides focused funding towards development of CURPs. Additionally, the scheme clearly outlines the criteria for fund disbursal, which includes evaluation and monitoring mechanisms to ensure that the funds are used for the stipulated purpose.

Similarly, in Indonesia, the government provides funding through the channel of National Community Engagement Grant (CEGs), managed by the Directorate General of Higher Education (DGHE), Ministry of Education and Culture. These funds are disbursed via institutional structures at the universities, such as the Directorate of Research and Community Engagement at the University of Indonesia (UI) and the Institute of Research and Community Engagement at the University of Gadjah Mada (UGM).

In Ireland, individual institutions are required to allocate funding for CE initiatives. However, the Science Shop at Queen's University, Belfast has been funded by the Department of Employment and Learning through the Higher Education Innovation Funding Scheme (McIllrath). In the Netherlands, funding for CE activities is received from university budgets, which are funded by the government.

In Jordan, the Deanship of Academic Research at the University of Jordan and the Deanship of Scientific Research and Graduate Studies at Yarmouk University are primarily responsible for the management and funding of research projects. However, the funds available often prove to be inadequate. Apart from this, bureaucratic problem results in long delays in getting funds for the projects. This is a clear example of mismanagement of funds in the absence of institutionalization of activities and practices.

In South Africa, the National Research Foundation (NRF) launched the community engagement funding program in 2010. Although the stipulated funds are disbursed to the universities under the broad framework of CE, they are not



adequately channeled to the specific CURPs. Absence of clear cut allocations and priority areas under this overarching framework, results in the funds being utilized in an unfocussed manner, and as determined by the university leadership. At the university level, the UCT has seed funding for supporting new CE initiatives, such as the Vice-Chancellor's Strategic fund. Further, the University Council also allocates funds for coordinating partnerships between internal and external stakeholders. Similarly, Rhodes University provides *Sandisa Imbewu* (Growing the seed) funds for CE activities. In both South African universities, the institutional structures depend on seed funding from the universities. The disbursement of funds then depends on the top leadership of the universities, and the designated officials sitting in the Social Responsiveness Committee in UCT and Community Engagement Management Committee in Rhodes University. Therefore, the approach may be considered decentralized yet within an enabling environment.

In Uganda, the limited public funding available for community-university engagement activities is primarily through a presidential initiative. Additional government funding is provided for field attachment activities of government sponsored students. Other than this, the funding available for research is mostly decentralized at the university level.

In the UK, research funding towards CURPs is invested using a 'dual-support' system, involving assessment exercises conducted by HE funding councils, who then provide a performance based block grant to institutions. In parallel, research councils run a competitive funding round to which universities can bid. The Higher Education Innovation Fund (HEIF) also provides funding to universities. The funding provided by the councils is, however, focused and remains targeted towards funding public engagement in research.

*In many countries, decisions about application of resources to CE activities in general, and research partnerships in CE in particular, are designed to be made at the level of HEIs. In such cases, allocation of scarce funds to CE depends a great deal on institutional leadership. What proportion of that CE budget is utilized for CURP is even more difficult to determine. Leadership of HEIs can make that happen if they see the value of CURP.*

## HEI STRUCTURES

### **HEI level structures that enable building of CE across the disciplines/faculties.**

In Argentina, at the Universidad Catolica de Cordoba (UCC), outreach activities were institutionalized with the Secretary of University Outreach & Social Responsibility (SUOSR). Along with the Research Secretary, SUOSR has also established an evaluation system to assess the relevance of S-L projects submitted by faculty members (Lepore & Herrero). The Centre depends on the Rector's office, a subordinate position which limits the Centre's decision making capacity and scope. It is left with fewer possibilities to formalize and institutionalize CURP

practices within the university. The Service Centre integrates the S-L initiatives presented by UNGS professors that have an impact on training, technical assistance and research.

In Brazil, CUE activities at the University of Sao Paulo are coordinated by the Office of the Dean of Culture and University Extension, under the Vice-Chancellor's Office. Its objective is to foster CUE through research and outreach activities. This office is mandated to organize, strengthen and regulate community-oriented activities within all faculties. Joint projects between the community and the university are undertaken by different faculties. The Federal University of Rio de Janeiro (UFRJ) in Brazil has a strong institutional commitment to civic engagement with the Dean of Extension reporting to the VP for academic affairs (Tremblay et al.).

In Canada, at the University of Victoria, CURPs are institutionalized with the creation of the Office of the Community Based Research (OCBR), which enjoys an important institutional status within the university. Additionally, a new research centre, the Institute for Studies and Innovation in Community-University Engagement (ISICUE), plays the role of a 'think-tank' to extend the work of OCBR, nurture innovation in community based research and to study community engagement. OCBR builds capacities for CURPs, with an objective to enhance the quality of life and economic, environmental and social well-being of communities. On the other hand, ISICUE networks with other research centres and community partners and helps build capacities and collaborative initiatives. It seeks to develop insights into the practices of community engagement and to support regional, national and global networks.

