Linking Colleges to Communities

Engaging the University for Community Development

The Democracy Collaborative at
The University of Maryland

August 2007

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Preface

Ted Howard

Our nation's more than 4,000 public and private colleges and universities are increasingly referred to as "anchor" institutions. With rare exceptions, once established they almost never move location. Thus, they have a vested interest in building strong relationships with the neighborhoods that surround their campuses.

As such, they are a tremendous potential resource for strengthening America's communities, particularly in this era of diminishing federal support for local economic and social development. Universities employ two million workers (one-third of who are faculty), enroll more than 15 million students, possess endowments of over $300 billion, hold more than $100 billion in real estate, and purchase hundreds of billions of dollars in goods and services annually. In short, they are economic engines of considerable power in our nation.

Over the past few decades many faculty, students, and administrators have struggled to create space to utilize these resources and break down the isolation to which universities have too often succumbed. There are scores of outstanding examples of campuses that have begun to harness their scholarly and economic power to directly benefit society outside the walls of the campus. These university-community partnerships are becoming an important element in reinvigorating our civic life. Yet, overall, higher education remains a "sleeping giant" when it comes to strategically using its considerable resources to meet the challenges facing our communities, particularly the needs of our most disadvantaged citizens.

This report seeks to answer the question: "How might this sleeping giant be awakened to benefit our communities?"

History shows that universities are highly susceptible to outside influences that have shaped their research, teaching, and institutional agendas. As the following pages demonstrate, dating back to the 1860s, federal and state policy; funding from government, corporate, and philanthropic sources; and student and faculty pressure have altered the direction of higher education. From the federal government's creation of the land-grant system (the "people's" colleges) and passage of the GI bill to foundation-supported efforts that have produced entire new fields of academic research and study, higher education has time and again responded to external forces and embraced new directions.

In our own day, how can public policy and foundation grantmaking power encourage universities to become more directly and usefully involved in the life of their surrounding communities? What incentives can be put in place to move higher education to a new level of engagement with communities and to significantly leverage the flow of university resources to help meet community needs?

In this report, we review the history of policy and funding decisions that have shaped the agenda and direction of higher education. We survey the growing movement for university community engagement from service-learning and community-based research to university financial strategies that are investing many tens of millions of dollars annually in community development. And in the conclusion of this report, we suggest a strategic framework by which America's foundations, in particular, could play a catalytic role in awakening the sleeping giant of higher education.

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This report reflects the contributions of several dozen individuals who have provided us with their insights at some point in this project. Without their input, suggestions, and hard-won experience, this work would simply not have been possible.

A number of people read and commented on segments or entire drafts of the manuscript. Chuck Hotchkiss, a former lead organizer of the Granite State Organizing Project, who now teaches at the School of Community Economic Development at Southern New Hampshire University, line-edited the entire manuscript, vastly improving its readability. Many thanks too to Michael Swack, Dean of the School of Community Economic Development, for recruiting Chuck to review the manuscript. John Burkhardt, Director of the National Forum on Higher Education for the Public Good, was also of enormous assistance. A colleague of Burkhardt's, Josh Gottlieb, a graduate student at the School of Education at the University of Michigan, provided extensive comments that greatly improved this report.

We also gratefully acknowledge the assistance of Harry Boyte, Cathy Burack, Richard Cook, Richard Couto, Alisa Cunningham, Pablo Eisenberg, Ira Harkavy, Barbara Holland, Elizabeth Hollander, Katherine Kravetz, Victor Rubin, and Lorilee Sandmann. Harry Boyte and Katherine Kravetz both highlighted the importance of cultural change to develop truly engaged universities. Cathy Burack emphasized the obstacle the legacy of the German "research university" system (the ivory tower model) places on engaged university efforts today. Pablo Eisenberg stressed the importance of leadership to move an engagement agenda forward. Richard Cook called our attention to the importance of the settlement house movement of the early 1900s as an early precedent of university engagement in urban centers. Richard Couto stressed the importance of linking the case for engagement to student learning outcomes. Alisa Cunningham pointed out how the recent rise of tribal colleges was linked to past failures in U.S. American Indian education policy. Ira Harkavy encouraged us to put forth our own recommendations more forcefully, which we have endeavored to do in the conclusion to this report. Barbara Holland provided very extensive comments and encouraged us to emphasize the leadership role of community colleges in engagement efforts. Victor Rubin called our attention to the Economic Development Center program of the Commerce Department, as well as the pay scandal that hit the University of California. Given the fast pace of developments in community engagement, Barbara Holland, Elizabeth Hollander, and Lorilee Sandmann all provided invaluable assistance in helping us appropriately update the report where appropriate. Thanks also to Barbara Berglund, who helped edit the final report.

It was not possible to incorporate all of the feedback we received. Still, we hope our reviewers will appreciate how their suggestions influenced the final text. All responsibility for errors and omissions, of course, remains our own.

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Introduction

Our goal . . . is nothing less than the transformation of our nation's colleges and universities. We believe engagement is the best hope for the future of higher education.

Mary Jane Brukardt et al., ***Calling the Question***,
April 2004[1]

The subject of this report may seem surprising to some. For many activists and community development leaders, universities often appear to be walled-off cities with special, narrow concerns largely disconnected from community needs. Many may be suspicious of even the idea that universities might play an important positive role in community economic development.

Nevertheless, within universities, significant movement in this direction is already under way. In large measure, this stems from a growing appreciation for the educational importance of engagement. Leading scholars have shown that by strategically focusing higher education's many resources—from academic programs and research to business practices—universities can improve their core intellectual and academic work—in part by giving students and faculty real-world experience which can inform both research and teaching.[2] In December 2006, these efforts achieved institutional recognition with the creation of a new elective Carnegie classification for Community Engagement, for which 76 universities qualified.[3]

Of course, declaring a public commitment to community engagement is only the first step in actually addressing the many issues American communities face. In considering these challenges, it is clear that many are rooted in larger forces, including national trends of growing metropolitan sprawl, stagnant wages, longer working hours, and increasing global (and local) economic insecurity.[4] Over the past few decades, as America has shifted from a manufacturing to a service economy, there has been a dramatic loss of the blue-collar jobs that traditionally contributed to community economic stability, both by providing union wages and benefits and by supporting a stable tax base to finance public education and other services.Many of those jobs have now been replaced by low-wage service sector work, even as the same economy produces a small percentage with highly paid professional positions.[5] A key result has been the persistence of poverty amidst plenty, as well as persistent problems in our nation's public education system. A sign of the latter: a 2006 Economic Policy Institute report, which claims high school drop-out rates are exaggerated, nonetheless finds that nearly one in five (18 percent) of Americans fail to receive a high school diploma, with rates exceeding 25 percent for Latinos and African Americans.[6]

The current political and fiscal climate would not seem to bode well for a new effort to help communities. Federal programs are faced with constant pressures for further cuts. State budgets are also being squeezed. Foundations typically fund projects for only a few years, providing important seed funding, but falling short of the scale and duration needed to enable communities to develop long-term, sustained responses to the many difficult issues they face.

In this environment, the 2004 call by more than 40 leaders of higher education for universities to become engaged with their communities could hardly be better timed. As Evan Dobelle, CEO of the New England Board of Higher Education, noted in a speech to the Brookings Institution in 1998, when it comes to community economic development, the university is a "sleeping giant." The nation's more than 4,000 universities and colleges are place-based anchors in their local economies, with considerable sunk capital costs that make moving almost impossible. As a result, universities have a strong economic stake in the health of their surrounding communities. They also have the resources to make a difference. If the higher education sector as a whole were a country, it would have a gross domestic product (GDP) of over $350 billion, more than half the entire GDP of Mexico.[7] Beyond the influence universities garner for their position at the apex of the U.S. educational system, their economic weight alone—3.2 percent of the

Figure 1: Overview of Selected Federal University Policy Initiatives

Policy	Key Dates	Policy Coalition	Policy Strategy Employed	Results
Land-Grant system of practical education, research, and extension	1862, 1887, 1890, 1914	Midwestern farmers formed alliance with northeast Republicans.	Funding is first in grants of land, then with annual dollars, matched by state & local funds.	US state university system established, with universities in every state and extension offices in every county.
GI Bill and related bills (National Defense Education Act, Higher Education Act)	1944, 1958, 1965	American Legion, New Deal Democrats, higher education leaders. (Initial opposition from elite universities).	Federal grant and loan aid to individuals. Aid to non-veterans added after Sputnik. Some loans forgiven if students work in national priority areas.	No mass unemployment after World War II. Higher ed enrollment rises from 1.2 million in 1938 to 15 million in 2000. Increased diversity/affirmative action.
National Science Foundation; National Institutes of Health	1945, 1950, 1958	Industry-elite university alliance defeat New Deal Democrats. Funding rises after Sputnik.	Scientist-led board oversees grant decisions in accordance with national (defense or public health-related) priorities.	Encourages expansion of nationally focused research. Local research and outreach is de-emphasized.
Bayh-Dole Act: transfer of patent rights to universities to encourage tech development	1980	Industry-elite university alliance achieves bipartisan support in midst of major recession.	Universities set up or expand technology transfer offices to profit from inventions and support local economic development.	Leads to $40 billion industry and 270,000 jobs. Universities re-prioritize local research, but subject to industry pressures.

U.S. economy—gives them considerable community economic development leverage through such means as purchasing, salaries, and real estate development. Indeed, a 2002 report from CEOs for Cities and the Initiative for a Competitive Inner City (led by Michael Porter of the Harvard Business School) noted that, as of 1996, urban university expenditures were *nine times* greater than all federal urban job and business development program expenditures combined.[8]

The potential for universities to leverage their educational position and economic weight to support community economic development is obvious. But their record to date, while improving, remains mixed. On the one hand, movement of the university in some areas during the past two decades is evident. Gains can be seen in the rapid growth of service-learning (where students take classes that include direct work with community groups) at several hundred colleges, the increasing stature of community-based research (which has grown at a surprisingly rapid rate in the scientific community), and a rise in the number of universities that work in coalition or partnership with community groups to invest both money and educational resources in community economic development projects.

For some reform advocates, the initial gains are so impressive that they believe it is now time to move on to the question of how best to build on past gains. For instance, when discussing law school education, former Harvard President Derek Bok indicated that the main question is no longer *whether* universities are engaged in the community, but rather how best to structure that engagement. "We can't just assume that it is going to be an advantage if we can crank up the number of student legal hours to the needy even more," said Bok. "That might have been a reasonable way to proceed 50 years ago but we have reached a point now that we have to ask a different set of questions [regarding how to engage rather than how much]."[9]

On the other hand, there are many areas where the university has changed little—if at all. Indeed, advocates

of community engagement often feel overwhelmed by countervailing trends such as growing commercialism within the academy. Some remain utterly unimpressed even in areas such as service-learning where gains have been made, at least with respect to its community impact. For instance, Georgetown University Professor of Student Learning Pablo Eisenberg calls service-learning "a total crock. It put millions of dollars in universities to do nice volunteering, to do jobs on the cheap that should be done elsewhere. I don't see that as serious engagement."[10]

In short, calls for transformation and debates over the quality of community engagement are widespread. One might thus expect to find a similarly wide-ranging debate over strategies to develop policies to achieve these objectives. Here, however, the clamor quiets to a whisper. While many proposals have been advanced regarding changing internal university rules, such as tenure requirements and reward structures, the question of how to move the external policy environment shaping university behavior is far too rarely addressed. In this report, we aim to begin to address this deficiency and open a conversation regarding how to more effectively stir the university sector to meet the needs of American communities today.

We start with the premise that education policies and priorities rarely develop in a vacuum. Indeed, time and time again, university policy has been influenced by outside actors. These have included the federal government, state legislatures, funders (including both corporations and foundations), and social movements. To capture the ways in which education policy is malleable to outside interests, the first section of this report examines a wide range of precedents illustrating how political actors have shaped universities since the Civil War era. As can be seen, higher education has responded in a number of ways, affecting its research and scholarly priorities, access, and community involvement. Figure 1 lists some of these leading efforts.

Some of these education policies—such as the land-grant legislation of the 19th century and the GI Bill of 1944—are widely hailed by advocates of community engagement. Others, such as the massive infusion of federal resources into science and health research in the post-World War II era, may be less celebrated, but are no less important in understanding the *dynamic* of policy change. By the early Cold War period, federal scholarship money to subsidize enrollments and federal research dollars (heavily weighted toward the defense industry) set the parameters that still govern the university system to this day. However, with the passage of the Bayh-Dole patent legislation in 1980, the federal government began to encourage a shift of universities *away* from the national government and back toward their localities where they could become engines of regional economic development. For community engagement advocates, the effects are mixed: Bayh-Dole is clearly about commercial product development, not community building. Nonetheless, by shifting the focus of universities back to their localities, Bayh-Dole does provide a potential opening to community engagement supporters.

The second section of this report continues the discussion of policy, but is more tightly focused on what universities can specifically do in partnership with communities. In particular, we look at how policy changes have affected universities' willingness to embrace community-related research in the four decades spanning from the 1960s to the present. In this period, there have been a number of federal attempts to move universities in this direction. These include entirely new programs, such as initiatives to support locally oriented ocean and lake research, service-learning legislation, and grants for community partnerships. There have also been a number of shifts of policy *within* existing programs. Often these shifts are as important as the development of new programs. Figure 2 below provides an overview of federal efforts.

In addition to reviewing federal efforts, we also look at the increasingly important role of state governments. Many state government initiatives involve specific research projects or provide limited grants for service-learning initiatives, but some efforts are more far-reaching. Figure 3 highlights three of these.[11]

Foundations have also played a catalytic role in shaping the priorities and directions of higher education. According to a September 2003 report of The Foundation Center, more than a quarter of all foundation funding (25.6 percent) in 2002 went to higher education, amounting to $7.27 billion or more than two percent of all university revenue.[12] To understand how foundations might encourage greater university participation in community development, we review a wide range of past efforts, as summarized in Figure 4.

In the third section of this report, we step out of the policy box and take a broad view of the different kinds of community engagement being undertaken on the

Figure 2: Federal University Community-Building Initiatives

Program	Policy Initiated	Policy Coalition	Policy Strategy Employed	Results
Sea Grant	1966	Environmental scientists and coastal reps in congress. Supporters mobilized in 1981 to save program.	Makes grants to state programs, matched by state & local dollars. Focus on fishery promotion and environmental projects.	1981 analysis of 57 projects from 26 states found a return of $227 million a year, based on a 15-year investment of $270 million.
Fund for the Improvement of Postsecondary Education (FIPSE)	1972	Richard Nixon (R) and his aide, Daniel Patrick Moynihan (D); university sector led by Clark Kerr.	Small grants used to provide seed money for pilot projects. Agency staff supported dissemination through annual conferences.	Credited with spurring outreach programs to women, people of color; adding experiential focus to medical education.
Learn and Serve America (Corporation for National & Community Service)	1990	Effort led by bipartisan "National Service" coalition, backed by college service-learning advocates.	Small grants used to support experiential (service-learning) education at both the high school and college level.	With support of Campus Compact and others, service-learning now reaches 30 percent of college students.
Community Outreach Partnership Centers (HUD Office of University Partnerships)	1992	Narrow reform coalition. Rex LaMore (Michigan State), Judith Ramaley (Portland State), Senator Don Riegle (D-MI), and Senator Mark Hatfield (R-OR) were key players.	Small grants made to universities to initiate interdisciplinary programs in partnership with local community groups.	More than 100 community partnership centers on university campuses nationwide.
Tribal College inclusion in land-grant legislation	1994	Effort led by tribal college association, backed by land-grant colleges, and Clinton administration.	Set up initial $23 million endowment. Tribal colleges also receive additional annual funds and were made eligible for other federal funds.	Development of community programs in leadership, nutrition and health services, Head Start, and K-12 partnerships.
Urban and community development research within land-grant extension	Early 1990s-present	Policy change due to pressure from legislators in urban states and internal staff support for change.	Approximately 15-20 states now have "urban extension" programs. New community development extension society formed in 2005.	Urban programs reach hundreds of thousands a year. Participation in land use planning, workforce development.
NSF, NIH: Community-based participatory research, experiential education	Early 1990s-present	Advocacy groups mobilized against environmental racism; cultural change within scientific community.	Rewriting of grant criteria. Office of Community-Based Research within NIH Center on Minority Health. NSF support for experiential learning.	Community-based research has facilitated outreach to minority groups. Use of experiential methods in undergrad science has increased dramatically.

Figure 3: State University Community-Building Initiatives

Program	Policy Initiated	Policy Coalition	Policy Strategy Employed	Results
West Virginia Rural Health Initiative Act	1991	Rural legislators, Kellogg Foundation	13 training consortia of community-based health, social, and education agencies develop rural health education programs that cover underserved counties.	Program widely seen as model effort. Between 1998 and 2004, number of medical graduates in rural practice statewide increased 88 percent.
Arizona Proposition 301 (sales tax increase linked to increased university research)	2000	Gov. Jane Dee Hull (R), business leaders, K-12 teacher unions, higher education leaders	State university portion of revenues is all dedicated to new Technology and Research Fund to support research and technology transfer efforts.	In first three years, state investment has leveraged an equivalent amount of federal grant funds, as well as generating revenues from new business start-ups.
California Compact	2004	Gov. Arnold Schwarzenegger (R), Democratic legislature, university leaders	University expands outreach to K-12 schools, agrees to educate more math & science teachers in exchange for steady state funding.	Too soon to tell. Program solidifies California's status as having most extensive outreach programs in nation.

ground by universities today. These efforts range from courses using service-learning, outreach, and community development work, on the one hand, to areas that involve "community engagement" in the commercial sense, such as entrepreneurship programs and science parks, on the other. In addition, we look at current debates over changing definitions of scholarship and tenure requirements for university professors to better understand current dynamics within higher education, what achievements can be built on, and where change might be most needed. Some of these efforts are highlighted in Figure 5.

In section four, we evaluate the potential for change within higher education. In other words, which groups favor change? What are their interests? How might their interests be aligned to build policy coalitions? To answer these questions, we look examine the interests of key stakeholders (students, faculty, administrators, and policymakers). We also interview leaders of the engagement movement for their views regarding which obstacles (cultural, institutional, political) need to be overcome and which changes made *within* the university sector. Some of the responses we received are summarized in Figure 6.

Many of the items listed in Figure 6 build on ongoing efforts. A critical point mentioned repeatedly was the need to restructure university *incentives* to promote community engagement. As Ann Hoyt, a professor who led an effort to revise promotion and tenure rules at the University of Wisconsin, Madison, simply stated, "People respond to what they are rewarded for."[13]

In our inquiries, we also asked a wide range of interview subjects—including university administrators, faculty, community activists, think tank researchers, and foundation leaders—to identify how policymakers or foundations might move forward an agenda to better leverage university assets to meet community needs. Our respondents identified a number of ways to extend and institutionalize these efforts. An overview of their responses appears in Figure 7.

In the conclusion of this report—"Awakening the Sleeping Giant"—we have drawn on these ideas and our

Figure 4: Overview of Selected Foundation Efforts[14]

Foundation	Dates	Program	Strategy Employed	Impact
Peabody	1870-1900	Teachers Colleges	Pioneered linking of grants to local policy change and matching funds.	Promoted the formation of teachers' colleges throughout post-Civil War South.
Ford	1951-1966	Area Studies	Grants to support the training of graduate students and the building of "area studies" centers.	Provided model for Foreign Language provisions of 1958 National Education Defense Act.
Ford	1950s-1960s	Urban Extension	Piloted a number of urban extension projects (centers), including at Wisconsin and Illinois land-grant colleges.	By 1964, President Johnson had endorsed idea, but efforts stymied by internal opposition to urban focus within land-grant programs.
Ford	1972-1992	Women's Studies	Grants supported faculty and graduate student research on the role of women in society.	By 2004, there were more than 800 women's studies programs, including over 30 that offer graduate degrees.
Bradley, Coors, Koch, John M. Olin, Scaife, Smith Richardson	1970s-present	Building a Conservative Intelligentsia	Funds to endow conservative academic institutes, operating support for conservative student and faculty groups.	Developed strong conservative advocacy networks. Conservative institutes at Harvard and University of Chicago.
Kellogg	1986-2001	Nonprofit Management	Grants promoted both overall program and curriculum development.	Number of nonprofit management programs has increased from 3 in 1986 to 114 in 2003.
Irvine	1987-1999	Diversity	Project-related grants to promote recruitment and retention of students of color.	Succeeded in the particulars. Failed to develop desired cultural change. Follow-up effort focused on evaluation.
Wallace	1992-2002	Community Schools	Employed multiple models, including university-K–12 partnerships.	Helped grow national network of community schools where school serves as all-purpose community center.
Kaufman	1993-present	Entrepreneurship Centers	Build model programs (leveraging state and local resources) and promote endowed chairs.	Number of endowed chairs in entrepreneurship has grown from 237 in 1999 to 406 in 2004.
Kellogg	1995-2003	Renewing land-grant mission, Forum on Institutional Transformation.	Convener approach. Supported dialogues among university leaders.	Built up college president support for "engagement". Spun off stand-alone group.
Fannie Mae	1998-2001	University-Community Partnership Initiative	Grants to universities to support community development, most often with a housing focus.	Abt Associates 2001 study found "promising practices" at eight of the eleven grant recipients that it reviewed.
Pew Charitable Trusts	1998-2004	Solutions for America	Grants to university-partnerships for researchers to document and publicize successes.	Partnerships established by the grant persisted in 75% of the cases more than a year past the end of the grant.

Figure 5: Engaged University Practices

Service-learning • Over 1,000 colleges in Campus Compact; 30% of students at member colleges participate. • Labor value $5.6 billion. • Growing focus on sustained problem-solving efforts.	Community Partnerships • Since 1994, HUD has disbursed $80 million in partnership center grants to 177 colleges. • Additional $131 million to 184 colleges for community development at minority-serving institutions.
Leveraging Assets • Investing endowments: Ohio State, Trinity College, Clark, University of Cincinnati • Local purchasing/hiring: LeMoyne-Owen, Penn • Mixed-use development: Howard, Washington-Takoma • Business incubation: N. Kentucky, Va. Commonwealth	Meeting Community Needs • Urban community research centers: UI-Chicago, Michigan State • Affordable housing: Jackson St., U. Texas Pan American • University K-12 partnerships: Coppin State, Penn • Comprehensive urban mission: Portland St. (OR), U. Wisconsin Milwaukee

Figure 6: Engagement Priorities within the University

Supporting Student Engagement 1. Expand use of graduate research assistantships for engagement work. 2. Develop capstone courses for undergraduates. 3. Expand programs in community economic development. 4. Increase emphasis in professional schools on community problem-solving.	Supporting Faculty Engagement 1. Lobby discipline associations to value engagement. 2. Recalibrate tenure evaluation so that engagement scholarship is valued. 3. Increase the availability of competitive faculty mini-grants. 4. Provide faculty course releases. 5. Use awards to increase the prestige of the work. 6. Make available community engagement sabbaticals.	University Leadership Measures 1. Use classification and accreditation systems to recognize engagement work. 2. Support networking among practitioners. 3. Establish Trustees Committees on engagement. 4. Provide internal funds to sustain community-campus partnership centers. 5. Leverage university assets to support community development.

Figure 7: External Support for University Reform

Federal Policy • Use grants to mobilize land grant network of 15,000 extension agents. • Initiate partnership programs in other departments (e.g, EPA, Justice). • Have partnership funds go to both university and community partners. • Expand existing partnership and community-based research programs. • Adapt NSF model of supporting junior scholars to other community efforts.	State Policy • Develop model program in state(s) with strong engagement tradition(s). • Include engagement criteria in state "performance" agreements. • Use credit enhancements to support university community investments.	Foundations • Support faculty development, partnership centers, and curricular reform. • Promote practitioner networking to develop a common political voice. • Sponsor comprehensive model initiatives that others can emulate.

own experience to suggest the outlines of a multi-year effort to help define an integrated strategy to catalyze the latent community-building potential of higher education institutions. In particular, our recommendations concern how the philanthropic community might take a leadership role in awakening "the sleeping giant" that lies within the huge, largely untapped economic engine of America's anchored institutions of higher education.

The potential for building on the past decades of university achievements in community economic development is great. But to have a real chance to affect university policy over the coming decades, what is needed is to link internal and external efforts and build a viable coalition that can promote these efforts both within the academy and the greater public sphere. One goal of this report is to move the discussion forward on this point.

Of course, we acknowledge that the central idea behind this report—that universities should serve for community benefit—might be offensive to some. For instance, Stanley Fish of the University of Illinois at Chicago, in a 2004 *New York Times* article, warned against universities accepting civic obligations and argued that, "Performing academic work responsibly and at the highest level is a job big enough for any scholar and any institution."[15] In a March 2000 article in *The Atlantic Monthly*, Eyal Press and Jennifer Washburn contend that, "The ultimate criterion of the place of higher learning in America will be the extent to which it is esteemed not as a necessary instrument of external ends, but as an end of itself."[16]

We do not dispute the essential value of scholarly research. But leaving aside for a moment such questions as how even core educational goals can be met *without* linking education to community needs or growing scholarly doubts about the ability to maintain a traditional "ivory tower" knowledge generation process in an increasingly networked world,[17] we believe that universities, as institutions that educate millions, employ over two percent of the American workforce, and have a joint purchasing power of over $350 billion a year, can do far more.

The truth is that universities in the United States have long been moored to society. The question really is not so much *whether* universities should be linked to the outside world, but *how*. Press and Washburn themselves note that, "in America educators from Thomas Jefferson to John Dewey have argued that universities ought to engage in the world, and that knowledge exists to be put to use,"[18] but contend that these arguments provide entrée for commercial influence and that the best response is academic isolation. Perhaps. But we believe a better option is to join the argument and develop a more positive vision of a university that is truly engaged in a public-benefiting mission. And, indeed, we believe that this report demonstrates that history is on the side of those who seek such a public mission for higher education.

The debate over whether to retreat into an ivory tower or be engaged in the community will, of course, never fully be settled. But we believe we are in good company when we side with those who argue for engagement. As the many examples in this report will attest, when universities *do* engage in the right way in the community—that is, in a manner that creates true partnerships—these efforts greatly benefit both the public and the universities themselves.

Section One

Universities and the Federal Government

The Birth of the "People's" Colleges

This bill proposes to establish at least one college in every State upon a sure and perpetual foundation, accessible to all, but especially to the sons of toil, where all of needful science for the practical avocations of life shall be taught . . . and where agriculture, the foundation of all present and future prosperity, may look for troops of earnest friends, studying its familiar and recondite economies, and at last elevating it to that higher level where it may fearlessly invoke comparison with the most advanced standards of the world.

Justin Smith Morrill, 1862[19]

The earliest example of federal policy that intentionally shaped the direction and focus of higher education was the Land-Grant College Act of 1862. This measure leveraged federal funding to establish a new network of colleges designed to provide non-elite practical education in agriculture and industry. Over the following decades, the land-grant model developed a three-fold mission that included research, education, and outreach focused on meeting the needs of the people of each state.

When Jonathan Baldwin Turner, a former professor at Illinois College in the small town of Jacksonville, gave a speech in 1850 entitled "A Plan of our State University for the Industrial Class," the prospects for passing a bill in Congress a dozen years later that would establish public universities in every state of the country could not have looked favorable.[20] Turner's proposal aimed to do three things: 1) establish colleges to provide low-cost education, 2) develop curricula that include practical and vocational subjects for the working class, and 3) fund college endowments through grants of land from the federal government. The granting of land itself was not novel—this was how public elementary schools had often been financed. What was new was the development of a new *type* of college—with its emphasis on "agriculture and the mechanical arts," rather than the classical European model of education for the elite as practiced by Harvard, Yale, and others. For this reason, the campaign to create land-grant colleges was often seen by contemporaries as a campaign for the "people's colleges."[21]

At first, Turner and his supporters worked at the state level. In 1853, the Illinois state legislature passed a resolution endorsing the "establishment of industrial universities" and instructing the State of Illinois' senators to pursue appropriate national legislation.[22] Other states also endorsed the Illinois Plan or variants thereof, including Massachusetts and New York. However, despite this support, the legislation stalled. Illinois Senator Lyman Trumbull suggested to Turner that the legislation, strongly identified with farmers from the Midwest, would enjoy greater support if sponsored by an eastern representative. That sponsor, Justin Smith Morrill of Vermont, was soon found. In December 1857, Morrill re-introduced the legislation.[23]

Even after Morrill came on board, getting land-grant college legislation through Congress was no simple

matter. In 1858, the bill passed the House, but failed in the Senate. Southern legislators opposed the bill due to its extension of federal authority, which they saw as setting a dangerous precedent for extension of federal power in other areas (most importantly, slavery). In 1859, the bill passed both houses but was vetoed by President James Buchanan. Buchanan, in his veto message, signaled that he opposed the bill both because of its cost and because he felt it violated constitutional limits on federal authority.[24]

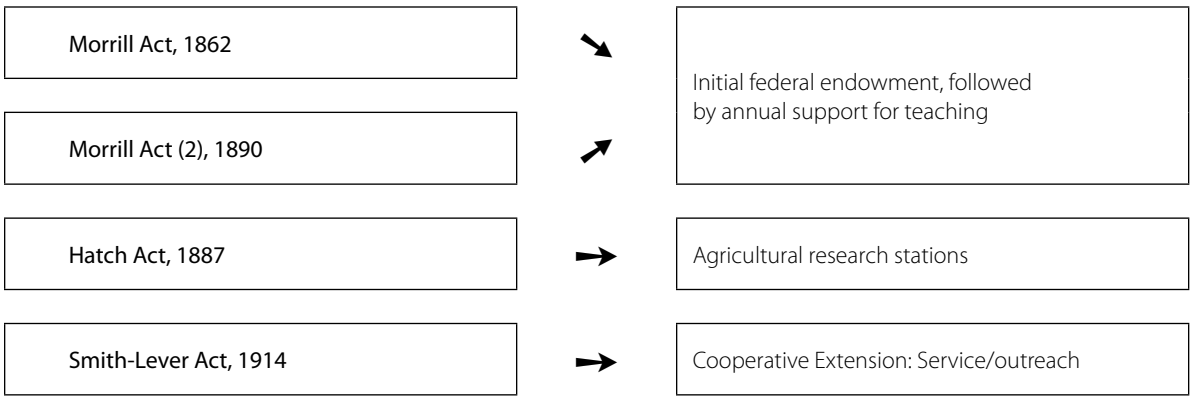
Not surprisingly, after Abraham Lincoln from Illinois had been elected president and the South seceded, the political calculus changed dramatically. But the final vote totals in 1862 (90-25 in the House and 32-7 in the Senate) make the land-grant bill seem much less controversial than it was. Even without the South, financial wrangling between regions nearly scuttled the bill. In the end, western representatives accepted that eastern states would receive scrip for land they could sell (a gift of western land that effectively subsidized the more wealthy Eastern states) to finance their state colleges. In exchange, western representatives secured eastern support for the Homestead Act, which gave conditional grants of land to settlers (160-acre plots) to encourage greater agricultural settlement and production in the West.[25]

Although the 1862 Land-Grant College Act established the framework for federal government support of state universities, many pieces of what would come to be known as the "land-grant system" would only fall into place much later, as can be seen in Figure 8.

The original 1862 bill funded teaching only and did not support either research or outreach work. Research didn't receive direct federal funding until 1887, when the Hatch Act was approved to support agricultural research. Also, the original land-grant colleges had only received a one-time appropriation of an endowment of land. Soon efforts were underway to provide more regular funding. Beginning in 1872, Morrill submitted legislation ten times to establish an annual appropriation—he finally succeeded on his *eleventh* try in 1890. Key obstacles to earlier passage were financial pressures to pay down the federal debt resulting from the Civil War and the fact that land-grant colleges grew only slowly after the 1862 bill's passage.[26] However, even without additional federal support, by 1890 there were 48 land-grant colleges in U.S. states and territories.

In addition to providing an annual appropriation for land-grant college education, the 1890 bill leveraged that funding to require that southern states establish and fund what today are known as historically black colleges.[27] Morrill acceded to allowing states to create racially segregated educational institutions, but did succeed in ensuring that colleges for black students would be available in every southern state. Morrill underscored the importance of the issue to him during Senate floor debate on an earlier version of the bill in 1876. "Having emancipated a whole race, shall it be said that there our duty ends, leaving the race as cucumbers of the ground, to live or to wilt and perish, as the case may be? They are members of the American family and their advancement concerns us all," Morrill declared.[28]

Figure 8: The Federal Land Grant Model



From the start, the land-grant system faced competing pressures between civic and economic missions. This, indeed, is in full evidence in Morrill's own rhetoric, which, as cited at the beginning of this section, speaks of democratic access to education and economic development in the same sentence. As James Collier of Virginia Tech puts it, Morrill, in his advocacy for the Land-Grant Act, "artfully wedded the Jeffersonian notion of educating citizens as the 'proprietors of the soil' to the Hamiltonian desire for direct federal revenue."[29] In a 2005 article examining the future of land-grant colleges, Henry Fribourg of the University of Tennessee echoes both themes. On the one hand, he mentions that land-grant colleges were designed "to open institutions of higher *education* to the sons and daughters of shopkeepers, artisans and farmers" (emphasis in original). On the other hand, Fribourg primarily defines land-grant colleges' success in economic terms, saying they fostered "a progressive agriculture to undergird the entire economy."[30]

Along with teaching and research, extension (or "service") would ultimately form the third leg of the land-grant mission. But extension's arrival came rather late. As with the original Land-Grant Act, agitation for extension began at the state level. Although a number of states began their extension services well in advance of federal legislation (including Pennsylvania, which began its extension service in 1877), Wisconsin proved to be the critical state in terms of bringing the issue to the national stage. In 1906, University of Wisconsin President Charles Van Hise founded the university's Extension Division as part of a broader effort to promote public service and outreach—an effort that later would become known as the "Wisconsin Idea" (famously characterized as "the boundaries of the university should be the boundaries of the state.") In 1907, the state legislature, backed by the Progressive-era Governor Robert La Follette, provided additional public funds for the new extension service that would deliver educational services to the people where they were.[31]

It was in the development of extension service where the land-grant movement came closest to articulating the philosophy of what today is known as "engagement." Although extension focused much more on the unidirectional transmission of knowledge from university "experts" to the populace, as opposed to the contemporary engagement ideal of much more equitable bi-directional knowledge transmission between university researchers and community members, the emergence of extension nonetheless marked a watershed in expanding the land-grant university's commitment to being relevant and responsive to the needs of the surrounding population.[32] As one account explains, in Wisconsin, "Early extension officers engaged in activities ranging from improving dairy production . . . to helping preserve Wisconsin's natural resources and areas of beauty, to delivering much-needed dental care to some of the state's most remote and isolated communities." In 1914, prompted by the success of the prominent Wisconsin example, Congress passed the Smith-Lever Act, the first federal funding for cooperative extension.[33]

Many further additions to land-grant programs have been made since, but with the passage of Smith-Lever, the main framework of the modern American land-grant system had been established. Land-grant colleges expanded rapidly. According to one study, by 1938, 1.2 million students attended colleges and universities in the United States. About 600,000 of them attended public colleges, most of which at the time were land-grant institutions. By contrast, in 1890, there were only 150,000 students attending American colleges of any kind.[34]

The system of colleges that these policies of federal support for education, agricultural research, and cooperative extension helped create remains a central element of the United States system of higher education to this day. According to Craig LaMay of Northwestern University, land-grant colleges presently enroll roughly three million students a year and issue about one-third of the nation's bachelor's and master's degrees, 60 percent of doctoral degrees, and 70 percent of engineering degrees.[35]

The numbers are impressive and demonstrate the continued growth of the land-grant system. But the land-grant system has not simply grown—it has also changed in important ways. Indeed, the predominance of engineering and doctoral programs in the "people's colleges" is an indicator of two later innovations in federal education policy—namely, the rise of federal science research funding and of student education aid. The prominence of these latter innovations in federal funding led many land-grant colleges to be known by a new term—the "research university."[36] To be sure, the growth of the research university was in evidence at some land-grant colleges—most notably at Cornell and the state universities of Illinois, Michigan, Wisconsin, Minnesota, and California—well before federal policy shifted.[37] But the federal policy decision to fund increasing amounts of scientific research accelerated that shift, greatly influencing the overall direction of land-grant college system in the process.

The Rise of the Mass University Model

It is well known that almost no one involved with the formation or passage of the GI Bill envisioned the educational portion as an action aimed at facilitating mass social mobility or overhauling the educational system. Fearing a mass of unemployed veterans, the educational incentives were to function primarily as another form of unemployment relief.

Daniel A. Clark, Purdue University[38]

Two major policy changes at the end of World War II led to a transformation in the federal role in higher education. The first measure, the GI Bill, although primarily an employment bill, provided a tuition subsidy for returning veterans. This resulted in a rapid increase in enrollments and set a precedent of using federal aid to support higher education. The second measure, the hotly contested formation of the National Science Foundation, shifted the focus of university research from addressing state agricultural and industry needs to the pursuit of science, much of which was related to addressing national Cold War priorities.

Two major federal education policy changes marked the immediate post-World War II period. The first, concomitant with the Cold War, was the consolidation of a federal funding model for the sciences that had emerged during World War II, marked most visibly by the Manhattan Project which had built the first atomic bomb. The second measure, the GI Bill (officially titled the "Servicemen's Readjustment Act") was designed to reduce employment demand among returning veterans. As a result, education was only one section of a much larger legislative package that included unemployment insurance and mortgage assistance among its provisions.

Although the two measures both emerged from wartime policy discussions, they illustrate vastly different paths to policy implementation. The process to approve the formation of the National Science Foundation (NSF) was long and arduous. Eight years transpired from the initial introduction of the legislation in 1942 to ultimate passage in 1950. While differing sharply in origins from the grassroots agitation for the original land-grant college act, the path to the formation of the NSF had a surprisingly similar trajectory, engaging many interests and involving considerable debate and compromise.

By contrast, the GI Bill was passed within a year of its initial introduction and received widespread bipartisan support. Unlike concerns about scientific research policy, veterans' issues were seen as much more urgent and, indeed, dire. A June 1943 report from the National Resources Planning Board predicted mass unemployment of "8 or 9 million" workers in the anticipated postwar "readjustment period." The Senate Finance Committee, which unanimously recommended passage, stated, "If the trained and disciplined efficiency and valor of the men and women of our armed forces can be directed into proper channels, we shall have a better country to live in than the world has ever seen. If we should fail in that task, disaster and chaos are inevitable." The leading grassroots organizing force promoting the GI Bill was

the American Legion, a right-of-center group that had opposed many New Deal programs, but which was very interested in promoting benefits for returning soldiers. The Legion promoted the bill with a quite simple economic rationale. As National Commander Warren H. Atherton put it, "We do not want our sons and daughters selling apples on street corners."[39]

This sense of impending crisis helps explains why the GI Bill was approved more quickly than the NSF, but there were other reasons too. Among the most important of these was that the GI Bill was originally seen as a temporary, emergency measure. In fact, many hardly considered it an education bill at all. Some of the GI Bill's key provisions—including providing veterans with federally guaranteed home and small business loans at four-percent interest and giving returning soldiers the right to receive up to 52 weeks' unemployment insurance of $20 a week—were entirely unrelated to education. But such measures were seen as critical to the main purpose of the legislation—reintegrating soldiers into American society.[40]

Nonetheless, the education section of the bill, which provided up to $500 for tuition—enough to cover full tuition at most colleges—and a stipend of $50 a month (or $75 if the GI had dependents) was far from insignificant. During World War II, liberal arts college enrollment had fallen 21 percent, business school enrollment 51 percent, and law school enrollment 79 percent. Not surprisingly, the American Bar Association lobbied in favor of the GI Bill. Opposition was limited, although voices of dissent were heard from the elite colleges, most notably President Robert M. Hutchins of the University of Chicago and President James B. Conant of Harvard University, the latter of whom found the GI Bill "distressing" because it failed "to distinguish between those who can profit most by advanced education and those who cannot."[41]

It was, in fact, anticipated that federal policy support would lead to rising enrollments, although the government grossly underestimated the legislation's actual effect. Brigadier General Frank T. Hines, Veteran Affairs Administrator, wrote in a 1945 article of *Public Administration Review* that "some 660,000 veterans may be expected to enter college," a significant number in a nation accustomed to educating roughly 1.2 million college students a year before the war. The actual number making use of the GI Bill's education benefit, however, proved to be far greater—a total of 2.23 million, with over a million GIs attending college in 1947-1948 alone. Overall, enrollments at colleges across the United States had risen 75 percent above pre-war levels.[42]

Some analysts conclude that despite the massive expansion of the university system that the GI Bill entailed, its overall effect on higher education was marginal. GI Bill historian Keith Olson, for instance, contends that federal research funds had a far more significant role.[43]

Perhaps. Certainly, no one would dispute the importance of military research dollars to the postwar university. But the issues of federal research funding and enrollment are not so easily separated, especially as mass undergraduate enrollments would prove to be an important element in supporting a funding base for graduate student research.

What is clear is that World War II and the subsequent Cold War, by providing a major new source of federal revenue for universities, altered the focus of land-grant colleges and of the nation's university system generally. In a word, it *federalized* the focus of higher education to a degree never seen in the country before. Prior to World War II, while the federal government did provide research and education dollars, most of these dollars were provided through land-grant legislation which went to state land-grant colleges to meet education, research, and service needs within their own states. Now universities were called upon to mobilize their resources to solve *national* problems. This was most obviously true for national security-related research—which, according to Daniel Sarewitz of Columbia University, constituted over 80 percent of all federally funded research between 1945 and 1957.[44] But it was also true with the GI Bill, as universities were effectively mobilized to avert national unemployment by delaying the re-entry of soldiers into the labor market. As Senator Daniel Patrick Moynihan (D-NY) would later observe, "Universities were put to work on behalf of goals and activities deemed by government officials to be in the national interest . . . a clear case of federal domination of the directions in which higher education moved."[45]

Because the GI Bill was passed as an emergency measure, there was little opportunity to debate what the new role of higher education should be in the postwar period. That debate, however, would occur instead between 1942 and 1950, as Congress wrangled at length over the contours of the legislation that would ultimately shape the creation of the National Science Foundation (NSF).

In this debate, adherents fell into two camps. Vannevar Bush, who headed the government's wartime Office of Scientific Research and Development, led one group. In 1945, Bush wrote *Science: The Endless Frontier*, which advocated a federal research policy that would support "basic research in the colleges, universities, and research institutes, both in medicine and the natural sciences, adapted to supporting research on new weapons [and] to administering a program of science scholarships and fellowships." Based on this report, Senator Warren Magnuson (D-WA) introduced a bill that year to implement Bush's vision.[46]

But the first prominent adherent of creating a National Science Foundation was Harley Kilgore, a freshman New Deal Senator from West Virginia, who had introduced legislation in 1942 and revised versions in 1943 and 1944, but with a very different vision. As NSF historian George Mazuzan put it, "Reflecting his populist New Dealer views, Kilgore envisioned a broad science organization (including the social sciences) that supported through grants and contracts both basic and applied research and incorporated geographic distribution of funds."[47]

Kilgore first introduced legislation in the fall of 1942. The initial bill proposed the formation of an Office of Technology Mobilization to limit private wartime profiteering. This bill stalled in committee due to strong opposition from the military, industrialists, and Bush, but the hearings generated considerable support among inventors and some small business owners. In 1943, Kilgore reintroduced the measure, but shifted the focus of his bill to shaping the federal role in science after the war. In effect, Kilgore sought to apply a modified version of the land-grant agriculture research model to meet the needs of urban America. Kilgore's proposed agency, which he now was calling the Office of Scientific and Technological Mobilization, aimed to "finance through grants and loans scientific and technical education and the advancement of pure and applied research." To maintain alignment with public needs and desires, an advisory board would govern the agency that "would include representatives from industry, agriculture, labor, and small business, as well as science and technology." To avoid private enrichment, Kilgore proposed having the government hold patent rights to inventions developed through the projects the agency funded.[48]

Kilgore's 1943 proposal generated considerably greater response than the previous bill—much of it quite favorable. Vice President Henry Wallace testified in favor. Assistant Attorney General Thurman Arnold went so far as to call the bill the "Magna Carta of science." In general, Kilgore received considerable support from inventors, small businesses, and the more "populist" or labor-backed sections of the Democratic Party. But trade associations (including the American Association for the Advancement of Science), large industrial organizations (such as Bell Labs), and the military remained opposed.[49]

In 1944, Kilgore reintroduced legislation again and, for the first time, the name of the agency that would eventually result from his efforts—the "National Science Foundation"—appeared in the text of the legislation. Responding to critics, Kilgore added provisions designed to preserve greater scientific autonomy for grant recipients, guarantee the military a specified percentage of research dollars, and allow greater transfer of patent rights to industry. Still the changes were not enough to satisfy Bush and his allies, as Kilgore's bill retained non-scientist control over the foundation board and still insisted on government ownership of patents. There were other areas of disagreement. For instance, Kilgore wanted to include applied and social sciences and to fund non-elite universities, while Bush wanted to focus on basic research and direct federal funds to the "best" scientists, even if that meant federal grant dollars continued to flow to a relatively small number of universities. In historian Daniel Kevles' view, the key difference "boiled down to a basic issue: Kilgore wanted a foundation responsive to lay control and prepared to support research for the advancement of the general welfare. Bush and his colleagues wanted an agency run by scientists mainly for the purpose of advancing science."[50]

But Kilgore and Bush also shared important areas of consensus. Most obviously, both sought to increase the federal role in scientific research. In February 1946, a compromise bill was introduced. Kilgore agreed to allow the government to cede more patent rights to industry while Bush agreed to provisions that would include social sciences in NSF, charge the president with appointing the NSF director, and require a wider distribution of federal grant funding. The compromise bill passed in the Senate, but stalled in the House, in large part because Republicans held back support in the hope that they would regain control of Congress in the 1946 elections (which they did). The following year the Republican Congress passed a bill similar to what Bush had

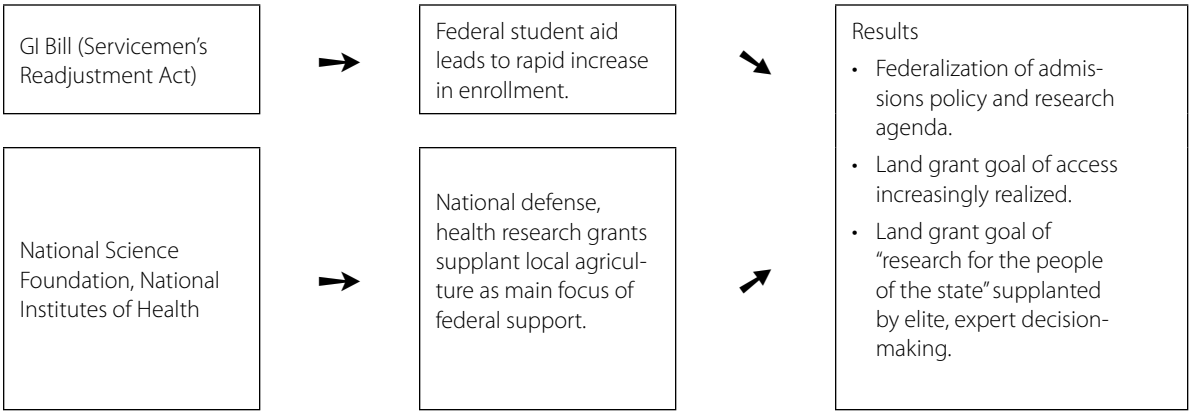
originally recommended, but President Truman vetoed the bill, in large measure because it made the foundation director an appointee of the board itself, rather than the president.[51]

It would take three more years before legislation establishing a National Science Foundation would come to a vote. But in 1950, with Truman reelected and the Democrats back in control of Congress, a bill was passed that, while still largely adhering to Bush's vision, restored some provisions of Kilgore's proposal, including a presidential-appointed director and inclusion of the social sciences (they were not named, but the legislation permitted the funding of "other" sciences). As Daniel Lee Kleinmann of Georgia Tech summarizes, there were four key characteristics of the final NSF legislation: 1) the NSF would be controlled by scientists; 2) the agency would not coordinate national research policy; 3) the agency would only support "basic" (and not applied) research; and 4) the NSF could license inventions to private industry (meaning that industry, and not government, would gain most of the financial benefit that derived from federally funded research). The long delay in getting legislative approval had other consequences: the NSF's initial funding was far less than originally envisioned (although this would change after the Soviet launch of the Sputnik satellite) and many agencies, most notably the Office of Naval Research and the National Institutes of Health, were now sufficiently established that they remained independent of the new NSF agency.[52]

Nonetheless, the creation of a National Science Foundation and its associated government grant-making machinery was an important policy development. Either the formation of a national science funding apparatus or the widespread scholarship funding of the GI Bill *alone* would have had a substantial impact on the U.S. higher education system. Combined, their impact was of much greater significance. The resulting model is depicted in Figure 9.

By dramatically increasing federal resources for higher education, both GI Bill stipends and the NSF research grants transformed America's higher education system. On the one hand, the inflow of funds helped fulfill the land-grant college aspiration to make a college education accessible to citizens of modest means. On the other hand, pressure on universities to both secure research grants and educate much larger numbers of students helped produce an efficient, but technocratic orientation. In many cases, the consolidation of the mass university with a national (and often military) research focus led to increasing separation of universities from the local communities in which they were situated.

Figure 9: The Mass University Model



Deepening of the Postwar Model

The arrival of Sputnik did not revolutionize the pattern of federal engagement in higher education… But the event of Sputnik did provide a tremendous spark for enlarging federal involvement in America's colleges and universities on an unprecedented scale…[53]

John Aubrey Douglas, University of California, Berkeley

The Soviet Union's launch of the first space satellite, Sputnik, in 1957 precipitated a massive expansion of federal funding for university research and education. In 1958, Congress passed the National Defense Education Act, which extended student aid provisions to students who were not veterans. In 1965 federal funding for higher education was consolidated with the passage of the Higher Education Act. A key result was a rapid increase in enrollments. During the decade of the 1960s alone, the number of community colleges nationwide increased from 412 to 909.

While the basic contours of the research university were set in the immediate postwar period, further expansion in the 1950s had been stalled somewhat by congressional resistance, particularly from the South, to increasing federal control over education. A century before, congressmen from Southern states had resisted federal legislation to create land-grant colleges due to their desire to preserve slavery. Now resistance to federal Supreme Court decisions mandating the dismantling of educational segregation resulted in a similar dynamic. Nonetheless, although the pace of growth slowed, federal funding for existing programs of higher education rose steadily during the 1950s, particularly when education leaders tied increased support to national security needs. For instance, when a 1955 National Research Council report showed that the United States was training scientists at a far slower rate than the Soviet Union, Congress more than doubled the budget of the National Science Foundation from $16 million to $40 million a year *before* the launching of Sputnik.[54]

In October 1957, the Soviet Union had a successful launch of the world's first space satellite, Sputnik. The fact that the Soviet Union had beaten the United States in the first stage of what would become known as the "space race" was highly alarming. The sense of crisis is evident in a 1958 article by Thomas N. Bonner, who wrote in the *Journal of Higher Education* that, "It is upon education that the fate of our way of life depends . . . the outcome of a third world war may be decided in the classroom."[55]

Given the tenor of the time, both the President and Congress felt compelled to act quickly to pass legislation that greatly extended the reach of federal education policy. President Dwight Eisenhower first proposed the legislation, which he called the National Defense Education Act, in his State of the Union address in January 1958. Legislation was signed into law that September. Not surprisingly, considering the haste with which legislation was drafted and approved, the bill involved a hodge-podge of ideas that had been floating around in the education community over the past decade. There

were four key provisions for higher education in the bill. First, student aid, which had been restricted to veterans, was now made available to all in the form of loan support, with half of the debt being forgiven if the student chose to teach afterward in such national priority areas as science, mathematics, and foreign languages. Second, the National Science Foundation's budget was nearly tripled in a single year from just under $50 million to $136 million, helping the agency realize the initial broad vision of its founders.[56] Third, foreign language area studies centers, a policy innovation advocated by the Modern Languages Association, were established initially at 19 universities, and rapidly expanded to more schools afterward.[57] And, last, fellowships for graduate students in both the sciences and foreign languages were made available—providing funding for roughly 4,000 graduate students a year by the 1960s.[58]

The NDEA bill, in short, helped to consolidate and extend federal higher education trends set by the GI bill and the National Science Foundation legislation a decade before. While the initial NDEA bill provided "emergency" funding for only four years, the act was extended before it expired. In 1965, it became the basis of the Higher Education Act, which continues to serve as the main policy framework for federal education to this day.[59]

The Higher Education Act of 1965 not only extended the NDEA, it also altered it and added important new provisions. In particular, it extended federal support for higher education in two significant ways. First, the Higher Education Act of 1965 marked a shift, albeit a limited one, in federal research funding policy. The weight of federal funding in the early postwar period in favor of physical sciences and national defense spending had been so pronounced—95 percent of total federal research and development expenditures, according to one estimate—that it prompted criticism even from its science beneficiaries, since match requirements sometimes had the perverse effect of requiring universities to take money away from the under-funded social sciences and humanities and give those funds to the wealthier physical sciences. This led the American Association for the Advancement of Science to declare that: "Efforts to advance science at the expense of other fields of learning harm all fields of learning and the society they serve." With the passage of the Higher Education Act, the dominance of national defense-related research remained—63 percent of all federally funded research as of the mid-1980s and even in 2000, a decade after the end of the Cold War, 44 percent of all federal research dollars still went for defense-related work—but the scope of fundable research had nonetheless been broadened considerably to include both greater funding for health research and limited funds for the social science and humanities.[60]

More fundamentally the Higher Education Act marked a decisive shift in the direction of federal promotion of expanded access to higher education both through aid (work study, grants, student loans, etc.) and into compelling universities to break down racial and gender barriers, without which most of today's affirmative action programs, including bridge and outreach programs to underserved communities, would not exist. As Robert Woodbury, former Chancellor of the University of Maine system, explains, over a period of 40 years the effect of federal promotion of access has been profound: "The stereotype of the college student as a full-time, residential, white, and male, person of the 18-24 age bracket, steadily evaporated over the four decades after 1964. By 2004, the majority of college students were female, approximately a quarter came from minority ethnic and racial communities and less than a quarter fit the traditional stereotype of a full-time, residential student age 18 to 24."[61]

Viewed over the long haul, the transformation has been tremendous. Annual college attendance in the United States had increased from 1.2 million in 1938 to 15 million by 2000. A good part of this increase resulted from the rapid rise of community colleges, which doubled in number (from 412 to 909) in the decade of the 1960s alone, and which, as of 2000, enrolled 44 percent of all college students. As Woodbury notes, while more people than ever have access to higher education, "Higher education has become increasingly segregated by class and family income . . . The 'new' and less advantaged college populations went to nearby community colleges and marginal private colleges; those with higher family incomes and from more traditional college-going classes went to the more elite institutions, both public and private, which continued to benefit from financial resources and subsidies far beyond those available to most institutions." The nature of these changes is depicted in Figure 10.[62]

The full story of this transformation extends far beyond the scope of this work. Still, the degree of change is worth emphasizing, as it very much shapes the community engagement efforts that are the primary focus of this report. On a positive note, the rise of community

colleges and four-year state metropolitan universities added new actors to the higher education world. And in part because they receive much less federal funding per student than their research university brethren, these institutions often have proven to be leaders in community engagement.

One critical point bears emphasis: while the research university model focused on meeting national needs, the expansion of access to education responded to the traditional land-grant mission of being accessible to the "sons of toil," as Morrill had put it back in 1862. In effect, a compromise between the Morrill vision and the "research university" vision had been struck. On the one hand, universities would meet the land-grant mission of serving the community by increasing enrollments. On the other hand, the *content* of the education and especially research would, by and large, not be focused on community needs, but instead would primarily serve national research and education priorities.

In recent years, the terms of the Cold War compromise have frayed. This has led to an increase in attempts to restructure the research work of the nation's universities. Some of those efforts seek to promote increased linkages with industry. Others seek to promote community engagement. A new paradigm has yet to fully emerge. But considerable experimentation in both of these directions is now clearly underway.

Figure 10: Cold War University—Key Elements

Strategy		Features and Outcomes
Foreign Language study expansion supported by federal grants	→	National Defense Education Act financed over 4,000 graduate fellowships a year and provided funding for area studies centers.
Defense research supported by federal science program grants	→	Defense research dominant element of federal research funding—95 percent of all funds in late 1950s. Even in 2000, after Cold War and before 9-11, still 44 percent of all funds.
Student access through government loans to individuals	→	Enrollment rises from 1.2 million in 1938 to 15 million by 2000. Community colleges by 2000 educate 44% of all students.
Federal enforcement of affirmative action	→	As of 2004, traditional students (age 18-24, live on campus) are only 25% of total. Roughly 25% of all college students are students of color.

Bayh-Dole and the Rise of University-Business Partnerships

Since their inception, land-grant and many other public universities have had a long-standing commitment to engaging and serving the citizens of their state… The enactment of the Bayh-Dole Act in 1980 offered universities a new opportunity for engagement: the opportunity to contribute to economic development in their state and region.

James R. Bloedel, Vice Provost for Research,
Iowa State University, 2004[63]

The Bayh-Dole Act of 1980, which encouraged universities to patent and earn revenue from their discoveries, represented a departure from the Cold War tendency to centralize research through programs prioritizing national objectives. Adopted during a severe recession, Bayh-Dole used a strategy of granting property rights (ownership of patents) to universities to foster local industry partnerships and regional economic development. Bayh-Dole has been popular with universities and state legislatures. However, critics suggest that Bayh-Dole has corrupted universities by subordinating academic research to the pursuit of profit.

American universities, dating back to the passage of the Morrill Act in 1862, have contributed to local economic development. Nonetheless, while Bloedel's claim to newness might be overdrawn, he is certainly correct to point out that the Bayh-Dole Act of 1980—named for its two primary authors, Senators Robert Dole (R-Kansas) and Birch Bayh (D-Indiana)—did encourage a rapid expansion of economic development activity. Bayh-Dole was important primarily because, as Howard Bremer put it in a 2001 address to the National Association of State Universities and Land-Grant Colleges, "It changed the presumption of title in and to any invention made in whole or in part with the use of government-supplied funds from the government to the universities." Previously, universities could obtain patents, but only by negotiating on a case-by-case basis with government agencies. After Bayh-Dole passed, universities gained, with some limited exceptions, the right to capitalize on inventions developed by university faculty to encourage universities to dedicate greater energy to commercializing discoveries. Indeed, in this aspect, Bayh-Dole proponents were not to be disappointed. Patents issued to universities increased from 250 a year to 3,000 a year between 1980 and 2000. In 1999, the Association of University Technology Managers estimated that university-supported technology transfer activities contributed a total of $40 billion to the U.S. economy, as well as being responsible for 270,000 jobs nationwide.[64]

It is important to note, however, that while Bayh-Dole symbolically was the central measure that enabled this shift in university policy, there really were a series of related measures that combined had a much greater effect than the passage of Bayh-Dole alone. Indeed, years before Bayh-Dole was even drafted, a shift toward greater patenting had already begun.[65] Spurred by the economic stagnation of the 1970s and by a decline in

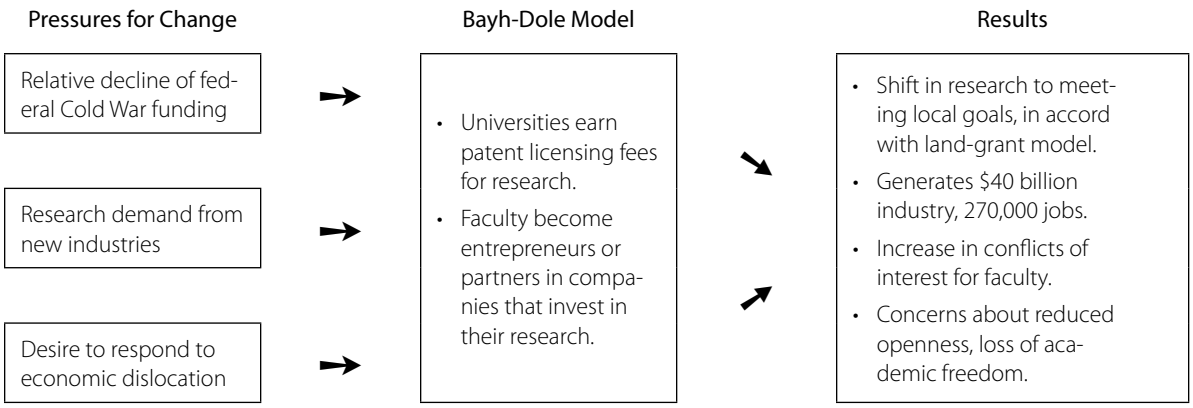
the amount of federal defense spending in the post-Vietnam period, university leaders were successful in gaining a new stream of revenue that depended on forming partnerships with local business. As David Mowery of the Haas Business School at the University of California, Berkeley, explains, ". . .reductions in the rate of growth in federal funding of university research during the early 1970s heightened the interest of university faculty and administrators in the potential revenues associated with licensing those research advances."[66]

The main mechanism for universities to commercialize discoveries during the 1970s was the institutional patent agreement (IPA). First developed during the Johnson administration in 1968 in the Department of Health, Education & Welfare (HEW), which, importantly, housed the National Institutes of Health, the IPA "gave universities with 'approved technology transfer capability' the right to retain title to agency-funded patents." Between 1969 and 1977, HEW proceeded to grant 72 IPAs. The National Science Foundation initiated a similar program in 1973. As Mowery points out, the 49 universities that succeeded in getting IPAs in the 1970s were responsible for 73 percent of university patenting during the 1970s and would still be responsible for 55 percent of university patenting during the 1980s.[67]

A snag in this small, but growing university patenting activity, however, occurred early in the Carter Administration when, in August 1977, the Office of the General Counsel of HEW expressed "concern" that university patents might lead to higher health care costs. In the following 12 months, HEW deferred decisions on 30 petitions for patent rights, drawing the ire of many of the nation's leading elite universities in the process. A political response was quick to develop. A patent attorney from Purdue University contacted Senator Birch Bayh (D-Indiana), while a congressional staffer who had worked for the University of Arizona lobbied Senator Robert Dole (R-Kansas). In September 1978, the two senators introduced the "University and Small Business Patent Act." Rep. Peter Rodino (D-New Jersey) sponsored the House version of the legislation. Backers of the bill quickly lined up: Harvard, Stanford, Purdue, the University of California, the University of Wisconsin, and the Massachusetts Institute of Technology were among the more prominent.[68]

Opposition to the bill was to be anticipated: the issue of patent rights, after all, had been central to the postwar debate regarding the National Science Foundation. But the bad economic times led to greater acceptance of measures that would provide federal inducements for applied research. Also, it should be emphasized that Bayh-Dole required no allocation of federal funds. Rather, it reallocated property rights in the form of the ownership of patents. Dissent in the 1980 version of the legislation was further reduced by including provisions that limited the securing of patent rights to universities and small businesses, thereby deflecting criticism that privatizing patent rights would primarily benefit big business. As a result, the legislation was approved overwhelmingly. In the Senate, the final vote in favor of passage was 91-4.

Figure 11: Bayh-Dole



As Figure 11 shows, Bayh-Dole has had many effects on universities, which continue to be debated to this day.[69]

Although highly popular among legislators (who have come to expect universities to be engines of economic development) and university officials (who can raise funds both directly from patent revenues and indirectly through corporate fundraising),[70] many have criticized the growing nexus between universities and business that Bayh-Dole helped encourage. For instance in a 2005 newspaper article, Sheldon Krimsky of Tufts University contended that, "The unprecedented commingling of the academic and commercial spheres has led to bias in scientific findings, undermined public trust in medical research and tilted universities toward profit-making projects rather than fundamental discoveries." David Noble of York University in Toronto notes even more ominously that, "The traditional 'porosity' of the university—the space for independent inquiry and even criticism—is beginning to close up." A March 2000 article by Eyal Press and Jennifer Washburn in *The Atlantic Monthly* denounced the increasing dependency of university science research on corporate support and business partnerships as leading to the creation of a "kept university."[71]

The potential for conflicts of interest is obvious in cases where, as Press and Washburn point out, "Professors . . . often own stock in the companies that fund their work." In some cases, the universities themselves can become equity partners in the enterprises its faculty help develop. For instance, as of 2000, the University of California owned shares in 30 companies.[72]

Striking a balance between preserving the autonomy of the university and developing beneficial partnerships with business is a complex issue that contains some of the same tensions as military-university relationships.[73] However, despite the risks of conflict of interest or corruption, it is important to recognize that federal policy, by fostering the rise of business partnerships through Bayh-Dole and related measures, has led universities to shift their research focus back toward their localities. As such, this development marks an important shift away from the trend of federalization that had been dominant between 1940 and 1980. Mary Sue Coleman, President of the University of Michigan, put it this way in a 2004 address, "Tying your research and broader academic mission to the economic climate of the state is a critical piece of local politics." A few years earlier, Richard Atkinson, then President of the University of California, emphasized the links with the university's mission in advocating for increased partnership activity. "It would be a mistake for universities to draw back from partnerships with industry because of the risks," Atkinson wrote. "Not only are these risks manageable, but they are worth taking; working with society to apply knowledge is integral to the U.S. land-grant tradition."[74]

Section Two

Innovation at the Margins—The Return of Community Research

The Federal Government and the Slow Rise of Reform

I foresee the day when an urban extension service, operated by universities across the country, will do for urban America what the Agricultural Extension Service has done for rural America.[75]

President Lyndon Johnson, June 1964

Although no large-scale federal programs supporting engagement have been launched, over the past four decades the federal government has implemented a number of smaller-scale initiatives. These include programs that encourage service-learning and community partnerships, as well as the incorporation of Tribal Colleges into the land-grant program. Resources have also shifted within existing federal programs. For instance, the land-grant program has funded urban food-related programs and both urban and rural community development work. In addition, the National Science Foundation and National Institutes of Health have greatly increased their support of community-based participatory research.

More than four decades have passed since President Johnson issued his bold call for an urban extension service at the dedication of the University of California at Irvine. The growing urbanization of the United States was already evident. "Now 70 percent of our people live in urban areas like Los Angeles," Johnson said. "Their needs are immense. But just as our colleges and universities changed the future of our farms a century ago, so they can help change the future of our cities." Johnson's sense of the scope and scale of urban problems was, if anything, understated. A year later, riots would break out in the Watts section of Los Angeles. Four years later, after much more widespread urban unrest nationwide, the Kerner Commission would issue its famous report, which stated that, "Our nation is moving toward two societies, one black, one white—separate and unequal."[76]

Yet the political turmoil from the urban revolts of that period was one reason why Johnson's vision of an urban extension service has never been fully realized. Still, in many areas, one finds federal policy innovation in the direction of Johnson's original vision. In some cases, old programs—including extension—have taken steps toward adapting new urban or community-research roles. In other cases, new programs, although small, have helped propel forward efforts that extend far beyond the scale of the limited federal resources that have been invested. Although the efforts to develop community-based education, research and service differ greatly from efforts to form technology clusters and research parks, they do both sometimes use the same terms—both use the phrase "community engagement"—as well as a common focus of better aligning the work with the needs of the surrounding area. They also are driven, in part, by pressures on universities to re-think the relationship between the university and its community to build both political and financial support.

Since the mid-1960s, a number of new small federal programs have been developed, five of which we will examine here.[77] Two of these programs—the National Sea Grant program and the Fund for the Improvement of Post-Secondary Education (FIPSE)—were initiated in a period of general expansion of federal education funding,

with the Sea Grant program supporting fishery-related and environmental research and FIPSE providing seed money for a variety of experimental education programs. The other three—Learn and Serve America, the Community Outreach Partnership Centers program, and the extension of the land-grant program to include Tribal Colleges—were all created at the end of the Cold War period and were part of a broader policy turn toward addressing domestic issues. Although these programs are small, they illustrate the potential of using federal money to support community-based research projects. An overview of the broad range of federal efforts employed over the past few decades is provided in Figure 12.

The Sea Grant program was conceived largely by Athelstan Spilhaus, then Dean of the Institute of Technology at the University of Minnesota, who is credited with first floating the idea at an American Fisheries Society annual meeting in 1963. Interest in the Sea Grant concept grew, partially due to an editorial written by Spilhaus that appeared in a 1964 issue of *Science*.[78] A second factor that helped pave the way to acceptance of Spilhaus' ideas was the popularity of Rachel Carson's *Silent Spring*, which had been published in 1962. As Judith McDowell, Director of the Woods Hole Oceanographic Institution in Massachusetts, would later observe, "With an increased concern for the environment—much of which is still attributed to Carson—and an increased awareness of the world's oceans, the timing was appropriate for expanded educational programs in ecology, oceanography, and marine science." In 1965, Sen. Claiborne Pell (D-Rhode Island) and Rep. Paul Rogers (D-Florida) introduced legislation to establish Sea Grant colleges on coastal campuses nationwide. A year later, in 1966, the National Sea Grant College Act was unanimously approved by Congress and signed into law. The policy process was quite simple. As Lauriston King and Wayne Shannon explain, "There was certainly no powerful pressure group to demand anything—just an idea that luckily found favor with members of Congress who found it a good one in light of the coastal location of their districts."[79]

The growth of the Sea Grant program was gradual. In 1968, the program received an initial allocation of $5 million, much of which was disbursed to six schools. By 1981, however, the program had expanded to a majority of the states and had received an allocation of $41.8 million from Congress, a figure that amounted to a threefold increase in inflation-adjusted dollars over 13 years.[80] According to a 1981 analysis of 57 projects from 26 state

Figure 12: Strategies to Leverage Federal Government to Support University Community Development Efforts

Strategy	Examples
Develop grant programs to provide federal support to meet constituency need.	• National Sea Grant (1966) • Tribal College incorporation in land-grant legislation (1994)
Create grant programs with broad mandate but limited funds to support exemplary efforts.	• Fund for the Improvement of Postsecondary Education (1972) • Learn and Serve America (1990) • Community Outreach Partnership Centers (1992)
Move federal dollars by leveraging existing programs but employing them in new ways.	• Urban and community development within land-grant program. • Community-based participatory research within federal science grant programs.

programs, the Sea Grant program had resulted in an annual return of $227 million, based on a cumulative investment of $270 million since the program's founding. The conservative Heritage Foundation that year found that the Sea Grant program had had "an impressive record of success, primarily because it is based largely on local priorities and needs." Nonetheless, the Sea Grant program came under attack in 1981 as the administration of President Ronald Reagan sought to "zero out" the program as part of its general effort to reduce domestic spending. In the end, Sea Grant advocates were able to keep the program going at a somewhat reduced funding level of $35 million. In the 1990s, funding levels were increased somewhat again (to a level of roughly $62 million by 2000). During the administration of President George W. Bush, inflation has chipped away at the Sea Grant program, but the nominal level of funding has been maintained.[81]

Despite the Sea Grant's origins as an agricultural program, a number of Sea Grant funded programs have had an urban focus, which is not too surprising given that 54 percent of the U.S. population live in coastal areas. Sea Grant finances a wide range of education, research, and service work. In particular, Sea Grant supports a number of projects concerned with ports and harbors. Sea Grant also funds hurricane hazard mitigation efforts. For instance, in 1986, based on Sea Grant office recommendations, the state of North Carolina revised its building code. Ten years later, Hurricane Fran hit. On Topsail Island, 200 of the 205 newer oceanfront houses built to the "Sea Grant" standards survived the hurricane with minimal foundation damage, while over 500 older oceanfront houses were destroyed in the same area.[82]

Unlike Sea Grant, which was patterned on the land-grant model, the Fund for the Improvement of Postsecondary Education (FIPSE) emulated the National Science Foundation. In 1968, the Carnegie Commission on Higher Education, headed by former University of California President Clark Kerr, issued a report calling for a "National Foundation for the Development of Higher Education." The proposal gained the support of Daniel Patrick Moynihan, special counsel to President Richard Nixon, and legislation was introduced to create an independent foundation with a $100 million budget. What passed in 1972 was a $10 million line item within the Department of Health, Education & Welfare (HEW) budget to provide "support for the improvement of postsecondary education." Once the line item was approved, the FIPSE office was created. The budget bill did not specify an administrative structure, but, as Villanova philosophy professor John Immerwahr notes, FIPSE benefited from the fact that it was located in a separate office that directly reported to the Assistant Secretary of HEW for Education.[83]

Although $10 million was a far cry from $100 million, in some ways, the smaller budget proved to be a blessing. In particular, the smaller size of the fund legitimated a strategy of making smaller grants—typically for $300,000 or less. Because the grants were smaller, FIPSE could afford to take more risks in its funding decisions. The smaller grant amounts also increased the chances of innovative proposals being selected, since more established programs typically weren't interested in the small amount of funding FIPSE could provide.[84]

Over the years, FIPSE seed grants have helped support a number of reforms in higher education. Among the most important of these were support to develop college programs that reached out to under-served populations, such as a grant that helped start up Boricua College, a college in New York City that continues to specialize in providing education for Puerto Rican students to this day; a grant in the early 1970s to set up programs aimed at serving low income, minority women at San Jose Community College in California; and a series of grants to support math and science education programs across the country with an emphasis on improving minority education outcomes. Between 1994 and 2001, FIPSE also made 28 grants to support a variety of programs to promote greater accessibility to higher education for disabled students.[85]

FIPSE grants have also helped spur broader curricular development efforts. FIPSE grants made in the 1970s to the Educational Testing Service led to the development of criteria that would permit academic credit to be awarded for experiential learning, helping pave the way for the 1990s expansion of service-learning. In the early 1980s, FIPSE sponsored research by Paula Stillman, then at the University of Arizona, who sought to revise medical curricula by having students attempt to diagnose volunteer patients with chronic medical problems, as a way for medical students to supplement their book learning and better learn clinical and communication skills. This methodology rapidly spread to become standard practice in medical education. In the 1990s, FIPSE grants promoted further change in medical education practice by supporting the Women's Health Education Program

at Drexel University's medical school to better incorporate women's health into medical school training. The award-winning program has had a national impact as similar practices have spread across the medical school profession.[86]

While FIPSE and the Sea Grant programs illustrate how federal government programs can spur new university efforts, after the early 1970s there was a lull in the creation of new federal higher education programs, as most federal education policy energy was directed toward the K-12 school system.[87] However, national political attention was once again focused on higher education in the late 1980s and early 1990s.[88] Three programs merit attention here: the Corporation for National & Community Service (created in 1990 as "the Corporation for National Service" in 1990 and renamed in 1993), the Community Outreach Partnership Centers program (created in 1992) and the Equity in Educational Land-Grant Status Act of 1994, which extended the land-grant program to include Tribal Colleges.[89]

Of the three programs, the Corporation for National and Community Service is by far the largest and has gotten the most attention. The program was created as part of the National Community Service Act of 1990, which was promoted by a bipartisan political coalition that included President George H. W. Bush and Senator Edward Kennedy (D-Massachusetts). The program authorized the federal government to make grants to high schools and colleges to support service-learning through the Serve America program and support volunteer activity through the Points of Light Foundation. In 1993, President Bill Clinton sought to expand these efforts by proposing a new program: AmeriCorps (which would provide federal student loan forgiveness and a stipend in exchange for community service), as well as continuing the Serve America program of support for service-learning programs on campus (which got renamed "Learn and Serve America"). Although Clinton had originally proposed $3 billion for AmeriCorps and aimed to have 500,000 participants a year, Congress approved funding of less than one-tenth that amount, in part because of Republican opposition and in part because of a lack of enthusiasm from the higher education community, many of whom feared that national service might take away funding from existing college aid programs. In FY 2005, funding for AmeriCorps programs remained at $313 million, clearly much less than Clinton had envisioned.[90] Nonetheless, symbolically, the creation of AmeriCorps helped support the growth of service-learning by increasing the visibility of service work. In addition, the Learn and Serve America program continues to provide direct grant support for service-learning programs. In FY 2007, such support totaled a modest but not insignificant $34 million, one fourth of which goes to universities while the other three-quarters goes to K-12 school districts and community-based groups.[91]

In contrast to the very public battles for the creation of AmeriCorps, the creation of the Community Outreach and Partnerships Center (COPC) program and the expansion of the land-grant category to include tribal colleges happened much more quietly. In the case of the COPC bill, the effort was largely a matter of an individual congressperson inserting a line item into a reauthorization bill. Rex LaMore, Director of the Michigan State Center for Community & Economic Development, with support from the NASULGC (National Association of State Universities & Land Grant Colleges) Commission on the Urban Agenda and the Coalition of Urban and Metropolitan Universities, was able to successfully persuade Senator Don Riegle (D-Michigan) to promote a grant program that would support university-community partnerships. In October 1992, as part of the reauthorization bill for the Department of Housing & Urban Development (HUD), Riegle, backed by Senator Mark Hatfield (R-OR), was able to insert a rider to the legislation to create that program, with funding authorized up to $15 million a year.[92] (The actual allocation ended up being half of that or $7.5 million). HUD in the Clinton years under Secretary Henry Cisneros chose to house the line item in a newly created Office of University Partnerships that would also manage related programs that link universities and community development. The first grants were distributed in 1994. The COPC grant program has remained small and has actually declined slightly over time. In FY 2005, its budget was $6.46 million. The entire Office of University Partnerships (OUP) budget, most of which goes to programs targeting universities serving minority students, totaled just over $33 million that year. In FY 2006, COPC received no funding; however, other OUP programs received $20 million. In FY 2007, the passage of a continuing resolution froze funding levels in place, meaning that COPC remained without funding for a second consecutive year. At press time, the Bush Administration's budget for FY 2008 proposed to restore funding, although the outcome of the final budget for FY 2008 remains uncertain.[93]

Although the COPC program, even at its peak, has always been small, it has had a large influence. While some changes have been made to the program, the main element endured throughout its operation: the award of 3-year grants intended to provide seed money for university efforts to partner with community groups to address community problems. The standard grant award was $400,000. Each year the program dispersed about 15 or 16 grants out of the typical applicant pool of roughly 120 universities that apply. Key criteria for the award included that there must be an actual partnership with community groups and at least three schools or departments that are actively integrated into the project. Once a school received a grant, it could not receive another grant—however, COPC did have a separate program that awarded follow-up grants of $150,000, dispersed over two years. In the program's first decade, well over 100 universities participated. Details of a number of these efforts appear in a later section of this report. While COPC's funding has been cut off and the future of the program is in doubt, COPC's popularity in Congress in the 1990s helped lead to the creation of other Office of University Partnership grant programs targeting minority-serving institutions which persist to this day.[94]

As with the creation of COPC, the effort to incorporate tribal colleges into the land-grant programs happened through a rider to a reauthorization bill. Tribal colleges, most of which are two-year schools, are a relatively recent innovation. The first was established in 1968. By 1972, there were six and they formed an association, the American Indian Higher Education Consortium (AIHEC). By the early 1990s, there were 26 tribal colleges with approximately 16,000 students. In 1993, sensing a favorable political opportunity, AIHEC acted to push through a bill that would include tribal colleges within the land-grant program. Importantly, they secured the support of the land-grant college trade association, the National Association of State Universities & Land-Grant Colleges (NASULGC) in July 1993, which testified in favor of the bill. Clinton appointees in both the Interior and Education departments also gave their support. The bill was introduced into the Senate in August 1993, authored by Jeff Bingaman (D) of New Mexico; the lead House sponsor was Pat Williams (D) of Montana. Provisions of the legislation included creating a $23 million endowment, the interest on which could support tribal colleges, as well as limited annual funding for instructional expenses and for agricultural and natural resources research. In the fall of 1994, the bill was appended as a rider to the Elementary and Secondary Education Reauthorization Act and signed into law.[95]

The money that tribal colleges receive from the land-grant program has provided a major boost to these colleges' community development efforts. A 2001 study of 17 tribal colleges found that seven of the colleges operated Head Start programs, four had devised community leadership development programs, six offered nutrition and health services to their communities, and all helped provide Internet technology to Native American elementary and secondary schools. In addition, the study found tribal colleges working on a broad range of other projects including Fond du Lac College in Minnesota, which works with 21 high schools to teach students about ecology; Sitting Bull College in the Dakotas, which has developed a network of organizations to support long-term bison restoration efforts; and Lakota College in South Dakota, which provides job training and personal skills development for 750 youth between the ages of 14 and 21.[96]

Two other federal initiatives since the 1990s are worth examining in detail. One of these concerns efforts to broaden the scope of land-grant programs to include greater support for urban and community research, education, and extension work. The other concerns the incorporation of community partnership criteria into National Science Foundation (NSF) and National Institutes of Health (NIH) funded research and education grant proposals. Although neither of these programs is in any sense "new," because these are much larger programs than the ones reviewed above, even a small shift can have a significant effect. For instance, FY 2005 funding for the land-grant programs operated by the Department of Agriculture was $1.175 billion. Including state and local contributions to these programs, total funding exceeds $3 billion; nationwide, extension programs employ roughly 15,000. Science funding is even more substantial. University funding received in FY 2005 from NSF exceeded $4.4 billion and funding from NIH exceeded $16.8 billion.[97]

More than forty years after President Johnson called for the development of an urban extension service, movement toward the incorporation of urban and community work into the traditional land-grant programs is still limited. This slow response is perhaps to be expected given that the Cooperative State Research Education and Extension Service (CSREES), which manages

the land-grant programs, is housed in the U.S. Department of Agriculture. Nonetheless, Maurice Dorsey of CSREES indicates that from a baseline of nearly zero (Ohio is one notable exception) in the 1980s, there are now 15-20 states with active urban extension programs. As Dorsey explains, "The urban effort got started around 1990. It started in the west with a few extension officials from Arizona, New Mexico, and California. Later Texas joined." From 1994 through 1999, an urban task force held annual conferences that attracted between 250 and 500 extension agents. Conferences have continued since then, although with reduced frequency due to funding constraints as well as political pressure from rural legislators to limit the use of US Department of Agriculture funds in urban communities.[98]

As Dorsey's statement implies, the impetus to develop urban extension programs came not from Washington, but from internal political pressures in predominantly urban states. According to a 2004 study by Jordan Winstead of North Carolina State University, in Texas by 1990 "half of the state's population lived in only six of its 254 counties . . . guided by the political consequences of this demographic shift, [extension officials] realized that if they wanted to keep Extension alive in rural areas, they had to begin appealing to urban Texans and, more directly, to their urban legislators." Although efforts had begun in the early 1990s, progress was slow. In 1998, Pete Laney, Speaker of the Texas House of Representatives, expressed his frustration, saying, "If you want to continue to receive funds for Extension programs in rural areas, you must convince the urban legislators that Extension is a valid investment for tax dollars. What I'm telling you is that if you want to continue to have rural Extension programs, you must have good urban Extension programs." As a result, the Texas Extension program engaged in a statewide strategic planning exercise to increase its ability to address urban issues and build political support. Average grant funding to urban county extension programs in Texas, which had been as low as $333 in 1990, went up to an average of $500,000. Other changes were also made in nomenclature ("Agricultural Extension" became "Cooperative Extension"), structure (including the hiring of a statewide Urban Extension Director), and visibility (including the creation of an Urban Extension section of the website). According to Winstead, similar political pressures led to similar programs being adopted in other states, such as Wisconsin (with programs that focused on partnership efforts in the metropolitan Milwaukee and Green Bay regions) and Illinois, where 72 percent of its legislators come from the "Chicagoland" metropolitan region.[99]