At the Université du Québec à Montréal in Canada, The Service Aux Collectivités (SAC) builds capacities for CURPs. Additionally, a Board of Community Services provides recommendations on CUE and evaluates research and training projects for institutional support (Brown et al.).

In India, the Bhagat Phool Singh Mahila Vishwavidyalaya has institutionalized community engagement initiatives through a formal operational structure known as the Centre for Society University Interface & Research (CSUIR). It functions as an independent and stand-alone unit in the university. This centre reports directly to the Vice-Chancellor.

Another Indian university, the Gauhati University's Department of Political Science had institutionalized a structure known as the Centre for Peace and Conflict Studies, as the main co-ordinating channel which oversees a number of community engagement initiatives. The centre is losing its resources as it is not mainstreamed into the university's administrative hierarchy.

Community engagement at the University of Indonesia is managed by the Directorate of Research and Community Engagement operated under the co-ordination of Vice Rector for Research, Development, and Industrial Co-operation. This sub-directorate is a specialized structure managing community engagement

activities. Along with this, community engagement at the University of Gadjah Mada is managed by the Institute for Research and Community Engagement. It is under the co-ordination of Vice Rector for Research and Community Engagement (Wardhani & Asri).

At Queen's University in Ireland, CE activities take place under the banner of Science Shops, based within the Academic and Students Affairs Unit. These function as a separate, independent entity within the university. CE programs at the Dublin Institute of Technology are coordinated by the Directorate of Student Services, which is a part of the university's Access and Civic Engagement office. Additionally, the Students Learning with Communities Program supports community based learning, or service learning, as well as CBR.

At the University of Jordan, the Women's Studies Centre's priorities in research include producing new knowledge about women's and gender issues. For this, the Centre engages with CSOs involved in women's advocacy such as the Arab Women Legal Network. Along with the WSC, the university is also home to several other research centres. At the Yarmouk University, although there is no specialized structure which promotes CE, the Um Qays Community Based Tourism Project is an exemplary example of community engagement.

In the Netherlands, at the University of Groningen, co-operative research with and for community organizations are taken care of by Science Shops at six different faculties. The Science Shop coordinates various community based research projects, in addition to organizing public lectures and science cafes. At Wageningen University, the Science Shop is also the key provision to enable community based research. Another structure promoting CBR is the Onderwijsloket. It matches community projects with various courses in the University (Mulder and Straver).

In South Africa, the University of Cape Town Senate's Social Responsiveness Committee is responsible for promoting and strengthening CE activities. Rhodes University's current policy on community engagement is executed by the Community Engagement Management Committee, which includes a broad representation from each faculty, students and staff, as well as external CE partners/NGOs. The Rhodes University Community Engagement Directorate was established as a separate entity in 2009. Its role is to support community engagement as a core responsibility of the university by developing a CE strategy and coordinating CE activities (Luescher-Mamashela et al.).

At Gulu University in Uganda, community-university engagement is termed as Community Outreach Services, and is placed under the Dean of Student's Office. The Outreach Services Committee formulates CUE policy under the guidance of Deputy Vice Chancellor Academic Affairs. The Committee is also responsible for developing quality assurance criteria for assessing CUE activities. Objectives of the Community Outreach Services include the development of community outreach programs. The university promotes traditional conflict resolution, training of trainers in peace building and conflict transformation.

Also, CUE activities form part of the third mission of the university. The academic staff engages in a number of community outreach projects such as the Community Outreach Peace Project, the Capacity Building for Local Government project, and the Epilepsy Project.

In contrast, Makerere University has a decentralized structure for the provision of CUE. Different schools and colleges implement various CUE activities without reference to any university wide coordinating centre (Openjuru).

Although the University of Wisconsin-Madison in U.S. has no formal office for community engagement, or other centralized support structure, it has developed multiple centres across campus that focus on community based learning (CBL) or CBR. Loyola University has instituted a Centre for Urban Research and Learning, a non-traditional, collaborative university-community research centre housed within the university.

*It is clear that a designated structure, differently called a Centre, Shop, or Institute, is critical at each HEI to enable CE. Such structures have human capacity to facilitate linkages inside and outside HEIs. When such structures report to senior leadership levels, they tend to get greater visibility and support for CE efforts including CURPs. Carefully designed and reasonably resourced structures can play critical enabling roles in partnerships between HEIs and communities.*

## HEI LEVEL CE STRUCTURES

**Very few CE structures within HEIs are co-governed with community representatives, and mostly remain within the unilateral control of HEI administration.**

At the University of Sao Paulo, representation of recycling coops in the Management Council of the PWSM project has been ensured. Comprising of representatives from the university and the local government, this council is responsible for of the overall management of the project. Likewise, at the University of Victoria (Canada), the OCBR is jointly steered by university and community leaders who also sit on its advisory council. Similarly, at the UQAM, SAC mandates the execution of joint research projects with the NGOs. The board of Community Services is also jointly steered by community and university leaders.