Thus, one finds university extension offices coordinating community garden programs that provide food and income to low-income residents in Memphis, Tennessee; New Jersey (where 6,760 program participants produced nearly a million dollars worth of produce as of 1998); Atlanta, Georgia; and New York City. In Fort Worth, Texas, in 1998, Texas Cooperative Extension provided nutrition education to 4,784 youth. In 2003, Alabama Cooperative Extension taught 107 youth life skills courses (e.g., leadership, communication) to a total of 4,415 students at 12 city schools. Maryland's extension programs on nutritional education, youth development, and financial education reached nearly 100,000 in 2002. Some urban extension programs train childcare providers (332 in Virginia in 2002), teach bilingual education (especially in Florida and California), and even assist with racial reconciliation, as Ohio State Extension facilitated 131 town meetings in the year following riots that took place in Cincinnati in 2001.[100]

A newer area of growth is in extension-based community development. Here the focus is less on a shift from rural to urban communities than a shift from agriculture to broader issues of community economic development, often still within rural communities. For instance, such a community development approach might address such matters as "ecological integrity, social cohesion, effective decision-making, and [developing] relevant economic opportunities." Efforts to organize an association of "community resources and economic development" extension agents began in 2002. Three years later, these efforts culminated in the formation of the National Association of Community Development Extension Professionals, which held its official "first annual" conference in February 2005. Some of the more innovative programs include land use planning efforts in Indiana, Wisconsin, Georgia, Ohio and Michigan; workforce development in Illinois, Nebraska, and Texas; community building in Vermont; K-12 computer education in Indiana; and reintegration of ex-offenders in Alabama.[101]

It is difficult to assess the scope of urban and community development extension budgets—in part because state and county programs are not consistent in how they define their expenditure categories. However, the scale of these efforts is significant. For instance, New York City's extension program *alone* obtained federal funds of

$2.48 million, state funds of $1.23 million, and, with grants and contracts had a total budget of $5.33 million in 2002-2003. In other words, the federal money received by the New York City extension program is greater than a third of the peak annual *national* budget for the Community Outreach and Partnerships Center program. Conservatively, the value of urban extension work nationally today is in the tens of millions of dollars a year—a small portion of the total extension budget to be sure, but in comparison with urban community partnership programs, a not inconsiderable sum.[102]

Just as precise numbers for urban extension are lacking, it is difficult to quantify the growth of community-based approaches in health and science research. But if urban extension funding minimally exceeds ten million dollars a year, science funding of community-based research is certainly several times greater than that. The public benefits of this research can be significant. For example, although research on AIDS/HIV transmission can take place with or without community participation, with participation research results are more likely to reach the population in need of the information. A 2005 journal article summarized the main benefits of community-based participatory research as follows: "a) ensures that the research topic comes from, or reflects, a major concern of the local community; b) enhances the relevance and application of the research data by all partners involved; c) brings together partners with different skills, knowledge, and expertise to address complex problems; d) enhances the quality, validity, sensitivity, and practicality of research by involving the local knowledge of the participants; e) extends the likelihood of overcoming the distrust of research by communities that traditionally have been the 'subjects' of such research; and f) aims to improve health and well-being of the involved communities." A central factor behind the success of this approach, as Barbara Israel of the University of Michigan School of Public Health has emphasized, is its recognition that "individuals are embedded within social, political, and economic systems that shape behaviors and access to resources necessary to maintain health" in ways that traditional basic research tends not to take into account.[103]

Such thinking has begun to alter patterns of federal science research funding. As Serena Seifer, Executive Director of Community-Campus Partnerships for Health put it, "Community-based research is still a small fraction. But there are definite signs. There is a lack of success of research translated into practice. People are asking questions; part of the answer inevitably is that there needs to be participation by the community. And there are some real signs that the institutions are moving in that direction. A lot of things are going on in the environment that supports this direction."[104]

One place where this changed thinking (and therefore changed funding practice) is evident is at the National Institute of Environmental Health Sciences, a National Institutes of Health (NIH) agency with an annual budget of nearly $650 million. But this shift did not occur merely because researchers thought community participation might be a good idea. Rather, activism around issues of environmental racism played a key role. As Peggy Shepard of West Harlem Environmental ACTion explained, "A number of strategic initiatives and interactions by environmental justice leaders at the grassroots and federal levels have created steps toward change." A mobilization of over 1,000 environmental activists at a 1991 National People of Color Environmental Leadership Summit in Washington helped give the movement both the visibility and credibility to call for policy change. Two years later, the National Institute of Environmental Health Sciences initiated its Environmental Justice: Partnerships for Communication program "to establish methods for linking members of a community, who are directly affected by adverse environmental conditions, with researchers and health care providers." But activists continued to press for greater government action. In 1994, activists held another conference in the metro Washington area, attended by 1,100. President Clinton signed an Executive Order on Environmental Justice during the second day of the conference, calling on agencies to develop policies to address the disproportionate impact of environmental hazards in low-income communities and communities of color. A decade later, NIEHS has expanded its efforts beyond the environmental justice program to include another ten community-based participatory research initiatives.[105]

Another place where a community-based participatory research approach is prominent is at the National Center on Minority Health and Health Disparities (NCMHD). The National Institutes of Health first established an Office of Research on Minority Health in 1990 during the Bush administration.[106] Ten years later, in November 2000, President Clinton signed into law legislation converting the office into a stand-alone NIH Center. In FY 2001, the Center's budget was $130 million; in FY 2005,

its budget was $196 million, a 50-percent increase over four years. The Center's mission of eliminating health disparities between white and non-white populations has led it to prioritize outreach efforts to communities of color. In the three years spanning FY 2002 to FY 2004, the Center disbursed a total of $55 million in grants to its Centers of Excellence in Partnerships for Community Outreach, Research on Health Disparities and Training (also known as Project Export) program, an initiative that aims to support "health disparities research, community outreach, and training aimed at eliminating health disparities." In FY 2005, the Center established an Office of Community-Based Participatory Research and Outreach to support "collaborative partnerships between academic institutions and community-based organizations." The office's first formal "request for applications," which announced the intent to disburse "$4.5 million for five to ten awards," was issued in February 2005.[107]

Other federal health programs also issue proposals that make use of community-based approaches. Sometimes substantial funding is involved. For instance, the National Cancer Institute committed $24 million in FY 2005 for projects that would "reduce cancer health disparities by conducting community-based participatory education, training, and research among racial/ethnic minorities . . . and underserved populations." In FY 2004, the Centers for Disease Control set aside $10 million for health protection work that employed "strategies that include close collaboration with members of the study population and colleagues for non-academic sectors."[108]

Like NIH, over the past decade the National Science Foundation (NSF) has sought to shift from a "pure research" focus to give greater weight to other goals. In NSF's case there has been an emphasis on two areas: 1) attracting greater participation in the sciences by women and people of color and 2) increasing the importance of undergraduate science education and partnerships with K-12 schools. In the first area, NSF has had modest success. A 2004 Congressional report found improvement, but noted that, "Although participation [by women and people of color in science] has grown measurably, progress has been slow and uneven across science and engineering fields, and across career paths."[109]

In terms of changing undergraduate science, however, by all accounts NSF has been quite successful. Interestingly, this has been done with little change in the weight of education funding in NSF's budget. Indeed, from FY 1994 to FY 2004, the percentage of NSF funding that went to education and human resources actually *fell* from 19 to 17 percent—and this was before budget cuts began to hit NSF's education program in FY 2005. However, in the decade between 1994 and 2004, funding for NSF climbed 89 percent (an increase of 49 percent, after inflation), so the education budget rose during those years in real terms too, albeit not as much. Also, in some areas education funding grew more rapidly. For instance, between 1994 and 2003 NSF funding for promoting participation by women, people of color, and the disabled increased from 4.4 percent of the NSF budget to 4.6 percent.[110]

More important than the aggregate totals, however, has been the development in the 1990s of programs emphasizing greater teacher involvement with undergraduate education and greater linkages between colleges and K-12 schools. Here research has shown that linking students with the surrounding community often leads to educationally beneficial outcomes. One example is the Course, Curriculum and Laboratory Innovation (CCLI) program. Founded in 1999, in its first five years CCLI disbursed $240 million for 1,750 projects at 600 colleges, involving over 25,000 faculty and 1.4 million students. Most of these grants support experiential learning in one form or another. For instance, CCLI has helped fund "Engineering Products in Community Service," a program that started at Purdue and which has spread to 16 other U.S. universities. In this program, "teams of undergraduates partner with local not-for-profit community organizations to define, design, build, test, deploy, and support engineering-centered projects that significantly improve the organization's ability to serve the community."[111]

Even more important for changing the educational climate than new programs, however, were changes made to "request for applications" documents in the mid-1990s that compelled applicants to take NSF's educational dissemination and outreach criteria into account in their research proposals. As Yolanda Moses, President of City College of New York from 1993 to 1999, explains, "When I was at City College, our grant officer to the university actually went to the NSF training. These researchers who get all of this money, didn't have a clue, but once they learned it and understood it, they methodically went about doing it. It changed the culture. . . Over time it changes their labs, their makeup, and how they engage the work. Undergrad students

are now working in high schools. It's amazing the ripple effect it has. And it takes nothing away from the research enterprise." Katherine Denniston, Program Officer at the National Science Foundation, confirms this shift, writing in a 2004 essay that, "As few as 10 years ago, the term *pedagogy* . . . was not a common word [among science faculty] . . . that situation has changed dramatically."[112]

Like NIH, over the past decade NSF has also made some effort to give greater weight to partnerships. The Louis Stokes Alliance for Minority Participation, founded in 1991, for instance, uses a partnership approach that requires the building of alliances among community colleges, four-year colleges, graduate schools, and industry to receive funding, rather than disbursing institutional grants or scholarships. As of 2004, it had 28 active alliances in 24 states; in fiscal year 2005, funding was $35 million. The NSF also maintains a program that places nearly a thousand graduate students a year into two-year teaching support positions for math and science programs in local public schools—giving graduate students teaching experience, while public school students benefit from the graduate students' enthusiasm and knowledge.[113]

Changes in grant criteria have played a role here too, albeit not with the same dramatic impact. In 1997, NSF revised its overall grant criteria to establish two primary merit criteria for evaluating proposal submissions, one of which concerns intellectual merit and the other of which explicitly addresses the research's "broader social impact." According to an article in *Science*, in 2002, of 30,000 proposals submitted, only 245—or less than one percent—were explicitly rejected for failing to address societal impact. The low rejection rate might mean that NSF reviewers are not very rigorous or it might be that the grant seekers do their homework before submitting their proposals. A 2004 congressional study noted that 90 percent of reviewer evaluations in 2003 addressed the broader impacts criterion, compared with only 69 percent two years before, suggesting that it is beginning to have some effect. The potential for a growing impact over time is also present. According to Judith Ramaley, Assistant Director of Education and Human Resources at NSF from 2001 to 2004, "This could be used to support more engagement if we got NSF departments involved in discussions."[114]

Of course, not all federal policy changes are in the direction of greater community engagement. Indeed, often the efforts involved here, because they are new, are vulnerable to budget cutting. To take one example, between 2000 and 2004, 17 Centers for Teaching and Learning were started by NSF. According to Ramaley, these centers "address several pressing needs, from developing future faculty to collaborating with local school districts to preparing teachers." While funding for the current centers ($26.3 million in Fiscal Year 2005) has been maintained, creation of new centers has halted and supporters fear that the existing centers may be allowed to "expire quietly once existing grants run out."[115]

In addition to the fragility of federal funding for community engagement, it should be emphasized that the main focus of the federal research funding for universities remains in other areas, including, of course, national security. For instance, in the wake of the Al Qaeda attacks of September 11, 2001, the newly formed Department of Homeland Security created a Centers of Excellence program to support anti-terrorism research related to meeting national internal security needs. Between November 2003 and October 2005 alone, the program had committed $67 million (money to be disbursed over periods ranging from three to five years) to fund five multi-university research groups that will study different aspects of anti-terrorism work. In addition, the Homeland Security Scholars and Fellows program provides over $2 million a year in scholarship support for scholars studying internal security related issues.[116]

Nonetheless, while traditional federal grant programs persist (or arise in new form) and community engagement initiatives remain small, there is clearly a wide range of initiatives under way. In areas as distinct as Education, Housing & Urban Development, Agriculture, and Health & Human Services, one finds an increasing number of initiatives that seek to link universities with their local communities. There are many factors behind this shift. One is the demise of the Cold War era, which had linked universities to overarching national goals and tended to de-emphasize local objectives. A second is the rise of a global economy, which makes relying on large corporations for economic security riskier and therefore makes building local economic strength a much higher priority. And the fraying of the national social safety net both increases the need and demand for universities to contribute to their localities.

In a June 2005 interview, Elias Zerhouni, Director of the National Institutes of Health, estimated that in the past 10 years NIH has spent "almost $6 billion on

translational training"—the medical term for outreach. Yet Zerhouni contends that the current outreach approach, which, for the most part, is still an expert-based delivery model, isn't working. Zerhouni instead calls for new efforts: "Let's stimulate institutions to come forward with innovative ways of truly supporting what I think is just as much of a discipline that requires rigor, that requires a faculty that is dedicated to it, and is not just a service to companies. . . this is not something you can do in one year. It is going to take 10 years, 15 years. If you look at transformations in academic life, if you look at molecular biology departments, the first started [around] 1955, and it took about 25 years for the transformation to occur."[117]

The Rising Role of State Policy

The willingness of states to think anew about social problems may be particularly important in the current era, one in which the trends of "devolution" and "the new federalism" are pushing responsibility for policy-making increasingly downward toward the states.

Michael McLendon et al., ***The Journal of Higher Education***, July-August 2005[118]

Approximately 80 percent of the more than 15 million Americans who attend college each year enroll in state-owned public universities and community colleges. As of 2000, state governments collectively provided 19.4 percent of all university research funds. These largely went to efforts to support state economic development. State governments have also actively intervened in education policy matters. In California, a 1996 state ballot initiative ended the use of affirmative action in admissions, which has served to limit access of people of color to the state's flagship universities. But state policy makers have also supported other efforts in a more inclusive direction, through their support of service-learning, community development projects, and partnerships with public schools.

According to the U.S. Department of Education, as of 2001, 6.2 million college students attended four-year public colleges and universities, while another 6 million attended public two-year colleges—which together represent more than three-quarters of the nation's enrolled college students. With only a few exceptions (such as the New York City college system), public universities are creatures of state government. Nationwide, the annual state government expenditure on higher education totals $63 billion.

While the potential influence of state governments on these universities is large, particularly in budgetary battles concerning the overall level of state subsidy and student tuition levels, typically state governments have given considerable discretion to state university leaders. A recent article by Michael McLendon of Vanderbilt University and two colleagues finds that state legislatures have become more active in recent years, but the authors limited their discussion to two areas—post-secondary financing (such as college savings programs, prepaid tuition, and merit scholarships) and accountability measures (such as performance funding, performance budgeting, and undergraduate testing) that focus primarily on efficiency.[119]

However, cases where state policy has pushed state universities to more fundamentally alter the ways they relate to the public are not hard to find, as Figure 13 shows.

One notable case of state policy intervention in California involved the passage of Proposition 209 in 1996, which banned the consideration of race or ethnicity in university admissions. This policy change had two effects: first, it reduced the admissions rate of under-represented students, particularly at the higher ranked University of

Figure 13: State Government University Strategies

Strategy	Examples
Mandate policy change to change admissions standards to either be more or less inclusive.	• California abolition of affirmative action • Texas, Florida, California rules to accept more students from low-performing high schools
Direct state funding to specific program aimed to expand university research.	• Arizona, Proposition 301 (2000) • Michigan, Life Sciences Corridor (1999) • California, Proposition 71 (stem cells, 2004) • Kentucky, Regional Stewardship (2006)
Attach funding to specific policy objectives.	• California Compact (2004): funding tied to K-12 outreach, math & science teachers training. • West Virginia Rural Health Initiative (1991, 1995): funding attached to medical colleges providing strong rural component.
Dedicated state funds for service-learning.	Programs exist in: California, Florida, Massachusetts, Minnesota, Mississippi, New Jersey, New Mexico, Utah, and Vermont

California campuses. Declines in admissions were particularly dramatic at the two flagship schools of Berkeley and UCLA, where admissions rates of under-represented students fell by more than 40 percent.[120]

A second effect of the policy change, in large part in reaction to these declining numbers, was a rapid *expansion* of outreach programs to communities of color. In particular, within the university community—including students, faculty, and administrators—there was strong support for affirmative action and, thus, a desire to work around the restrictions. Spending on outreach efforts nearly tripled from $60 million before Proposition 209 passed to $178 million by 1999. The University of California, Los Angeles, for instance, initiated new programs to increase transfer rates from community colleges (heavily populated by students of color) through its Center for Community College Partnerships (CCCP) and Academic Advancement Program (AAP) programs. The American Association of Colleges & Universities cited these programs as national trendsetters. Other efforts focused on improving California's K-12 schools, including a computer-based after-school program for children in the elementary grades, in which UC undergraduates worked with disadvantaged young people to develop mathematics, science, and literacy skills. Although some of these outreach efforts were cut when the dot-com boom ended, by and large they have been maintained. Yolanda Moses, now Special Assistant for Excellence and Diversity at the University of California, Riverside, indicates that when cuts were made, "there was such an outcry by Californians that the legislature put some of those funds back and then turned to the campuses to put in their funds. So the funding has been restored to continue those outreach efforts."[121]

Outreach was coupled with the introduction of a new policy in 1999, promoted heavily by the then newly

elected Governor Gray Davis (D), to make the top four percent of graduating students from every high school eligible for university admission, provided they had completed the basic pre-admission course requirements. As Richard Atkinson, former President of the University of California has noted, prior to this change, there were some low-performing high schools where "not a single student qualified." This policy change dovetailed well with the university's overall outreach efforts, as letters from the university to qualifying seniors served as an important outreach device. The new policy prompted the university to make contact by letter with each and every qualifying senior and encouraged high schools to change their courses to make sure their students were eligible. Nonetheless, outreach has not fully offset the effects of Proposition 209. From a high of 21 percent of all students in 1995, admissions of under-represented students fell to 15 percent in 1998; by 2004, the percentage had recovered only to 18 percent. This decline occurred even though the percentage of graduating high school students from under-represented groups had increased from 38 to 45 percent during that period.[122]

While California instituted outreach policies on its own accord, sometimes states initiate programs to respond to demands from federal agencies. In Maryland, for instance, outreach stems partially from federal government pressure. As a December 2004 report from the Maryland Higher Education Commission mentions, in response to court decisions to remedy past discrimination, "Maryland has entered a partnership agreement with the U.S. Department of Education's Office of Civil Rights (OCR) to advance equal educational opportunity in the state." This has included providing an additional $30 million to historically black institutions between FY 2002 and FY 2004 to help finance and support scholarships, alumni donation matching funds, and capital campaigns.[123]

Another demand the federal government places on states involves grant programs that require matching payments. In Texas, for instance, the state has provided match funding for the Texas Manufacturing Assistance Center, with the Department of Commerce being the main federal funding source. Nationally, as of 2000, the federal government provides 58.2 percent of all research funding, while another 19.4 percent is provided by state governments and the remaining 25.2 percent comes from universities themselves or private sources (corporate, foundation, etc.).[124]

The Texas effort is emblematic of a broader movement of state governments to link universities with economic development efforts. Arizona provides a leading example. In November 2000, a coalition led by Governor Jane Dee Hull (R), business leaders, and the teachers' union succeeded in gaining state voter approval of Proposition 301, which increased the sales taxes by six-tenths of a percentage point. New revenues were used to provide an additional $445 million a year in education funding in fiscal year 2002 (with increases in accordance with sales volume in future years). Of this amount, 85 percent, or about $390 million, went to K-12 schools while the remaining $55 million was allocated to community colleges and state universities. The share received by the state university sector, roughly $44 million, was used to create a Technology and Research Fund. A March 2005 report at Arizona State University found that the $46.1 million it received in the Fund's first three years not only spurred greater scientific education and research, but also generated $47.7 million in federal grants and $3.7 million in revenue from new products and company start-ups.[125]

Other states have also encouraged their public universities to increase their economic development and technology transfer efforts. For instance, in California, the Center for Information Technology Research in the Interest of Society, established in 2001 with the support of former Governor Gray Davis (D), has fostered collaboration among four UC campuses (Berkeley, Davis, Merced, and Santa Cruz) involving over 200 faculty members and the state's leading-edge industries. One research program centers on ways to use miniaturized wireless sensors to, among other things, make buildings more energy efficient and reduce carbon emissions; point commuters to efficient routes; guide emergency personnel to respond to natural or manmade disasters; and monitor California's water and air quality from Monterey Bay to urban Southern California. In New Jersey, a December 2003 report from the state's Commission on Higher Education noted that New Jersey had allocated $30 million for its Technology Workforce Grants program to universities and community colleges. In Minnesota, the state allocated $10 million in 2003-04 and plans to spend $2 million a year for the next five years to support the University of Minnesota Initiative for Renewable Energy & the Environment.[126]

Promoting university biotechnology research is another focus of state governments. For example, in 1999, former Governor John Engler (R) and the Republican

state legislature committed $1 billion over 20 years to develop a Life Sciences Corridor in conjunction with Michigan universities.[127] In 2004, 59.1 percent of California voters approved Proposition 71, which commits up to $3 billion (with a maximum expenditure of $350 million in any one year) for stem cell research. Wisconsin Governor Jim Doyle (D) in 2004 proposed that his state fund half of a $375 million biotech research center over 10 years, a measure he said would build on the "nearly $1 billion" the state had invested in the previous 15 years. In Nevada, a direct state appropriation has funded $47 million of a $75 million, 190,000 square foot biotech facility (Science, Engineering & Technology Building) at the University of Nevada, Las Vegas.[128]

Clearly, states are investing significant sums in their universities' research capacity, but what impact do these efforts have on community well-being? Mary Jo Waits, Associate Director of the Morrison Institute for Public Policy at Arizona State University, observes that, "Creation of wealth should be the goal for companies and communities. We keep score of a company's wealth creation by its profits and productivity gains . . . not as much certainty and uniformity exist for community goals and measures." According to Waits, an appropriate economic development strategy should balance entrepreneurial initiatives and technology investments with efforts to expand educational access and reduce income inequality and poverty.[129]

Some universities and university leaders make explicit efforts to link the two. At Northern Kentucky University, President James Votruba (formerly Vice President of Outreach at Michigan State University), has promoted both nonprofit community and business partnerships. Efforts have included the founding of an Entrepreneurship Institute in 1999, which teaches students how to start new companies, and of a Center of Civic Engagement in 2003, which serves as an umbrella organization to guide community outreach projects. The Center of Engagement receives $450,000 a year in operating support from the university. Interest on a $1.5 million endowment raised in 2003—based on a $750,000 private gift from the Scripps-Howard Foundation matched by a like amount from the state of Kentucky—provides an additional $150,000 in annual funding. In its current five year plan, the university focuses on four community-based goals: improved K-12 education, regional economic development, technical assistance with local government decision making, and support for local non-profits. In addition, Votruba—along with Jim Applegate, Vice President of Academic Affairs of the Kentucky Council on Postsecondary Education—helped persuade the state General Assembly to provide $1.2 million in 2006-2007 and $3.6 million in 2007-2008 for a statewide Regional Stewardship Program, designed to build university outreach capacity, provide regional grant funds to support comprehensive university efforts to build capacity in targeted areas, and provide support for specific public engagement activities at state universities that improve economic prosperity, quality of life, and civic participation in the region or state.[130]

Other states in addition to Kentucky have taken small steps to support community outreach or service-learning efforts. According to a 2001 survey by the Economic Commission of the States, as of 2000 six states provided at least some funding: Massachusetts, Minnesota, Mississippi, New Jersey, New Mexico, and Vermont. Often the funding is in the form of grant programs that are administered by the state chapter of Campus Compact, a national organization of more than 1,000 universities that supports service-learning and other forms of university community engagement. For instance, Minnesota Campus Compact administers a grant program funded by the Minnesota Department of Education. According to State Senator Cal Larson (R-Fargo Falls), the $2 million in state funding over 15 years has leveraged an additional $10 million in matching corporate, foundation, and federal funding and provides Minnesota nonprofits with a million hours of community service work at year. In addition to those listed above, other states that now provide funding support for service-learning include Florida ($200,000 a year), Utah ($100,000 a year), and California ($1.1 million a year).[131]

Although budgetary pressures have limited the extent of reform, they can also sometimes spur new opportunities. In California, a budget crisis there led to a "compact" agreement that set specific accountability goals by California state universities in exchange for the state government loosening the budgetary reins and making spending commitments. Often, such compact agreements (also called "charters" or "performance contracts") merely give universities greater regulatory freedom in exchange for university acceptance of reduced state allocations. In such cases, these agreements carry a real danger of encouraging universities to downgrade their community engagement efforts to focus instead on the pursuit of tuition and research revenues.[132] However, the compact between

Governor Arnold Schwarzenegger (R) and university leaders, signed in May 2004, is quite different. Indeed, the California higher education compact commits the state to *increase* its funding for six years in exchange for university acceptance of limits on raising tuition and agreement to meet state priorities, including educating a greater number of math and science instructors to teach in California's public schools and strengthening community service programs. As part of the compact, university signatories agreed to allocate an additional $12 million from their non-state resources to support K-12 academic preparation (outreach) efforts.[133]

To date, most state support of community engagement has been in the area of service-learning or K-12 outreach, but a rural health program in West Virginia shows the potential for states to leverage university resources to have a broader community development impact. Primed initially by research money from the Kellogg Foundation, the West Virginia legislature passed the Rural Health Initiatives Act in 1991 (amended in 1995), which created a system of 13 training consortia of community-based health, social, and education agencies, covering 47 rural counties. As Serena Seifer, Executive Director of Community-Campus Partnerships for Health, explains, "West Virginia has three medical schools and a small population. The state legislature woke up in the early 1990s and asked why are we investing in three institutions when the health system is so bad? . . . They were thinking of closing one of the schools. Instead, at this time, the legislature put in place a program which included a requirement that all health students really do a rotation in the community." Community councils, organized regionally, determine what projects are most needed in partnership with health care providers. The program, financed by the state at an annual cost of $7.5 million, has resulted in both better rural health care and in higher state retention of graduating medical students.[134]

How Foundations Have Helped Shape University Policy

It seems to me that if you define your role as a foundation as an R&D fund for society, and what you're after is innovative ideas and figuring out what works, then you have to know that there will be a lot of blind alleys. You and your grantees have to accept the fact that you're going to have failure and frustration, and you have to go back and try again until you get it right.

Susan Berresford, President, Ford Foundation[135]

Since the late nineteenth century, foundations have played an important role in funding higher education and shaping the research and teaching agendas of universities. In 2002, foundation disbursements to colleges totaled $7.27 billion. Notable past efforts include the Peabody Institute's support of teacher's colleges and the Ford Foundation's support of area studies and women's studies programs. More recently, foundations have funded diversity programs, entrepreneurship centers, nonprofit management programs, service-learning, and community partnerships. In some instances, most notably in efforts led by the Kellogg Foundation, foundations have also sought to encourage broader discussions about engagement and the university's societal role.

According to The Foundation Center's September 2003 report, more than a quarter of all foundation funding (25.6 percent) went to higher education. In 1997, universities received $4.2 billion in foundation grants. By 2002, this had climbed to $7.27 billion (a slight dip from 2001's peak of $7.34 billion, however). History demonstrates that foundations have not been shy in leveraging these funds to help catalyze new directions in education policy. Their ability to effect change is reinforced by the fact that a small number of foundations direct a considerable percentage of these funds. In 2001, the top ten foundations gave a total of $1.63 billion to universities or 22 percent for all foundation giving in that area. These foundations were (in order): Hewlett, Lilly, Robert Wood Johnson, Ford, Robert Woodruff, Mellon, Starr, Pew, Whitaker, and Packard.[136]

Foundations use their grantmaking to influence education policy in a variety of ways. Perhaps the prototypical model, pioneered by the Peabody Education Fund (founded in 1867) in the late 19th century, is to seek "model projects" that are then "scaled up" by building support for policy change at either the state or federal level. Peabody focused on public education and teachers colleges and required a 2:1 match of its funds, as well as specific student-teacher ratios, in exchange for its grants. The goal was to increase funding for public education in the South. L. M. Curry, a Peabody "general agent" in the 1880s, concluded that the Fund by "showing the people what a good grade school was, did more to enlighten the people, disarm opposition, and create a sound public educational sentiment, than all the verbal argument that could have been used. The chief benefit did not arise

from what the fund gave, but from what it induced others to give and to do."[137]

While Peabody provides one model, there are many variants that have developed over the years. Figure 14 summarizes the cases examined here.[138]

A prominent foundation example from the early Cold War period is the "area studies" program, which was heavily promoted by the Ford Foundation. At the time, foundation officials were concerned about the lack of foreign language and cultural knowledge among university graduates in a world where such expertise was increasingly needed. From 1951 to 1966, the Ford Foundation awarded $270 million in grants to support the training of more than 1,500 graduate students and the building of a limited number of academic "area studies" centers. Ford's efforts in this direction helped provide the basis for including area studies within the federal funding package of the post-Sputnik "National Defense Education Act" of 1958, described above, as well as subsequent programs (such as Fulbright-Hays scholarships) that were incorporated into various reauthorizations of the federal Higher Education Act.[139]

Another Ford success was the promotion of women's studies. In 1970 there were about 100 women's studies courses offered nationwide. In 1972, partially in response to pressure from women's rights leaders, Ford announced the first $1 million national fellowship program for "faculty and doctoral dissertation research on the role of women in society and Women's Studies broadly construed." Women's studies programs received $36 million

Figure 14: Foundation University Strategies

Strategy	Examples
Project Grants: fund a variety of projects within a given issue area.	• Peabody, Teachers colleges (19th century) • Irvine, diversity grants (1987–1999)
Model Programs: funding of limited number of exemplary efforts.	• Ford: Urban Extension (1950s–1960s) • Kellogg, Nonprofit Management (1980s–present) • Wallace, Community schools (1990s–2002) • Kaufman, Entrepreneurship (1990s–present) • Fannie Mae, Housing partnerships (1998–2001)
Advocacy: Grants to build media case/support.	• Pew, Solutions for America (1998–2004)
Operating Support: Long-term backing of specific mission-aligned groups.	• Bradley et al., conservative student and faculty networks (1970s–present)
Research Grants: Large number of small grants to build expertise in field.	• Ford Foundation, Area Studies (1950s–) • Ford Foundation, Women's Studies (1970s–)
Convener approach: Focus on generating dialogue.	• Kellogg, Renewing Land Grant Mission, 1995–2003

between 1972 and 1992 from Ford and other foundations. By 2004, there were more than 800 women's studies programs, nearly 30 of which offered a Master's degree and a handful that had created a Ph.D. program. The policy process worked differently here than area studies—while the federal government still plays a central financing role for area studies, women's studies has never garnered significant federal dollars; rather, women's studies has relied more on internal university support as well as continued extramural foundation support.[140]

While the Ford Foundation has had success in some areas, as Berresford's statement at the beginning of this section would indicate, it has also had some notable failures. A Ford Foundation urban program of the late 1950s and early 1960s piloted a number of urban extension projects, including at the University of Wisconsin and the University of Illinois. This pilot study resulted in a call for the development of urban extension programming with "urban agents" to address issues of racial disparities and urban sprawl, but attempts at further progress were largely stymied by limited interest among extension faculty and administrators. The urban studies programs that developed largely did so independent of the extension programs. As Al Sokolow of the University of California Cooperative Extension program explains, "Back in the 1960s and 1970s, there was a push to do urban extension work using the model of the agricultural extension. The fundamental problem here is that the rest of the University of California [had] forgotten about the land-grant mission and purpose, in large part."[141]

Promoting diversity on college campuses has been another area where many foundations have focused. For instance, between 1987 and 1999 the Irvine Foundation provided nearly $30 million in grants to help recruit and retain students of color at California universities. In programmatic terms, the grants were successful. But in 1996 state voters approved Proposition 209, which ended the use of affirmative action for public university admissions. Foundation officials hoped that private colleges, particularly those colleges whose diversity initiatives they had helped support, might step up their efforts to compensate for the effects of the ballot initiative. Instead, according to Robert Shireman, former Irvine Foundation director for higher education, "Even though the elimination of affirmative action in the public sector had expanded the pool of potential private-college students in the state, minority enrollment at grantee institutions barely budged and even declined on some campuses." In 2000 Irvine launched its Campus Diversity Initiative, a 5-year, $29 million effort designed to develop stronger evaluation systems of diversity efforts in California and to encourage a more "holistic" approach to diversity initiatives that might change campus cultures. Preliminary results suggest that universities seeking to graduate a diverse student body may benefit by altering their cultural awareness workshops and revising retention programs for students of color to focus more on reducing dropout rates in the second and third years of college.[142]

While Ford found its efforts to promote urban extension frustrated by an unfavorable university culture and Irvine has had mixed results on diversity, Kellogg has enjoyed a much more positive experience with its funding to support the growth of nonprofit management programs, an effort the foundation itself describes as "a matter of catching the wave of growth and contributing to its speed and quality." In 1986, when Kellogg began to support a strategy focused on the development of nonprofit management programs, there were really only three major schools involved—Yale University, the University of San Francisco, and Case Western Reserve University in Cleveland. As a Kellogg Foundation report notes, "The nonprofit sector was growing rapidly, creating a demand for management education that focused on the distinctive needs of those leading nonprofit organizations." Aided by Kellogg's efforts, by 1996, there were 62 schools offering nonprofit management programs. Since 1996, Kellogg has initiated a $15-million "Building Bridges" program that has encouraged further growth, while also promoting increased diversity and curriculum development. In addition to grants to schools, the growth of trade/research associations has helped create an important support network. By 1999, the Association for Research on Nonprofit Organizations and Voluntary Action (ARNOVA) had grown to more than 900 members and the International Sector for Third Sector Research (ISTR) to over 500.[143]

A similar example is provided by the Kauffman Foundation's work in supporting entrepreneurship education. Its most recent program in this area is its $25 million "Kauffman Campus" initiative, which although initiated in 2003, builds on foundation efforts going back to 1993. The program, which requires a 3:1 match from state coffers, university dollars, or some other funding source, focuses on building up exemplary programs at eight campuses. The Kauffman program has supported a trend of a growing number of endowed chairs in

"entrepreneurship" nationwide, which have increased from 237 in 1999 to 406 in 2004. According to Jay Kayne of the University of Miami at Ohio, entrepreneurship centers exist at state universities in Arizona, Connecticut, Florida, Georgia, Iowa, Indiana, Maryland, Nebraska, New Jersey, Pennsylvania, Rhode Island, and West Virginia. Three other states (Kentucky, Missouri, and Tennessee) noted they had allocated dollars to create endowed chairs in entrepreneurship. In Hawaii, there is no entrepreneurship center, but the state has a "University Connections" program that provides $10,000 mini-grants to create new business opportunities "through unique applications of knowledge." Many states have also initiated award programs to highlight exemplary university entrepreneurship program efforts.[144]

Although most of the attention on foundations and policy change focuses on mainstream or liberal foundations, conservative foundations also seek to influence universities to start new programs or to change university culture. In particular, six foundations that have supported right-wing activism are the Lynde and Harry Bradley Foundation, the Koch Family foundations, the John M. Olin Foundation, the Scaife Family foundations, the Smith Richardson Foundation, and the Adolph Coors Foundation.[145] Of these six, only the Bradley Foundation, with $700 million in assets, makes the ranks of the top 100 foundations. A key feature of the way these foundations use their assets is their focus on long-term investments and the provision of general operating support. Although best known for their support of right-wing policy institutions, between 1992 and 1994 the foundations awarded $89 million—or nearly 30 percent of their grants—to universities. Programs funded include politically conservative institutes in such areas as business administration, law & history, and economics at a number of colleges, including the University of Chicago, Harvard, and George Mason University. In addition, these foundations invest in university-related activist networks, such as the National Association of Scholars, which has over 4,000 faculty and graduate student members, with affiliate organizations in 46 states, and The Young America's Foundation (YAF), which supports right-wing student groups by providing funding for guest lecturers, organizing and training seminars, networking opportunities, and a job bank for college graduates and program alumni.[146] The goal of these programs is to change the culture of the academy away from what these foundations consider to be a "liberal bias."

As the above examples show, foundations have affected universities in many ways. Success has been easier to come by when establishing a specific program or new direction within a scholarly discipline—more difficult when seeking to change college culture. Particularly when they establish alliances with reformers from within the university, however, foundations have often provided effective levers for change. And increasingly foundations are placing emphasis on developing programs that encourage universities to expand their community engagement efforts.

Perhaps the leader in this area has been the Kellogg Foundation. Since 1995 the foundation has dedicated over $16 million toward encouraging universities "to transform themselves to be more flexible, accountable, collaborative, and responsive to students, faculty, the communities and the regions they serve."[147] Kellogg's initiative began with five schools; in May 1998 it expanded to become a national effort.[148] Kellogg funding has led to a number of dialogues, including a series of events in 2002 and 2003 that involved roughly 150 higher education leaders.[149] After the last round of dialogues, Kellogg spun off the effort as the National Forum on Higher Education for the Public Good, which has continued to do networking, policy, and research work. It is hard to precisely estimate Kellogg's success in achieving its broad, ambitious goal of transforming higher education, but Kellogg dialogues have almost certainly contributed to the spread of engagement efforts. John Burkhardt, who directs the National Forum, himself acknowledges that a clear breakthrough moment has not yet arrived. "Sometimes we don't see it," he said. "But going forward, areas of connection may well emerge that we don't see now."[150]

In addition to network building and service-learning, foundations have also supported community partnerships, in which universities partner with local non-profits to meet mutually beneficial community development goals.[151] Indeed, such efforts are becoming increasingly common. Before closing its doors in 2007, the Fannie Mae Foundation initiated a $5 million effort to fund university-community partnerships, with a focus on affordable housing development. The program was originally envisioned as providing five partnership grants of $500,000 to $1 million each. Instead, after reviewing the proposals, the foundation decided to make 14 grants—three project specific grants for $50,000 each, five for $200,000 that addressed one or two issues, and six in the

range of $350,000 to $1 million. A program evaluation of 11 sites in 2001 found 13 promising practices at eight sites. A grant to the University of Michigan, for instance, funded a housing development apprenticeship program as well as supporting the continuation of an ongoing partnership between the university's Urban and Regional Planning and Legal Assistance for Urban Communities programs and the Detroit Eastside Community Collaborative, a coalition of 13 community groups. A grant to the University of Alabama, Birmingham funded university homebuyers' counseling services that enabled the university to persuade local banks to develop a mortgage pool that increased housing affordability by providing below-market second mortgages to area residents who had completed university homebuyers' counseling—the first such program in the state. A grant to the Pratt Institute Center for Community and Environmental Development in Brooklyn, New York, supplied technical assistance that help support the development of over 300 affordable housing units in five neighborhoods.[152]

The Pew Charitable Trusts awarded $4.8 million in grants to support 19 university-community partnerships in 1998. The focus of the Pew Project was to generate data and publicity that would garner greater public and philanthropic support from others, as well as encourage emulation of best practices in the field. As Suzanne Morse, President of Pew Partnership for Civic Change, a group spun off as a nonprofit consulting firm from the Trusts in 2004, explains, "We searched the country for the kinds of interventions that really work. The catch was that we were not going to fund them in the traditional way but rather provide each 'solution' with research and technical assistance to allow them to document their own needs." Despite the fact that the funding was for evaluation, not programs or operating support, more than 100 nonprofit groups applied. For the 19 groups that did receive grants, the research teams were designed in pairs—including both a community member and a university researcher. In terms of the community group, one key finding was to highlight the importance of publicity in achieving program success. As for the university partnerships, one lesson learned was that evaluation partnerships of this kind provide a potential path to build university support for broader partnership efforts. Indeed, a year after the initial grant period ended in 2001, three quarters of the community sites continued to work with their local university research partner in some capacity.[153]

Another leading community partnerships program has been led by The Wallace Foundation, which began supporting university-community partnerships in 1992. Ira Harkavy and other University of Pennsylvania faculty began working with community schools in 1985. The Wallace Foundation first provided the Center with a two-year planning grant in 1992, followed by another grant that involved more extensive attempts to replicate the West Philadelphia model in three schools. Between 1997 and 2002, the foundation launched a larger initiative, the Extended-Service Schools Initiative, that awarded $19.6 million in grants to assist 57 K-12 schools in 20 low-income communities, six of which involved the replication of the West Philadelphia model developed by Penn. The Wallace Foundation's interest primarily concerned developing effective ways to improve educational results for low-income children. In those terms, a 2002 external evaluation concluded that the programs were effective and, at an average cost of $15 per student per day, relatively inexpensive.[154]

However, the model used by Penn has broader community development objectives. As the Center for Community Partnerships' website puts it, "WEPIC [West Philadelphia Improvement Corps] schools serve, educate, and activate students, their families, and other local residents. The idea behind this approach is that schools can function as the strategic and catalytic agents for community transformation." Wallace Foundation backing helped mobilize other supporters, including the federal government's Learn & Serve America program, enabling Penn's Center for Community Partnerships to work directly with more than twenty other universities over the past decade.[155]

In 2005, the Kellogg Foundation also initiated its "Engaged Institutions" community partnership grant program. The Kellogg program provides a greater amount of money to a smaller number of schools to test whether providing concentrated resources will lead to greater institutionalization of engagement efforts. To date, Kellogg has made a total grant commitment of roughly $6.6 million to four universities: the University of Texas-El Paso, the University of California-Santa Cruz, the University of Minnesota-Twin Cities, and Pennsylvania State University.[156]

Corporations and alumni have also supported community engagement. At Emory, for instance, the Kenneth Cole Foundation funds a community service-learning program. At Tufts, Pierre Omidyar, founder of e-Bay,

provided initial funding for Tuft's University (now Tisch) College of Citizenship and Public Service. In 2006, Tufts received what is believed to be the largest single donation for community engagement—$40 million—from Jonathan Tisch, CEO of Loews Hotels. At the University of Maryland, College Park, alumnus and philanthropist Gershon Kekst endowed a program that led to the university's Civil Society initiative, out of which developed The Democracy Collaborative. In addition, according to Barbara Holland of the National Service-Learning Clearinghouse, more than 20 universities have obtained corporate or community foundation support to endow service-learning centers.[157]

There is also the potential for greater future corporate support. According to a 2005 study by Marga, Inc., a New York City consulting firm specializing in developing multi-sectoral partnerships to benefit communities, the top ten domestic financial service industry firms donated $647 million in 2004. If one looks at the top eleven financial service industry firms, domestic or international, that figure climbs to $930 million, of which 38 percent went to education and 32 percent to community development. Although corporate backing for community partnerships, at the nexus of these two areas, has been limited, as university-community partnerships gain in prominence, greater support becomes likely.[158]

Section Three

Tentative Steps on the Long and Winding Road to Engagement

The Rise of Service-Learning and the New Movement for Civic Education

Universities have greatly neglected the whole role of civic education. To the extent that service-learning is a way of trying to involve students and build in them a stronger sense of civic responsibility—and a more realistic sense of what civic problems are—that is really valuable.

Derek Bok, President Emeritus, Harvard[159]

Service-learning is perhaps the most visible result of the rise of university engagement programs. The term, coined in 1967, refers to a method that combines direct community work with academic reflection about the outcomes of that work. From 1998 to 2004 alone, the percentage of students who took service-learning courses during college increased from 10 to 30 percent. A leading proponent of service-learning has been Campus Compact, a national organization of campus presidents supportive of increasing the civic role of education. Within the service-learning field, debate persists between those who prefer a community service approach and those who advocate "public work" that directly confronts issues of structural inequality.

Service-learning owes its origins to activism in the 1960s. Robert Sigmon and William Ramsey of the Southern Regional Education Board coined the term in 1967 to describe the work of university students and faculty on a Tennessee Valley Authority-project in East Tennessee conducted by Oak Ridge Associated Universities in partnership with tributary area organizations. The concept of "service-learning" borrowed heavily on theories of experiential education developed by the American philosopher John Dewey, often referred to as the "father of American education." As Adrianna Kezar of the University of Southern California and Robert Rhoads of UCLA explain, "Service-learning evolved from Dewey's belief that dualisms in philosophy had created a problematic distinction between doing and knowing, emotions and intellect, experience and knowledge . . . among other forced dichotomies."[160]

As service-learning grew in the late 1960s and early 1970s, it developed a strong anti-poverty cast. Michael Lounsbury of Cornell University and Seth Pollack, Director of the Service-Learning Institute at California State University-Monterey Bay, write that, "While the practitioners had different origins, they were united in the belief that students could be productive foot soldiers in the war on poverty . . . students participating in 'service-learning internships' spent significant amounts of time off-campus, intensely involved in anti-poverty programs and other efforts to further address social problems." Practitioners formed two organizations in early 1970s—the National Center for Public Service Internship Programs and the Society of Field Experience Education. These two groups merged in 1979, forming the National Society for Internships and Experiential Education (NSEE), which continues to this day. Federal

funds also helped promote the spread of service-learning through the National Student Volunteer Program (established in 1969 by President Richard Nixon and renamed the National Center for Service-Learning in 1979) and the federal volunteer office, ACTION. In the 1970s, the ACTION program provided about $6 million a year (roughly $25 million a year in 2005 dollars—or nearly *twice* the current level of funding for the university segment of the current Learn and Serve America program) for full-year, full-credit opportunities for students to engage in anti-poverty work in their communities. As Lounsbury and Pollack explain, students in these service-learning programs spent hours in the community agency *instead of* taking classroom-based courses, with only minimal classroom time for reflection—the emphasis was not on the academic benefits of service-learning, but rather on the community benefits of the service-learning work.[161]

However, the election of Ronald Reagan as President in 1980 soon led to the end of federal support for ACTION and the National Center for Service-Learning. The service-learning movement that developed in the 1980s became significantly different as a result. To gain legitimacy in the changed political environment, many service-learning advocates felt that they needed to gain greater mainstream academic support. According to Lounsbury and Pollack, this was achieved by transforming "service-learning from a type of anti-poverty 'program' to a pedagogical 'method' emphasizing students' academic learning." The new "service-learning" that resulted from this renewed focus on pedagogy incorporates a number of key elements: 1) it meets a community need, 2) it integrates the community work with course learning objectives; 3) there are opportunities for regular, structured reflection; and 4) there is an assessment of the outcomes of the community work. Participants from the National Society for Internships and Experiential Education played a role in shifting the definition of service-learning in this direction, but so did new organizations, most notably Campus Compact.[162]

Campus Compact was founded through the efforts of university presidents from three campuses—Brown, Georgetown, and Stanford—and the President of the Education Commission of the States. Its growth was rapid: with 100 members in 1986, 200 in 1989, and 300 in 1992. Today it has more than 1,000 members. Schools joined Campus Compact for different reasons, including those identified by Kezar and Rhoads: a sense that the curriculum had become less relevant; that faculty focused too much on research and not enough on teaching; and that colleges had lost their sense of civic values. Campus Compact reflects these themes on its website: "As the only national organization dedicated solely to advancing higher education's civic mission, Campus Compact has been a leader in the movement to build civic learning into campus and academic life."[163]

A related trend is community service work, which unlike service-learning, is extracurricular. For Derek Bok, universities began promoting community service to address what was seen as students' disengagement and cynicism about civic responsibility and engagement. As Bok, describing Harvard's efforts, explains, "In the late 1970s, for incoming students at Harvard, the value of helping community was going downward and making money was going upward. Our goal was to reverse that by creating an ethos of civic responsibility and community service . . . When we began our effort, only about a third of the student body were involved in community service. In 10 years, it had increased to two-thirds. It largely involved working with kids—working with underprivileged kids in housing projects, working through the summer, working with prisoners. Most popular was trying to help underprivileged kids—acting as siblings and caring people in their lives." This shift from anti-poverty activism to a broader civic focus was critical in gaining the bipartisan support that led President George H.W. Bush to propose new federal legislation supporting service-learning in 1990, legislation that was expanded when President Clinton came to office in 1993.[164]

Nonetheless, it took several years after federal legislation was passed for service-learning to reach the level it is at today, where nearly *every* campus has a service-learning office, service-learning programs, and service-learning courses. Indeed, in 1995, with a Republican majority elected to Congress, the AmeriCorps legislation enacted under the previous Democratic Congress came under attack.[165] Even after that threat abated, it took a while to build an infrastructure that employed service-learning techniques across America. As Elizabeth Hollander, head of Campus Compact from 1997 to 2006, relates, "One thing I noticed when I started at Campus Compact is that half of the time when I used the term 'service-learning,' nobody knew what I was talking about. Now if I ask if the crowd knows what service-learning is, the universal response is yes. It's gotten into the water. . . A huge number of places have a center for service and

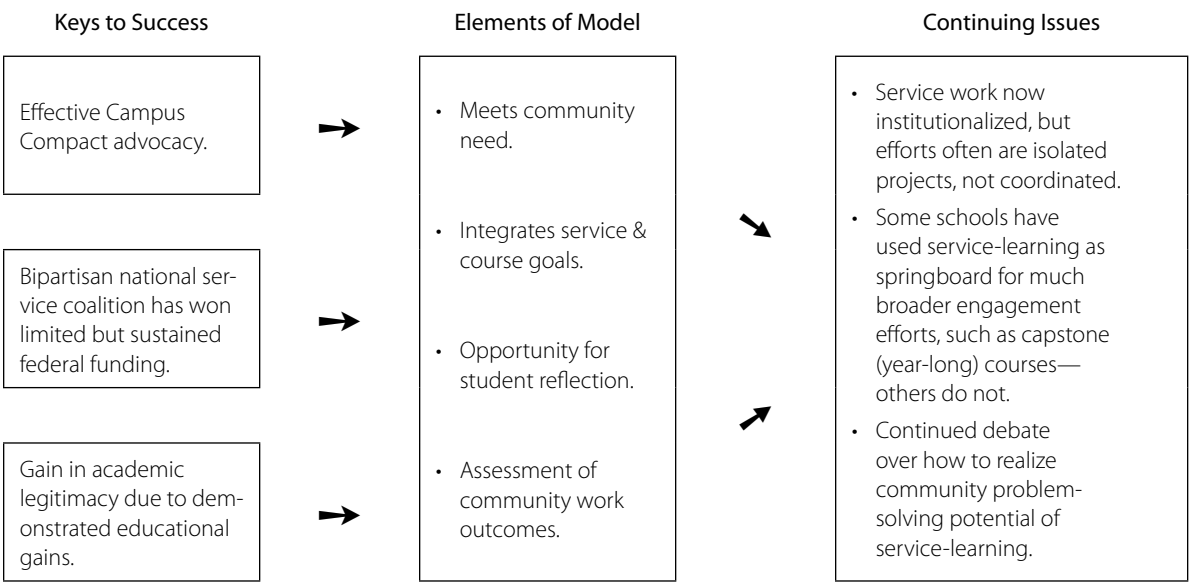
service-learning: almost all of our constituency. That's a real sign of institutional change." Indeed, according to Campus Compact's trend data—i.e., the pool of campuses responding to the annual membership survey each year—the percentage of students involved in service on programs reached 40 percent in 2004, up from 33 percent in 2001 while the number of faculty teaching service-learning courses increased from 14 per campus in 2000 to 40 per campus in 2004. Overall, in 2005, 30 percent of students on Compact member campuses participate in service, providing an estimated $5.6 billion in service to their communities. In terms of faculty involvement in 2005, 98 percent of member campuses offered service-learning courses and an average of 27 faculty per campus taught a service-learning course, up from 22 in 2002. Service-learning has definitely moved from the margins to the mainstream.[166]

What are the effects of this service work? Figure 15 illustrates some of the key debates in the field.

At their best, service-learning courses combine the benefits of critical academic inquiry with "real world" experience where each informs the other. For instance, rather than do a mock strategic plan, a business student might learn how to assist a real nonprofit organization in their strategic planning process; students studying history might assist a local historical society by conducting oral interviews, learning directly by doing how to conduct historical research; or students learning advanced Spanish might practice their Spanish language skills by giving Spanish-speaking high school students same-language instruction in the classes where they need assistance.[167] Community colleges also are often active participants in service-learning, in part because it allows for the direct integration of apprenticeship-like training with academic work. For example, part of the education of students in Southern Maine Community College's Fire Science education program involves participating as live-in members at local fire departments.[168]

Over the past 10 to 15 years, considerable research has documented the educational benefits of service-learning. Janet Eyler and her colleagues at Vanderbilt University compiled a summary of more than 100 studies that took place between 1993 and 2000. Among the findings: students who take service-learning courses are more likely than those who do not to graduate from college, to build strong relationships with faculty members, to report that they were satisfied with their college experience, and to do volunteer work after graduation.[169]

Figure 15: Service-Learning



For the non-profit community groups involved, the benefits of the $5.6 billion that Campus Compact estimates to be the value of student labor in community service and service-learning programs is also significant. For example, at Bates College in Lewiston, Maine, about half of the students participate in service-learning and a third of faculty members include service-learning in their courses. Indiana University-Purdue University of Indianapolis had 56 faculty and 1,922 students involved in service-learning at 71 different locations; the college also gave out about fifty $2,000 scholarships to students for civic engagement and service. California State University-Monterey Bay requires all students to take at least one service-learning course to graduate; it also devotes 52.4 percent of its federal work-study funding to community service placements, well above the federally required minimum of seven percent. Indeed, the California State University system as a whole, with over 400,000 students on 23 campuses, devotes a total of $5.2 million or 27 percent of its total federal work-study funding to finance community service placements, roughly twice the national average of 14 percent.[170]

There is little doubt that service-learning has increased the degree of interaction or *engagement* of the university with non-profit community groups. It also seems highly likely that service-learning has resulted in both pedagogical benefits for students and resource benefits for local nonprofit groups. What is less clear, however, is whether "service-learning" will be institutionalized as a small isolated program within the $350 billion university industry or whether it could have the transformative effect on the overall mission of the university that many service-learning advocates desire. Indeed, there is a risk that service could become trivialized. As John Eby, Director of Service-Learning at Messiah College in Pennsylvania warned several years ago, "There is talk of McService, service bites, quick fix service, happy meal community service, or service in a box. . . Community leaders and agency representatives concerned about fundamental community change raise significant questions when given [the] opportunity." Harry Boyte and James Farr of the Center for Democracy and Citizenship at the University of Minnesota echo this concern, emphasizing the need to challenge "the therapeutic and philanthropic orientation that pervades much of what passes for service-learning today."

To avoid these shortfalls, Eby, Boyte and Farr all advocate a problem-solving focus—which Boyte and Farr label a *public work* approach—that addresses social structure and includes a role for deliberate dialogue, advocacy and community development. As developed by the Center for Democracy and Citizenship at the University of Minnesota-Twin Cities, the approach, as Cynthia Gibson wrote in a 2006 Case Foundation report, "aims to use organizing [as] a component of a larger effort that attempts to involve all those in a community who identify opportunities for collective action that emerge from discussions among all participants." Lee Benson and Ira Harkavy of the Center for Community Partnerships at Penn use different terms, but raise largely the same concern. Harkavy and Benson advise renaming service-learning as "academically-based community service" to emphasize that the work should involve "an integration of research, teaching, and service and . . . bring about structural community improvement (e.g., *effective public schools, neighborhood community improvement, strong community organizations*) rather than simply alleviate individual misery."[171]

In concluding their study of service-learning's evolution from an anti-poverty program to an educational and service program, Lounsbury and Pollack suggest that, despite its movement away from an explicit anti-poverty focus over the years, service-learning might still retain its transformative potential. They write that, "While it appears as if the repackaging of service-learning as a mainstream course has led to the co-optation of the original community-building mission of 1960s service-learning advocates, the growing legitimacy . . . of new practices such as service-learning opens the possibility that future innovations may be able to incorporate those earlier ideals in more concrete ways."

Indeed, there is growing evidence that a broadening of the service-learning mission is now under way, as civic education advocates run up against some limits of many current efforts. Although service-learning has significant educational benefits, ridding students of political cynicism is not among them. According to Carol Geary Schneider, President of the American Association of Colleges and Universities (AAC&U), the percentage of students who indicate that paying attention to politics is important has fallen from 57.8 percent in 1966 to 32.9 percent as of 2002. Further, in recent focus groups held by AAC&U, Schneider reports that students "seemed puzzled that anyone was asking them about college and civic education." As Schneider notes, "There are many, many exciting examples of courses and programs, but

the majority of the nation's students are not affected." What is needed to remedy this situation, contends Schneider, is a "unified vision for liberal education and civic responsibility in *every field* of academic study, whatever its subject matter."[172]

A comprehensive approach of the kind Schneider and others envision clearly goes beyond the design of any existing service-learning program. In particular, given the centrality of research at many universities, the nature of research as well as teaching must be addressed. One area of innovation where research, teaching, and service missions do overlap is in the "community partnership." According to Campus Compact, 98 percent of the 410 schools responding to its 2004 had "one or more community partnerships." The term, however, is imprecise. Indeed, it is likely that many of these partnerships involve nothing more than the placement of a student in an internship or service-learning situation. Nonetheless, in more than a few cases, these partnerships, typically with an administrative institute or center to coordinate them, provide an integrated model that does, at least in part, begin to realize the vision of the original service-learning advocates. Along with service-learning and other efforts, these partnerships provide a critical element in the development of a truly *engaged* university.[173]

Building a Nexus Between Campus and Community: The Partnership Center

Universities are supposed to be questioning the status quo. They have to have the ability to raise tough questions and new ideas. That's what the university is supposed to be about—not just knowledge transfer or technical assistance. If it works right, the community gets not just technical expertise but an expert sounding board. Sometimes it works great. That openness ought to be a feature of the intellectual contribution that universities make.

Victor Rubin, Director, HUD Office of University Partnerships, 1999-2000[174]

Community partnerships grew out of the urban extension idea of the 1960s, but with a stronger emphasis on two-way collaboration than transmission of expertise. Supported by a small federal program ($7 million a year) called Community Outreach and Partnership Centers along with growing foundation support, well over 100 partnership centers have developed. Because they help coordinate otherwise disparate community efforts, partnership centers are an important piece of comprehensive university engagement strategies.

Like service-learning, the history of campus partnership centers dates back to the late 1960s or the early 1970s. In fact, the concept of a campus partnership center really goes back much further—to the original idea of an extension office. Some of the early "community outreach and partnership centers," as they are often called today, resulted from the initial abortive attempts to develop "urban extension" programs in the 1960s and 1970s. But sometimes even land-grant colleges that developed urban programs did this separately from their extension efforts. For instance, Michigan State established its Center for Community and Economic Development (then, Community and Economic Development Program) in 1969. By the early 1990s, the program had become nationally prominent, but it wasn't until 1997 that the university made "a strategic decision to extend the university's land-grant mission beyond its traditional rural and agriculture heritage."[175]

One program that succeeded in obtaining government support for urban development early on was at Cleveland State University. A special 2000 newsletter written at the time of departure of founding Levin College of Urban Affairs Dean David C. Sweet emphasized the importance of his vision in gaining state legislative approval of the Ohio Urban University Program in 1979. As the newsletter notes, "Sweet recognized that in the years since the Cooperative Extension Service was founded, Ohio's population had shifted from 80 percent rural/20 percent urban to 80 percent urban/20 percent rural [and that] funds for development . . . should move in the manner in which the population had shifted." With the backing of State Representative Patrick Sweeney,

the Ohio state legislature made an initial allocation of $1 million in its two-year budget to form the Ohio Urban University Program, funding Cleveland State and six other Ohio urban universities. Over the next two decades, the program provided over $60 million to support urban research and outreach efforts.[176] The state of Ohio aside, until the 1990s, most urban-focused community development programs did not receive much government support and so had to rely on either internal university money or project-related funds.

The traditional extension model, as it has evolved, has become primarily an expertise model, in which university extension agents deliver scientific knowledge to farmers and others where they lived. However, the new urban community development model has been more collaborative, with university and community groups working together to mutually define research and education needs. Figure 16 depicts some of the different strategies these partnership efforts have employed.

Projects as a result vary by community. For instance, in Lansing, Michigan State University's Center for Community and Economic Development worked with Lansing Community College to provide assistance to Advent House Ministries, a local nonprofit group, with proposal writing, market analysis, and business plans. The nonprofit then used this help to develop and expand its bakery and appliance repair training businesses, both of which employ homeless individuals in the area. In Detroit, it worked in collaboration with Wayne State University and the University of Michigan to create a comprehensive resource manual to assist neighborhood leaders to develop plans for the remediation of brownfield sites. The Michigan State program also conducted research on community development corporation (CDC) capacity and the obstacles to developing affordable housing that they face.[177]

In large measure, this collaborative research model developed because of the beliefs of program leaders and the need to build relationships of trust between community members and university researchers. But the limited availability of dedicated funds—and thus the need to build alliances to get funding—also surely has played a role. Rex LaMore, Director of Michigan State's Center for Community and Economic Development, summarizes the key elements of the new approach. Community co-participation in projects is fostered by: 1) establishing community advisory boards; 2) engaging community members in issue identification; 3) helping community members understand the impacts of alternative solutions; 4) assisting community members to design and implement plans that build upon community assets and emphasize shared leadership and active citizen participation; 5) disengaging from any effort that is likely to adversely affect disadvantaged segments of the community; and 6) actively working to increase community leadership capacity and skills.[178]

This partnership philosophy is at least partially incorporated into the Community Outreach Partnership Centers (COPC) legislation that LaMore and others successfully lobbied for in the early 1990s. As Richard Cook of the University of Maryland, Baltimore, a COPC grant recipient working with nonprofit organizations in both West and East Baltimore, explains, "In COPC, you don't do anything unless the community is deeply involved and is leading the way. You don't even breathe the word research unless the community has asked for research. Too often communities are seen as laboratories for university research. We're here to help the community do what it needs to do. The community says what kind of research questions they want help with. That's the way the COPC application is written."[179]

Historically black colleges have often been leaders in this rising trend of community-based research. One example is Memphis-based LeMoyne-Owen College. In 1991, LeMoyne-Owen created a community development corporation to more effectively partner with the community. In 1999, the college-supported CDC received a $270,000 grant from the HUD Office of University Partnerships to establish a revolving loan fund to support 18 area businesses with $15,000 loans for each. But the CDC did not merely lend out the money—it provided technical assistance to the businesses and helped some of them qualify for purchasing contracts with the university. As a result, the fund enjoys a 97-percent repayment rate. The CDC also helped persuade a bank to establish a full-service branch in a neighborhood adjoining to the college, then worked with allies in the community to deposit the $3.5 million required for the bank to stay open. Students and faculty are actively brought into these efforts through coursework connected with neighborhood improvement initiatives.[180]

Another leading example of community partnerships is at the University of Illinois at Chicago (UIC). Its Great Cities Initiative, begun in 1993, has led to a wide range of research and outreach programs. One is a partnership involving two adjacent neighborhoods,

Figure 16: Community Partnership Strategies—Overview

Strategy		How it Works
Community investment (LeMoyne-Owens)	→	Use university to leverage private investment into area; support local business contracting.
Urban Research Center (UI Chicago, Michigan State, Cleveland State)	→	Combine local community development efforts with strong research-based center that has urban focus.
Community field projects (Tufts, Emory)	→	Focus on curricular end—engaging students in year-long community problem-solving programs.
Technical assistance (UCLA)	→	Concentrate expertise, such as with a studio course (all students focus on single problem) or GIS mapping, to assist community groups.
Local capacity building (UI Urbana-Champaign)	→	Sustained, long-term community development effort focused on specific neighborhoods.
Community-school approach (Penn)	→	Use work in public schools as launching pad for broader community revitalization efforts.

Pilsen—a largely Mexican-American community—and the largely African-American Near West Side. Among its activities, UIC has provided comprehensive workforce training to residents. UIC's graduates from this program have had an 80-percent job placement rate, and have increased their starting wages by 20 percent. UIC also trains health educators in partnership with Las Mujeres, a community-based organization that provides social services to Latinas. UIC also helps train community development staff through a one-year graduate program, supports an employer-assisted housing program, and conducts research for neighborhood impact studies.[181]

The University of California, Los Angeles has focused on the empowerment of tenants. Through its Community Building Initiative, UCLA has supported the creation of a citywide organization to help tenants of rundown apartments improve their living conditions. The university's Neighborhood Knowledge LA interactive web site has helped community members pressure landlords to invest $250 million to bring their buildings up to code. UCLA also offers a senior honors course called "Community Development from the Ground Up," in which an entire class works intensely with a single local community-based organization; each year a new partner organization is selected.[182]

Philanthropy also has provided a large share of the initial funding for two more recent efforts at Emory University in Atlanta and Tufts University in Medford (a suburb of Boston), both of which date from roughly 2001. At Emory, the Kenneth Cole Foundation was the

major funder. Tufts has been the beneficiary of multi-million dollar gifts from both E-Bay's Pierre Omidyar and Loews Hotels' Jonathan Tisch. The two programs are also similar in that they use the service-learning concept, but extend it by designing extensive field courses that offer more of a community development focus. At Emory, one key program element places 16 student Fellows in a 12-month program that involves an independent field project with group seminars and faculty support. Past projects have included organizing an arts alliance group as part of a broader community-building effort; a project involving AIDS testing, prevention, and planning for African-American women; and providing input to the Atlanta Regional Commission on a mixed-use, transit-oriented development project, which enabled the city agency to identify project needs and attract several million dollars from state and federal programs.

At Tufts, as Associate Dean Nancy Wilson explains, "The Center for Community Partnerships develops relationships in partner communities. We can direct both students and faculty when they are looking for opportunities. That's reasonably similar to service-learning, but this is not just course work. We also do capacity building for the non-profits." Students at Tufts typically commit eight hours per week to provide tutoring, assistance with arts and cultural programs, or research assistance to low-income residents seeking information about employment, social programs, or education services.[183]

While the Tufts and Emory examples are fairly recent, the East St. Louis Action Research Project at the University of Illinois, Urbana-Champaign dates back to the mid-1980s. It provides an interesting example of how legislative pressure can be as decisive as philanthropy in shifting a university's research agenda. As Kenneth Reardon writes, the impetus for the program was a challenge in the mid-1980s by State Representative Wyvester Younge (D-East St. Louis) to the university's president to demonstrate the campus' commitment to the people of East St. Louis by establishing an urban research and outreach program there. In response, the university allocated $100,000 a year for an Urban Extension and Minority Project. After a few years of largely unsuccessful efforts, the university decided to focus its energies by working intensely with residents in the Emerson Park neighborhood. Since 1990, the university-community partnership effort has resulted in the development of eight community plans, the founding of a community development corporation, the completion of a $24 million mixed-use neighborhood project, and the opening of a charter high school.[184]

An unusual feature of this project is the distance from the Champaign-Urbana campus to the community site in East St. Louis: 188 miles. According to Reardon, who directed the program for 10 years, this seeming obstacle is actually an advantage. As Reardon explains, "Distance is preferred from an educational standpoint. It allows us to take middle class students and expose them to high-poverty environments. We've never been more segregated by race, class, and religion in this society. Students are going to have to deal with unexamined racism, classism, and ethno-centrism. We could use the time in the van. We could ask people to examine what kinds of colored glasses they were wearing as they were about to go into the community. . . .Some of the best discussions are in those mobile seminar rooms known as the Econo Van." Other communities have since emulated the East St. Louis including Cleveland, Ohio; Rochester, New York; and Honolulu, Hawaii.[185]

Another even more rapidly spreading model involves universities partnering with local schools. Coppin State University and the University of Pennsylvania provide two different approaches to this issue. Coppin State, a historically black college located in Baltimore, has worked intensely through its Department of Education to improve one elementary school, Rosemont. As University of Maryland Chancellor William Kirwan explains, "Coppin is directly involved in hiring staff, developing the school's educational programs, acquiring computer hardware and software for the classrooms, and providing a wide range of basic and supplemental services. Coppin faculty members visit Rosemont weekly to work with teachers in grade-level teams. Coppin students are placed in the school and in the community to fulfill practicum, internship and student teaching requirements." The results have been dramatic. In just five years, the 4th-grade passing rate on the state's mathematics exam rose from seven to 78 percent. Backed by grants from the Office of University Partnerships, Coppin State also engages in other community efforts, including a Community Development Center that works in the Coppin Heights and Rosemont neighborhoods, and a community health clinic that is operated by its nursing school.[186]

The University of Pennsylvania (Penn) takes a less direct managerial role, and instead plays more of a support role in local schools, albeit a very extensive one. Penn's effort is led by the Center for Community

Partnerships and, in particular, its flagship West Philadelphia Improvement Corps (WEPIC) partnership program. Like the East St. Louis program, the project began in the mid-1980s. Unlike East St. Louis, there was no legislative pressure. Rather, it was a fortunate accident, which developed out of a service-learning course. As an article by Lee Benson, Ira Harkavy, and John Puckett explains, "What immediately concerned us was that West Philadelphia was rapidly and visibly deteriorating, with devastating consequences for Penn. Committed to undergraduate teaching, two of us (Benson and Harkavy) designed an Honors Seminar . . . Most unwittingly, during the course of the seminar's work, we reinvented the community school idea!"[187]

The idea was clear: schools were often the only place in which all families with children had a stake. Accordingly, they provided a hub from which community development could extend outward. As Benson, Harkavy, and Puckett put it, "Public schools, we came to realize more or less accidentally, could effectively function as genuine community centers for the organization, education, and transformation of entire neighborhoods." While the idea behind the project was simple, practical application was not. One problem with previous attempts, Penn faculty decided, was that they typically focused on just the School of Education. For West Philadelphia, a community *health* program that could address issues of diet and malnutrition proved more critical. In 1992, seven years after the first seminar, Penn established the Center for Community Partnerships to institutionalize its work. At around the same time, the Center received a major foundation award to help other universities adapt the model for their communities. Harkavy credits the Wallace-Readers Digest Foundation for leadership on this issue. As Harkavy explains, "In a certain sense, it was a foundation saying to us initially in 1992 we don't want to just fund small-scale stuff. We like what you are doing, but we would like you to take it national. The model was assisting community schools. So they asked us to see if there was interest and there was. . . . I don't know if we would have done that on our own." With the support from foundations, the Corporation for National Service, and others, the WEPIC model has been expanded to over 20 other communities.[188]

Today, the Center for Community Partnerships has a budget of roughly $2.1 million, including about $600,000 provided directly by the university. Since its founding, the number of service-learning courses offered at the university has expanded from 11 to more than 90 and WEPIC involves 10,000 students in a wide variety of educational and cultural programs, recreation, job training, community improvement, and service activities. Although service-learning work and K-12 partnerships remain a central focus of their efforts, there has been a considerable expansion in the direction of the broad community development focus that from the start has inspired the Center's work. For instance, since 1996, the Center has offered free home-ownership counseling classes, and the Small Business Development Center at the School's Wharton School of Business provides free assistance for minority businesses to develop business plans and competitive bids on university contracts. Through the university's West Philadelphia Initiative, Penn also has increased the amount of goods and services it purchases from local vendors from $1 million in 1986 to $20.1 million by 1996 and $61.6 million in 2003 (or 9 percent of total spending). In Fiscal-Year 2006, Penn's purchases from local vendors had further climbed to $72.9 million (or 10 percent of total purchase orders), a figure the university aims to increase to $120 million by Fiscal-Year 2010. The school also provides financial incentives for faculty and staff to buy homes in West Philadelphia.[189]

The wide range of programs demonstrates the breadth of the partnership approach. And there are many other centers—both prominent and less so—that could be added to the ones described here. It is difficult to determine exactly how many university partnership centers exist, although it seems clear the number is well over 100. To date, 177 universities have received COPC grants from HUD's Office of University Partnerships (OUP), while 184 colleges have received grants from related OUP programs which support community development work at minority-serving institutions (which include historically black colleges and universities, tribal colleges, and Hispanic-serving institutions).[190] Although not all grant recipients' partnership centers continue after the grants expire, according to former OUP Director Armand Carriere, "typically efforts do continue, although not necessarily in the same format." An Urban Institute review of the first four years of the COPC program also found that, considering the constraints in terms of funding, the program had been reasonably successful at spurring institutionalization. As Avis Vidal of Wayne State University and her colleagues write, "Clearly university-community partnerships are growing in numbers and are maturing

in the body of experience and knowledge that is being shared among their many adherents."[191]

Because former COPC recipients cannot reapply for funding, we also know from the application numbers that there are many more colleges that either have partnership centers or wish to create them. For instance, in 2002, 127 schools applied for sixteen available grants.[192] As Carriere notes, "Three or four years ago, we were worried that with 120 schools applying and 16 getting grants each year that we might eventually run out of people to fund. There may be thousands of colleges, but how many are actually interested? So I thought we might allow previous recipients to reapply, for instance. But this has not proven to be the case. We continue to get 120 colleges to apply. We have barely scratched the surface of community colleges. Also, minority colleges will become more competitive in the COPC competition."[193]

The reach of community outreach partnership centers continues to grow. Along with service-learning pedagogy they provide an important mechanism for connecting the university to local constituencies. Unlike service-learning in isolation, the centers also serve to more directly integrate research and outreach work with teaching. Yet as Harry Boyte, who directs the Center for Democracy and Citizenship at the University of Minnesota, notes, "there are real problems with funding centers as *the* vehicle for public engagement. It just creates a little island." Indeed, it is not uncommon for a university to have a strong service-learning program and a community outreach center, while the overall institutional culture is largely unaffected. Creating a new kind of university that fully leverages its intellectual and financial resources for the public good requires a still broader, multi-faceted approach.[194]

Leveraging University Assets for Community Development

Only one entity had the capacity, the resources, and the political clout to intervene to stabilize the [West Philadelphia] neighborhood quickly and revitalize it within a relatively short time period, and that was Penn. If Penn didn't take charge to revitalize the neighborhood itself, no one else would.

Judith Rodin, President, University of Pennsylvania
1994–2004[195]

Universities are not just providers of educational services. They are also large economic institutions that either strategically or inadvertently play a major role in community economic development. An increasing number of universities have begun to take a strategic approach that employs their business and administrative assets—procurement, investment, real estate development, employment, and more—to improve local surrounding communities, as well as support their overall mission.

A number of recent studies have noted the role of universities as economic engines that are anchored within their communities. When viewed from the business side, rather than the academic side, a university drives a local economy as a purchaser of goods and services, as an employer (more than two percent of total national employment), through workforce development, as a developer of real estate, as an incubator of new businesses and technologies, as an advisor or network builder, and by providing community economic assistance (by, for example, helping low-income taxpayers fill out their paperwork properly to claim the Earned Income Tax Credit). As figure 17 illustrates, the potential for universities to contribute to community development while fulfilling their own missions is substantial.[196]

When thinking about leveraging university assets, a word of caution needs to be made. In this report we have identified many ways community involvement and engagement can both support and improve the quality of education, research, and services that universities provide. But it is important to also recognize that the size of universities alone makes higher education institutions important motors of economic development—and not just in the traditional "service" or "outreach" way. The very nature of university investment and purchasing decisions can result in effects that are positive for the community, negative for the community, or neutral.

Perhaps nowhere is this more obvious than with site decisions: an issue of importance most obviously for the development of new universities, but also of relevance for existing universities that are expanding, such as Harvard, Columbia, and the University of Maryland- College Park.[197] Indeed, the decision of where to site a new university can raise as much political furor as military base closures. Why did the University of California (UC), for instance, open a new campus in Merced in the fall of 2005? To put it simply, there was enormous political pressure to build a UC campus in California's Central Valley. As University of California President Robert Dynes noted in his address at the campus' opening ceremony,

"The leaders of this community . . .wanted a UC campus to boost their economy. . . I have fond memories of a July 1997 Regents' meeting—I was there as the new UC San Diego Chancellor—when Bob Carpenter, Tim O'Neill, Jim Cunningham, and a cadre of Valley leaders made a forceful case that a UC Merced would transform Central California."[198]

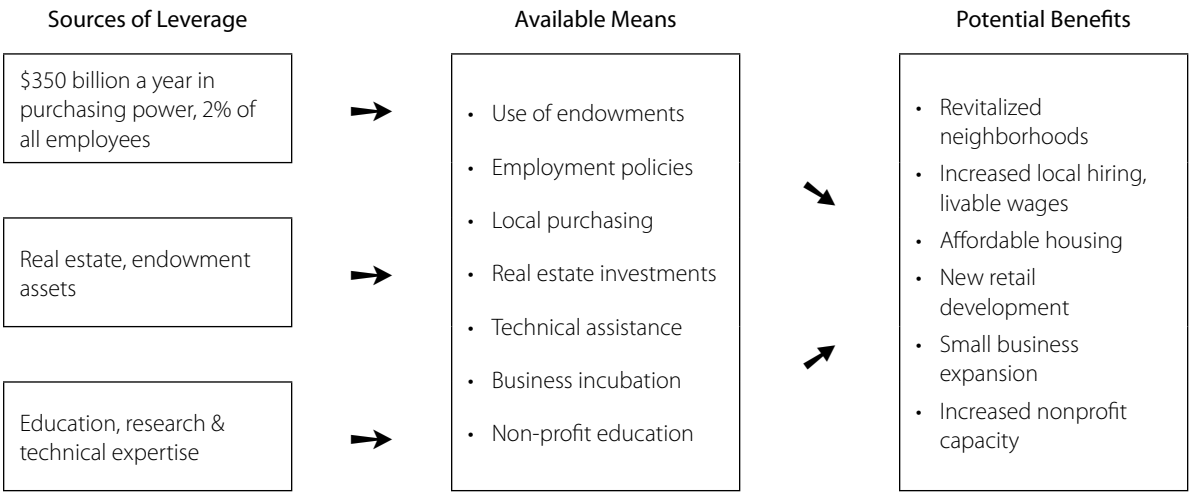
It is too soon to judge whether the UC Merced campus will have the transformative effects that boosters envisioned. But it is not too soon to look at the University of Washington, Tacoma (UWT), which opened in 1997. As Brian Coffey and Yonn Dierwechter, two urban studies professors at the campus, note, "The principal economic impact of universities like UWT is their long-term contribution to the formation of human capital in local labor markets, but there are more immediate and concrete aspects as well." How important are these "immediate and concrete" changes? Coffey and Dierwechter don't mince words: "UWT's impact as an economic development engine is difficult to overestimate," they contend. "In a few short years it has brought about a degree of renewal, rehabilitation, and regeneration that is rare in most of America's central cities . . . Tacoma finds itself in the enviable position whereby investment and development now generate more investment and development, creating a cycle of growth that most U.S. central cities seek but never achieve. In short, as an economic enhancement strategy, the decision to locate the campus in the inner city of Tacoma was brilliant."[199]

Of course, most universities don't have the same economic weight as start-ups, which have the unique ability to unleash a flurry of new investment, new construction and related activity. Nonetheless, some established universities are beginning to realize that with a more strategic leveraging of their economic resources, they too can transform neighborhoods. Five examples are the University of Pennsylvania (Penn) in Philadelphia; Trinity College in Hartford, Connecticut; Clark University in Worcester, Massachusetts; the University of Cincinnati in Ohio; and Ohio State University in Columbus.

Penn's efforts with public schools—the WEPIC program described above—pre-dates and was expanded to provide one critical component of the West Philadelphia Initiative effort. In particular, the work within the public schools over the previous decade had helped Penn build both community linkages and credibility that had not existed before, providing an important base for the expanded effort. However, the West Philadelphia Initiative program is notable because it involved a truly comprehensive effort that went beyond service-learning and community partnership programs to leverage the university *as an institution*.

What would a university leader do if there were a strong consensus to dedicate the full energies of the

Figure 17: Leveraging the University



university as an institution to revitalize the surrounding neighborhood? Penn provides one answer. President Rodin requested that the Board of Trustees set up a Committee on Neighborhood Initiatives that would be co-equal with Finance and other committees of the Board and oversee the effort at the board level. An advisory group of college deans and key vice presidents met regularly to provide administrative supervision of the West Philadelphia Initiative. A number of different programs were launched, including programs to increase the number of security officers, increase area lighting, develop community gardens, and support home ownership by Penn staff in the West Philadelphia area. In addition, between 1996 and 2003, Penn financed the acquisition and rehabilitation of over 200 rental buildings (most of which are inhabited by community members not affiliated with Penn), developed 300,000 square feet of retail space, increased its local purchasing (from $20.1 million in fiscal year 1996 to $61.6 million in fiscal year 2003), and employed local residents in construction projects, with over 22 percent of contracts let out to woman- and minority-owned firms.