At Rhodes University in South Africa, the Community Engagement Management Committee has representation from academic and external CE partners and NGOs. However, similar representation of civil society and community is not evident at the University of Cape Town.

In India, the latest UGC scheme seeking the establishment of the Centre for Fostering Social Responsibility and Community Engagement includes the establishment of an advisory council. This council is mandated to have a minimum of two representatives from local civil society.

In exception to these examples, institutional structures providing for CE/CURPs in most universities remain within the control of HEI administration. For instance, in Argentina, the institutional structure coordinating CE activities at UCC (SUOSR) is officiated by the university administration, and headed by the Academic Vice-Rector. Likewise, at the University of Indonesia, the Directorate of Research and Community Engagement operates under the coordination of the Vice-Rector for Research, Development and Industrial Cooperation.

In the Irish and Dutch Universities, the Science Shops remain under the purview of the university administration. University staff function as CBR project coordinators in association with graduate students and local CSOs. Although the CSOs play a major role in the conception of projects with the Science Shop, they remain outside the purview of the structure.

At Gulu University in Uganda, community-university engagement functions are placed under the Dean of Student's Office. The outreach services committee which formulates CUE policy is guided by the Deputy Vice Chancellor of Academic Affairs. As in other cases, CE activities in Uganda remain under the purview of HEI administration, with no representation of community/civil society.

Similarly in the U.S., centres promoting CE activities at the University of Wisconsin-Madison remain tied to their academic staff. Although CBR projects are given a lot of credence at such centres, co-governance mechanisms have been absent. Similarly, the Loyola University Centre for Urban Research and Learning is comprised of university staff, and managed by the university administration.

*We conclude that while the separately mandated structures in universities do facilitate interface with community, most such structures are managed from within the HEI administration. In order to build and nurture CURPs, we suggest that such interface structures are co-governed and co-managed with active representation of the communities and civil society.*

## NETWORKS FOR CIVIL SOCIETY ENGAGEMENTS

**Networks at local, national and international levels are effective in knowledge sharing and mutual learning by HEIs; however, similar networks for civil society engagements with HEIs rarely exist.**

In Argentina, the Red de Comunidades Rurales (RCR) network was created to coordinate efforts and mobilize resources to promote education and community development in poor rural areas (Lepore & Herrero). Its work has two main axes: knowledge management and coordinating different social sectors facing similar problems. Similarly, CLAYSS, the Latin American centre for service-learning in Argentina, works in partnership with social organizations, educational institutions, government agencies and companies that promote service-learning in America and around the world.

In Brazil, the national mobilization network, 'The Committee of Entities in the Struggle Against Hunger and for a Full Life (COEP)', has more than 1000 member organizations, and mobilizes institutional and public action.

There are several networks in Canada that support knowledge sharing and mutual learning. For example, the Association of Universities and Colleges in Canada (AUCC) encourages its members to deepen community partnerships (Brown et al.). The Community Based Research Canada (CBRC) network is, open to universities and non-governmental organizations involved in CBR, has emerged as the national champion and facilitator for collaborative CBR and CUE (Brown et al.). The Global Alliance on Community-Engaged Research (GACER), is comprised of representatives from universities, networks and civil society organizations. On an international scale, the IDRC has supported international networking which led to 14 countries developing a Declaration of Global Alliance. The Declaration focused on sharing effective practices of community engagement; supporting communities build healthier societies; developing new generations of community engaged scholars, measuring the impact of CE activities and advocating for policy/resource support.

UNESCO, the United Nations University (UNU) and the Catalan Association of Public Universities (ACUP) created a network called the Global University Network for Innovation (GUNi). GUNi is currently composed of 208 members from 78 countries, which include the UNESCO Chairs in Higher Education, higher education institutions, research centres and networks related to innovation and the social commitment of higher education. It plays a crucial role in strengthening the role of higher education in society, and orients the latter towards public service, relevance and social responsibility.

In India and parts of Asia, Participatory Research in Asia (PRIA) has acted as a networking and knowledge sharing institution for the past 33 years. It has built extensive programs of capacity building in participatory research which include both civil society and academia. The Alliance for Community Engagement (ACE), currently being developed, will be comprised of higher education (including students) and civil society. Along with serving as a platform for community engagement by HEIs, it will act as a steering mechanism and a vehicle for sharing knowledge and good practices.

Likewise, AsiaEngage is a regional platform created to maximise the strengths of the Asia-Talioires Network of Industry and Community Engaged Universities (ATNEU), the ASEAN University Network (AUN) Thematic Network on University Social Responsibility and Sustainability (AUN-USR&S) and the ASEAN Youth Volunteer Program (AYVP).