The university was also successful in attracting outside investment. Penn estimates that its $150 million in investments in retail development leveraged an additional $370 million in private investment. It also attracted $5 million from Fannie Mae and $28.5 million in financing from Citizen's Bank to support its home ownership and business development programs. An evaluation of the first seven years of the effort found considerable success. Among the key findings: housing values in the neighborhood had more than doubled, while reported crime fell 40 percent.[200]

Like Penn, Trinity, a liberal arts college with about 2,000 students, initiated its effort in 1996, when it made a commitment to revitalize the 15-block area in which it is located in Hartford. As James Trostle, an anthropology professor, and Kevin Sullivan, Vice President of Community and Institutional Relations, from Trinity explain, self-preservation played a major role in the decision. Trinity only decided to take action after its trustees determined that moving the campus out of Hartford was not feasible. A notable and important feature of Trinity's approach was that the college contributed $5.9 million of its $360 million endowment to the partnership effort. Trinity's contribution went to support a number of initiatives, the largest of which was a $175 million Learning Corridor, a 16-acre campus that contains an elementary school, a junior high, an arts-themed high school, and a math-and-science focused high school, as well as a Boys & Girls Club and other community facilities.[201] Trinity's willingness to put its own capital on the line helped bring state government and foundation support (including grants from Surdna, the Atlantic Philanthropies, and Kellogg), making the overall project possible. Dan Lloyd, a philosophy professor at Trinity, emphasized that in percentage terms Trinity's endowment draw would be roughly equivalent to Yale making a $163 million contribution.[202] As Evan Dobelle, President of Trinity College from 1995 to 2001, noted, "Imagine if just 100 of the nation's 3000-plus colleges and universities invested, on average, $6 million in their communities. Simple math suggests that this investment, arguably, could be leveraged into $20 billion. It might benefit half-a-million children who today have no good reason to hope, to dream of a better tomorrow."[203]

Two schools that have invested an even higher percentage of their endowments in community reinvestment are Clark University of Worcester, Massachusetts and the University of Cincinnati in Cincinnati, Ohio.[204] Clark University's efforts are similar to those of Trinity in Hartford. As Clark University President John Bassett explains, "Change in Main South came in 1985 shortly after Richard Traina arrived as the seventh president of Clark. With encouragement and funding from SEEDCO, an arm of the Ford Foundation, Clark brought vision and leadership to a partnership that established a Community Development Corporation, a CDC. The University did not adopt a top-down philanthropic model but has held only one seat on the board of the CDC and only gradually built trust among often suspicious neighbors." By 2003, Clark had invested $7 million, or nearly five percent, of its $150 million endowment—with its investment helping leverage additional funding to support a $40 million "University Park" project that has resulted in new housing, education (including free tuition for area residents), recreation programs, and small business assistance as part of a comprehensive neighborhood revitalization initiative. Clark's success has also helped spur the formation of the UniverCity Consortium linking the area's nine universities to revitalization efforts throughout the city. For instance, the College of Holy Cross has guaranteed two loans worth a total of $1.4 million to support affordable housing in south Worcester, while another college opened a downtown campus and yet another is developing a multi-purpose facility at a brownfield site.[205]

In 2003, the University of Cincinnati, an urban public university, joined with four other large local nonprofit employers (three health care organizations and the local zoo) to form the Uptown Consortium. This effort was spurred partly by riots that had hit the city in 2001. Holding annual summits involving hundreds of community residents, the Consortium has developed a plan to invest $500 million in Cincinnati's poor Uptown neighborhoods, $100 million of which is to be financed out of the university's nearly $1 billion endowment. The initiative is expected to generate over 1,600 beds of student housing, over 1,000 houses and roughly 450,000 square feet of commercial space. The University also is supporting additional community partnership projects to improve social, environmental and economic conditions in the Uptown area.[206]

Ohio State provides an example of a large land-grant college investing endowment funds in a community redevelopment effort. Again, self-interest in making the community around the campus attractive to students and faculty played a central role. At the same time, President Gordon Gee, who came to Ohio State in 1992 from a senior administration post at Brown, had seen community-university partnerships work in Providence and played a key role in gaining university support for acting in an area that had been neglected for decades. David Dixon and Peter Roche, who have worked on Ohio State's redevelopment efforts, noted that Gee wanted to shift "the university's public investment focus from the traditional agricultural concerns of a land-grant university to social, economic, racial, and other issues." Ohio State chose to work through a nonprofit community development corporation, Campus Partners. The project involves renovating over 1,300 units of housing and building a 500,000 square-foot shopping center.[207] The effort also includes a university commitment to use service-learning to improve area schools. As with Trinity, the university invested endowment funds to finance the project—in Ohio State's case, $28 million. The Ohio State commitment leveraged an additional $100 million in external funds, including a $35 million federal New Markets Tax Credit allocation. The South Gateway complex opened in the fall of 2005, so it is too soon to judge the final results. But the project certainly demonstrates the ability of a university to leverage its assets to undertake major community development projects.[208]

Endowments are one way to leverage university assets. Another is through employment policies. By acting as a model employer, the university can help reduce economic inequality in the community, as well as model the civic behavior that universities hope to impart to their students. Some institutions have taken steps in the area of workforce recruiting in the local community, including Columbia University and the University of Southern California.[209] When it comes to raising the wages of those at the bottom of the scale, however, leadership has come less from university presidents and more from faculty and students who have organized a number of campaigns to support living wages on campus.[210]

Indeed, as Pablo Eisenberg of Georgetown notes, often university leaders have been resistant to such efforts, "At Georgetown, it took a 9-day hunger strike to get a living wage," Eisenberg explained, "The president of Georgetown makes over $500,000. Others are raking in big money. But they couldn't give $14 an hour for the poor Latino killing himself on the lawns or kitchens." Student campaigns have have also motivated a number of other campuses to implement living wage policies, including Wesleyan (Connecticut), Colorado College, Harvard, Stanford, Swarthmore, and Washington University in St. Louis. Although efforts at private colleges are more visible (in part because unionized clerical workers in many public universities already earn living wages), campaigns are under way at public universities too. For instance, in June 2005, three months after the faculty Academic Senate voted in favor of a living wage resolution, Texas A&M's then-President Robert Gates agreed to allocate $500,000 to raise the minimum wage level on campus from $6.57 to $7.77 an hour—about $2 an hour less than the figure the faculty endorsed, but still a significant development.[211]

Universities have also sought to leverage their assets in other ways, including providing both financial and technical assistance support for community development corporations to meet community housing and local business development needs. The business school at Howard University in Washington, D.C. provides free technical assistance and low-cost training for small, minority-owned, or otherwise disadvantaged businesses. With support from Fannie Mae and working in partnership with Manna, a local CDC, Howard has also helped develop 307 new affordable housing units and helped leverage $65 million in commercial investment in the surrounding neighborhood.[212]

Jackson State University in Mississippi provides another leading example of a university partnering with a

community development corporation to meet local housing needs. The university's relationship with the West Jackson CDC is important enough to the university's mission that President Ronald Mason mentioned it in his fall 2000 inaugural address. Together with the CDC, the university runs a homeownership program in five local neighborhoods, operates a revolving loan fund to rehabilitate existing homes, and provides opportunities for faculty and students to work with and provide training for neighborhood residents. In April 2005, in partnership with Freddie Mac, Trustmark Bank, and West Jackson CDC, Jackson State launched a new program to support housing in West Jackson for faculty and staff members, as part of its community revitalization efforts. In doing so, Jackson State became the first historically black college in the country to offer such a workforce housing benefit.[213]

The University of Texas-Pan American (UTPA) also supports affordable housing and other community development projects. In 1994, UTPA was a first-round recipient of a Community Outreach and Partnership Center (COPC) grant. Many years after the grant funding from COPC ran out, the center has been integrated into the university's Office of Center Operations and Community Services. In February 2005, the Office celebrated its tenth anniversary. In 1998, backed by a $500,000 Fannie Mae grant, the Office developed a comprehensive counseling program for colonia (Latino neighborhood) residents who live in the impoverished rural communities along the Texas-Mexico border. The effort, called "Project HOPE," included new construction and rehabilitation of affordable housing, homeownership training and individual counseling to 117 families, community outreach programs to increase awareness of housing programs, and technical assistance and training for nonprofit housing organizations in Hidalgo County. Although the grant has ended, the university continues to provide first-time homebuyer assistance, small business development support (estimated by Vice President of External Affairs Roland Arriola to generate more than 1,000 jobs a year), technical assistance for non-profit groups and English-language training.[214]

A large number of schools have focused on being business incubators or otherwise supporting local small business development as part of a broader community development vision. Both Northern Kentucky University and the University of Texas-Pan American, mentioned above, are examples. Virginia Commonwealth University (VCU) of Richmond, featured in a 2002 study by the Initiative for a Competitive Inner City and CEOs for Cities, provides another strong example.

During the 1990s, VCU leveraged its $580 million in real estate investments to support local community economic development in the Richmond area, particularly along Broad Street, where university investments have included the developing of a master plan, setting up a community advisory board, and developing $82 million worth of university facilities in abandoned areas of town, both avoiding resident displacement as well as reducing crime in the process. On the business development end, the university opened a business incubator facility in 1995 at the cost of $5 million that has as of 2005 successfully graduated 16 companies, four of which have moved to the Biotechnology Park. The larger Biotechnology Park has grown rapidly. As of June 2000, its 26 businesses employed 829 people. By 2004, those numbers had increased to over 50 companies and over 1,350 employees.[215]

Another area where some universities are trying to leverage their assets is through alignment of their academic programs with the needs of non-profits. In some areas, there has been considerable success. As noted earlier in this report, the Kellogg Foundation has been instrumental in catalyzing programs in nonprofit management, the number of which grew from just three in 1986 to 62 by 1996 and, then again, to 114 in 2003.[216]

Universities have been less attentive in the area of community development training, perhaps because foundations have directed less money toward these kinds of programs. This is surprising given that foundations have awarded grants that easily total in the hundreds of millions of dollars to provide capacity building through nonprofit community development intermediaries. These investments have been instrumental in helping to produce a thriving sector of over 4,000 community development corporations throughout the country. Perhaps it was their very success in these areas that has led to an under-investment at the university level. As Andrew Mott, former Executive Director of the Center for Community Change, wrote in a 2005 report, "Understandably we have focused on the urgent work which must be done immediately . . . [but] we have invested too little in developing sufficient numbers of people with the vision, the breadth of knowledge, commitment and skills needed to tackle the enormous issues which low-income communities and people of color face in America today."[217]

However, it should be noted that Mott identifies a few key innovative programs that speak to the potential for further growth in this area. For instance, Los Angeles Trade Tech for the past two decades has offered a two-year Associate of Arts degree in Community Development in a program that " is designed specifically to attract people of color from low-income neighborhoods, many of whom are already working with grassroots groups or other employers"—a model that could easily be adapted to other community colleges, but has not been to date. At the University of Massachusetts, Boston, the College for Public and Community Service offers a number of Bachelor's and Master's level programs in public interest work. And at the graduate level, Southern New Hampshire University offers a Master's level program in community economic development, which is available to students from across the country (in-person classes are held one weekend per month).[218]

The program at Southern New Hampshire University has grown in stature in recent years and has attracted support from the Ford, Fannie Mae, Heron and Rockefeller foundations, among others. In December 2004, it even received a direct allocation from the federal government. As Dean Michael Swack explains, "We had always been a big secret. Over the years [Senator] Judd Gregg's (R-New Hampshire) office has tried for earmarks, typically a couple hundred of thousand a year. The new [university] president, made a short presentation—and, for the first time, he mentioned us. One of our ideas was that we create a center for excellence for Community Economic Development. Gregg's staff said we didn't know you did this and that if we applied for this, they'd go for a lot more than a couple hundred thousand. I literally wrote up a five-page proposal, which included having a building, scholarships and other things." In the end, the Center proposal was funded with an allocation of $2.25 million.[219]

The success at Southern New Hampshire indicates the potential for building support. While the examples of community development programs are scant, in many respects community development education today is where non-profit management education was two decades ago. Like nonprofit management, it might also be poised for similar growth as universities continue to build on their civic engagement efforts.

Creating Cultural Change: Envisioning the *Engaged* University

It is incumbent on us at this time to have very bold movements. It is crucial to the future of the country and to cities—not just quality of life issues but that universities make this a substantive focus of what their academic work is about. Right now, there is a lot of work being done in isolation—much of it is ill-focused and not contributing to human welfare. We have made some progress, but we still have millions of miles to go.

Ira Harkavy, University of Pennsylvania[220]

The idea of university engagement extends beyond service-learning, community partnerships, and leveraging economic resources. Ultimately, institutionalizing engagement requires a decisive shift in university culture. While most colleges are far from achieving such a shift, there are some favorable trends and indicators of cultural change. These include revision of university mission statements, changes in the definition of scholarship among faculty, and the expansion of community action participatory research in the professions, especially health care.

American higher education is at a crossroads. In Ira Harkavy's view, higher education faces three concurrent trends. One is a growing emphasis on democratization and civic engagement. But this trend co-exists with two others—the "movement toward commodification and commercialization" and the "continuation of a discipline-focused purpose of education"—a trend one might label *academia for the academics*.

Which will prevail? In all likelihood, no one of the three trends will completely subsume the other two, but it is likely that one of the trends will become predominant. For instance, during the Cold War, the original purpose of the land-grant university as an institution that provides education, research, and training *for its state* was not completely lost. But it had became secondary to two primary *national* goals: meeting the nation's research needs in the competition with the Soviet Union and providing a mass college-educated workforce for the national economy. Today, the movement for community engagement faces a similar challenge. The conventional wisdom, of course, is that commercialization will carry the day. But the odds for a renewed civic focus in universities might not be quite so long. In addition to service-learning and community partnerships, there are a range of new developments that, *if* brought together, could create the foundation for much of the cultural change that engagement advocates seek. These include efforts by university presidents to revise university mission statements, movement to change the definition of scholarship among faculty, the growing influence of community action participatory research in the professions (especially health), a new willingness to use university assets for community development, new forms of student activism that focus increasingly on local issues, and the growing importance of the non-profit and small business sectors of the economy.

Reexamining university mission statements might seem an odd place to begin, as they are often obscure to

an organization's own constituencies. Nonetheless, while university mission statements are seldom at the forefront of student or faculty concern, the fact that an increasing number of colleges are taking the time to address the question of "university for what?" suggests that calls for reform are having some resonance. Most often, the changes made are in the direction of emphasizing the civic mission. In some cases, they state an explicit goal of community engagement.

It should be noted that this discussion about mission comes at a time when university presidential leadership itself has come into question. For instance, in a 2001 opinion article in *The Chronicle of Higher Education*, Rev. Theodore Hesburgh, former President of Notre Dame University, lamented that, "When I was a college president, I often spoke out on national issues, even when they didn't pertain to academic life. Yet nowadays, I don't find many college presidents commenting on such issues." Barry Checkoway, founding director of the Ginsburg Center for Community Service and Learning at the University of Michigan, shares this concern, "[Change occurs] when there is leadership that contextualizes the university in a civic way. We don't have that. I don't know who speaks for higher education in the world."[221]

This debate also found its way into the fall 2004 issue of *Connection,* published by the New England Board of Higher Education. The journal's editor, John Harvey, suggested that, "Presidents might even dare to speak out for things that are not obviously in the best interest of their institutions—like guaranteeing a living wage to unskilled campus workers or protecting university research from undue commercial pressures." Responding in the same issue, Richard Pattenuade, President of the University of Southern Maine, countered that universities "need to be politically neutral on the issue of the day whether it is consolidation of school districts, landfills, or the politics of creating casinos."[222]

But not all presidents are so reticent.[223] For instance, in February 2005, Robert Dynes, a former Bell Labs physicist and current President of the University of California, said to a group gathered at a Sun Microsystems research conference, "We in universities shouldn't be trying to run the tech transfer office like a business . . . The goal should be using our tech transfer office to expand our discoveries for the good of society—to find the very best ways of getting technology out into the marketplace where people can use it." Dynes also appealed to the enlightened self-interest of the science industry to support the university's efforts to improve the state's K-12 educational system to develop the educated workforce the state needs.[224]

The rhetoric of public service, alas, is not always matched in practice. A May 2006 state audit of the University of California found that in 2004-2005 employees received "$334 million in stipends, housing allowances, money for additional teaching and other additional pay that disproportionately benefited some of UC's most highly paid employees" and admonished university officials for failing "to consistently disclose executives' full compensation to [the] governing Board of Regents as required by university policy."[225]

Nonetheless, Dynes' statement at the Sun Microsystems conference does suggest—as does the public revulsion at the university's compensation practices—that both political and economic forces are increasingly putting pressure on universities to take a civic—rather than a profit-making—turn. Caryn McTigue Musil, Vice President for Diversity, Equity and Global Initiatives of the American Association of Colleges & Universities, made a similar point. She noted that, "There is a contrast between the limited investment in the uses of higher education to promote the public good and our expectations. Many of the current civic or community 'engagement' efforts are a response to this development."[226]

If it is true that economic pressures—particularly the need for universities to justify state budget allocations in fiscally difficult times—help promote community engagement, it should not be surprising that the schools that are less insulated from these economic changes—especially metropolitan urban universities—have taken on a leadership role. The University of Wisconsin, Milwaukee and Portland State University in Oregon provide two clear examples where university presidents have been visible leaders for change.[227] In both cases, a mixture of self-interest and civic interest was at play. Both schools had been overshadowed to a degree by their systems' flagship campuses. Community engagement gave both schools a way to stand out from the crowd. However, there was a strong public-spirited purpose too, as both campuses were located in American cities that could greatly benefit from greater community involvement by the university.

The University of Wisconsin, Milwaukee's initiative, known as "The Milwaukee Idea," harkens back to the land-grant tradition and the "Wisconsin Idea" of the early twentieth century. Nancy Zimpher, who became Chancellor in the summer of 1998, built upon a campus

consensus among faculty and administrators that a new vision was needed. Zimpher articulated the concept of "The Milwaukee Idea," which centered on building partnerships with the community, in her first official speech. She then set in motion a planning process that involved 200 people, divided into ten working groups, who met over a period of six months to develop the vision and identify key priorities. The resulting plan, rolled out in March 1999, is widely credited with raising the university's stature in the community. A newspaper account from December 2002 estimated that the new outreach vision had helped spawn 300 projects. Key elements in the strategic plan included a new core curriculum emphasizing multiculturalism, service-learning and public arts; expanded partnerships with public schools; a commitment to technology transfer to local businesses and promotion of local economic development; and a commitment to public work on environmental issues, particularly in connection with public health. Although Zimpher left the campus in 2003 to head the University of Cincinnati in her native state of Ohio, the campus continues to pursue the Milwaukee Idea vision to this day.[228]

Portland State University in Oregon provides a second prominent example. Judith Ramaley was hired as university president in 1990. Shortly after she assumed the post, in the fall of 1990, Oregon voters passed a tax limitation measure that imposed significant budget cuts in education. Also, in November 1990, a Governor's Task Force on Higher Education recommended that the university change its mission to become an "urban grant university." Prodded by state pressure, in September 1991 the university's board did change its mission to adopt an explicit urban focus. Unlike the University of Wisconsin at Milwaukee, Ramaley faced a faculty used to budget cutting and skeptical of change. Over time, however, she won faculty support, in part by devising an inclusive planning process for a key proposal, which centered on the creation of a new interdisciplinary University College that would engage faculty and students in community-based research. The process involved two working committees that met for over six months, followed by a public forum attended by a third of all faculty, but did pave the way for faculty approval of the final result in November 1993.[229]

Once the hurdle of creating the University College was cleared, Portland State was well on the way to developing its urban university model, as well as a new motto, "Let knowledge serve the city," which was adopted in 1994.[230] As Amy Driscoll, founding Director of the Center for Community-University Partnerships at Portland State, explains, "The key is to figure out how to do it well, so it becomes institutionalized. It needs to be aligned with mission and to appear in the strategic plan, so that it's not just a little activity with a little grant money. At Portland State, we had all of the pieces in place, even though we didn't know it at that time." Among the elements of the University College is a core curriculum in the first three years with courses on themes of communication, appreciation of diversity, critical thinking, and social responsibility, capped by a six-credit senior-year course involving work in a team setting to address a community problem.

As of 2004, Portland State offered 400 community-based learning courses, and placed a total of 6,500 service-learning students a year. The university established a Community Development Training Institute, which provides training to community-based organizations on advocacy and community development issues. It has also worked with city and business officials to redevelop what had been a decaying area near the university (known as the University District) with housing, retail centers, a new elementary school, and university buildings. When Ramaley left Portland State in 1997, the state assembly in Oregon passed a resolution commending her performance. And like the University of Wisconsin, Milwaukee, Portland State has maintained its community partnership focus to this day.[231]

Arizona State University, a large research university, illustrates another approach to developing a comprehensive engagement initiative. Michael Crow, Arizona State University's president, has led the effort. Crow, who was inaugurated as president in the fall of 2002, has taken advantage of the atmosphere provided by Proposition 301, a statewide education sales tax increase approved by Arizona voters in 2000, to argue that the university must make good on the state voters' commitment by investing back in the state. Crow has called for Arizona State to develop into a "comprehensive metropolitan research university," which is sometimes shortened to the "New American University." The nomenclature of the long phrase is important, however. Research in this schema remains central to the university, but the nature of the research is shifted to meet both economic and social needs. On the economic side are such institutions as the Scottsdale Center for New Technology and Innovation, which aims to "catalyze major economic development

and create thousands of jobs." On the social side are such efforts as the Stardust Center for Affordable Homes and the Family, a university-school partnership program that works with eight local K-12 school districts, and the Phoenix Urban Research Laboratory, opened in the fall of 2005, which aims to develop "solutions to urban issues through design."[232]

The University of Maryland-College Park, a research university that is also a land grant institution, has made more limited steps in the direction of engagement. Primary among these is the "Engaged University," an initiative launched in 2002 by The Democracy Collaborative, and now based in the university's Cooperative Extension program in the College of Agriculture and Natural Resources. The initiative began with a series of public dialogues involving more than 500 university and community leaders. Out of these discussions, a set of shared priorities was developed, which focused on bringing to bear university assets to improve the quality of life in the diverse inner-Beltway communities that surround the College Park campus. Most of these projects are "enrichment" programs targeting students at elementary, middle, and high schools in the lower-income, largely black and Latino neighborhoods encircling the university. Programs on financial literacy and parental leadership have also been conducted for newly arrived immigrant families. In 2006, the university established the Center for Educational Partnership in one of its off-campus buildings. The center houses local community-based nonprofits and serves as the hub for a wide array of outreach and educational programs. In 2007, the university, with funding provided by an alumnus member of its board of trustees, launched a community partnership grant program, which awards grants averaging $5-10,000 jointly to faculty members and participating community groups to support engagement projects.[233]

The examples of Portland State and the University of Wisconsin, Milwaukee—as well as more recent initiatives such as that undertaken by Arizona State University—illustrate the potential for major universities (all of these schools have over 20,000 students) to shift to an engagement vision. But as Figure 18 shows, many challenges remain.

A contentious issue, but crucial for institutionalization of engagement, concerns tenure and promotion. A number of universities, including Portland State, have altered their tenure and promotion guidelines to better recognize community engagement work.[234] Highly influential in guiding this process is the work of the late Ernest Boyer of the Carnegie Foundation, who in 1990 wrote *Scholarship Reconsidered: Priorities of the Professoriate*. In that work, Boyer stressed that universities should not just focus on research and teaching, but should consider four types of scholarship—discovery (research), teaching, application (also known as service or outreach), and integration (interdisciplinary work). In a few places where the Boyer model has been fully implemented, it works well. According to Michael Swack, Dean of

Figure 18: Building Cultural Change

Current Status		Possible Future Steps
Engagement Mission a reality at a few, mostly urban, campuses	→	Developing greater variety and number of engaged campuses.
Boyer model and community-based participatory research are respected, but publication record remains primary	→	Develop tracks that accommodate different types of scholarship. Develop consistent evaluation standards for engaged scholarship.
New classification schema for engagement just developed	→	Promote and refine Carnegie engagement criteria.

the School of Community Economic Development at Southern New Hampshire University, "We use the four ways of measuring scholarship, as defined by the Boyer model. People use that to write up their self-evaluations. Within the Boyer model, we can shift the emphasis. Do you want to focus on applied work in community or applied research? We can put different emphasis for different faculty as long as we agree. Not every faculty member is evaluated the same way."[235]

At many institutions, especially at research universities, changing the definition of scholarship has been more difficult. The desire to accommodate a broader view of scholarship often conflicts with traditional notions that "real" scholarship is measured primarily by publication of books and articles in peer-reviewed journals. On the one hand, at a superficial level, the response to Boyer has been favorable and widespread. According to Kerry Ann O'Meara of the University of Massachusetts, Amherst, 68 percent of 729 surveyed Provosts (or "Chief Academic Officers") reported making policy changes in light of the Boyer study. Of the 498 officials who indicated that their schools had made changes, 76 percent of them indicated their schools had changed faculty evaluation policies.[236] And it appears these changes have had an impact. Over half of the surveyed academic officers observed an increase in service-learning scholarship at their colleges. More than a third also reported greater scholarship of engagement. Yet, as O'Meara writes, "Our findings suggest that two events—rising research and writing expectations and a broader definition of scholarship—have occurred simultaneously." The risk of burnout—or, perhaps, even alienation of the younger generation of scholars who have been trained to do research but who now face pressure to engage in community scholarship *on top of* a growing research load—is obvious. Solutions such as the Boyer-inspired menu of tenure-and-promotion criteria options, as described above by Michael Swack at Southern New Hampshire, are easy to suggest, but garnering the support necessary to implement them can be more challenging.[237]

Advocates of civic engagement have attacked this issue on a number of fronts. One is to elevate the value of community-based action research so that it carries the same weight as traditional scholarship and thus can integrate university research and community goals, rather than adding work. Lorilee Sandmann, former Associate Vice President for Public Service and Outreach at the University of Georgia, has also since 2001 served as Co-Director of the National Review Board for the Scholarship of Engagement. As Sandmann says, "The National Review Board emerged from faculty saying we need knowledgeable people to provide the external peer review for those who do engaged scholarship." Those recruited tend to be respected scholars (former deans, provosts, and senior faculty leaders) who agree to serve for three years. According to Sandmann, the process works as follows: "Faculty inform their department about the National Review Board. When sent the faculty's dossier, it is distributed to three NRB members who have the appropriate background. One person is picked to lead and write the transmittal letter. They use the NRB evaluation criteria as well as the faculty member's institutional guidelines and they put together an assessment." In four years, this review process has been used about 50 times.[238]

Direct advocacy of the scholarly value of community-based action research is another part of the equation. Serena Seifer, Executive Director of Community-Campus Partnerships for Health, an organization founded in 1996, details her case: "In the health professional schools, there is tremendous interest. This is happening for a number of reasons . . . what we need is different than what the health system itself is pushing . . . it is not necessarily from some commitment to improve communities. It is also how do you prepare graduates to be effective in their jobs and in practices? How do you translate research into practice? . . . How do you develop interventions for complex problems, such as obesity, or health disparities between blacks and whites? These problems are intractable for a reason. They are very complex. Communities need to be involved." According to Seifer these "facts on the ground" are beginning to have an impact at medical and public health schools. Schools with significant programs in these areas include Wright State in Dayton, Ohio; Medical College of Wisconsin; Morehouse in Atlanta; the University of Michigan; and nursing schools in the California State University system.[239]

Public health is not the only area where one finds community-based research. As a 2005 book edited by Wim Wiewel of the University of Baltimore and Gerrit-Jan Knapp from the University of Maryland-College Park shows, urban planning is another field where use of a community-based approach is increasingly prevalent. For instance, in Milwaukee, an effort that began as a studio course in 1995 (where all students in the class work in various aspects of a single project) developed into a

partnership between the School of Architecture and the city government that led to the 2002 demolition of the Park East freeway as part of a broader award-winning downtown community revitalization project. At the University of Michigan, the nationally recognized Arts and Citizenship Program has created radio documentaries and conducted oral history interviews that support local community culture. At the University of Florida in Gainesville, a Conservation Clinic was established in 1999 to give law students first-hand experience with both land-use planning and environmental law issues.[240]

One additional tactic to increase the value and prestige of community-based work is to change the classification system for universities. As Amy Driscoll, who directed an effort at Carnegie to do exactly that explains, "Carnegie is revising the traditional classification. As part of that, it was decided to develop a couple of other classifications: undergraduate education and community engagement. The effort started in the fall of 2004. We sought to make this a collaborative project where I could use the insights of campuses that were doing pretty exemplary work." Fourteen colleges agreed to be evaluated to establish the first pilot results: Portland State University, Northern Kentucky University, La Guardia Community College, Santa Clara University, University of Denver, Indiana University Purdue University at Indianapolis, California State University-Sacramento, Elon University (North Carolina), Spelman College (Atlanta, GA), University of Minnesota, University of Pennsylvania, Tusculum College (Greeneville, TN), and Michigan State University. In December 2006, Carnegie formally launched its community engagement classification. Schools could qualify under either Curricular Engagement (i.e., teaching that addresses community needs) or Outreach and Partnerships or both. To be selected, universities "had to provide descriptions and examples of institutionalized practices of community engagement that showed alignment among mission, culture, leadership, resources and practices." In the first round, 62 schools met the criteria of both categories. Another 14 schools qualified in one of the two categories: nine in "Outreach and Partnerships" and five in "Curricular Engagement." Among these 76 schools (in addition to the pilot schools listed above) are Arizona State, Bates, Bryn Mawr, Emory, New York University, North Carolina, San Francisco State, Tufts, UCLA, and Virginia Commonwealth University.[241]

The long-term impact of this change remains to be seen, but clearly the emergence of a formal classification from Carnegie marks an important watershed in the growth of community engagement at universities across the country. Driscoll is optimistic that creating a ratings category for community engagement will spur the same kind of competition for community engagement that colleges currently undergo to get rated as top research universities.[242]

Section Four

Building For the Future

Engaging Students

Overall, we have found that colleges and universities do not teach us the community-building/organizing skills we need. They rarely provide models for healthy communities, either on the campus itself (where the hierarchical nature of the institution often overlooks student needs/input when making decisions) or through relationships with the surrounding communities. Many campuses view engagement in communities in terms of what the institution can do for the community, instead of how they can work together for the benefit of both.

The Wingspread Statement on Student Civic Engagement, 2001[243]

Gaining student support requires linking engagement to curricula that contribute to student career development. Although students may be rightly skeptical of official civic engagement pronouncements from on high, evidence strongly suggests that students will enthusiastically participate in engagement programs when connections between their education and community problem-solving are emphasized.

In this report, we have reviewed a wide range of policy developments as well as on-the-ground progress toward change. The reforms made to date have been significant, but have been less than transformative in their effects. Service-learning, community service, community partnership centers, community-based participatory research, and the like have each carved out niches within the university and have a legitimacy within their institutions which would have been hard to imagine even two decades ago. At the same time, while the outline of a developing broad-based university culture based on partnerships with local communities is apparent—and one can even find entire campuses that embrace the community engagement ideal whole-heartedly—engagement remains a minority movement. Carol Geary Schneider, President of the American Association of Colleges & Universities (AAC&U), contends that, "The great weakness in the movement, I am persuaded, is the failure to fully engage either students or faculty. There are many islands of innovation on our campuses and in our curricula where civic engagement is already a lively concern. But, overall, these islands have only a comparative small number of visitors."[244]

How can we connect the threads of the different initiatives? One way is to look at the different constituency groups, especially students, faculty, and campus administrators. Despite Schneider's concerns, student interest and participation in engagement is clearly growing. Andrew Mott of the Community Learning Project, who generally considers himself to be a skeptic of service-learning and engagement efforts, comments that in interviews he conducted in 2004 and 2005, "I talked to about 65 people. Lots of people saw this as a much more hopeful generation than they have seen in a while—wanting to do service but go past service."[245]

Simply put, many students *want* to have educational experiences that are integrated with community work. Elizabeth Hollander, former Executive Director of Campus Compact, notes that one key reason for the success of service-learning to date is that, "Students really like it . . . there was also a huge interest in service that preceded the rise of service-learning, including volunteer work on the co-curricular side that students really liked. So the folks promoting service-learning were picking up on something." In addition, as Caryn McTigue Musil, Vice President of AAC&U, notes, "Students who come from lower income communities are now going to college and pressuring their campuses to do more for their communities."[246]

Student enthusiasm and activism is a force that could make a large contribution to institutionalize engagement. But it might not be quite the same form of engagement as some administrators or faculty members have in mind. A group of 33 activist students at a Wingspread conference in 2001 were strong supporters of linking universities to community. However, the conference parted company with definitions of engagement that stress conventional political activity, such as voting. Rather, the students advocated *service politics*, where it is work in community itself that generates political consciousness and participation—for instance, working at a homeless shelter might lead one to become an advocate for affordable housing. Or, if students do community-based work in neighborhoods where university janitors live, they may come to know them and support campus living wage campaigns.[247]

Despite the interest of student activists in engagement, Schneider notes that broader surveys of non-activist students, such as one conducted by AAC&U, find that students have "overwhelmingly viewed college primarily as a time to prepare for a job and to strengthen their capacity to take responsibility for themselves and their own obligations." Of course, this is hardly new. Here it bears recalling that the GI Bill of 1944 was primarily an *employment* bill. When the mass university was created, it was done with the understanding that it would help sustain full (or at least fuller) employment, an understanding still shared by students and their parents. Even more fundamentally, as universities are more successful in attracting working class and low-income students, the percentage of students who must work while enrolled in college increases. At Indiana University-Purdue University Indianapolis, a school that is widely acknowledged to be among the national leaders in service-learning, over 80 percent of undergraduates work more than 30 hours a week. One can hope that more students will come to value community engagement on its own terms, but clearly any serious strategy at institutionalization must be integrated with career preparation efforts.[248]

Fortunately for community engagement advocates, extensive survey data suggest that students who take service-learning courses have superior post-college employment outcomes. A key challenge is to develop comprehensive programs that can provide an integrated course of study, as is done presently at a few schools such as Portland State and Tufts. While this may not reach every student directly, it can help define a clearer career path for some students. It also can provide a point of departure for expanding community engagement efforts to other students. As Nancy Wilson, Associate Dean of the Tisch College of Citizenship and Public Service at Tufts University, describes their program, "Conceptually, we divide the Tufts student body into three groups: five percent for whom this will be a defining feature of their experience at Tufts; 35 percent who will take one-semester courses and have a significant community engagement experience; and some things that all must participate in to ensure no one leaves Tufts without having some exposure."[249]

Figure 19 identifies some specific steps that could help match the desire for universities to be more engaged in the community with the need to provide students with employable skills.

Figure 19: Building Student Engagement

1. Use graduate research assistantships to integrate the new engaged educational model for students likely to be future faculty members.
2. Develop capstone courses for undergraduates.
3. Expand programs in community economic development.
4. Increase emphasis in professional schools on community problem-solving.

In discussing the work of research universities, Victor Rubin of PolicyLink, who led the community partnership program for over a decade at the University of California, Berkeley, suggests that "money to pay for the

time of graduate students is probably the most important thing" in making community partnerships work both from a community and educational standpoint. Sam Engle believes that both graduate student interest and program needs are leading Emory to increase their role: "We have graduate advisors for each of the projects," Engle says, but "We will change that and they will become teaching assistants [to participate year-round instead of solely during the summer] to develop stronger relationships. Many graduate students have expressed interest in participating—particularly students in public health, theology, and law."[250]

Capstone courses and related efforts to strengthen undergraduate education are a clear method to extend current service-learning instruments to provide students with meaningful lifetime careers. As Carol Geary Schneider writes, with isolated service-learning courses, the engagement becomes "peripheral to the core concerns of the academic fields" with which students identify by the time of their graduation. By contrast, with capstone classes, engagement becomes "embedded" in the curriculum. Experience gained at Tufts' Tisch College, Emory's Kenneth Clark Fellowship Program, Penn State, and Portland State demonstrates that senior capstone courses connected to a broader field of study can be an effective pedagogical tool for linking students to the scholarship of engagement.[251]

Professional schools can also enhance student engagement. But, as Derek Bok cautions, professional schools cannot be force-fed community projects. Bok notes, "Trying to incentivize them to do things they don't want to do is not likely to work, but there are a lot of things that do further the research and educational mission that can be helpful to the community." Serena Seifer of Community Campus Partnerships for Health believes that the health professions are changing in the direction of community-based research, but "It's not the university as a whole or even the school of public health as a whole. In a lot of these examples, it's a center or a unit within. But it is making a difference and having an influence."[252]

One other way for professional schools to expand student engagement is, as argued by Andrew Mott, to develop programs in community economic development, particularly at the master's level. This is true for two reasons. First, as Mott argues, "there is a dangerous shortage of people who are fully prepared for the tough but absolutely essential work of leading grassroots organizations." As the "sixties generation" reaches retirement age, community development work itself will increasingly provide students with a potential source of employment after graduation. Second, in order for university engagement efforts to succeed, there is a critical need for strong community-based partner organizations. As Rubin mentions, "Having effective community-based organizations can greatly affect the output of university-community partnerships." In fact, Rubin concedes that the Center he directed in the 1990s at the University of California, Berkeley, worked primarily in Oakland neighborhoods where community organizations were strong and worked much less so in locations where they were weak. Students who graduate from community development programs, however, could help lead community organizations to become those strong partners—and they would have the added advantage of understanding the university world with which they are partnering. As Lorilee Sandmann of the University of Georgia notes, "Some of us need to be bilingual. You need people who understand the values, norms, and language of the community and academy . . . especially in community economic development, it's all about the relationship."[253]

Engaging Faculty

I was at a meeting of Deans. This one Dean was saying he had two candidates—both of whom he was going after—who had during the interview asked him about what was going on at the campus with regard to engagement, service-learning, and community-based work. It will be the new generation of hires who are coming in—who as undergrads and grads have experienced it themselves—who will help drive this.

Cathy Burack, Brandeis University[254]

Gaining faculty support for engagement requires that universities begin to define community-supporting work as being worthy of the label of "scholarship." It also requires a corresponding realignment of evaluation processes to recognize and reward faculty for structuring their teaching and research to meet community needs. Evidence suggests that faculty members are torn between norms that place primacy on publications over all other forms of scholarship and a widespread desire to break out of the isolation this "ivory tower" stance has placed upon them.

Engaging students is important for developing a strong constituency for engagement efforts. But faculty members, who do the vast majority of the teaching and research work of the university, are clearly critical—perhaps the most critical—players. Of course, as the quote from Cathy Burack indicates, student and faculty engagement efforts are strongly linked.

Barry Checkoway, founding director of the Ginsburg Center for Community Service and Learning at the University of Michigan, Ann Arbor, notes that faculty culture can be an obstacle as the "academic culture runs contrary to the idea of playing public roles." But beneath the public silence, there is actually considerable—perhaps even overwhelming—faculty support. A group of faculty from the University of Minnesota noted that interviews conducted by Edwin Fogelman and Harry Boyte on that campus found that the "desire for public engagement in scholarly and other activities was widespread. But an equally widespread comment went something like, 'I could never discuss this with my colleagues.'" As Boyte explains, "We did a reading of people's interests—we found much more discontent than people knew. We found strong norms of silence about that. We also found administrators that were supportive, in part because university support from the state was declining. We had a feeling there was a lot to build on."[255]

Before Tufts developed its College of Citizenship and Public Service in 2001, Susan Ostrander, a sociology professor at the university, noted that at her home campus, as at many universities, "Application of knowledge to real-world issues is not included in the standard teaching evaluation that all students complete at the end of the course; and faculty who wish to obtain permanent status (tenure) are generally required to publish in academic peer-reviewed journals rather than publications more likely to be read by a more general readership or aimed at practice or policy-oriented decisions." How have Tufts faculty responded to the changes brought

about by a new emphasis on engagement? According to Tisch College Associate Dean Nancy Wilson, there has been support, but also some resistance, "I don't think you'll ever get 100 percent of the faculty—it's more like 20 percent, but if you do that, that's enough to cover all of the students . . . The faculty—they are going through a lot of changes; they are coming on board . . . The real thing was getting the first group of faculty on board and to let others hear about what they were doing."[256]

One attraction of community engagement for faculty is that it encourages them to innovate in their teaching and research. For instance, Wilson mentioned that the Chair of the Engineering School chose to teach a section of a class about soil remediation by taking "student teams into the community to real sites to talk about real issues. They learned a couple of key things: a) data wasn't as available as in the textbook, so it required more student initiative to get the data they needed; and b) a good engineering solution wasn't necessarily an acceptable solution to the community. So the issues students dealt with forced them to think about holistic solutions rather than a technical solution."[257]

In short, engagement provides a potential scholarly opening for faculty in a professional sense, as well as a means for universities to better contribute to community welfare. Yet obstacles to full engagement by faculty persist. George Mehaffy, Director of the American Democracy Project and a Vice President of the American Association of State Colleges and Universities, notes the difficult place in which faculty find themselves. "The good news," Mehaffy says, "is this [engagement] responds to core values. I can't tell you how many times I hear: 'This is what I got into this business for.' The bad news is that it isn't a core contemporary value. The bottom line is research and it's research of a certain type. I don't care if you're at a Harvard or a small state college, but this is an aspirational society. Research is what is valued more than teaching or what is viewed as service or a strange form of teaching. Service-learning requires teachers to work harder, become more involved, and take more time . . . in practical terms, it's a career snuffer."[258] Getting faculty to be fully engaged thus cannot be done without altering the career calculus faculty face. Figure 20 lists some steps that engagement advocates indicate could help overcome this current situation:

Figure 20: Building Faculty Engagement

1.. Lobby discipline associations to value engagement.
2. Recalibrate tenure evaluation so that engagement scholarship is valued.
3. Increase the availability of competitive faculty mini-grants.
4. Provide faculty course releases.
5. Use awards to increase the prestige of the work.
6. Make available community engagement sabbaticals.

Beginning at the top of the professional hierarchy, disciplinary associations provide an often overlooked but important means to promote the scholarship of engagement. As Victor Rubin notes, because for many faculty their disciplinary association is their primary peer group, "It is critically important that engagement is highly valued across the board by the relevant trade associations." In some disciplines, committees on civic engagement have been established. For instance, the American Political Science Association has a Committee on Civic Education and Engagement that published a book, *Democracy at Risk*, in 2005. These kind of publications help legitimize research work that speaks to engagement topics.[259]

Tenure evaluation is also a critical issue. As Richard Couto of Antioch College says, "Tenure requirements are key. We are still stuck in the hole of everybody trying to discover something new. This leads to more and more specialization and narrower and narrower fields. It gets so specialized that the universities become unable to communicate effectively with the outside world." The efforts of the National Review Board of the Scholarship of Engagement fill an important role in providing tenure committees with impartial external evaluation of community-based scholarship. However, faculty members who practice the scholarship of engagement still face a higher hurdle than those who don't, in large part because the standards for achieving tenure are not as well understood and agreed upon. As David Cox of the University of Memphis explains, "The key obstacle is developing across campuses a notion of what engagement really is as scholarship. . . You need to be contributing and creating new knowledge and sharing that—that's engagement. That's really difficult to get many people at the academy to understand, recognize and appreciate. . . We need to

develop a fuller understanding of scholarship. With that comes tenure and promotion. If people had a different understanding of scholarship the battles over tenure and promotion would be non-existent." Lorilee Sandmann of the University of Georgia concurs. "We found that we didn't need to change the [campus'] promotion and tenure guidelines. They were broad enough. The key was changing what was meant by scholarship of teaching, creative work, and research."[260]

Faculty mini-grants are a common way to encourage new forms of research. For instance, the Center for Democracy and Citizenship at the University of Minnesota, Twin Cities, has offered mini-grants in the range of $5,000-$7,500 for faculty course development or research projects. Many other community outreach partnership centers also do this. However, Sandmann cautions that while it is acceptable for the grants to be small, they shouldn't be too small. "$5,000 for engaged research? That's a lot of work for $5,000 and people are pretty jaded about that." Sandmann indicated that at several institutions where she has worked, when they raised the amount of the grants and issued fewer of them, they got better results. Still, regardless of the amount, it is clear that small grants can play an important role in encouraging faculty to undertake community-based research that otherwise might not happen.[261]

Course releases are another tool that give faculty time off from teaching to develop new courses that use studio or service-learning approaches. According to Victor Rubin, course releases don't cost much money: "They work very well in state universities with heavy teaching loads. It is one of the most cost-effective ways. A lot of the COPCs (community outreach partnership centers) pay the replacement cost [to hire an instructor to fill in for the faculty member]."[262]

Awards provide another useful—and fairly inexpensive—tool to increase the visibility of engagement scholarship. Elizabeth Hollander mentioned the Jimmy and Rosalynn Carter Partnership Award for Campus Community Collaboration as one example, which awards $10,000 to one campus-community partnership a year. Launched at Georgia State University, it has now spread to five states, with another nineteen organizing to join. As Hollander says, programs like the Carter Award, "Create a competition among campuses for the best partnerships. You set really high standards. The name of the university is almost never in the name of the grantee. Instead it is the 'XYZ health collaborative'—it is truly collaborative work."[263]

Lorilee Sandmann of the University of Georgia also recommended creating community-engagement focused sabbaticals "both for the university professor and for a person from the community to have a sabbatical from their own work." Sandmann see this as part of a broader process. As Sandmann explains, "As you look at institutions [that successfully] institutionalize there are typically some people who serve as brokers, linkers, or gatekeepers." One school that has provided sabbaticals for university-community teams is the University of Southern Indiana, which has been supported in this effort by the Lilly Foundation. Such sabbaticals are one way to break down the boundaries between university and community both by encouraging more faculty members to actively participate in community work and by bringing more community development practitioners into direct contact with university faculty.[264]

In short, a number of elements for engaging faculty and breaking down the factors that have supported scholarly isolation have emerged. And faculty culture has changed before. As Mehaffy notes, "There were many universities in 1955—they were state colleges then—many institutions that weren't at all consumed by research. They thought teaching was appropriate as the primary mission of the university. For the vast number today, research has become more important than teaching. That culture was not just a naturally occurring event. There was the influence of the federal government."[265]

Engaging University Leaders

When the president says it's important [faculty] pay attention. The tone from the top is critical. Almost every university will say it, but few will say this is a hallmark of our institution—that this is what we breathe and eat. Most will say something else: such as research, scholarship, or excellence. At most schools, a center of civic engagement may be just one of 52 centers on campus.

Nancy Wilson, Associate Dean, Tisch College of Citizenship & Public Service[266]

Gaining administration support at the level of rhetoric is easy, but translating support into meaningful action that institutionalizes engagement is not. One key to winning the active support of senior university leadership is developing a community engagement vision that can link doing "civic good" with raising financial support for the university.

Along with faculty and students, senior university administrators—the President, Provost, Vice Presidents, and Deans—form a third essential building block of any strategy to leverage universities to better support community development efforts. At some schools, such as Tufts, Portland State, and the University of Wisconsin, Milwaukee, administrators have been leading advocates of engagement. In other cases, however, their role has been ambivalent.

However, doing good and doing well are not necessarily in conflict, as the $40 million donation made by Jonathan Tisch of Loews Hotel to endow Tufts University's College of Citizenship and Public Service in 2006 makes clear. Judith Ramaley at Portland State University was also able to more than double the school's external funding during her seven-year tenure. Derek Bok, President Emeritus of Harvard, notes that at Harvard, "We have raised several million dollars for an endowment. We just completed a fund drive where we raised $7 million, in addition to previous money." Harvard also has been able to raise corporate money for engagement efforts. "One that comes to mind," Bok said, "is the Stride-Rite Corporation. Their CEO, Arnold Hyatt, is a Harvard graduate. Often alumni and corporate fundraising are intertwined that way. Hyatt believed very strongly in this kind of student activity. He probably had been involved as an undergraduate."[267]

It is probably no surprise that Harvard has not found it difficult to raise money for community engagement, but what about other schools with less prestige? Barbara Holland, Director of the National Service-Learning Clearinghouse, estimates that, "There are probably more than 20 endowed centers for engaged service-learning partnerships. They have been endowed either by foundations or local donors." Schools that have raised endowments for service-learning or community partnership activity include the University of Michigan, Tufts, Emory, Northern Kentucky, DePaul, University of Washington, University of Rhode Island, Stanford, and the University of Wisconsin, among others.[268] Cathy Burack of Brandeis University contends that alumni support remains "a huge untapped source, particularly now that there are several generations of alumni that have gone through service-learning and have worked with faculty on undergraduate research projects."[269]

If the potential for alumni and public support is a positive incentive for universities to embrace an engagement strategy, there are also the costs of not doing so. Columbia University, for instance, is paying a political price still for its ill-fated attempt to place a gymnasium in Morningside Park in the spring of 1968, a move that led students and community activists to occupy university buildings until they were forcibly removed.[270] A more recent imbroglio occurred in Evanston, where the city of Evanston and Northwestern University ended up in court in a battle over a historic district designation. The city alone ended up spending $800,000 in legal fees. The case, filed in November of 2000 was settled out of court in February 2004. Northwestern paid a one-time "contribution" of $700,000 to Evanston as part of the settlement. Other universities make regular annual "payments in lieu of taxes" (PILOTs) to cities as a way of building community goodwill. For instance, in Providence in 2003, city officials reached a PILOT agreement with Brown and three other area universities, which agreed to collectively provide Providence with $50 million over 20 years to stabilize municipal finances. Other cities that have negotiated similar agreements with their universities include Boston, New Haven, and Ithaca. Yale, for instance, pays the City of New Haven $7 million a year.[271]

Since the early 1990s, as we have shown throughout this report, the leadership of a university's president and other senior administrators has often played a crucial role in the success of some of the most engaged institutions. Judith Rodin of Penn, Evan Dobelle of Trinity, Judith Ramaley of Portland State, Michael Crow of Arizona State and other presidents have had a major impact in institutionalizing pieces of the engagement agenda on their campuses. Several lessons derived from their successes stand out:

- First, it is essential to institutionalize the engagement program at a high level within the university structure to ensure it is part of ongoing strategic direction, mission, and resource allocation. The greatest impact results when engagement is based directly in the president's or provost's office, and the campus understands that this is a central part of the leadership's agenda, not a marginal concern. As a 2002 Urban Institute report stated, "The president or chancellor plays a major role in setting the institution's priorities and establishing it budget. Leadership at this level is the only efficient way to mobilize resources and support for community outreach and partnerships from across all the major divisions of the academic institution." For instance, during Judith Rodin's tenure at Penn, responsibility for the West Philadelphia Initiative resided directly in her office and with several of her vice presidents. More recently, the engagement program of Arizona State University is based within Michael Crow's office. As Richard Meister, former Executive Vice President of Academic Affairs at DePaul University notes, leadership is needed because engagement requires a change in thinking. As Meister says, "Engagement requires an institution to recognize that it is a corporate citizen or entity that has to model certain behaviors. It is quite a contrast from the traditional version of the ivory tower—removed and afloat, critiquing from above."[272]

- Second, in order to integrate engagement into the institutional DNA, the leadership needs to catalyze an inclusive planning process involving key campus stakeholders that can, over time, embed outreach and engagement in the academic program and administrative affairs of the university so that they become central to the teaching, research, and business expressions of the institution. The University of Minnesota provides an outstanding example of this type of planning process. As Harry Boyte, founder of the University of Minnesota's Center for Democracy and Citizenship notes, "Bringing together faculty, administration and foundations was very powerful. It broadens the discussion. Faculty members [often] think very internally."[273]

- Third, as the University of Pennsylvania demonstrates, the greatest impact occurs when the administrative and academic sides of the university work together within an engagement framework. At Penn, this meant that student and faculty became deeply engaged through courses of academically based community service, while the administrative and business units of the university focused on targeted purchasing, equitable real estate development, and other ways to impact the community through the dedication of economic resources. Again, here, the strong leadership, voice and commitment of senior administration is vital.[274]

Figure 21 lists some additional ways that engagement advocates believe campus administrators can help further the development of a culture of engagement at the university:

Figure 21: Providing Administrative Support for Engagement

1. Use classification and accreditation systems to recognize engagement work.
2. Support networking among practitioners.
3. Establish Trustees Committees on engagement.
4. Provide internal funds to sustain community-campus partnership centers.
5. Leverage university assets to support community development.

To take the first item, changing the classification and accreditation systems of universities is a relatively cost free way to promote community engagement. The new voluntary classification system for community engagement, with 76 schools participating, which was launched by the Carnegie Commission in December 2006, is a big step in this direction. Senior administration here can play a major role in getting their universities to participate in this classification. The North Central Association of Colleges and Schools has also incorporated engagement into its core assessment criteria, providing yet another institutional support for university engagement efforts. Research work, such as Campus Compact's Indicators of Engagement project, can also play an important role and help make possible a virtuous circle of competition among universities to build on their community partnership efforts.[275]

Campus trustee advisory committees, which university presidents in particular can play a large role in creating or shaping, form another useful measure. As Amy Cohen, Director of Learn & Serve America, notes, "If you really want to change the institution, one of the ways you have to look is at the top." Cohen suggests that campus administrators put together institutes for trustees that inform and educate them regarding engagement initiatives. Trustees can help institutionalize engagement by leveraging business and government connections. For instance, the Tufts University's Tisch College of Citizenship and Public Service has recruited a broad range of business, philanthropic, and university leaders to serve on its Board of Overseers, helping the new college to raise the money to support its work. The Center for Community Partnerships at the University of Pennsylvania has a similar national advisory group.[276]

Administrators can also support networking among practitioners to spread best practices and develop policy networks, which can be critical to building on current progress. Former Executive Director Elizabeth Hollander says Campus Compact has been considering whether to expand its efforts from its focus on service-learning to take on a broader engagement mission. As Hollander says, "The challenge now is to bring together many diverse efforts that reflect a widespread interest in community engagement so that their cumulative impact on practice, campus support and federal and state policy is greater." The 2006 creation of HENCE (Higher Education Network for Community Engagement), which brings together outreach administrators and higher education sector engagement advocates and is coordinated by Michigan State University Associate Provost Hiram Fitzgerald, is an important step in this direction.[277]

Maintaining a partnership center, and securing sufficient internal university funding to at least cover core staff is yet another important area. As Harry Boyte and others have cautioned, a good partnership center alone does not ensure public engagement, but having a central coordinating body is definitely an essential part of the mix. Indeed, every leading engagement effort has one. Yet even though the amount of internal support required is modest, getting core funding is difficult. As Victor Rubin explains, "You need full time permanent staff. . . But there is a fundamental problem. The university sees the success of community engagement on the basis for grantsmanship. Only in extraordinary circumstances do you see core internal funding . . . $200,000 a year would secure core staffing."[278]

Lastly, the university—in the ways it uses its significant purchasing power—can help support all of these efforts. As we have emphasized in this report, the $350 billion higher education sector has considerable economic power. Senior administration leaders can play a major role in setting direction to utilize this economic power to bolster partnership efforts through such means as buying from local contractors, being a model employer, and strategically using endowment funds to invest in communities where the university will not only receive an economic return, but will, in fact, benefit also by having

the community in which it resides become more desirable. As Rex LaMore of Michigan State explains, "Michigan State's endowment is $500 million. The University of Michigan's endowment is $4.5 billion. If you could get just 10 percent to be invested locally, you could do a lot with respect to minority business development, small business, commercial redevelopment, affordable housing, and green development." Trinity College, Clark University, Ohio State University, and the University of Cincinnati all illustrate the impact such investments can have.[279]

In short, there are a number of potential constituencies who might support an *engaged* university vision that would include students, faculty, administrators, and alumni, as well as community members and the general public. Of course, that is not to discount the conflicts and tensions that will persist between individual economic need and civic-mindedness for students, between traditional academic roles and the desire to break out of isolation for faculty, or between a commercial vision and a civic partnership vision for administrators.

While recognizing the difficulties that remain, there are a host of factors that augur well for these efforts. According to Ira Harkavy of the University of Pennsylvania, these reasons include immediate self-interest, the fact that engagement can spur alumni donations, pedagogical research that favors service-learning, the concern about citizenship, and even the fact that some sixties activists, including Harkavy himself, have risen to positions of authority.[280]

But Harkavy sees the end of the Cold War as the most important reason. After the Cold War ended, Harkavy notes, "A lot of the attention turned to problems at home in the United States. That was a precondition of the change. We had to turn inward now more and look to see what universities were or were not doing. As people looked to the problems at home, people looked more and more to universities." This inward shift poses a challenge for university leaders. But it also poses an opportunity—for those who seize it.[281]

Policies for an Engaged University

An intellectual foundation for major changes to the HEA [Higher Education Act] has not been established. There has been no national commission report, no landmark study, no best-selling book . . . Before major changes in policy occur, the new ideas and approaches that underlie them must usually circulate and marinate for some time in the public mind and among those in higher education who care about federal policy. As of this moment, no major new ideas have achieved this kind of broad currency.

Institute for Higher Education Policy, March 2003[282]

As we have demonstrated throughout this report, federal and state policy changes have played a central role in shaping the priorities of higher education for a century and a half. In taking engagement to the next level, higher education advocates and practitioners have identified a number of areas where a new policy agenda can make a difference. But developing an effective advocacy network is also a crucial step in moving such an agenda forward.

We have reviewed a wide range of reforms that can be made within the academic environment to promote greater community engagement. Public policy has an important role to play in bringing this about. As the quote from the Institute for Higher Education Policy indicates, advocates of engagement have a long way to go if they wish to make university engagement a central policy goal of higher education.

In part, the limited energy spent by engagement advocates on policy reform is a result of the present political environment, which has not placed universities high on the political agenda. Indeed, the Higher Education Act itself, which had been slated for reauthorization in 2004, has instead been funded through a continuing resolution. But even in the current political environment, new funding for higher education has not been lacking. For instance, in the 2005 transportation bill, 142 universities benefited from legislative earmarks, up from fewer than 50 in the 1998 bill. Total funding to universities in the 2005 bill was roughly $600 million—$100 million a year. And, as the $2.5 million earmark received by Southern New Hampshire University's School of Community and Economic Development in 2004 indicates, Congress has also been willing to fund engagement initiatives.[283]

In the short term, such earmarks are probably the best university engagement advocates will be able to achieve, at least at the federal level, although the state policy arena offers more opportunities for success. However, the longer-term picture is different. As John Burkhardt, Director of the National Forum on Higher Education for the Public Good, contends, "If we could focus on the higher education reauthorization act that will take place [three] years from now, I do think we have the opportunity to educate our leaders to the societal benefit of preparing people in diverse ways for the world that we are facing . . . We face a number of challenges as a nation, including an environmental challenge and the

seeming inability of Americans to internalize limits related to the use of fossil fuels. There's an awful lot that our society needs to accomplish collectively—these are not pie-in-the-sky or even liberal viewpoints. We need to be preparing ourselves for the next 100 years of American success. If we could help our leaders understand that one way to protect our nation is economic vitality but there are others related to exercising citizenship and target the 2010 Reauthorization Act, that might be a policy environment that would be amenable to our efforts."[284]

Certainly, as has been discussed throughout this work, government has not been shy about using its influence over universities in the past. Looking back upon the twelve-year period of agitation that led to the passage of the 1862 Morrill land-grant bill, one thing should be clear: if Jonathan Baldwell Turner or Justin Smith Morrill were organizing a movement today, they wouldn't limit themselves to land-grant institutions. After all, the point of their campaign was to provide the best education possible for the "sons of toil." Today, a large number of the sons—and, in even higher numbers, daughters—of toil attend other types of colleges, including state comprehensive universities and community colleges.

Figure 22 identifies a number of ways that state or federal policy can support engagement efforts:

Figure 22: Policy Measures to Support Engagement

Federal Government

1. Revive and expand the Community Outreach Partnership Centers (COPC) program.
2. Shift the funding mechanism of COPC to also fund community partners.
3. Provide additional funding for community-based participatory research.
4. Adopt the National Science Foundation model to support junior scholars doing community work.

State Government

5. Develop an economic development program at the state level that funds partnerships to solve local community economic problems.
6. Include engagement criteria in state "performance" agreements.
7. Create state incentives to encourage university investment in communities.

Reviving and then expanding the COPC program is probably the simplest step to implement. The program is a known quantity and has received a favorable external evaluation. And there is obvious demand, as is clear from the fact that applications have regularly exceeded available funding by a factor of 8:1. Indeed, in the late 1990s, a large expansion of COPC nearly occurred. As David Cox, then head of the Office of University Partnerships, explains "In 1998, one of Al Gore's aides said that if you had $100 million for partnerships, what would you do with it—and asked if I could get him the proposal by the weekend. So I did and outlined a broader COPC-type approach. Gore later gave a speech in Nashville and included discussion of that proposal in his speech about how to begin to address urban issues. So there is a very strong chance that if Gore had been elected, he would have implemented some form of those ideas." Cox's proposal involved increasing money available to fund community development work study programs and tripling both the number of grants and grant amounts to allow for 50 schools a year to be awarded 3-year, $1,500,000 awards ($500,000 a year).[285]

Cox provides one approach to scaling up COPC. Another approach, suggested by Elizabeth Hollander, is to not just increase the size of COPC (something Hollander also supports), but to replicate the Office of University Partnership approach in other relevant departments. As Hollander says, "I would have COPC at HUD and every major federal agency . . .For instance, I would have one at Health and Human Services, the Environmental Protection Agency, and at Justice." In this approach, the key question to ask would be "What can universities do to forward public purposes in each area?" Universities, of course, obtain grants in many federal departments, but dedicated programs that supported community work in specific issue areas could add coherence and greatly strengthen university community engagement efforts.[286]

One area where many practitioners suggest reform could benefit the COPC program is to have the community and university partners share the funds that are granted. Obviously, this is easier to do if the amount of the awards is increased. David Cox says that if the COPC budget were increased adequately, he would want to "try to give communities more control over some of the funding to make the partnerships more equitable. Right now, all of the money is in the hands of the university, which results in an obvious power imbalance." William Galston of the Brookings Institution concurs,

"If you want to have a real partnership for economic and community development, then you can't begin by giving the money to one actor . . . But if you establish a process of consultation among people who are rarely sitting down, where, unless they are full partners, the proposal will stumble at the threshold, that would be the right way—and more respectful."[287]

Expanding the pool of money for community-based participatory research is already occurring in the hard sciences, particularly at the National Institutes of Health. It is not occurring, however, in the social sciences where one might most expect to see it. For instance, the COPC program limits the amount of the grant that can be spent on research to 25 percent of the grant because of the program's focus on immediate application. Yet according to Richard Cook of the University of Maryland, Baltimore, a COPC grant recipient, the right kind of research can make a big impact. As he explains regarding one neighborhood, "When school desegregation went into effect two schools—one white and one black—each agreed to have the students walk the six blocks between the schools. One was made K-2 and the other was made 3-5. The kids would walk back and forth and that was great. That happened in the 1970s. By the 1980s, crack cocaine had occurred. The street dividing the schools was a drug market. So parents were keeping their kids out of school because of fear of them getting killed. It took three years of organizing to get the school board to agree to change the boundaries. If we had concrete research, it would have shortened our process considerably." Cook suggests that such research funding could be set up to require community participation that would be applied to problem-solving research of this type.[288]

Another area where the government might play a role is in the recognition of junior scholars who engage in community-based research or teaching, following on the established models of the National Science Foundation (NSF). Michael Baer, former Senior Vice President of the American Council of Education, calls attention to the NSF's success in funding pre-collegiate and early college curriculum development in the sciences in the 1990s. According to Baer, "Putting up a relatively small amount of funding sent the message to faculty who were looking exclusively at lab research. It sent the message that this is important, it's something that's valuable, and we can feel good about doing it. . . If there were some government programs that said, 'Hey, civic engagement is important and we're willing to award money to engage people in that area—you would get many more people engaged than there is money for.'" Baer notes that the National Science Foundation (NSF) typically received 10-20 times as many proposals as there were grants available. Likewise, Baer called attention to an NSF program that "gives 5-year early career awards to outstanding young scientists." One of the criteria for that program is being active and engaged in work with students, which succeeded in shifting junior faculty from ignoring teaching and focusing solely on research. Again, similar funding mechanisms could encourage engagement in other areas.[289]

State government could support community partnerships addressing high priority community economic issues by putting out requests-for-proposals to interested community-campus partnerships. William Galston suggests developing a pilot state economic development program that requires participation, in which "the institution of higher education, the community-based organization, and the local government would be the three legs." Galston foresees that such a program "would produce a different kind of discussion" that might provide innovative solutions to regional issues. "People would be around the table. You might get a whole that is greater than the sum of the parts."[290]

George Mehaffy of the American Association of State Colleges and Universities, who emphasized that roughly 80 percent of all higher education students attend state schools, makes a similar point. "Find a state or two that recognizes the overemphasis on scholarship and underemphasis on civic engagement. Some state that wants to change the mix," Mehaffy advises. "The ultimate secret for this stuff is getting the states to pay differently. The minute states fund universities differently for the work people do, the faculty will change. Right now, states are paying for an incredible amount of time and energy to be devoted to research, a substantial amount of which may or may not be worth the investment, at least in terms of public purpose or return on investment."[291]

While states haven't provided much funding to date for community partnerships, state governments have been active in developing university accountability measures. Linking engagement objectives to these measures is one way of gaining greater state support—and *not* linking engagement objectives to those bills can result in a decline in engagement activity. Participation in these debates thus is a necessity, not an option, for engagement advocates. As Barbara Holland of the National Service-Learning Clearinghouse notes, "What we need

is for states to change fundamental formulas. States normally say we value teaching, research, and access. It is still important to invest in teaching capacity and access. . . It's also important to the state that the university promotes the public good. And that it is measurable." Holland mentioned Gordon Davies, a state officer in Virginia and North Carolina, who noted that North Carolina for years allocated the greatest per capita support for higher education, yet had the lowest birth weight for babies. "Why are we comfortable with the disconnect . . . what is the role of higher education in addressing those issues? What is their connection to the conditions of life in the region they are charged to serve?"[292]

Michael Swack of Southern New Hampshire University contends that state governments could help universities leverage their assets, particularly the more than $300 billion in endowment funds, for community development. As Swack puts it, "You can see a situation in which the state agency can be a co-investor or the state provides credit enhancement that leverages university funds. What kind of investment is needed? How might that be structured? If you need equity, could they form an entity that utilizes New Market Tax Credits? Could they make loans for housing at affordable rates? There is a whole range that differs from community to community."[293]

In short, there is a wide range of state and federal policies that could buttress engagement efforts at universities and help universities better realize their research, educational, and public service missions. But political organizing is necessary for such measures to be approved. Baer notes that the American Council on Education, the lead coordinating body of the university lobby in Washington, omits engagement from its strategic plan in order to "focus instead on things like student aid and avoiding attempts to impose further regulations on colleges." However, Baer added that, "If there were a loud and vocal group of presidents that said, 'We would really want that to happen,' [ACE] would pay attention."[294]

Baer's comments raise an important point. Campus Compact lists over 500 signatories to its "Presidents' Declaration on the Civic Responsibility of Higher Education." Although many signatories are from small colleges, some are from high ranking schools, including Brown, Columbia, Dartmouth, Harvard, Penn, Princeton, Brandeis, Cornell, Duke, Emory, Notre Dame, Tufts, University of Colorado, University of Massachusetts, University of Maryland, University of Minnesota, UC Berkeley, UCLA, and Virginia.[295] How do those names on a document become a voice that is loud enough for the peak higher education association to take notice? Here, potentially, is an important and catalytic role that foundations could assume if they operated from a strategy designed to produce a fundamental reorientation in the priorities of higher education.

Community Engagement and the Catalytic Role of Philanthropy

Cornell is an elite university. Students come here thinking, "I'm here because I deserved it." Then they meet men and women who are working themselves to the bone to provide for their kids. The truth is our students are blessed to enjoy the privilege of a Cornell education. And they see it and they think about it. They have to rethink a lot—almost commit class suicide. They realize that if they grew up in these communities, they'd have a hard time breathing because of asthma. Getting to school safely is an issue. What is your responsibility as a white person of enormous privilege to do something about it? That's the transformative thing.

Kenneth Reardon, Cornell University[296]

Linking colleges to community requires engaging students, faculty, administrators, and policymakers, but it also requires developing an overall vision that is more than the sum of the parts. Foundations have an important role in supporting these efforts through such means as boosting internal reform efforts in key areas, developing policy advocacy networks, and supporting the development of model programs.

In a 2001 article in the *Journal of Higher Education*, Barry Checkoway of the University of Michigan, ends his essay with a short but profound question: *University for what?*[297] Of course, the university can hardly be about any single thing: the question has to have multiple answers. Reardon's description of the reactions of his students traveling to Rochester provides one answer—to break down complacency and address "why we haven't dealt with the growing [inequality] and what to do about it collectively."[298]

Penn's Ira Harkavy has a similar vision. "Especially in light of what Katrina has revealed," Harkavy said, "I would like to see universities take on as a primary responsibility the reduction of poverty in their environments. So that in five years, there is real movement. . . So you would have as a core component in five years, increasingly central to the academic mission of the university, problem solving crucially focused on locality. Undergraduates would have to sign up to do this work as would graduate students. Schools would be training doctors, nurses, social workers—it would be a prominent aspect of what schools do. There would be a goal that begins to get realized of reducing poverty in the areas around universities. There would be key partnerships. Within ten years, universities would be a leading component of a major national campaign to radically reduce poverty and would have successfully reduced poverty in coalition with others." Minimally, Harkavy would like to see university engagement be an expected part of campus life within five years.[299]

Of course, most of the discussion around service-learning, community partnerships, and community-based participatory research is narrower than that. The terms used by advocates—civic engagement, service-learning, academically based community service, community engagement, service politics, or public work—tell part of

the story. Civic engagement and service-learning tend to focus more on citizenship and student learning, for instance, while community engagement, public work, service politics, and academically based community service share a stronger problem-solving ethos. Michael Baer, former Senior Vice President of the American Council of Education notes that, "What Europe has looked at in terms of citizenship and education is generally a much broader type of citizenship than when we think of the voting aspects . . . they're talking about citizens being engaged to help improve society—to think about the environment, think about racial/cultural diversity." Baer's analysis of the European understanding of "engagement" reflects some of the consternation that student activists at the Wingspread conference had. The students made their point this way: "We are deeply interested in civic issues through non-traditional forms of engagement." It is unlikely—and maybe even undesirable—for this debate to be fully settled. Clearly different campuses will give different answers to this question. It has been said that American higher education's strength is its decentralization and diversity. If the movement for engagement extends to incorporate a large number of campuses, the potential for a wide variety of creative problem solving efforts by the nation's universities would surely be greatly increased.[300]

In our research, we asked leading activists where foundations could best contribute to engagement efforts. Some respondents focused on specific program aspects that could be enhanced. For instance, Barbara Holland said that their "research on how institutions change shows we need to do three big things: 1) faculty development; 2) infrastructure to link university and community; and 3) curricular reform." Carol Geary Schneider echoed some of Holland's suggestions regarding faculty development and curriculum reform. In particular, she says, foundations should support the development of disciplinary and departmental standards for the scholarship of engagement, as well as seed money for the development of capstone courses. Lorilee Sandmann looks at faculty development and suggests foundations focus on providing support for junior faculty and graduate students, since they are the future of the profession. According to Sandmann, "Young faculty members are socialized based on their graduate experience. They are told, 'Don't do this work [engaged scholarship] until you're tenured,' and by then they are socialized not to do it all. We need to help faculty understand how they can be doing scholarly engagement from the beginning."[301]

Cathy Burack of Brandeis reinforced Holland's point about the continued need for infrastructure to link universities and communities. In particular, she believed that foundations should target their grants to universities without service-learning or community service centers so that they could build such programs. Ira Harkavy cautioned that in funding this community-university infrastructure, "there needs to be a drilling down to people who are going to keep doing the work . . .you need specific key administrators who are academically oriented. You have to have a working team: people who you work with on the ground." On this theme, Serena Seifer of Community-Campus Partnerships for Health suggested that it would be an interesting experiment to fund the community-university partnership infrastructure by giving a grant to the community group and then let it choose the university with which it wishes to partner rather than the traditional approach of having the university direct the effort.[302]

Some key themes emerge out of these responses, particularly regarding individual areas where foundations might make a difference in terms of partnership building and engaged faculty development. Many other respondents, however, focused less on specific programs and more on "putting the pieces together." Typically, this boiled down to one of two things: 1) promoting networking by using the convening power of foundations to bring practitioners together to develop that common voice that Baer said was missing; 2) promoting comprehensive, multi-modal initiatives to create engaged campuses or groups of campuses, which would then be emulated by others.

Regarding the power of foundation convening, Yolanda Moses, a Ford Foundation trustee, notes that the purpose of these functions should be, at a movement level, to "figure out what is working and how we can take this to the next level." Elizabeth Hollander concurred with this sentiment: "I think that foundations always do well when they invest in getting exchanges—developing the practice, getting the publications—trade association functions. This worked in service-learning. It started with connecting people at the bottom as well as at the top." Harry Boyte of Minnesota also urged foundations to support networking efforts. Money, in his view, "doesn't necessarily produce cultural change.

However, Boyte added, "Where foundations have a role, an important role, is as colleagues and peers of people in faculty positions. . . Foundation officials are public intellectuals and can help broaden the discussion. Faculty members think very internally. . . The large crisis we have in this country can only be addressed through networks and a variety of forums." Pablo Eisenberg of Georgetown concurred with the need for networks, but with a more specific focus. One strategy, Eisenberg suggested, would be "to pick a little team of ten outstanding people who are really trying to bring civic engagement to colleges . . . Somehow, get them to work among their peers." Another strategy, Eisenberg suggested, "would be strengthening the voice and advocacy of well over 200 graduate academic centers of non-profit management . . . if you could strengthen the commitment of these academic centers to civic engagement, then you can strengthen the universities."[303]

Another set of comments concerned the importance of implementing comprehensive initiatives. Andrew Hahn of Brandeis said he would focus on helping "the university establish a voice and presence for the long-term rather than being project-driven." John Burkhardt of the National Forum on Public Higher Education for the Public Good concurred, "We have so many good examples out there. So the priority now is less about trying to fund new programs. It's more about structural and systemic changes that need to occur." Burkhardt suggested the best approach is to focus on a group of colleges that are already organized in a network. This could be the Committee on Institutional Cooperation (CIC), which includes the Midwest's "Big Ten" schools and the University of Chicago. Or, "you could make investments in California at the state college system. Or support other identified consortia including land-grant or tribal colleges. . .we have to move our sights from the individual campus to beginning to achieve systems change. We also do need to maintain the visibility of this work to validate these efforts in policy circles."[304]

Others also urge a focus on systemic change, but with a slightly different strategy aimed at campus level comprehensive initiatives. Serena Seifer of Community-Campus Partnerships for Health said, "If a foundation is going to use its money effectively, it has to be a strategic process that involves the university as a whole—president, regents, all of the different units. Connecting the dots on a given campus. There's a lot going on at a lot of universities. It is not strategic. It doesn't have a unifying theme. . .Really, a widespread focus on getting the disparate parts together to develop a strategic plan and then give funding to implement that. It would probably need strategic steps—i.e., the first stage would be planning grants, then implementation. Not everyone that gets a planning grant would get an implementation grant probably." Seifer added, in a similar vein to Burkhardt's comments, that "it would be great if the foundations could also be investing more on the policy side. We need to mobilize the constituency into a more organized force."[305]

Barry Checkoway of Michigan and Richard Couto of Antioch spell out two ways this could work. Checkoway concentrates on what the key elements of the grant proposal would be. In particular, he would advise that proposals require universities to address four key points: 1) formulation of curricular change and course development to give student learning a more civic focus; 2) a civic research component that would encourage universities to undertake research of a certain type; 3) changes in the reward structure of the professoriate; and 4) university community collaboration or outreach. Richard Couto of Antioch College advocates a related, but more free-form approach, "I would invite 100-150 flagship institutions, not necessarily the most prestigious—the Reeds, Swarthmores as well—and ask them to come up with ideas. . . You get 150 institutions chasing the jackpot of $1 million and the vast majority, of course, don't get any money from the foundation at all, but they have generated a hell of a lot of good ideas and often realize they don't need the foundation money to make them happen."[306]

In analyzing the responses of university engagement leaders, some clear patterns emerge. Although there are some critical areas for intervention in individual programs—for instance, in raising the stature of community research so that practitioners qualify for tenure—by and large the bigger needs are in the areas of networking, political advocacy, and systemic change. Here, it's worth recalling that it was not that long ago—in April 2004—when a group of practitioners came together to call the question: "Is higher education ready to commit to university engagement?" The consensus answer from the activists and experts we talked to would appear to be: "Not yet, but we have made a lot progress, and, with further work by us and some added support, it could be."

The signs, in short, are surprisingly favorable for a turn toward engagement. And this turn comes none too soon, given the needs so many communities in this country face. Of course, "success," should it arrive, is unlikely to be total. Challenges will persist. Higher education continues to face budget-cutting and commercialization pressures. And old-fashioned academic turf wars are unlikely to disappear. Still, we remain convinced that with more hard work, a democratic spirit, additional community partnership building efforts, greater public visibility, and political advocacy, a stronger and more engaged university sector will emerge.

Conclusion

Awakening the Sleeping Giant

By Ted Howard

Funders seriously committed to achieving community economic development are increasingly challenged by the need to inject new resources into community building activities. Locally anchored institutions—particularly the nation's network of more than 4,000 universities and colleges—represent an enormous (nearly untapped) potential resource. With strategic leveraging, huge resources—*literally tens of billions of dollars*—could be unlocked in coming decades for community benefiting purposes.

History is replete with examples of how the priorities of higher education have been shaped by government policy, legislation, and pressures arising from social movements. External financial incentives have time and again focused universities toward goals that government, foundations, corporations, and society as a whole have seen as beneficial. There is no shortage of precedents that can help guide a serious effort focused on engaging universities.

In recent years diverse strategies have demonstrated a variety of ways universities can partner with surrounding communities to address local problems of poverty, unemployment, affordable housing, crime, and other social issues. The specific building blocks, which can be integrated into a comprehensive model of effective university-community partnerships, are now available in isolated but successful experiments around the nation. Taken together, it is clear that we are on the verge of an important new vision of what might be possible.

The time is right, we believe, for the philanthropic community to take a leadership role in awakening "the sleeping giant" that lies within the huge, largely untapped economic engine of America's anchored institutions of higher education.

Facing Current Fiscal Realities

The current political and fiscal climate clearly does not bode well for traditional community economic development programs, particularly efforts that aim to assist those who are most disadvantaged. And, it is increasingly obvious that foundations cannot fill the gap. In 2003, total foundation support for community economic development was $523 million, the lowest level for community improvement since 1999.[307] Foundations also can rarely fund projects for more than a few years. Few have the resources to enable more than a very small number of communities to develop long-term, sustained responses to the many difficult issues they face.

Clearly, if there is ever to be a serious response to the needs American communities face, new resources—and new partners—must be found.

The Economic Power of Universities

If America's universities were a country, they would have a GDP of $350 billion, more than half the entire GDP of Mexico. In 1996, more than 1,900 urban-core universities in the U.S. spent $136 billion on salaries, goods, and services—nine times greater than federal direct spending on urban business and job development in the same year. These same institutions collectively employ 2 million workers (only a third of whom are faculty; the remaining two-thirds are administrative and support staff positions). America's colleges and universities also hold more than $100 billion in real estate.

Institutions of higher education have a vested interest in building strong relationships with the communities that surround their campuses. They do not have the option of relocating; they are of necessity place-based anchors. While businesses and privileged residents often flee from economically depressed low-income urban and suburban edge-city neighborhoods, universities remain. Universities are inherently an important potential institutional base for helping community-based economic development in general, and civically engaged development in particular. **An obvious question is:** how might the inherent economic power and the inevitable anchoring of these institutions be leveraged into significant action on behalf of America's communities?

A Twenty-first Century Vision of an Engaged University

Many thoughtful individuals who have sought to engage universities in community-building activities have come away skeptical that this can be achieved. Within the culture and rewards system of academia, too few institutions

as yet assign value to community-based work. And virtually everywhere, core funding for university-community partnerships has been difficult to secure. Universities often seem like walled-off cities with special, narrow concerns to those who have dealt with them, either from the perspective of a poor community, or from those who seek to help achieve community development goals.

On the other hand, although engagement is not central to university priorities, in our experience it is also not contradictory of university priorities. There are simply few incentives, as yet, to achieve significant movement. In our judgment many universities could move forward if properly assisted—and if given the incentive to do so. Further, if new activities are undertaken in the right spirit (for instance, in close consultation and partnership with the community), a university president can win accolades and support from the alumni, the trustees, the community, and, in the case of state institutions, from the governor and legislature. Some have even found it assists them in general fund-raising for their institution, including with high-wealth alumni.

One of the obstacles to expanded university-community engagement has been the idea that such efforts deviate from the educational mission of higher education. Fortunately, a new and deeper understanding of the educational importance of engagement is emerging. Leading scholars have shown that by strategically focusing their many resources—from academic programs and research to business practices—universities can improve their core intellectual and academic work—in part by giving students and faculty real-world experience which can inform both research and teaching. The emergence of this understanding—and, further, the related understanding that the campus, as an anchored part of a broader community, cannot thrive if surrounded by a sea of poverty, disinvestment, dilapidated housing, and other signs of a failing social structure—has become an increasingly important element in reducing internal academic resistance to community engagement strategies.

Since the mid-1980s, an expanding movement within higher education has, in fact, been attempting to make universities more relevant and responsive to the communities and states in which they are located. More than 500 university presidents have signed the "Presidents' Declaration on the Civic Responsibility of Higher Education" committing themselves "to helping catalyze and lead a national movement to reinvigorate the public purposes and civic mission of higher education." With national support from Campus Compact (an organization with a membership of more than 1,000 universities), a range of student service-learning, community-based research, and community outreach programs have flowed from this declaration in recent years. For example, from 1998 to 2004 the percentage of students on Campus Compact member campuses involved in community-based service-learning has increased from 10 to 30 percent, representing an estimated annual value of volunteer labor in excess of $5.6 billion.

Although such general support is clearly of major importance, the fact is few efforts have made a significant impact on local issues of poverty, health, housing, and crime. At the same time, a range of new university strategies, experiments and models that incorporate a strong economic dimension have emerged in a number of locales. These innovative strategies begin to point toward something of potentially far greater systemic impact.

One of the best known is the **University of Pennsylvania's "West Philadelphia Initiative."** Through a commitment to "economic inclusion," the university has shifted 10 percent of its annual purchasing toward local vendors within a defined geographic area, thereby injecting over $72.9 million into West Philadelphia's depressed economy. The university's real estate investments have helped create an appealing retail environment in the vicinity of the campus. The university has also given local residents better access to university-related construction and permanent jobs.

Other examples abound of institutions using the economic power of their purchasing processes, endowment investment, real estate development, training and technical assistance, and employment practices to inject new capital and capacities into their surrounding communities:

- Since 1996, **Trinity College** in Hartford, Connecticut has invested more than $5.9 million of its $360 million endowment in neighborhood revitalization within a 15-square-block area of the campus. As Evan Dobelle, President of Trinity College from 1995 to 2001, noted, "Imagine if just 100 of the nation's 3,000-plus colleges and universities invested, on average, $6 million in their communities. Simple math suggests that this investment, arguably, could be leveraged into $20 billion."

- **Ohio State University** is a large, public land-grant institution that has invested $28 million of its endowment funds in a community redevelopment program. The Ohio State commitment leveraged an additional $100 million in external funds, including a $35 million federal New Markets Tax Credit allocation.
- **University of Illinois, Urbana-Champaign**, prodded by the Illinois state legislature, initiated a community partnership program over 15 years ago in East Saint Louis, located 188 miles from campus. Since 1990, this university-community partnership has resulted in the development of eight community plans, the founding of a community development corporation, the completion of a $24 million mixed-use neighborhood project, and the opening of a charter high school.
- **Howard University** in Washington, D.C., collaborating with local civic and neighborhood groups and Fannie Mae, has created more than 300 new housing units in its surrounding neighborhood, which in turn has helped spawn commercial development and improvements in vacant and boarded-up properties.
- **Michigan States University's** Center for Community and Economic Development focuses on "engaging in responsive and innovative scholarship designed to improve the quality of life in distressed urban and regional communities." Among other activities, the Center provides training to increase the capabilities of Michigan's community-based organizations. Within each of its targeted communities, the Center maintains a resident community development professional who lives and works with community members.
- **LeMoyne-Owen College** in Memphis, Tennessee established a revolving loan fund, and created a community development corporation provides loans of $15,000 to help support 18 small area businesses. The CDC also persuaded a bank to establish a full-service branch in a neighborhood adjoining the campus, then worked with allies in the community to deposit the $3.5 million required to operate the enterprise.
- **Mount Holyoke** recently became the first U.S. college to dedicate a university-financed fund exclusively to community investment. Mount Holyoke's SRI Committee has identified three initial investment targets—Acción Springfield, the Institute for Community Economics, and the Cooperative Fund of New England—that support distressed communities in Western Massachusetts.
- The **Duke-Durham Neighborhood Partnership Initiative** has invested more than $2 million in an affordable housing loan fund to promote home ownership and community stabilization.
- In the early 1990s, **Portland State University** in Oregon changed its mission to adopt an explicit urban focus: "Let knowledge serve the city." Today Portland State has a Community Development Training Institute, which provides training to community-based organizations on advocacy and community development issues. The university has also worked with city and business officials to redevelop what had been a decaying area near the university (known as the University District) with housing, retail centers, a new elementary school, and university buildings.

Although some of these developments derive from a sense of necessity in cases where the institution is located in a poor and often crime-threatened community, others do not. While no institution has come close to developing a comprehensive model, these and other early attempts to leverage the economic engines of universities and colleges demonstrate the potential impact anchored institutions could have on the flow of resources to help revitalize local communities.

Precedents for Shaping the Direction and Focus of Higher Education

The impact an integrated strategy might achieve over time cannot properly be gauged by focusing on academic institutions alone. A key matter is the nexus of funders, state governments, and the federal government, and how these can bring about sweeping policy changes to provide new incentives and motivations to higher education. In fact, the vision of an "engaged university"—one with its sleeves rolled up, working in partnership with its local community to solve real-life problems—has a long and proud history in U.S. higher education, thanks in large measure to federal policy.