Another South Asian regional network is the Asia-Pacific University-Community Engagement Network (APUCEN). APUCEN is a network of academic institutions of higher learning, which promotes community-university engagement.

Their vision of community engagement goes beyond the traditional practices of outreach, extension and service and asserts that HEIs and the communities can co-create socially relevant knowledge. Similarly, the Service Learning Asia Network (SLAN) is a forum of universities, colleges and institutions interested in service learning in the South Asian region.

In Ireland, an initiative of the Higher Education Authority (HEA) has been Campus Engage, a platform to promote civic engagement broadly, including CBR partnerships. It currently includes twenty-two HEIs. Additionally, the Science Shops at Queen's University in Ireland have been developing the field of public engagement at UK and at international levels. They have provided support and mentoring to CBR initiatives across Ireland informally, and through European Commission (EC) funded projects. The membership based Living Knowledge Network (LKN) in Europe is also known as the International Science Shop Network. It facilitates information exchange on CBR, and science and society in general. It is also involved with the Public Engagement in Research and Research Engagement in Society (PERARES) project, funded by European Community's 7th framework program in 2010 (McIllrath).

The South African Higher Education Community Engagement Forum (SAHECEF) is a network of university staff responsible for community engagement. Its executive committee liaises with the Council of Higher Education, the Higher Education Quality Committee and the Ministry, to highlight the importance and challenges of community engagement (Luescher-Mamashela et al.). The Social Responsiveness Unit at the University of Cape Town implements the Western Cape Higher Education Consortium, which includes collaborative research around social inclusion, digital innovation, and climate change adaptation and mitigation.

At the Makerere University in Uganda, CUE emphasizes research, innovation, knowledge transfer and networking, sometimes through a partnership between the university, an international development organization and community based organizations (CBOs). In this relationship, while the funding comes from development partners, the university raises grant proposals which are developed in collaboration with CBOs.

The National Coordinating Centre for Public Engagement in the UK, hosted by the University of Bristol and the University of West of England, is associated with the Beacons for Public Engagement Project. It works to create a culture within higher education where PE is a valued and recognised activity for staff and students (Duncan and Manners).

At the campus level, the ISICUE at the University of Victoria in Canada hosts initiatives such as Indigenous Child Wellbeing Network, Pacific Housing Research Network and the Mapping Collaboratory. At the UQAM Canada, academics and NGOs have established a knowledge dialogue based on scientific and practitio-

ner views. NGOs are treated as equal partners in such networking processes for mutual learning and knowledge sharing.

Similarly, the PASCAL International Observatory, founded in 2002, is a global alliance of decision makers, academic entrepreneurs, researchers, policy analysts, and local practitioners from government, higher education, civil society and the private sector. It aims to connect policy makers, practitioners and researchers. One of its major initiatives has been the PASCAL Universities on Regional Engagement (PURE) Project, which has been in operation in 17 regions in different parts of the world. It looked into what higher education is offering to their regions, in the form of economic/social/cultural and environmental benefits.

The Uganda Adult Education Network (UGAADEN) has the responsibility of promoting the teaching and practice of adult education in Uganda. UGAADEN, in association with a number of universities, works on community development intervention projects in which the university provides expertise for the network members who are engaged in skills training and adult literacy education (Openjuru).

In the U.S., the Talloires Network is an international association of institutions committed to strengthening the civic roles and social responsibilities of higher education, and is hosted by the Tufts University in Massachusetts, U.S. The Civic Engagement Network (TRUCEN), one of the initiatives of the Campus Compact, works to advance civic engagement and engaged scholarship among research universities and to create resources and models for use across higher education.

Founded in 1996, Community Campus Partnerships for Health (CCPH) in the U.S. is a non-profit organization, which aims to promote health through meaningful partnerships between communities and HEIs. Having more than 1800 CSOs, universities, colleges and individuals as members across U.S. and Canada, CCPH facilitates networking, exchange and mutual learning on service learning, in addition to CBPR and other partnership strategies. Likewise, the Engagement Scholarship Consortium (ESC) in the U.S. comprises of higher education member institutions, works collaboratively to build strong university community partnerships and community capacities.

*In sum, we argue that the emergence of national and/or thematic networks that promote community based participatory research, community-university engagement and CURPs may be valuable in sustaining the engagement efforts at national and institutional levels. They provide collective voices, practical experiences and shared solidarity.*



## INCENTIVES

### **Provision of awards, recognitions and accreditations of universities for engaging in CE activities further incentivizes CUE.**

In Argentina, the National Ministry of Education created a ‘Solidarity School’ prize, which awards sustainable and quality S-L practices. At the UCC, SUOSR provides monetary incentives to faculty who have successfully completed annual S-L projects. The Brazilian government uses tax exemption to motivate universities to play a civic role in society. At the UFRJ, the extension plan of the University provides for issuing participation certificates to project members, and certificates of recognition to teachers/professors.