One of the government's most important contributions to democratic life was the establishment of the nation's network of land-grant colleges through the Morrill Act of 1862. The land-grant vision was of an institution

that could be a training ground for democratic life and civic practice. If citizens are not only born, but "made" (that is developed through education, training, and exposure to democratic values and ideas), then land-grant institutions, by offering access to non-elites, were intended to deepen political democracy and strengthen civic life in the nation. The land-grant vision also incorporated problem-solving (by creating and applying useful knowledge) and economic development (by helping to expand the most important part of the nation's economy at the time—the agricultural sector).

The land-grant tradition is by no means the only precedent—there are many other examples of how the direction and practices of higher education have been significantly influenced by federal and state legislation, private funders (including both corporations and foundations), and social movements. Responding to a combination of incentives and pressures, universities have refocused research agendas, changed access policies, launched innovative programs, and built new curriculum. Simply by way of illustration:

- The Servicemen's Readjustment Act of 1944 put higher education within the reach of millions of veterans of World War II and later military conflicts. Though elite universities initially opposed this federal program to open up college access, the GI Bill succeeded in dramatically expanding enrollment. Not coincidentally—indeed by explicit intent—by providing returning veterans with four years of academic training, this legislation played an important part in preventing mass unemployment after World War II.
- In the early Cold War period, the federal government channeled a massive infusion of federal resources to universities to focus them on science and health research heavily weighted toward the needs of the defense industry. Among the most important legislation in this regard were the establishment of the National Science Foundation (1950), the National Defense Education Act (1958), and the Higher Education Act of 1965. These pieces of legislation transformed the direction of higher education and set parameters that still govern important aspects of the university system to this day.
- With the passage of the Bayh-Dole bill in 1980, Congress transferred patent rights to universities to encourage technological development. As a result, patents issued to universities increased from 250 a year in 1980 to 3,000 a year by 2000. This has produced university-supported technology transfer activities of $40 billion, an estimated 270,000 new jobs, and the increasing commercialization of higher education research (which some academic critics of the policy contend has led to bias in scientific findings and tilted universities toward profit-making projects rather than fundamental discoveries).

There also have been a number of less well known federal efforts aimed at encouraging universities to embrace community-related research and engagement. For example:

- In 1966, with strong encouragement from environmental scientists and members of Congress from coastal states, the federal government launched the Sea Grant program to promote ocean fishery and environmental protection. As a result of the legislation, approximately 30 institutions have been designated as Sea Grant Colleges (an extension of the land-grant model). A 1981 analysis of 56 projects from 26 states found a return of $227 million a year, based on a cumulative investment of just $270 million since the program's founding.
- The Fund for the Improvement of Postsecondary Education was established by federal legislation in 1972. FIPSE provides seed grants for pilot projects aimed at improving the quality of higher education. FIPSE funding has been used to develop college programs that reach out to under-served populations such as low-income minority women and disabled students. The Fund's grants have also helped spur curricular reform, including the development of criteria that permit academic credit to be awarded for experiential learning, helping pave the way for the dramatic expansion of service-learning in the 1990s.
- Learn and Serve America was established by federal legislation in 1990. LSA provides grants that fund experiential, community-based "service-learning" programs at both the high school and collegiate levels. Through these programs, students earn academic credit for classes that incorporate elements of community-based work. With the incentive of federal funding, universities initiated or expanded programs that

involved more than 1.7 million college students by 2004, up from an estimated 610,000 six years earlier.

- Another important source of funds has been the Department of Housing and Urban Development's Community Outreach Partnership Centers program. Although COPC funding has often proven catalytic on individual campuses, the annual grants are limited to about 16 universities a year, each of which receives a mere $400,000 over a three-year period. (The Housing and Veterans Affairs Committee eliminated funding in FY06 and FY07 funding remained at zero since the budget for FY07 was passed as a continuing resolution of FY06. The FY08 appropriation is uncertain at this time, although a favorable sign is that the Bush administration has requested a restoration of program funding.)

State governments have also exerted significant influence on higher education in recent decades. The economic impact of universities is, in fact, an issue of keen interest among many state legislatures. We noted above how the Illinois legislature prodded the University of Illinois at Urbana-Champaign to work to assist development in East Saint Louis. As of 2000, state governments collectively provided 19.4 percent of all university research funds, most of which goes to efforts broadly defined as supporting state economic development (albeit clearly not always of the kind that significantly benefits disadvantaged communities). For example, the West Virginia Rural Health Initiative Act funds (at an annual cost of $7.5 million) rural health education programs attached to medical colleges to help cover underserved counties.

In many instances foundations such as Ford, Kellogg, Kauffman, and Irvine have also made a major contribution to helping influence new directions in higher education by funding such innovations as area studies, women's studies, urban extension, diversity programs, nonprofit management schools, and entrepreneurship education. Foundations including Fannie Mae, the Pew Partnership for Change, and Wallace have supported community partnerships through which universities join with local non-profits to meet mutually beneficial community development goals. From a different perspective, conservative funders—including the Bradley, Coors, Koch, Olin, Scaife, and Smith Richardson foundations—have systematically built a conservative intelligentsia within many universities by endowing academic institutes, providing research funds to conservative scholars, and offering operating support for conservative student groups.

What is implicit in the above record—or should be—is that none of these various precedents for impacting and altering our understanding of what higher education can and should do occurred on its own. In each case, something made it happen—commonly a policy coalition (when federal and state legislation is involved) or funders who strategically leveraged higher education to contribute to the realization of social goals (such as women's rights, diversity, and environmental protection).

A Strategic Effort to Unlock the Economic Resources of Universities

Clearly there are many precedents that demonstrate how public and private funding can help shape the priorities and agendas of universities and colleges. The question becomes: how might we develop and systematically further a comprehensive longer-term engagement strategy aimed at building upon both the public policy precedents and the emerging university experience? How, specifically, might a sophisticated approach gain leverage so that existing university resources could be steadily deployed in new ways and so that additional public and private resources might be developed?

A. Foundation Commitment and Leadership

In our judgment, what is needed above all else is a determined, organized effort among funders—individually and collectively—to strategically move forward over the coming decade to implement a comprehensive agenda of change. A funders' group committed to steadily advancing a coherent overall agenda could prove decisive in focusing the economic might of universities for the benefit of their communities—and to mobilizing new resources and incentives to achieve major impact. (A new strategic grouping could build upon what has been learned through the "Living Cities" experience; indeed, given the Living Cities agenda, it might well make sense to establish this initiative as a fully funded and staffed element within that funders' collaborative.) Regardless of the specific structure of a funders' group, it must be understood that this is no "quick fix" campaign: an initiative of this import and magnitude should not be undertaken unless understood as at least a ten-year effort.

To be successful, a strategic initiative will require adequate dedicated staff to organize the effort and to

implement a two-track strategy working both within and outside of the higher education system: 1) a systematic, step-by-step strategy directed at developing and promoting federal and state policies that can provide the right mix of incentives to bring about a major reorientation in some of higher education's goals; and 2) a parallel strategy aimed at building up the internal capacity of universities to become fully engaged with their communities.

Success will also depend on individual foundations giving consideration to what they can do in their own grant making to influence and motivate university engagement. This need not depend on using limited community development grant funds. In 2005, only 3.5 percent of foundation giving went to community economic development; that same year more than 22 percent of all foundation funding was disbursed to colleges and universities.[308] Re-focusing some of the latter to provide incentives for university engagement could have a substantial impact.

B. External Organizing Strategy

The first element of a serious strategy should identify specific state and federal opportunities for immediate action. It should also develop comprehensive longer-term legislation, perhaps based on the idea of a 21st century "civic engagement" vision comparable to the land-grant vision.

Critical to the external strategic component is the development of a powerful and coherent policy argument that advances a new vision of higher education for the public good and for the benefit of communities. Another important element is promoting and publicizing the best examples of community-building programs of universities, with priority given to the "economic engine" impact that universities are making on their communities. In addition, case studies and training materials based on these models should be developed for use by other universities and policy makers.

A great deal of research, thinking, consultation, and analysis will need to go into developing a meaningful legislative and policy agenda. Simply by way of illustration, some near-term elements might include:

- **Target the Higher Education Reauthorization Act in 2010**. This legislation, administered by the U.S. Department of Education, authorizes the federal government's major student aid programs, as well as other significant initiatives providing aid to thousands of institutions. FY2002 appropriation legislation included over $14 billion for discretionary authority. A determined effort could be made to powerfully inject the community economic development role of universities into the reauthorization debate, with financial incentives to encourage institutions to move in this direction.

- **Revive and Expand the Community Outreach Partnership Center program**, restoring its funding level minimally to its FY 2005 level of $6 million and ultimately increasing funding to $100 million, as proposed by David Cox, former Director of the Office of University Partnerships, to enable a tripling of the number and amount of awards, with funds split between universities and community partner groups. Programs similar to COPC might also be established in other federal agencies, such as the Environmental Protection Agency or the Department of Energy.

- **Develop a partnership between the Department of Education and a funders' entity**, similar to the current arrangement between Living Cities and the Departments of Housing and Urban Development and Health and Human Services. The partnership could develop a 10-year project involving two-dozen cities, anchored by community-university collaboratives focused on community revitalization programs.

- **Create a faculty grant program within many federal agencies**, modeled after the National Science Foundation junior scholar program, to reward exemplary academics doing community-based research.

- **Build an urban extension focus to complement the nutrition and agricultural programs of the cooperative extension network** of the nation's land-grant universities. One possibility might be to establish an "Urban Grant" program—modeled after the Space Grant, Sea Grant, and Sun Grant legislation—through which universities would compete for federal funding to become leading "urban partnership" or "community development" institutions.

- **Encourage innovative state-level policies** through which state governments could play a role in helping universities leverage their assets, particularly their more than $300 billion in endowment funds, for community development. For example, a state could

provide credit enhancement that leverages university funds or could help form an entity to utilize New Market Tax Credits. Many options are possible, but states need to be offered a menu of policy options.

- **Assist municipalities to leverage university resources for their own community needs**. A growing number of universities, for instance, now make regular annual "payments in lieu of taxes" (PILOT) to the city in which they are based as a way of building community goodwill. For example, in Providence in 2003, city officials reached a PILOT agreement with Brown University and three other area universities to collectively provide Providence with $50 million over 20 years to stabilize municipal finances. Other cities that have negotiated similar agreements with their universities include Boston, New Haven, and Ithaca. Yale, for example, pays the City of New Haven $7 million a year through a PILOT program. Variations on this theme might target funding to community economic development in the manner of community benefits agreements.

One of the byproducts of such an exploration of policy options is likely to be sufficient detailed information that could inform more comprehensive legislation—perhaps for the creation of a 21st century urban analogue to the land-grant system. A task force devoted to this endeavor might meet at regular intervals to assess overall progress and begin assembling the key elements of a longer-term major undertaking.

C. Internal Organizing Strategy

We noted above that most universities are open to new strategies, but that it is also true that the strategies don't fit within their normal day-to-day routines or priorities. Very few actively oppose change, but very few know how to undertake it, or currently wish to devote resources to it. This is an odd circumstance—one that in our judgment offers many opportunities for positive change but no obvious source of initiative within specific institutions. Put another way, the level of resistance to change is much lower than many think. Often opportunities are not taken advantage of simply because there is no sustained capacity to catalyze forward movement.

While some cases of change involve responses to perceived external community problems, in all successful cases we have studied where there has been a serious change process, at the core of it have been a few "catalytic agents." These are the equivalent of "social entrepreneurs." Perhaps the most impressive example is at the University of Pennsylvania where a leading scholar, Ira Harkavy, worked over more than two decades to catalyze change on the academic side of the institution (for many early years against seemingly difficult odds) and President Judith Rodin worked equally hard to change the institution's business practices over a ten-year period.

In many universities it is similarly possible to identify a few people—a senior faculty member, a Dean, a Vice President for Administrative Affairs, or a President—who by dint of hard work became the catalytic agents who found ways to bring together the many latent possibilities which existed for change in their home institutions.

One way to think about this is to consider the problem of internal university mobilization as precisely analogous to that of mobilizing neighborhood or community resources: what is often needed is a community organizing effort—and a small group of "organizers." One major difference between attempting to organize resources and constituencies for change within the campus community of the university—and organizing in poor neighborhood communities—is that universities have significant resources.

For such reasons, we suggest that a determined overall strategy include an effort to demonstrate the potential that catalytic agents (organizers) can have to mobilize resources within their institutions, when given adequate support. We envision a program to provide up to five years of funding for "catalytic agent groups" within six to ten universities. Such support would provide the opportunity for committed faculty and administrators to mobilize the groups necessary to achieve institutional change and leverage university resources for the community.

Establishing parameters and requirements for funding these demonstration efforts will be particularly important. Since one key goal should be to learn what works and demonstrate possibilities, selected institutions should represent the range of higher education in the U.S., for example, land-grant, public research, state comprehensive, private liberal arts, HBCU, and community college.

Another goal of the effort should be to support catalytic agents in developing "comprehensive" models of engagement. The RFP could require that key issues be addressed in order to receive funding: 1) creating new academic and training programs with a community

development focus; 2) changes in the reward structure of the professoriate; 3) targeted reforms of campus business practices (including local purchasing, real estate, and investment); 4) linking student service-learning more closely to an academically-based program with a problem-solving orientation; 5) specific types of community-based civic research; and 6) the metrics to track the impact these changes have on funneling new resources to the community. To insure institutionalization of the process, the RFP might require that a high-level unit for engagement be established in either the President's or Provost's office and that a university-wide strategic planning process be undertaken with clear, measurable community-building outcomes.

Such comprehensive models would draw upon and attempt to integrate elements of the most impressive current experience now emerging on campuses across the country. These models would also provide a learning laboratory from which important lessons (of both success and failure) could be derived and made available to other institutions. Using their well-established and respected convening power, foundations could bring together leaders of higher education from around the country (from both the academic and business sides of institutions) to explore the implications for their own universities—and ultimately for longer-term national legislative initiatives as well.

Closing Thoughts

Given current political and economic realities, funders who are committed to community building and economic development need to think newly and boldly about how to achieve their goals. Any list of priorities must include seriously addressing the question of funding and financing for community-building measures. America's anchored institutions—in particular, its universities and colleges—are a sleeping giant ready to be awakened.

The first priority must be for funders to organize themselves to play a leadership and catalyzing role over at least a 10-year period. Having made that commitment, they have the opportunity to make a significant impact through a two-track strategy: a full-fledged external and internal effort to leverage the economic resources of universities and colleges for the benefit of communities throughout America.

Endnotes

1. Mary Jo Brukardt, Barbara Holland, Stephen L. Percy, and Nancy Zimpher on behalf of Wingspread Conference Participants, *Calling the Question: Is Higher Education Ready to Commit to Community Engagement?*, Milwaukee, Wisconsin: Milwaukee Idea Office, University of Wisconsin-Milwaukee, 2004.

2. There are also political reasons that have prompted universities to be supportive of community engagement. As Barbara Holland, Director of the National Service-Learning Clearinghouse notes, there is "a need to reestablish higher education as a contributor to public good, not just a private benefit . . . to push back on the image of higher education as costly, inefficient, self-indulgent and privileged. These assumptions have led to a policy environment of reduced public support, imposed performance measures, views of college education as a personal benefit of a vocational nature, etc." (Barbara Holland, Personal Correspondence, December 15, 2006).

3. Carnegie Foundation for the Advancement of Teaching, *Carnegie Selects Colleges and Universities for New Elective Community Engagement Classification*, Stanford, CA: Carnegie, December 2006, www.carnegiefoundation.org/news/sub.asp?key=51&subkey=2126, accessed May 6, 2007.

4. Regarding these trends, see Thad Williamson, David Imbroscio, and Gar Alperovitz, *Making a Place for Community*, New York: Routledge, 2003, pp. 25–99.

5. The literature on economic restructuring in the United States is vast. For one classic analysis of the issues, see Robert Reich, *The Work of Nations*. New York: Knopf, 1991.

6. Lawrence Mishel and Joydeep Roy, *Rethinking High School Graduation Rates and Trends*, Washington, DC: Economic Policy Institute, 2006, pp. 1–7.

7. National Center for Education Statistics, "Digest of Education Statistics," Washington, DC: NCES, 2005. http://nces.ed.gov/programs/digest/d04/. GDP figures from IMF World Economic Outlook, April 2005, cited in Latin Business Chronicle, *Top Economies*, www.latinbusinesschronicle.com/statistics/gdp/ranking.htm. Web sites accessed Oct. 12, 2005. The Mexican GDP figure was US $676.5 billion, highest in Latin America. NCES estimated total U.S. expenditures for the 2003–2004 academic year to be $351 billion.

8. Initiative for a Competitive Inner City and CEOs for Cities, *Leveraging Colleges and Universities for Urban Economic Revitalization: An Action Agenda*, Boston, MA: ICIC and CEOs for Cities, 2002, pages 2, 9, 14.

9. Derek Bok, President Emeritus, Harvard University, Interview, August 23, 2005.

10. Pablo Eisenberg, Professor, Georgetown University, Interview, August 29, 2005.

11. The above list, naturally, is not exhaustive. One other prominent example is in the state of Kentucky's Regional Stewardship program. See Kentucky Council on Postsecondary Education, *Regional Stewardship Program*, Lexington, KY: Kentucky Council on Postsecondary Education, http://cpe.ky.gov/policies/budget/reg_steward_program.htm, May 2, 2007, accessed May 6, 2007.

12. Steven Lawrence and Leslie Marino, *Update on Funding for Higher and Graduate Educational Institutions*. New York: The Foundation Center, September 2003.

13. Ann Hoyt, Professor, University of Wisconsin, Interview, November 3, 2005.

14. Figure 4 features many of the leading efforts by foundations but does not purport to be exhaustive. One additional prominent effort is a 1994–1998 program by the Pew Charitable Trusts called "Health Professions Schools in Service to the Nation," which provided 20 three-year grants to promote community-based research in health care; this program helped lead to the formation of a national advocacy group in that field, Community Campus Partnerships for Health. See Community Campus Partnerships for Health, *Past CCPH Programs*, Seattle, WA: CCPH, 2007, http://depts.washington.edu/ccph/pastprojects.html, accessed May 6, 2007. Pew also sponsored a convening on the civic mission of universities, which culminated in the publication of the following report: *The Civic Mission of Schools*, College Park, MD and New York, NY: Center for Information and Research on Civic Learning and Engagement (CIRCLE) and Carnegie Corporation of New York, February 2003. The Johnson Foundation of Racine, Wisconsin, while not having the resources of some of the larger foundations, has played an important role by sponsoring many events that have convened engagement leaders, resulting in a number of reports, including the one cited at the beginning of this chapter. (Lorilee Sandmann, Personal Correspondence, December 15, 2006).

15. Stanley Fish, "Why We Built the Ivory Tower," *New York Times*, May 21, 2004.

16. Eval Press and Jennifer Washburn, "The Kept University," *The Atlantic Monthly*, March 2000, page 54.

17. On the point of the growing importance of collaboration between universities and outside actors in knowledge generation, see Michael Gibbons, "Globalization and the Future of Higher Education," *Globalisation: What Issues are at Stake for Universities?*, address of the Secretary General of the Association of Commonwealth Universities, Laval, Quebec: University Laval, September 20, 2002.

18. Press and Washburn, *The Kept University*, page 45.

19. Justin Smith Morrill, as quoted by William Belmont Parker in *The Life and Public Services of Justin Smith Morrill*. http://www.ndsu.nodak.edu/instruct/isern/morrill.htm, accessed Sept. 13, 2005.

20. Turner had left Illinois College two years before, in 1848, in response to pressures to resign because of his abolitionist views. See John R. Campbell, *Reclaiming a Lost Heritage: Land-Grant and Other Higher Education Initiatives for the Twenty-First Century*. East Lansing, MI: Michigan State University Press, 2001 (original edition—Ames, IA: Iowa State University Press, 1995). Accessed at www.adec.edu/clemson/papers/cambell-chapter1.html.

21. *Ibid.*

22. Until the approval of the 17th. amendment to the U.S. Constitution in 1913, state legislators were directly responsible for electing U.S. Senators.

23. Campbell: *Reclaiming a Lost Heritage*, passim.

24. John Hollison, "Agricultural Education and the 1862 Land-Grant Institutions: The Rest of the Story, *Journal of Agricultural Education*, 1996, vol. 37, no. 2, pp. 26–32. Accessed at www.cals.ncsu.edu/agexed/aee501/herren.html.

25. Craig L. LaMay, "Justin Smith Morrill and the Politics and Legacy of the Land-Grant College Acts," in Lawrence R. Grossman and Newton N. Minow, *A Digital Gift to the Nation: Fulfilling the Promise of the Digital and Internet Age.* New York, NY: The Century Foundation Press, 2001, pp. 73–86.

26. By 1893, the United States federal debt had been cut to a third of its Civil War peak. Richard Sylla, "National Debt," *Reader's Guide to American History.* Eric Foner and John Garranty, eds., Boston: Houghton Mifflin, 1991. Accessed on Sept. 13, 2005 at http://college.hmco.com/history/readerscomp/rcah/html/ah_063100_nationaldebt.htm.

27. Some historically black colleges preceded the 1890 Act and became funded by the Act. Others were formed afterward. The first historically black college was Alcorn State in Mississippi, founded in 1871. La May, *Justin Smith Morrill*, page 81, quote on page 81.

28. Campbell: *Reclaiming a Lost Heritage,* passim.

29. James R. Collier, *The Structure of Meta-Scientific Claims: Toward a Philosophy of Science and Technology Studies*, Ph.D. Thesis in Science & Technology Studies, Blacksburg, VA: Virginia Polytechnic Institute, 1998, page 31.

30. Henry Fribourg, "Where are Land-Grant Colleges Headed?," *Journal of Natural Resources and Life Science Education*, volume 34 (2005), pp. 40–43, quote on page 40.

31. James H. Ryan, Theodore R. Alter, and Tracey D. Huston, *The Journal of the University Continuing Education Association.* 66 (Fall 2002): 121–141.

32. One early urban precedent of informal community university partnerships that developed around the same time (late 1800s and early 1900s) was the settlement house movement. In their most frequent form, a settlement house was a building in a poor community that was used as a community center. The settlement houses assisted farm families and immigrants make the transition from rural life to urban and factory life. They taught literary and urban survival skills and helped organize tenants to secure better housing, among other things. The staffing for the settlement houses were largely university students who lived in the facilities. Hull House, organized by Jane Addams in the City of Chicago, is probably the best known of such efforts. (Richard Cook, Professor, School of Social Work, University of Maryland, Baltimore, Personal Correspondence, November 28, 2006).

33. Melissa Peerless, *History of Higher Education Finance Reforms in America*, Paper written for Professor Gregg Jackson. Washington, D.C.: George Washington University, 1999. See also John M. Payne, "Views of Federal Forum Funds Smith-Lever 3 (b) & (c) and 3 (d) line items. Logan, Utah: Utah State University Extension, March 2004.

34. Figures for attendance come from Daniel O. Levine, *American College and the Culture of Aspiration*, *1915–1940* (Ithaca: Cornell University Press, 1986) as cited in Daniel A. Clark, "The Two Joes Meet—Joe College, Joe Veteran": The G. I. Bill, College Education, and Postwar American Culture," *History of Education Quarterly*, vol. 38, no. 2, summer 1998, pp. 165–189, quoted on p. 169. Land-Grant figure is extrapolated from figures given by the MSN Encarta Online Encyclopedia, "Collier's Year Book, 1938." (Accessed on Sept. 15, 2005 at http://encarta.msn.com/sidebar_461500277/1938_Education.html) which indicates that college students were split roughly evenly between private and public institutions at that time.

35. LaMay, *Justin Smith Morrill*, page 80.

36. Johns Hopkins, a private college founded in 1876 and modeled after research universities in Germany, is typically seen as being the first U.S. research university. However, many land-grant colleges would later emulate the Johns Hopkins model. See, for instance, Lee Benson and Ira Harkavy, "Higher Education's Third Revolution: The Emergence of the Democratic Cosmopolitan Civic University," *Cityscape*, vol. 5, no. 1 (2000), pp. 47–57.

37. Michael M. Crow and Christopher Tucker, *The American Research University System as America's de facto Technology Policy*, Washington, D.C.: Center for Science Policy & Outcomes, June 1, 1999, accessed at www.livingwiththegenie.org/pdf/AmericanResearchUniversity.pdf on September 13, 2005.

38. Clark, *The Two Joes Meet*, quote on page 173.

39. All three quotes are from Keith W. Olson, "The G.I. Bill and Higher Education: Success and Surprise," *American Quarterly*, vol. 25, no. 5 (Dec. 1973), pp. 596–610. The National Resources Planning Board report is cited on page 597; the Senate Finance Committee report is quoted on page 599; Anderson is quoted on page 598. Labor unions also played an important role both in securing the GI Bill's passage and in promoting amendments that expanded the Bill's educational benefits. See Boris Shinskin, "Organized Labor and the Veteran," *Annals of the American Academy of Political and Social Sciences*, vol. 238 (Postwar Jobs for Veterans), March 1945, pp. 146–157.

40. Frank T. Hines, "Demobilization and the Federal Program of Veteran Aid," *Public Administration Review*, vol. 5, no. 1 (winter 1945), pp. 73–80, especially pp. 74–76.

41. *Ibid.* J. M. Stephen Peeps, "A.B.A. for the G.I. . . . Why?" *History of Education Quarterly*, vol. 24, no. 5 (winter 1984), pp. 513–525, especially pp. 517–518. Quote of Conant from Olson, *The GI Bill*, pp. 603–604. According to Olson, Conant later recanted and said the veterans had proven to be "the most mature and promising students Harvard has ever had" (*Ibid*, p. 604).

42. Hines, *Demobilization and the Federal Program of Aid*, p. 75. Olson, *The GI Bill, s*ee pages 602 and 608.

43. Olson, *The GI Bill,* p. 610.

44. Daniel Sarewitz, "Human Well-being and Federal Science—What's the Connection?" In *Science, Technology, and Democracy*, Daniel L. Kleinman, ed., Albany, NY: SUNY Press, 2000, pp. 87–102.

45. Daniel Patrick Moynihan made this statement in 1975. Quoted by Alicia D. Hurley, *The Federal Role Recast: Politics, Policy and American Higher Education in the 1990s.* New York City: Ph.

D. Thesis, Program in Higher Education Administration, New York University, 2003, page 52.

46. Vannevar Bush, *Science: The Final Frontier*, Washington, D.C.: Government Printing Office, July 1945, www.nsf.gov/about/history/vbush1945.htm. George T. Mazuzan, *NSF 88–16: A Brief History.* Washington, D.C.: National Science Foundation, 1988, www.nsf.gov/pubs/stis1994/nsf8816/nsf8816.txt. Accessed Sept. 16, 2005.

47. *Ibid.* See also Daniel J. Kevles, "The National Science Foundation and the Debate over Postwar Research Policy, 1942–1945," *Isis*, vol. 68, no. 241 (1977), pp. 5–26. According to Kevles, Kilgore had won the West Virginia Democratic primary based largely on the support he received from the Congress of Industrial Organization (CIO) labor federation (page 8).

48. Kevles, *The National Science Foundation and the Debate over Postwar Research*, pp. 8–10, quotes on page 10.

49. *Ibid,* pp. 10–13, quote on page 11. On the role of business in the debate, see also: Daniel Lee Kleinman, "Layers of Interests, Layers of Influence: Business and the Genesis of the National Science Foundation," *Science, Technology & Human Values*, vol. 19, no. 3 (summer 1994), pp. 259–282.

50. Mazuzan*, NSF 88–16, A Brief History,* and Kevles, *The National Science Foundation,* pp. 13–16, quote on page 16.

51. David Hart, "Roundtable Discussion (I)," *Science: The Endless Frontier: Learning from the Past, Designing for the Future.* Conference Proceedings. New York City: Columbia University, December 9, 1994. See also Kevles, *The National Science Foundation*, pp. 16–25.

52. Mazuzan, *NSF 88–16: A Brief History* and Kleinman, *Layers of Interest, Layers of Influence,* pp. 259–260. On the rise of the NIH, see Donald C. Swain, "The Rise of a Research Empire: NIH, 1930 to 1950," *Science*, vol. 138, no. 3546 (1962), pp. 1233–1237. Today, NSF funding is $5.5 billion, roughly 20 percent of total U.S. federal government science funding. National Science Foundation, "NSF at a Glance," Washington, D.C.: NSF, http://www.nsf.gov/about/glance.jsp. Accessed on Sept. 17, 2005.

53. John Aubrey Douglas, *The Cold War, Technology and the American University*, Center for the Study of Higher Education: Research and Occasional Paper Series: CSHE 2.99, Berkeley, CA: University of California, Berkeley, July 1999.

54. George A. Kizer, "Federal Aid to Education," *History of Education Quarterly*, vol. 10., no. 1 (spring 1970), pp. 84–102, see especially page 90. Alan T. Waterman, "National Science Foundation: A Ten Year Résumé," *Science,* vol. 131, no. 3410, May 6, 1960, pp. 1341–1354, see especially pp. 1344–1345.

55. Thomas N. Bonner, "Sputniks and the Educational Crisis in America," *Journal of Higher Education*, April 1958, pp. 177–184 and 232, quote on page 178. Of course, although no Sputnik-like event has galvanized the public to date, a similar argument regarding the U.S. educational position with respect to rising powers such as China or India could be made today. For example, see Nicholas D. Kristof, "The Educated Giant," *New York Times*, May 28, 2007.

56. Not surprisingly, Sputnik also led to the 1958 formation of the National Aeronautic and Space Agency (NASA), which provided an additional source of science research funding for universities. However, NASA was created in a separate bill. For the NASA legislation text, see www.hq.nasa.gov/ogc/spaceact.html, accessed Sept. 26, 2005.

57. According to U.S. Commissioner of Education Lawrence G. Derthick, the Modern Language Association's lobbying for a federal program to fund the study of foreign languages dated back to 1952. See Derthick, "The Purpose and Legislative History of the Foreign Language Titles in the National Defense Education Act," *PMLA*, vol. 74, no. 2 (May 1959), pp. 48–51, especially page 48. Kenneth W. Mildenberger, director of the Modern Language Association at the time, notes that, "The United States Office of Education assumed responsibility for preparing legislation, and by the spring of 1957 a draft bill existed. . ." See Mildenberger, "The Federal Government and Universities, *Annals of the American Academy of Political and Social Science*, vol. 356, The Non-Western World in Higher Education (Nov. 1964), pp. 23–29, especially pages 26–27.

58. Douglas, *The Cold War*, see especially page 8.

59. The Higher Education Act typically comes up for review and reauthorization by Congress once every six years and the bill has thus been amended many times over the past 40 years. Russell T. McCutcheon, "'Just Follow the Money': the Cold War, the Humanistic Study of Religion, and the Fallacy of Insufficient Cynicism," *Culture and Religion*, vol. 5, no. 1 (2004), pp. 41– 69, see especially page 47. Thomas R. Wolanin, "Introduction," *Reauthorizing the Higher Education Act.* Washington, D.C.: Institute for Higher Education Policy, March 2003.

60. John C. Weaver, "What Federal Funds Mean to the Universities Today," *Annals of the American Academy of Political and Social Science*, vol. 327, Perspectives on Government and Science (Jan. 1960), pp. 114–122, see especially page 118. Alicia D. Hurley, *The Federal Role Recast: Politics, Policy, and Higher Education in the 1990s*, Ph. D. thesis (School of Education), New York City: New York University, 2003, page 115.

61. Robert L. Woodbury, "Higher Education and the Promise of Opportunity," *The New England Journal of Public Policy*, Fall/Winter 2004–2005, vol. 20, no. 1, The War on Poverty, Unfinished Business. Accessed Sept. 26, 2005, pp. 95–99, quote on page 97. In 1972, the Higher Education Act was further amended to add the Pell Grant program that further increased student aid dollars. See Hurley, *The Federal Role Recast*, p. 89.

62. Edward Zlotkowski et al., *The Community's College: Indicators of Engagement at Two-Year Institutions.* Providence, RI: Campus Compact, 2004, pages 14–15. Woodbury, *Higher Education and the Promise of Opportunity*, page 99.

63. James R. Bloedel, "Economic Development as a University Mission," *Riding the Momentum of Research: Leadership Challenges in Public Research Universities.* Mabel L. Rice, editor, MASC Report No. 108. Lawrence, Kansas: University of Kansas Merrill Advance Studies Center, 2004, pp. 57–61; quote on page 57. Jennifer A. Henderson and John J. Smith, *Academia, Industry, and the Bayh-Dole Act: An Implied Duty to Commercialize.* White Paper, Center for the Integration of Medicine and Innovative Technology, Cambridge, MA: Harvard University, October 2002, page 6. Steven B. Sample and Choon Fong Shih, *Technology Transfer and Wealth Creation: The Role of Research Universities in the Asia-Pacific*

Region. Los Angeles, CA: University of Southern California, Association of Pacific Rim Universities, October 25, 2001, page 1.

64. Howard W. Bremer, *The First Two Decades of the Bayh-Dole Act as Public Policy*. Washington, D.C.: NASULGC, November 11, 2001, www.nasulgc.org/COTT/Bayh-Dohl/Bremer_speech.htm, accessed March 10, 2005.

65. Two other factors that helped solidify the new regime of university patenting were the U.S. Supreme Court decision in 1980 (*Diamond v. Chakrabarty*) that upheld the validity of biotechnology patents (including the patenting of life forms) and the establishment of a Court of Appeals for the Federal Circuit in 1982, which proved more willing to upheld patent claims than federal district appeals courts had previously. See David C. Mowery, "The Bayh-Dole Act and High-Technology Entrepreneurship in U.S. Universities: Chicken, Egg, or Something Else?" Paper prepared for the Eller Conference on "Entrepreneurship Education and Technology Transfer," University of Arizona, January 21–22, 2005, page 14.

66. *Ibid*, page 8.

67. *Ibid*, pages 8–10.

68. *Ibid*, pages 10–13.

69. *Ibid.* Information about Senate vote from American Bar Association, *Patent Rights in Inventions Made Under Federal Funding Arrangements*, Washington, D.C.: ABA, Dec. 17, 2002, page 4, footnote 17. Accessed at www.abanet.org/contract/federal/randcomm/Bayh-DoleActpro.pdf.

70. To give just one example, as the University of Texas reported in 2005, "The annual value of economic expansion—the estimated amount of business activity in the state generated by UT Austin research and development expenditures and out-of-state students attracted to Austin by the university—totals $1.4 billion," nearly 19 percent of the university's total estimated impact of $7.4 billion. See Richard Bonnin, *UT Austin has annual economic impact of $7.4 billion on state economy, study finds*, Austin, TX: University of Texas, Office of Public Affairs, February 28, 2005, www.otc.utexas.edu/News/UTAustinAnnualEconomicImpact.jsp, accessed May 6, 2007.

71. Quoted in Bernadette Tansey, "The building of biotech: 25 years later, 1980 Bayh-Dole act honored as foundation of an industry," *San Francisco Chronicle*, June 21, 2005, page D-1. David Noble, "Science for Sale," *Thought and Action*, fall 2000, reprint of 1984 article, pp. 15–28; quote on page 16. Press and Washburn, "The Kept University," *The Atlantic Monthly*, March 2000, pp. 39–54.

72. *Ibid*, pp. 41, 47; quote on page 41.

73. Robert Rosenzweig, former President of the American Association of Colleges and Universities, makes this point. As he writes, "It was government patronage, after all, that led universities to accept the imposition of secrecy and other restrictions that were wholly incompatible with commonly accepted academic values. There is nothing uniquely corrupting about money from industry. It simply brings with it a set of questions that universities must answer." See Rosenzweig, "Universities Change, Core Values Should Not," *Issues in Science and Technology*, vol. 16, no. 2 (winter 1999), http://www.issues.org/issues/16.2/rosenzweig.htm.

74. Mary Sue Coleman, Keynote Address: "The Research Mission of Public Universities," *Riding the Momentum of Research: Leadership Challenges in Public Research Universities*. Mabel L. Rice, ed., MASC Report No. 108, Lawrence, KS: University of Kansas (Merrill Advanced Studies Center), July 2004. Richard Atkinson, "The Future Arrives First in California, *Issues in Science and Technology*, vol. 16, no. 2 (winter 1999), http://www.issues.org/issues/16.2/atkinson.htm.

75. Lyndon Johnson, "Remarks of Lyndon Johnson at the dedication of UCI," Irvine, CA: University of Irvine Alumni Association, June 20, 1964, www.alumni.uci.edu/reminisce_about_uci/lyndonjohnson.html, accessed Sept. 30, 2005.

76. *Ibid.* See also "Our Nation Is Moving Toward Two Societies, One Black, One White—Separate and Unequal: Excerpts from the Kerner Report," *History Matters: The U.S. Survey Course on the Web*. Fairfax, VA: George Mason University, http://historymatters.gmu.edu/d/6545, accessed Sept. 30, 2005.

77. This is certainly not an exhaustive list of new federal initiatives. For instance, in 1969, Richard Nixon set up a National Student Volunteer Program that in some ways anticipated the later service-learning programs of the early 1990s. A second example is the University Centers program, administered by the Economic Development Administration since 1966 and passed as part of one of Lyndon Baines Johnson's "Great Society" programs, the Public Works and Economic Development Act of 1965. The origins of the program are bureaucratic in nature, according to a 2004 report by researchers from Rutgers University and Pennsylvania State University, "PWEDA did not originally authorize a University Center program nor did it include universities as eligible grantees. Early in EDA's history, however, agency administrators interpreted the act to allow funding for higher-education institutions as 'other appropriate entities.'" (Robert W. Lake, Robin Leichenko, and Amy K. Glasmeier, EDA and U.S. Economic Distress: 1965–2000, New Brunswick, NJ and University Park, PA: Rutgers University, Center for Urban Policy Research and Pennsylvania State University, Department of Geography, July 2004, page 92.) Currently funded at a level of $6.5 million, the program provides small grants (averaging slightly more than $100,000) to universities to help them provide technical assistance for rural economic development. See Mt. Auburn Associates, Inc. with Brandon Roberts + Associates and Karl F. Seidman Consulting Services, *An Evaluation of EDA's University Centers Program*, Washington, DC: Dept. of Commerce, December 2001. For information on the program's early history, including the predecessor Area Redevelopment Act program under President Kennedy, see David B. Houston and Charles M. Tiebout, "Economic Impacts of Regional Development Policies and Programs," *Journal of Farm Economics*, Vol. 48, No. 2, May 1966, pp. 440–449. On the current program, see Economic Development Administration, *Federal Funding Opportunity and Other Notices*, Washington, DC: Dept. of Commerce, February 2, 2007, www.eda.gov/InvestmentsGrants/FFON.xml, accessed May 6, 2007.

78. Athelstan F. Spilhaus, "Man in the Sea," *Science*, New Series, Vol. 145, No. 3636. (Sep. 4, 1964), p. 993.

79. Lauriston R. King and W. Wayne Shannon, "Political Networks in the Policy Process: The case of the National Sea Grant

Program," *Polity*, vol. 19, no. 2 (winter 1986), pp. 213–231, quote on page 222. Judith E. McDowell, "A Director's Perspective on 30 Years of Sea Grant," *Nor'Eastern* (1998), vol. 10, nos. 1 and 2, pp. 14–17, accessed October 1, 2005 on line at http://seagrant.gso.uri.edu/noreaster/noreasterYOTOhtml/whoi.html.

80. According to the Bureau of Labor Statistics, inflation between 1968 and 1981 was approximately 264 percent, making the 1981-dollar value of the 1968 allocation equal to roughly $13.25 million. Bureau of Labor Statistics (BLS), "Consumer Price Index—All Urban Consumers," Washington, D.C.: BLS, http://data.bls.gov/PDQ/servlet/SurveyOutputServlet, accessed October 2, 2005.

81. King and Shannon: *Political Networks in the Policy Process,* passim. Proposed spending for FY 2006 was $61 million, the same as allocated in FY 2005. See American Academy for the Advancement of Science (AAAS), "AAAS R&D Funding Update on R&D in the FY 2006 Commerce Budget," Washington, D.C.: AAAS, 2005. www.aaas.org/spp/rd/doc06p.htm, accessed Oct 1, 2005.

82. National Sea Grant Office (NSGO), "Theme: Urban Coasts," Silver Spring, MD: NSGO, no date, www.nsgo.seagrant.org/themesnpa/urbancoasts.html South Carolina Sea Grant Office, "Sea Grant's Coastal Hazards Program Area: Selected Activities and Accomplishments," Charleston, SC, 2001–2005, www.haznet.org/haz_outreach/outreach_programs.htm#state. Web sites accessed Oct. 1, 2005.

83. Virginia Smith, "Introduction," *Fund for Improvement of Postsecondary Education: The Early Years*, National Center Report 02–5. Washington, D.C.; National Center for Public Policy and Higher Education, 2002, pp. 1–5. John Immerwahr, "View from the Perspective of Early Grant Recipients and Staff Members," *Fund for Improvement of Postsecondary Education: The Early Years*, National Center Report 02-5. San Jose, CA: National Center for Public Policy and Higher Education, 2002, pp. 6–29.

84. *Ibid.*

85. Virginia B. Smith, "FIPSE's Early Years: Seeking Innovation and Change in Higher Education," *Change,* Sept.–Oct. 2002, pp. 11–16. Priscilla W. Laws and Nancy Baxter Hastings, "Reforming Science and Mathematics Teaching: FIPSE as a Catalyst for Change," *Change,* Sept.–Oct. 2002, pp. 29–35. Norman Coombs, "FIPSE: Empowering Students with Disabilities," *Change,* Sept.–Oct. 2002, pp. 43–48.