In Canada, in general, institutional collective agreements remain silent on recognizing and awarding CBR initiatives. An exception is the University of Victoria’s Engaged Scholar awards.

In India, the latest scheme on national university rankings includes the social contribution of universities as one of the prime assessment criteria. At the BPSMV, courses offered under the centre are accorded the status of an audit course. Similarly, at the Gauhati University, the programs offered under the centre provide an additional qualification.

In Indonesia, CE is an important element in the national accreditation of HEIs and in faculty member career development. UI awards for lecturers with high involvement in community engagement. At the UGM, students are awarded academic credits for their community engagement activities.

Since the Irish policy does not mandate CBR within HEIs, it appears that there is no system of accreditation or rewards in place. The same goes for Jordanian universities.

Similarly, in the Netherlands, there is no reward for universities for CE activities. At the University of Groningen, almost all projects of community based research are included within the curricula. The students receive course credits for such projects, while the project’s supervision contributes towards the teaching hours of the respective professors. At the University of Wageningen, most community based research projects are included within the curricula. Supervision of such projects is also counted in the teaching hours of the professors. Apart from regular course credits and the obligation to undertake such projects, Wageningen University and Research Centre does not specifically encourage students to undertake such work.

In South Africa, The Higher Education Quality Committee (HEQC) will design a national system of quality assurance which will involve ‘knowledge-based community service’ as one of the three areas relevant in program accreditation and institutional audits. At the campus level, the UCT’s approach includes incentivizing academics and students by means of a system of recognitions and rewards (Luesc-

her-Mamashela et al.). It has established a ‘Distinguished Social Responsiveness Award’, which recommends that faculties include SR in the categories assessed in staff promotions. At Rhodes University a major merit award was established called the “Vice-Chancellor’s Distinguished Community Engagement Award” (Luescher-Mamashela et al.). Apart from this, community partners, student organizations, and student researchers are honoured annually at the Community Engagement Gala dinner. Finally, for academic staff, community engagement is a consideration in the promotion process (Luescher-Mamashela et al.).

In Uganda, CUE is not part of the qualifying criteria for accreditation. However, university-wide requirements for the involvement of faculty in community activities does contribute to their promotion. At the Gulu University, engagement in CUE activities contributes to the professional growth of the academic staff. Additionally community university participation is considered in promotion.

In the UK, rewards are in the form of funding provided by the Research Councils for a variety of public engagement projects. Similarly, at the University of Wisconsin-Madison in U.S., many of the CommNS’s community engagement projects have been integrated into the department’s for-credit curriculum. Programs at the Morgridge centre also include both credit-based and co-curricular volunteer coordination.

*In summary, we feel that the provision of awards and recognitions greatly encourages CE efforts, along with generating enthusiasm and interest amongst faculty and students. Additionally, its contribution towards accreditation of universities provides incentives which facilitate the integration of such activities in the regular curriculum.*

## **CE ORIENTATION AND CAPACITY BUILDING**

### **There is a lack of CE orientation and capacity building for HEI staff.**

With the exception of Argentina, where the students are exposed to proper orientation with respect to experiential learning under the S-L approach, there is little explicit training or capacity building for HEI staff engaged in CE activities. For instance, in the University of Sao Paulo in Brazil, community outreach/community-based research activities are initiated by groups of professors/students whose research agenda is participatory in nature. However, no separate staffing or capacity building provisions are present. In India too, the BPSMV accords the co-ordination of courses to a regular faculty member in addition to his/her routine responsibilities, with no provision for any separate staffing or dedicated capacity building. At the Gauhati University as well, while there was no separate staffing arrangement for the Centre, the faculty at the Department of Political Science took over the responsibility of research activities. Even here no special capacity building in CBPR or CUE was provided.

The same holds true for the University of Indonesia, Rhodes University in South Africa, and Gulu and Makerere Universities in Uganda, which involves

routine faculty members in developing community engagement project proposals, along with the students, with no deployment of separate staff or training for this purpose.

The Science Shops operating in the Ireland and the Netherlands Universities have full time equivalent staff to function as coordinators. Likewise, the University of Wisconsin-Madison in the U.S. uses separate full time academic staff for the community engagement projects, while the research team at the Centre for Urban Research and Learning at the Loyola University, comprises of faculty, graduate students, undergraduates, and community partners. None of these universities provide any special training to such staff in CUE.

Canadian Universities, however, have emerged as a model example in this context. For instance, the Service aux collectivités (SAC) at the Université du Québec à Montréal is mandated to promote, coordinate and facilitate community-based training and CBR activities to be carried out by Faculty members in collaboration with NGOs (Brown et al.). Similarly, the Office of Community Based Research (OCBR) at the University of Victoria seeks to build capacities for community-university research partnerships (Brown et al.).

At the University of Wisconsin-Madison capacity building of students/faculty is carried out through dedicated programs under the Morgridge Centre for Public Service. One is the Community University Exchange, a collaboration between the School of Human Ecology and the Morgridge Centre . It links resources to priorities gathered by communities in CSO meetings. Additionally, it has offered workshops and courses that focus on CBL/CBR methodology and pedagogy. Topics include grant writing, conflict resolution, facilitation, evaluation, and strategic planning (Tryon et al.).

The bulk of the capacity building interventions in CBPR in India have been provided by PRIA. It has worked with several universities in training students and faculty in CBPR methodology over the past three decades.

*In conclusion, we feel it is problematic that centres and institutions actively promoting CUE, including CURPs, do not provide for any systematic capacity building for their own staff. In this absence, many centres will 'reinvent the wheel' through trial and error.*

## CBPR

**Use of CBPR is not acknowledged as critical to CURPs. Very few HEIs build student and researcher capacity in CBPR.**

Most HEIs world wide do not focus on CBPR as an essential component of the broad CE framework. For example, the HEI structures in Argentina primarily focus on training, outreach and broad research activities as an inherent component of S-L. In the Indian universities, there is no recognition of CBPR as critical to CURP in existing community engagement activities.

Building CBPR capacity in students and researchers is essential. In Indonesia, although community based research projects are quite common, this capacity needs to be strengthened. At the University of Cape Town in South Africa, the Social-Responsiveness Unit engages in knowledge dissemination and broad collaborative research, but does not integrate CBPR into CURPs. Similarly, the Community Engagement Management Committee at Rhodes University engages in service-learning and outreach programs, but there is no focused approach towards CBPR or capacity building. At Gulu University in Uganda what drives community engagement efforts and initiatives is the concept of applied research rather than CBR. Similarly, the decentralized structure for CUE activities at the Makerere University engages in broad collaborative ventures such as the Infectious Diseases Institute, but does not focus on CBPR or capacity building as essential to CURPs. Likewise, at the University of Wisconsin-Madison and Loyola University in the U.S., joint projects are carried out in association with community leaders. However, they are not acknowledged as being critical to CURPs and neither is any capacity building done. In a small measure, some universities in India do teach CBPR, but more as a part of research methodology than as a part of CUE.

At the University of Sao Paulo in Brazil however, the Participatory Sustainable Waste Management Project there is collaboration with groups of organized recyclers, local governments and NGO representatives. At the Federal University of Rio de Janeiro, CUE activities are taken up as department/faculty initiated joint projects with the community. Likewise, at the University of Victoria and the Universite du Quebec a Montreal in Canada, CBR projects are mainstreamed into the university structure and are considered critical to CURPs. A similar emphasis on building CBR capacities in CURPs is seen at the OCBR and ISICUE at the University of Victoria. Similarly, SAC at the Universite du Quebec a Montreal facilitates training and research activities to be carried out by the faculty members in collaboration with NGOs. The Science Shops operating at the Irish and Dutch Universities also engage in CBPR as part of student degree programs.

*We believe that mutual learning is a critical requirement for effective CURPs. While learning to value local community knowledge as the basis for new knowledge is challenging,, structured training in CBPR can facilitate such learning, and can help prepare both students and faculty to work in partnership with communities.*

## INVESTMENTS IN CIVIL SOCIETY AND COMMUNITIES

**Investment in civil society (CS) and communities to engage with HEIs in co-construction of knowledge is non-existent; research funds accessed by HEIs for CURP are rarely shared with CS and community.**

There is much evidence of collaborative ventures/CBR projects carried out in association with communities. However, financial investment in the co-construction of knowledge is rare in almost all HEIs, even when they receive financial

support for such activities from the government, as in Indonesia, or from Research Councils/Schemes, as in the UK, South Africa, and Canada.

An exception is the University of Cape Town Knowledge Co-Op, which builds capacity of community based organizations through research and skills development (Luescher-Mamashela et al.). Similarly, in Canada SSHRC-CURA funding is utilized for the execution for CBR projects and capacity building efforts.

Nonetheless, in most countries, civil society depends on its own sources of funding for its joint projects with the universities, such as public and private sector contributions. In Argentina, civil society organizations receive funding from public and private sector donations. Despite partnerships with academia, obtaining resources continues to be one of the major challenges for the work of civil society organizations (Tremblay et al., 2014).

The Centre for Community Based Research (CCBR) in Canada has been involved in initiating partnership development grants with faith based scholars and communities. Likewise, the British Columbia Association of Aboriginal Friendship Centres, faced with resource constraints, has partnered with universities and networks such as the Urban Aboriginal Knowledge Network and the Indigenous Child Wellbeing Research Network for building its capacities.

In India, PRIA receives project based funding from a number of national and international donors. South African civil society also faces resource constraints. For example, Biowatch receives funding from a variety of international donors for its advocacy and lobbying work, and the Ubunye Foundation partners with Rhodes University, which receives external funding.

Similarly in Indonesia, NGOs play a major role in community engagement initiatives. They work jointly with the universities in engagement programs, yet sharing of research funds with such NGOs on part of the universities seems to be missing.

Jordanian civil society faces major issues such as unsustainable funding and mistrust by the HEIs in relation to the motivations and research capacities of CS organizations. As a result, the CSOs here struggle for recognition and funding (Feinstein & Rabai).

Although UGAADEN in Uganda does not have independent financial sources, it mobilizes financial resources from development partners for CUE and CBR. In the U.S., the Community Campus Partnerships for Health is funded through member dues and contributions from organizations as diverse as the National Campus Compact and Environmental Protection Agency.

In India, the Centre for Fostering Social Responsibility and Community Engagement specifically outlines that the importance of working in alliance with community based organizations in the planning and execution of projects. This emphasis on joint partnerships with CSOs opens avenues for resource sharing

opportunities from the funds disbursed under the new scheme. In this way, the scheme also formalizes the partnerships with universities and civil society, which until recently have been scattered efforts often unrecognized on the regional/national platform.

It can be inferred that although communities and CSOs are a part of CBR projects in some HEIs, they do not have access to research funds allocated to the universities. As a result, civil society has to depend on its own skills of fund-raising and mobilization of local/national/international resources. This causes an erosion of capacity and resources in civil society and community. There is an urgent need to address this challenge in ways that enable civil society and communities to work in research partnerships with universities.

*Lastly, recognition must be given to the importance of CE activities to the implementation of social responsibility at HEIs. As this area of concern emerges, there is also a need to disseminate the ideas widely, through channels of institutions and networks so that the issue gains popularity and clarity amidst a wider audience at the global level. This will also contribute to its popularity and will win acceptance and credence worldwide.*

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# CHAPTER 6

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## Conclusion

A study which examines the state of institutionalization of community-based research at a global level is hard to summarize. Institutional change, particularly within higher education institutions (HEIs), often occurs at a glacial pace. To those who take part in various national and global networks promoting aspects of community or public engagement, it may appear that change is happening everywhere, but the reality on campuses, in the communities and in the classrooms is different. So, based on the evidence generated through our survey and case studies, what can we say?

## National Policies

The positioning of HE within national systems, as well as the history of a given HEI, substantially impacts readiness to move into engagement strategies. For example, the fact that the UK government has created a structure to encourage public engagement in HE, the NCCPE, clearly makes a difference. The recent decision by the University Grants Commission in India to allocate significant funds to the creation of a new generation of Centres for Community University Engagement is another example. Put simply, when national policy creates formal expectations to promote CE, HEIs tend to show greater readiness; earmarked funding for CE further facilitates CE by HEIs. This is particularly so if the focus on CURPs can be made explicit in such funding policies, as is the case in Canada.

Although it may seem obvious, evidence from our study shows that top leadership of ministries and HEIs can have huge impacts on the promotion of CUE in general, and research partnerships in particular.

## Higher Education Institutions

The culture of the academy and the dominant political economy of knowledge production within HEIs continue to denigrate community knowledge and practitioner expertise. The old question of ‘whose knowledge counts?’ remains answered by a vast majority of academics and many in authority as being those forms of knowledge assembled by disciplinary scholars in time tested methods. Methodological heterogeneity is certainly growing, but while inspirational stories and practices exist in all parts of the world and amongst all the countries that we have studied, the sheer weight of dominant approaches to knowledge generation and collaboration means that we are at the beginning of a lengthy period of questioning and reform. Widespread systematization of practitioner knowledge and sensitization of next generation of researchers can make a difference. The formal

pronouncements on the value of ‘co-construction’ of knowledge are more frequent than actual practice on the ground.

We have found that even when engagement is highlighted as part of the mandate of the HEIs, it is only rarely that research is explicitly mandated as a part of CE; earmarked research funding for CURP is rarer, but can make a crucial difference in readiness amongst HEIs to build CURPs.

Within the institutions, we have found that the middle level leadership—Deans, Chairs, Unit Heads and Centre Directors—play critical roles. They are the persons who mediate between the academic staff and students and the higher levels of administration. When available, their openness to change, and their leadership and support, can make a remarkable difference. The professoriate, the lecturers, the research leaders and research staff are at the heart of the engaged scholarship process. And while the academic mode of production may still be more restrictive than we advocate, nearly every department, research centre, HEI that we know of has a few persons who are on the cutting edge of CURPs. Providing visibility for them is an excellent way to accelerate change.

Even in cases where there are national policy mandates for CURPs, several other factors make a difference, such as:

- including CURPs in the strategic plans of the HEIs,
- gaining support from middle level academics and initiatives by students and researchers, and
- creating boundary-spanning structures for facilitating CURPs.

The Science Shops, Community University Partnership Programmes, Institutes for Community University Engagement, Centres for Engaged Scholarship, Centres for Fostering Social responsibility and other organizational approaches are key to mainstreaming CBR and CURPs. Why is this? Primarily because the knowledge cultures of the academy and the community are very different. The goals and methods of research, the timing and urgency of the results, and the means of sharing results are all different in university and community settings. We need places within universities where the differences can be negotiated, where trusting relationships can be nurtured and a new institutional memory can be located.

Related to this is the importance of long term commitment to partnerships. The traditional research partnership is limited to the length of the funding. When the funding is over, the academics often disappear. What is needed is an institutional commitment to long term partnerships of 5-10 years, and to such partnerships becoming part of the new culture of HEIs. Mediation through community structures and civil society organizations can support the long-term processes of engagement, if the commitment exists.

Community-based participatory research methodology is at the heart of the practice of CURPs. The tools and approaches of this methodology readily lend



themselves to forge research partnerships. Our study also reveals that while there is a strong interest in learning about methods of CBR and partnership research, there is a critical shortage of opportunities to learn about these forms of research. It is still possible to go through an entire post graduate research degree with no exposure to the methods, ethics and potential of CBR.

## Civil Society

While a preponderance of change drivers may come from governmental or funding circles or from within the organizational culture of HEIs themselves, we feel that community and civil society organizations can also make an impact. Community organizations have a right to call on the research related and other resources of the HEIs that are located within their geographic areas. This is particularly true of public universities that are supported with public funds. However, in almost all the countries studied, the civil society focused far more on primary, secondary and vocational education institutions, but rarely on HEIs. For some historical reasons, civil society has not adequately engaged with institutions and structures of higher education so far. This clearly needs to change if CURPs are to be mainstreamed. Community calls for accountability of HEIs and engagement in research could be increased in both frequency and breadth with positive results.

## The Power of Networking

A final conclusion to be drawn from our work is the value of networks. Networks such as the Living Knowledge Network (Europe), Community Based Research Canada, PASCAL, Talloires, Asia Engage, National Coordinating Council on Public Engagement (UK), Participatory Research in Asia (India) have all made a dramatic difference to support the emergence of a broader engagement field of work. As analysed in this book, a large number of networks have been able to galvanise mutual learning and collective advocacy with respect to CURPs. Networks are critical at local, regional and national levels. They bring overlapping energies from multiple sites of innovations. Global networks in particular are sources of inspiration and problem-solving. Multi-stakeholder networks, which bring academics, practitioners and policy-makers together, can make an enormous difference to the quality of partnerships and engagements in the co-production of knowledge; however, such networks and institutions do not widely exist. Therefore, particular efforts to strengthen existing networks, and to facilitate cross-network conversations, like the 'Big Tent' dialogues facilitated by UNESCO Chair, are crucial to furthering the agenda of mainstreaming community-university research partnerships.

In addition to telling truth to power, our universities and our national university systems have to tell the truth to ourselves. Our common ground with political leaders is around all of those elements of university activity that strengthen communities: high

quality teaching, service to business and the community, partnership with other public services, sensitivity to rural as well as metropolitan issues, and, above all, social mobility and social justice. (Watson, 2013)

## References

- Watson, D. (2013). Series editor's foreword: A dialogue between Sir David Watson and Tan Sri Dzulkifli Abdul Razak. In B. L. Hall, E. Jackson, R. Tandon, J. M. Fontan & N. Lall (Eds.), *Knowledge, democracy and action: Community-university research partnerships in global perspectives* (pp. xv- xvii). Manchester, UK: Manchester University Press.

# Strengthening Community University Research Partnerships: Global Perspectives

This volume is the most comprehensive and up-to-date international analysis of community research partnerships available to date. The book extends the pioneering leadership of the UNESCO Co-Chairs in Community-based Research and Social Responsibility in Higher Education who for the past four decades have advanced participatory research with the aim of empowering marginalized people.

The volume presents the first-ever global survey on the topic and 12 country case studies written by leading academics and practitioners from around the world. Communicating insights from both the Global South and North, the authors describe and explain global trends, challenges and effective approaches. A source of both inspiration and practical guidance, it is must reading for national policy-makers, university officials and professors, and civil society practitioners.

The authors offer persuasive evidence that university community research partnerships can be a path to high quality research and also to producing knowledge with the power to address societal challenges and inequities.

A distinctive strength is presentation of a new framework for institutionalizing community university research partnership, with four components: policy, infrastructure, mainstreaming in teaching and research, and accessibility.

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ISBN-13 978-1-55058-562-9



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