86. Virginia B. Smith, "FIPSE's Early Years: Seeking Innovation and Change in Higher Education," *Change,* Sept.–Oct. 2002, pp. 11–16. Sandra P. Levinson and Joan Straumanis, "Changing Medical Education Forever," *Change,* Sept.–Oct. 2002, pp. 19–26. Another area where FIPSE has focused on fostering curricular innovation, particularly since the 1990s, is in the area of international education, albeit with mixed results. For an overview, see Naomi F. Collins and Dan E. Davidson, "From the Margins to the Mainstream: Innovative Approaches to Internationalizing Education for a New Century," *Change,* Sept.–Oct. 2002, pp. 50–58. In recent years, FIPSE has also funded grants to support community engagement efforts. For an example involving community-based health research at the University of Cincinnati, see Dama Kimmon, "UC Works to Recognize Faculty For Community Engagement," *Health News*, Cincinnati, OH: University of Cincinnati, January 12, 2005, http://healthnews.uc.edu/news/?/868, accessed May 6, 2007.

87. Signs of which include the formation of the Department of Education under the Carter administration in the late 1970s and the issuance of the *A Nation at Risk* report in 1983. See David Pierpoint Garder et al., *A Nation at Risk: The Imperative of Educational Reform*, Washington, DC. www.goalline.org/Goal_Line/NatAtRisk.html, accessed Oct. 1, 2005.

88. Also initiated around this time were the Space Grant and the Urban Community Service Grant programs. The Space Grant program, authored by Senator Lloyd Bentsen (D-Texas) in 1987, continues to this day (funding in FY 2004 was $25.3 million); it supports space-related education and research. See Institute for Space Systems Operations, "ISSO and the National Space Grant Program," *Annual Report 1992–1993*, Houston: University of Houston, 1993, www.isso.uh.edu/publications/A9293/pg4.html, accessed Oct. 2, 2005, and Audrey T. Leath, "House Appropriators Cut NASA Funding for FY 2005," *FYI Number 98*, College Park, MD: American Institute of Physics, July 23, 2004. On the Urban Community Service Grant, see below.

89. Although not covered in detail here, new initiatives along the lines of these small programs surveyed in the text continue to be developed. An example of this is provided by the 2005 transportation bill, in which 142 universities benefited from legislative earmarks, up from fewer than 50 in the 1998 bill. (See Kelly Field, "Colleges Find Road to Riches in Transit Bill: Transportation bill has almost $600-million in earmarks for campuses," *Chronicle of Higher Education*, Sept. 2, 2005). In addition, the transportation bill set aside $50 million in funding (about $10 million a year for five years) to fund the Sun Grant program, most of which will be dispersed to five schools: Cornell, South Dakota State, Oklahoma State, Oregon State, and the University of Tennessee. The Sun Grant legislation, authored by Tom Daschle (D-SD), and cosponsored by Bill Frist (R-TN), passed Congress in 2003. See NASULGC, "Senate Floor Debate on H.R. 2673 Agriculture Appropriations Bill for F.Y. 2004," Washington, D.C.: NASULGC, Nov. 5, 2003. www.nasulgc-bac.com/documents/FY2004/sun_grant_initiative.htm, accessed Oct. 9, 2005. Kevin D. Kephart, *Approaches to Using Biomass for Liquid Fuel Production.* Sioux Falls, SD: South Dakota State Public Utilities Commission, April 19, 2005 and No author, "Sun Grant Initiative wins transportation funding," *News at State*, Aug. 25, 2005. http://www3.sdstate.edu/AgExperimentStation/NewsDetail51145.cfm?Id=46,4420

90. If one includes Volunteers In Service to America, a program founded in 1965, but rolled into AmeriCorps, the total funding for AmeriCorp in FY 2005 was $410 million. The total Corporation for National and Community Service budget, including Senior Corps and other programs is a much larger $927 million. See Corporation for National and Community Service, "2006 Budget Chart," www.nationalservice.gov/about/role_impact/budget.asp, accessed Oct. 3, 2005.

91. For budget figures, see *Ibid.* See also Learn and Serve America, "New Grant Opportunities," Washington, DC: Learn and Serve America, www.learnandserve.org/for_organizations/funding/index.asp, accessed Oct. 14, 2005. For a description of the political battles that led to the creation of AmeriCorps, see

Hurley, *The Federal Role Recast*, pp. 147–166. Liz Hollander, Personal Correspondence, November 13, 2006. Campus Compact, *Why Restore Learn and Serve America Funding for FY 2008?*, Providence, RI: Campus Compact, 2007.

92. The Urban Community Service Grant program, authored by Senator Mark Hatfield (R-Oregon), was signed into law in 1992. Judith Ramaley, who was President of Portland State University in Oregon at the time, played a similar role as to that played by Rex LaMore for the Communtiy Outreach Partnerships Centers (COPC) program. Similar in design to COPC, the Urban Community Service Grant program was phased out in the late 1990s after Hatfield had left the Senate. See Title XI of the Higher Education Act (20 U.S.C. 1136 et seq.) of 1992 and "President Clinton budget to Congress, proposed FY 1999," Washington, D.C.: The White House, 1998, www.ed.gov/offices/OUS/Budget99/BudgetSum/pages/sum-e.html#Urban_Community_Service, accessed April 1, 2005.

93. Dept. of Housing & Urban Development, Office of Policy Development & Research, "MSU Serves as COPC Prototype," *Community News and Views*, vol. 12, no. 2, summer 2000, page 9. Armand Carriere, Director, Office of University Partnerships, Dept. of Housing and Urban Development, Interview, March 17, 2005. Data provided by Susan S. Brunson of the Office of University Partnerships, March 23 and 24, 2005. Barbara Holland, Personal Correspondence, December 15, 2006. U.S. Department of Housing and Urban Development, *Fiscal Year 2008 Budget Summary*, Washington, DC: HUD, 2007, pages 10, 14.

94. Armand Carriere, Interview, March 17, 2005.

95. Dirk Johnson, "In Bleak Area in South Dakota, Indians Put Hopes in Classroom," *New York Times*, July 3, 1994, page 19. Clifford W. Young, *Background for Developing a System of Hispanic-Serving Land-Grant Colleges*. Miami, FL: Hispanic Association of Colleges & Universities, 2000, pp. 12–14. Rep. Pat Williams, "Land-Grant Designations for Tribal Colleges," Washington, D.C.: U.S. House of Representatives, July 20, 1994. http://thomas.loc.gov/cgi-bin/query/z?r103:E20JY4-234. Sen. Jeff Bingaman, "Land-Grant Status to Tribally Controlled Colleges," Washington, D.C.: U.S. Senate, August 3, 1993. http://thomas.loc.gov/cgi-bin/query/F?r103:4:./temp/~r103YuI225:e41079: It should be noted that a critical piece that came after passage of the legislation was the signing of an executive order by President Clinton in Dec. 1996 which requires federal agencies to consider tribal colleges when making their grant decisions. See Scott W. Wright, "Clinton opens 'frontiers of opportunity' for tribal colleges," *Black Issues in Higher Education*, vol. 13, issue 21, Dec. 12, 1996.

96. Alisa Federico Cunningham et al., *Building Strong Communities: Tribal Colleges as Engaged Institutions*. Arlington, VA and Washington, DC: American Indian Higher Education Consortium and The Institute for Higher Education Policy, April 2001.

97. CSREES budget is from www.csrees.usda.gov/about/offices/budget/2006_budget_table.pdf. According to a 2003 study, as of 2000, the federal share of funding for extension was 24 percent and for research and education 33 percent. See Mary Ahern, Jet Yee, and John Bottom, *Regional Trends in Extension System Resources*, Agricultural Information Bulletin no. 781, Washington, DC: US Dept. of Agriculture, April 2003. According to the American Academy for the Advancement of Science (AAAS), 81 percent of the $5.47 billion FY 2005 NSF budget went to universities, as did 59 percent of the $28.6 billion FY 2005 NIH budget. See AAAS, "NSF Research Flat Again in 2006, Education Programs Face Steep Cuts," Washington, D.C.: AAAS, Feb. 28, 2005, and AAAS, "NIH Budget Growth Slows to 2 Percent in 2005," Washington, D.C.: AAAS, Dec. 6, 2004.

98. Maurice Dorsey, Interview, March 16, 2005. In 1999, it was decided to hold conferences every two years. Conferences were held in 2001 and 2003, but a 2005 conference scheduled to take place in Minnesota was canceled due to state funding cutbacks. The decline in conference activity, however, does not seem to have significantly impeded the continued growth of urban extension efforts. Regarding Ohio, see Maxine Goodman Levin College of Urban Affairs, "Building from the Ground Up: The Levin College Story," *Urban Update*, summer 2000, pages 1, 6. Barbara Holland, Personal Correspondence, December 15, 2006.

99. Jordan Brock Winstead, *Urban Extension Programs in Other States and Lessons for North Carolina*, prepared for J. David Stein, Planning Specialist, College of Urban Design (Raleigh, NC: North Carolina State, June 7, 2004). Quote of Laney from: Extension Committee on Organization and Policy, *The Extension System: A Vision for the 21st.-Century: A Resource Document*, Washington DC: National Association of State Universities and Land-Grant Colleges, February 2002, pp. 4–5.

100. James Reaves, *Cooperative Extension: Making a Difference through Urban Programs*, Washington, DC: USDA, August 1999. Scott J. Peters and Margo Hittleman, *We Grow People: Profiles of Extension Educators*, Ithaca, NY: Cornell University Resource Center, 2003. Larry W. Newell, *Cooperative Extension: Rural and Urban Youth Development Research and Programs*. Washington, DC: USDA, June 2004. Karen M. Williams, *Neighbor to Neighbor*. Vandalia, Ohio: The Ohio State University Extension, April 2003, http://urbanprograms.osu.edu/webpages/neigh_to_neigh.htm, accessed Oct. 4, 2005.

101. Quote is from Janet Ayers et al., "Cooperative Extension's Community Development Foundations of Practice," Denver, CO: NACDEP, January 2005, page 1. On history of organization, see National Association of Community Development Extension Professionals, "Overview: Who We Are: How We Got There, and What We've Done." *Building Our Future Together: Conference Proceedings*. Las Vegas: NACDEP, February 15–18, 2005, www.ncrcrd.iastate.edu/nacdep/agenda.html. Accessed Oct. 4, 2005. Summary of projects underway based on review of a few dozen presentations located at the same web site.

102. Cornell University Cooperative Extension, *Annual Report 2002–2003*, New York, NY: Cornell, 2003, page 7.

103. Barbara Israel et al., "Community-Based Participatory Research: Lessons Learned from the Centers for Children's Environmental Health and Disease Prevention Research," *Environmental Health Perspectives*, vol. 113, no. 10 (October 2005), pp. 1463–1471, quote on page 1464. Barbara Israel, "Community-Based Participatory Research: Principles, Rationale and Policy Recommendations," Address to Meeting Hosted by the National Institute of Environmental Health Sciences (NIEHS), *Successful Models of Community-Based Participatory Research*, Ed. by Liam R.

O'Fallon, Frederick L. Tyson, and Allen Dearry, Washington, DC: NIEHS, March 29–31, 2000, pp. 16–21, quote on page 16.

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105. Peggy Shepard, "Achieving Environmental Justice Objectives and Reducing Health Disparities Through Community-Based Participatory Research and Interventions, *Successful Models of Community-Based Participatory Research*, Ed. by Liam R. O'Fallon, Frederick L. Tyson, and Allen Dearry, Washington, DC: NIEHS, March 29–31, 2000, pp. 30–34, quote on page 30. Charles A. Wells, "Nuts and Bolts of Accessing Data and Funding," *Kellogg Tri-Program Symposium*, Washington, DC: Kellogg Foundation, June 23, 2004. NIH Office of the Budget, The National Institutes of Health, FY 2006 President's Budget Request, Congressional Justification, Overview," Bethesda, MD: NIH, 2005, http://officeofbudget.od.nih.gov/UI/..%5CUI%5C2006Budget.htm, accessed Oct. 6, 2005.

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of Governing Boards of Universities and Colleges, 2004. As Breneman notes, while tuition levels are rising and some state universities are gaining the level of autonomy that others—such as the University of Michigan or the University of California—have enjoyed for decades, talk about the "privatization" of universities "is exaggerated and unrealistic. State appropriations for operating expenses at public colleges and universities in fiscal 2004 totaled more than $60 billion, and it is inconceivable that institutions could replace those funds with either their collective endowments ($1.2 trillion would be required to generate the needed income at 5 percent payout) or increased tuition revenues" (quote on page 1).

133. UC News, "Gov. Schwarzenegger and UC, CSU Leaders Announce Multi-Year Compact Addressing Funding and Accountability," Oakland: University of California Office of the President, May 11, 2004.

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137. As quoted in James Allen Smith, "Foundations and Public Policymaking: A Historical Perspective," *Research Report*, no. 11, Los Angeles, CA: University of Southern California, Center on Philanthropy and Public Policy, May 2002, page 4.

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142. Robert Shireman, 10 Questions College Officials Should Ask About Diversity," *Chronicle of Higher Education*, Aug. 15, 2003. José F. Moreno, "DATA: Capturing the Hopes, Dreams, and Fears of Campus Diversity Initiatives," *Diversity Digest*, vol. 7, no. 4 (2003), pp. 18–19. Daryl G. Smith, *The Campus Diversity Initiative: Current Status, Anticipating the Future*. Claremont, CA: Claremont Graduate University, March 2004.

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146. James Allen Smith, *Foundations and Policy Making: A Historical Perspective*. Research Report 11, Los Angeles, CA: USC Center on Philanthropy and Public Policy, 2002, pp 24–25. People for the American Way, *Buying a Movement: Right Wing Foundations and American Politics*, Washington, DC: PFAW, 1996, pp. 12–15. Sally Covington, "Right Thinking, Big Grants, and Long-term Strategy: How Conservative Philanthropies and Think Tanks Transform US Policy," *Covert Action Quarterly*, Issue 63 (Winter 1998). PFAW, "Young America's Foundation," Washington, D.C.: http://www.pfaw.org/pfaw/general/default.aspx?oid=16236. See also Young America's Foundation home page, www.yaf.org. National Academy of Scholars, "ACE Statement Welcomed," Princeton, NJ: NAS, June 23, 2005, www.nas.org/print/pressreleases/hqnas/releas_23jun05.htm. Websites accessed Oct. 10, 2005.

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149. See Scott London, *Higher Education for the Public Good: A Report from the National Leadership Dialogues,* Ann Arbor, MI: National Forum on Higher Education for the Public Good, 2003.

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152. Laura Dueñes et al., *Building Partnerships for Neighborhood Change: Promising Practices of the University-Community Partnership* I*nitiative*, Washington, DC: Fannie Mae Foundation, Practice Report, Dec. 2001, see especially pages 5–12, 33–34, 38–40, and 54–56.

153. Suzanne W. Morse, with Jacqueline Dugery and James Knowles, *New Eyes on Community*. Charlottesville, VA: Pew Partnership for Civic Change, 2003, see especially pp. 11–12, quote on page 11. Jacqueline Dugery and James Knowles, editors, *University + Community Research Partnerships: A New Approach*, Charlottesville, VA: Pew Partnership for Civic Change, 2003, see especially page 19. "Organizations and Initiatives," *Shelterforce Online*, issue 101, Sept.–Oct. 1998. www.nhi.org/online/issues/101/indnews.html. Accessed Nov. 10, 2005.

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158. Richard S. Greenberg, *Financial Institutions in Community and Society*, New York, NY: Marga, fall 2005, see especially pp. 8–9.

159. Derek Bok, Interview, August 23, 2005.

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162. *Ibid.* Quote on page 20. Definition of service-learning is taken from Hollie Lund, Director of Service-learning at Cal Poly Pomona. See Hollie Lund, "The Many Shapes of Service-Learning," Pomona, CA: California State University Pomona, no date. Accessed at www.calstate.edu/csl/resources/engaged_departments.shtml on Oct. 14, 2005. Another group founded just a year prior to the founding of Campus Compact was the student-oriented Campus Outreach Opportunity League (COOL), which helped promote student support and activism around service-learning. In 2004, the organization merged with Action Without Borders. See www.idealistoncampus.org/ioc/about_us/history, accessed Oct. 13, 2005.

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193. Armand Carriere, Interview, March 17, 2005.

194. Harry Boyte, Interview, Sept. 9, 2005.

195. Judith Rodin, quoted in John Kromer and Lucy Kerman, *West Philadelphia Initiatives: A Case Study in Urban Revitalization*. Philadelphia, PA: University of Pennsylvania, 2004, page 11.

196. Three prominent studies that focus on these issues are Maurrasse, *Engaging Resources in Higher Education*; Andrew Hahn with Casey Coonerty and Lili Peaslee, *Colleges and Universities as Economic Anchors: Profiles of Promising Practices*, Providence, RI: Campus Compact, 2003, pp. 4–5; and CEOs for Cities and Institute for a Competitive Inner City (ICIC), *Leveraging Colleges and Universities for Urban Economic Revitalization*, spring 2002, see especially page 14. The CEOs for Cities/ICIC report notes that roughly half of university expenditures are for employees, while the other half are purchases of goods and services. Both, of course, give universities considerable economic development leverage.

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210. Students have also occasionally organized for allocating university funds for investment. The most noteworthy success in this area came at Mount Holyoke College, where the University agreed to set up a community investment fund based on a team-written report. See William Baue, "Mt. Holyoke First US College to Dedicate Fund Exclusively to Community Investment," *Institutional Shareowner*, June 14, 2005, www.institutionalshareowner.com/article.mpl?sfArticleId=1733, accessed Oct. 18, 2005. It should also be mentioned that another—albeit more self-interested—area of related student activity concerns the rise of graduate student employee unionization. According to one study, between 1990 and 2000, the number of unionized graduate students in the United States increased by 175 percent, to an estimated total of 40,000. See Robert A. Rhoads and Gary Rhoades, "Graduate Employee Unionization as Symbol of and Challenge to the Corporatization of U.S. Research Universities," *The Journal of Higher Education*, vol. 76, no. 3, May–June 2005, pp. 243–275; figure on graduate unionization on page 246.

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213. Hahn et al., *Colleges and Universities as Economic Anchors*, page 12. Maurrasse, *Engaging Resources in Higher Education*, page 19. Freddie Mac, "JSU Announces Employee Ownership Program: U.S. Rep. Thompson Lauds First Workforce Program at HBCU in Nation," McLean, VA: Freddie Mac, April 4, 2005, www.fred-

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223. Nor were all so engaged in the past. See George M. Dennison, "Small Men on Campus: Modern University Presidents," *The Montana Professor*, vol. 10, no. 3, fall 2000, http://mtprof.msun.edu/Fall2000/GDenn.html, accessed Oct. 16, 2005.

224. Robert Dynes, *Remarks to Sun Microsystems Worldwide Education and Research Conference*, San Francisco, CA: University of California Office of the President, Feb. 16, 2005, page 3.

225. Tanya Schevitz and Todd Wallack, "Auditor blasts UC's pay practices: University routinely violates own policies for compensating highest-paid employees," *San Francisco Chronicle*, May 3, 2006.

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Appendices

Appendix A: Resources for University Engagement

Section One: National Support Organizations

Section Two: State and Federal Programs

Section Three: Research & Consulting Resources

Section Four: Models & Innovations

Section Five: Civic Engagement Journals

Appendix B: Interview Subjects and Contributors

Appendix A: Resources for University Engagement

Section 1: National Support Organizations

AMERICAN ASSOCIATION OF COLLEGES AND UNIVERSITIES

1818 R Street, NW
Washington, DC 20009
T 202-387-3760
F 202-265-9532
www.aacu.org/issues/civicengagement/index.cfm

AAC&U is a membership organization of over 1,000 universities across the country. Their Civic Engagement website has links to descriptions of AAC&U's main civic engagement initiatives and programs, as well as to a number of publications regarding the role of universities in promoting civic engagement by students and faculty.

AMERICAN ASSOCIATION OF COMMUNITY COLLEGES

One Dupont Circle, NW, Suite 410
Washington, DC 20036
T 202-728-0200
F 202-833-2467
www.aacc.nche.edu

The American Association of Community Colleges is the primary advocacy organization for the nation's community colleges. The Association represents more than 1,100 associate degree-granting institutions and some 10 million students. Formed in 1920, AACC is a national voice for community colleges, which marked their 100th year of service to the nation in 2001.

AMERICAN COUNCIL ON EDUCATION

One Dupont Circle, NW
Washington, DC 20036
T 202-939-9300
www.acenet.edu

ACE acts as a coordinating body for the nation's higher education institutions and seeks to provide leadership and a unifying voice on key higher education issues, as well as influence public policy through advocacy, research, and program initiatives. Its members include approximately 1,800 accredited, degree-granting colleges and universities and higher education-related associations, organizations, and corporations.

AMERICAN DEMOCRACY PROJECT

American Association of State Colleges & Universities
1307 New York Ave., NW, Fifth Floor
Washington, DC 20005
T 202-293-7070
F 202-296-5819
www.aascu.org/programs/adp

The American Democracy Project is a multi-campus initiative that seeks to create an intellectual and experiential understanding of civic engagement for undergraduates enrolled at institutions that are members of the American Association of State Colleges and Universities (AASCU). The goal of the project is to produce graduates who understand and are committed to engaging in meaningful actions as citizens in a democracy.

AMERICAN INDIAN HIGHER EDUCATION CONSORTIUM

21 Oronoco Street
Alexandria, VA 22314
T 703-838-0400
F 703-838-0388
www.aihec.org

AIHEC was founded in 1972 by the presidents of the nation's first six Tribal Colleges as an informal collaboration among member colleges. Today, the group has grown to represent 34 colleges in the United States and one Canadian institution. AIHEC aims to support the work of these colleges, encourage the development of new tribal colleges, and encourage the participation of American Indians in the development of higher education policy.

APPA

1643 Prince Street
Alexandria, VA 22314-2818
T 703-684-1446
T 703-549-2772
www.appa.org

APPA is the association serving educational facilities professionals (formerly the Association of Physical Plant Administrators). APPA's membership consists of more than 1,500 learning institutions encompassing over 4,700 individuals throughout the United States, Canada, and internationally.

ASSOCIATION OF AMERICAN UNIVERSITIES

1200 New York Avenue, NW, Suite 500
Washington, DC 20005
T 202-408-7500

www.aau.edu/commserv/intro.html

The Association of American Universities (AAU) was founded in 1900 by a group of fourteen universities with doctoral programs. The AAU currently consists of sixty American universities and two Canadian research universities. Its Community Service & Outreach Program website has links to community partnership and outreach programs at a number of its member universities.

CAMPUS COMPACT
Brown University, Box 1975
Providence, RI 02912
T 401-867-3950
campus@compact.org
www.compact.org

Campus Compact is a coalition of college and university presidents who have committed to advancing higher education's civic mission. Founded in 1985 by the presidents of Brown, Georgetown and Stanford universities, and the president of the Education Commission of the States, Campus Compact's membership has grown to over 1,000 universities. Its website provides a wide range of resources on service-learning, civic engagement, and campus-community partnerships.

CARNEGIE FOUNDATION FOR THE ADVANCEMENT OF TEACHING
51 Vista Lane
Stanford, CA 94305
T 650-566-5100
F 650-326-0278
www.carnegiefoundation.org

The Carnegie Foundation for the Advancement of Teaching is an independent policy and research center, founded in 1906, whose charge is "to do and perform all things necessary to encourage, uphold, and dignify the profession of the teacher and the cause of higher education." Carnegie defines community engagement as "the collaboration between institutions of higher education and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity." Carnegie implemented its elective community engagement rating in December 2006. In the first round, 76 schools met the standards set by the foundation's advisory committee, including Penn, UCLA, Minnesota, Arizona State, Emory, Tufts, Michigan State, DePaul, NYU, North Carolina, Portland State, and Indiana University-Purdue University Indianapolis.

CENTER FOR LIVERAL EDUCATION AND CIVIC ENGAGEMENT
American Association of Colleges & Universities (AAC&U)
1818 R Street, NW
Washington, DC 20009
T 202-387-3760
F 202-265-9532
www.aacu.org/civic_engagement/index.cfm

Founded in 2003, the Center for Liberal Engagement is a joint effort of the American Association of Colleges & Universities and Campus Compact, which is designed to incubate new ideas, research, and partnerships to promote civic engagement by universities.

CEOS FOR CITIES
177 North State Street, Suite 500
Chicago, IL 60601
T 312-553-4630
F 312-553-4355
www.ceosforcities.org

CEOs for Cities is a group of more than 80 urban leaders, representing 26 of the nation's cities, that aims to assist cities to foster urban development, including by leveraging the role played by anchor institutions. Members include mayors, university presidents, foundation officials, corporate executives, and heads of economic and civic development organizations.

COMMUNITY-CAMPUS PARTNERSHIPS FOR HEALTH
1107 NE 45th Street, Suite 345
Seattle, WA 98105
(Alternate address: UW Box 354809, Seattle, WA 98195-4809)
T 202-543-8178
F 206-685-6747
ccphuw@u.washington.edu
www.ccph.info

CCPH is a nonprofit membership organization that promotes health through partnerships between communities and higher educational institutions. CCPH has members throughout the United States and increasingly the world who are collaborating to promote health through service-learning, community-based participatory research, broad-based coalitions and other community-academic partnership strategies. CCPH advances its mission primarily by disseminating information, providing training and technical assistance, conducting research and evaluation, advocating for supportive policies, and building coalitions.

COMMUNITY COLLEGE NATIONAL CENTER FOR COMMUNITY ENGAGEMENT
145 N. Centennial Way, Suite 201
Mesa, AZ 85201
T 480-461-6280
F 480-461-6218
schoonover@mail.mc.maricopa.edu
www.mc.maricopa.edu/engagement

The Community College National Center for Community Engagement promotes community engagement efforts by community colleges. The web site contains a wide variety of resources to support community college service-learning and civic engagement efforts.

HIGHER EDUCATION NETWORK FOR COMMUNITY ENGAGEMENT
c/o University Outreach and Engagement
Michigan State University
Kellogg Center, Garden Level
East Lansing, MI 48824
T 517-353-8977
F 517-432-9541
www.henceonline.org

A new organization founded in 2006, HENCE aims to bring together advocates of community engagement from a number of national organizations. Through its work, the group hopes to encourage and consolidate efforts that connect academic work to public purposes by transforming academic culture and better linking faculty and students with communities.

HISPANIC ASSOCIATION OF COLLEGES & UNIVERSITIES
National Headquarters
8415 Datapoint Drive, Suite 400
San Antonio, TX 78229
T 210-692-3805
F 210-692-0823
hacu@hacu.net
www.hacu.net

Established in 1986, HACU today represents more than 450 colleges and universities committed to Hispanic higher education success in the United States, Puerto Rico, Latin America, Spain and Portugal. Although its U.S. member institutions represent

less than 10% of higher education institutions nationwide, together they are home to more than two-thirds of all Hispanic college students.

INSTITUTE FOR HIGHER EDUCATION POLICY (IHEP)
1320 19th St., NW, Suite 400
Washington, DC 20036
T 202-861-8223
F 202-861-9307
institute@ihep.org
www.ihep.org

IHEP is a non-profit organization that aims to foster access and success in postsecondary education through public policy research and other activities that inform and influence the policymaking process. The group also hosts the Alliance for Equity in Higher Education, which is a policy-based coalition comprised of the National Association for Equal Opportunity in Higher Education (NAFEO) (which represents historically black colleges and universities), the American Indian Higher Education Consortium (AIHEC), and the Hispanic Association of Colleges and Universities (HACU).

NATIONAL ASSOCIATION FOR EQUAL OPPORTUNITY IN HIGHER EDUCATION
209 Third Street SE
Washington, DC 20003
T 202 - 552 - 3300
F 202 - 552 - 3330
www.nafeo.org

Founded in 1969 by presidents and chancellors of the nation's historically and predominantly black colleges and universities. NAFEO today represents approximately 500,000 students and their families. NAFEO member institutions are public and private, 2- and 4-year, community, regional, national and international comprehensive research institutions, located in twenty-five states, the District of Columbia, the Virgin Islands and Brazil.

NATIONAL ASSOCIATION OF EDUCATIONAL PROCUREMENT
5523 Research Park Drive, Suite 340
Baltimore, MD 21228
T 443-543-5540
F 443-543-5550
www.naepnet.org

Since the 1920's, NAEP has been the non-profit professional association primarily dedicated to serving higher education purchasing officers in the United States and Canada. The group aims to promote effective and ethical procurement principles and techniques within higher education, through continuing education, conferences on such topics as sustainability and minority contracting, networking, public information and advocacy.

NATIONAL FORUM ON HIGHER EDUCATION FOR THE PUBLIC GOOD
2002 SEB
610 East University Ave.
Ann Arbor, MI 48109
T 734-615-8882
F 734-615-9777
nationalforum@umich.edu
www.thenationalforum.org

The National Forum on Higher Education for the Public Good (formerly the Kellogg Forum) was founded to help push forward an agenda stemming from the Kellogg Foundation's effort in the late 1990s to promote greater university involvement in the community. The group aims to increase awareness, understanding, commitment, and action relative to the public service role of higher education in the United States. Its web site outlines much of the strategic thinking behind current efforts to promote greater community involvement by universities today.

NATIONAL ASSOCIATION OF INDEPENDENT COLLEGES AND UNIVERSITIES (NAICU)
1025 Connecticut Ave., NW, Suite 700
Washington, DC 20036
T 202-785-8866
F 202-835-0003
www.naicu.edu

NAICU serves as the unified national voice of independent higher education. Since 1976, the association has represented private colleges and universities on policy issues with the federal government, such as those affecting student aid, taxation, and government regulation. Its website provides capsule summaries of community engagement initiatives at a number of its member colleges.

NATIONAL ASSOCIATION OF STATE UNIVERSITIES AND LAND-GRANT COLLEGES (NASULGC)
1307 New York Ave., NW, Suite 400
Washington, DC 20005
T 202-478-6040
F 202-487-6046
www.nasulgc.org

NASULGC is an association representing both comprehensive state universities and land-grant colleges. The association sponsored the Kellogg Commission, which looked into ways to promote a return of land-grant colleges to their mission of public service. A number of reports from that commission are posted on the organization's website.

NATIONAL CENTER FOR THE STUDY OF UNIVERSITY ENGAGEMENT
University Outreach and Engagement
Michigan State University
Kellogg Center, Garden Level
East Lansing, MI 48824
T 517-353-8977
F 517-432-9541
ncsue@msu.edu
http://csue.msu.edu

National Center for the Study of University Engagement, based at Michigan State University, seeks to develop a greater understanding of how university engagement enhances faculty scholarship and community progress by coordinating national

efforts and bringing together Center staff with tenured faculty and community fellows who wish to write and present on their scholarship and engagement work.

NATIONAL CONFERENCE ON RACE & ETHNICITY IN AMERICAN HIGHER EDUCATION (NCORE)

The Southwest Center for Human Relations Studies
Public and Community Services Division
College of Continuing Education
The University of Oklahoma
2350 McKown Drive
Norman, OK 73072
T 405-292-4172
F 405-292-4177
www.ncore.ou.edu

Attended by over 1,800 participants a year, the annual NCORE conference promotes the creation of inclusive higher education environments, programs, and curriculum; improved campus racial and ethnic relations; and expanded opportunities for educational access and success by culturally diverse, traditionally under-represented populations.

NATIONAL REVIEW BOARD FOR THE SCHOLARSHIP OF ENGAGEMENT

Lorilee R. Sandmann
Associate Professor
University of Georgia
Department of Adult Education
Athens, GA 30602-4811
T 706-542-4014
www.scholarshipofengagement.org

This website aims to serve as a clearinghouse of information on the scholarship of engagement, with a focus on faculty peer review and training. A particularly informative section of the website, titled "benchmarking engaged universities" has links to a number of campus efforts to define and evaluate university community engagement and partnership efforts.

NEW ENGLAND RESOURCE CENTER FOR HIGHER EDUCATION

University of Massachusetts Boston
Graduate College of Education
Wheatley Building, 2nd floor, Room 159
100 Morrissey Boulevard
Boston, MA 02125-3393
T 617-287-7740
F 617-287-7747
http://nerche.org

NERCHE aims to serve as a center for inquiry, research, and policy, with a focus in the New England region. Committed to higher education's responsibility to the public realm, NERCHE strives for the widest possible inclusion of diverse voices—from underrepresented individuals, across role and position, and across institutional types—to foster authentic learning. NERCHE serves as the cosponsor, along with Worcester UniverCity Partnership, of a series of events focusing on the role of colleges and universities in economic development.

RAISE YOUR VOICE

Student Engagement Coordinator
Campus Compact
PO Box 1975
Brown University
Providence, RI 02912
T 401-867-3950
F 401-867-3925
www.actionforchange.org

Raise Your Voice is a student-oriented organization, begun by Campus Compact, which now operates on over 450 campuses with over 300,000 students. The site provides resources and information for college and university students on community work, activism, leadership, and civic growth, as well as a forum for sharing ideas.

SUSTAINABLE ENDOWMENTS INSTITUTE

45 Mt. Auburn Street
Cambridge, MA 02138
T 617-812-1472
www.endowmentinstitute.org

The Sustainable Endowments Institute is a special project fund of Rockefeller Philanthropy Advisors and is based in Cambridge, Massachusetts. Founded in 2005, the Institute is engaged in research and education on how higher education institutions can more effectively leverage their endowments by playing a more active role in the governance of the companies in which they invest.

Section 2: State and Federal Programs

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE (CSREES)

U.S. Department of Agriculture
Waterfront Centre
800 9th St., SW
Washington, DC 20024
T 202-720-7441
www.csrees.usda.gov

CSREES, an agency within the U.S. Department of Agriculture, provides funding support for education, research, and community outreach (extension) work done by land-grant universities in support of their public service mission. Funded initiatives cover the whole gamut from the promotion of rural agriculture to low-income, urban community gardens and food nutrition programs.

CORPORATION FOR NATIONAL AND COMMUNITY SERVICE

1201 New York Ave., NW
Washington, DC 20525
T 202-606-5000
webmaster@cns.gov
www.nationalservice.org

The Corporation for National and Community Service provides opportunities for Americans of all ages and backgrounds to serve their communities and country through three programs: Senior Corps, AmeriCorps, and Learn and Serve America. Members and volunteers serve with national and community nonprofit organizations, faith-based groups, schools, and local agencies to help meet community needs in education, the environment, and other critical areas.

KENTUCKY COUNCIL ON POSTSECONDARY EDUCATION

Regional Stewardship Program
1024 Capital Center Drive, Suite 320
Frankfort KY 40601
T 502-573-1555
F 502-573-1535
http://cpe.ky.gov/policies/budget/reg_steward_program.htm

Kentucky's Regional Stewardship Program is a new initiative, begun in 2006, that seeks to better link postsecondary education to Kentucky's people, communities, and economy. Supported by a $1.2 million state government allocation in 2006-2007 and $3.6 million in 2007-2008, the program includes general infrastructure funds to build general outreach capacity, regional grant funds to support comprehensive university efforts to build intellectual capacity in targeted areas, as well as support for specific public engagement activities at state universities that improve economic prosperity, quality of life, and civic participation in the region or state.

NATIONAL CENTER FOR EDUCATION STATISTICS (NCES)

Institute of Education Sciences
U.S. Department of Education
1990 K Street, NW
Washington, DC 20006
T 202-502-7300
http://nces.ed.gov

A program of the U.S. Department of Education, NCES is the primary federal entity responsible for collecting and analyzing data that are related to education in the United States and abroad. The web site makes available a broad range of information and reports on educational institutions and issues at both the university and K-12 level.

NATIONAL SEA GRANT OFFICE

NOAA/Sea Grant, R/SG
1315 East-West Highway
SSMC-3, 11th Floor
Silver Spring, MD 20910
T 301-713-2431
F 301-713-0799
www.nsgo.seagrant.org

Environmental stewardship, long-term economic development and responsible use of America's coastal, ocean and Great Lakes resources are at the heart of Sea Grant's mission. Sea Grant is a nationwide network, administered through the National Oceanic and Atmospheric Administration, of 30 university-based programs that connect universities with coastal communities.

NATIONAL SERVICE-LEARNING CLEARINGHOUSE

ETR Associates
4 Carbonero Way
Scotts Valley, CA 95066
T 866-245-7378 (toll free) or 831-438-4060 or 831-461-0205 (text)
F 831-430-9471
www.servicelearning.org

The National Service-Learning Clearinghouse (NSLC), a program of Learn and Serve America, operates a website supporting the service-learning efforts of schools, higher education institutions, communities, and tribal nations. The sites offers thousands of free online resources, the nation's largest library of service-learning materials, national service-learning listservs, and reference and technical assistance services.

OFFICE OF POSTSECONDARY EDUCATION

U.S. Department of Education
1990 K Street, NW
Washington, DC 20006
T 202-502-7750
www.ed.gov/about/offices/list/ope

The Office of Postsecondary Education (OPE) administers over 40 programs that support the office's mission of increasing access to quality postsecondary education. Among these are the Fund for the Improvement of Postsecondary Education (FIPSE), a grant program that has supported a number of community partnership initiatives and a group of eight "TRIO" (originally, three, hence the name) educational opportunity outreach and support programs.

OFFICE OF UNIVERSITY PARTNERSHIPS
U.S. Department of Housing & Urban Development
451 7th Street, SW
Room 8106
Washington, DC 20410
T 800-245-2691
F 301-519-5767
oup@oup.org
www.oup.org

Created in 1994, the Office of University Partnerships, operated by the U.S. Department of Housing & Urban Development, manages programs designed to support university community development efforts, including the Community Outreach Partnership Center program. Its web site has a host of materials regarding university community partnership efforts.

WEST VIRGINIA RURAL HEALTH PARTNERSHIP
Office of Rural Health-WVRHEP
Robert C. Byrd Health Sciences Center at West Virginia University
P.0. Box 9003
Morgantown, WV 26506-9003
T 304-293-6753
www.wvrhep.org

Developed with the support of the Kellogg Foundation and the state government, the Rural Health Partnership program developed to fulfill a gap in the delivery of health services to rural West Virginians. Now a statewide program, the effort has grown to include 13 training consortia or networks of community-based health, social, and education agencies, covering 47 of West Virginia's most underserved counties.

Section 3: Research & Consulting Resources

CENTER FOR INFORMATION AND RESEARCH ON CIVIC LEARNING AND ENGAGEMENT (CIRCLE)
School of Public Policy
University of Maryland
College Park, MD 20742
T 301-405-2790
www.civicyouth.org

Since 2001, CIRCLE has conducted, collected, and funded research on the civic and political participation of young Americans. CIRCLE is based in the University of Maryland's School of Public Policy. The group's web site has a number of reports on civic knowledge, service-learning, and related issues.

COMMUNITY-WEALTH.ORG
c/o The Democracy Collaborative
1140-F Tydings Hall
University of Maryland
College Park, MD 20742
T 301-405-9834
F 301-920-1440
www.Community-Wealth.org

Community-Wealth.org, a project of the Democracy Collaborative at the University of Maryland, is a comprehensive, online resource that provides information about state-of-the-art strategies for democratic, community-based economic development and wealth building. The website includes an extensive resource section on university-community partnerships as well as another detailed section that focuses on the role played by universities and other nonprofits as economic "anchor" institutions.

INITIATIVE FOR A COMPETITIVE INNER CITY
727 Atlantic Avenue, Ste 600
Boston, MA 02111
T 617-292-2363
F 617-292-2380
www.icic.org

ICIC is a national not-for-profit organization founded in 1994 by Harvard Business School professor Michael E. Porter to promote inner-city revitalization. In particular, ICIC promotes a combination of public and private investment to rebuild inner city economies. ICIC has conducted a number of studies that stress the central role of universities and anchor institutions in this effort.

LINCOLN INSTITUTE OF LAND POLICY
City, Land and the University Program
Lincoln Institute of Land Policy
113 Brattle Street
Cambridge, MA 02138-3400
T 617-661-3016 or 800-526-3873
F 617-661-7235 or 800-526-3944
help@lincolninst.edu
www.lincolninst.edu/subcenters/clu

The City, Land and The University Program focuses on university real estate development from the perspective of a variety of actors: including the university, the adjacent neighborhood, and the city itself. This site contains a wide variety of resources for educators, economic development practitioners, city administrators, university leaders, real estate developers, and community groups.

MARGA, INC
245 Park Avenue, 39th Floor, Suite 46
New York, NY 10167
T 212-979-9770
F 917-591-1547
margainc@margainc.com
www.margainc.com

Marga is a consulting firm that addresses cross-sector partnerships, philanthropy, strategy, and various aspects of management. Much of Marga's work focuses on universities and their role as anchored institutions and engines of economic development within the communities in which they are located.

PARTNERS FOR LIVABLE COMMUNITIES
1429 21st Street
Washington DC 20036
T 202-887-5990
F 202-466-4845
www.livable.com

Partners for Livable Communities is a non-profit group founded in 1977 working to improve the livability of communities by promoting quality of life, economic development, and social equity. Many of its programs, such as its "Creative Cities" initiative focuses on the role cultural institutions can play in anchoring community wealth building and economic development.

SECOND NATURE
18 Tremont Street, Suite 1120
Boston, MA 02108
T 617-224-1610
www.secondnature.org

Since 1993, Second Nature has worked with over 4,000 faculty and administrators at more than 500 colleges and universities to help make the principles of sustainability the foundation of all learning, practice, and collaboration with local communities.

SEEDCO
915 Broadway, 17th Floor
New York, NY 10010
T 212-473-0255
F 212-473-0357
info@seedco.org
www.seedco.org

Founded in 1987, Seedco (the Structured Employment Economic Development Corporation), a national community development intermediary, creates opportunities for low-wage workers and their families by engaging with community partners, universities and other anchor institutions. Seedco works to help people join the workforce and achieve economic self-sufficiency, assist small businesses, and promote asset building for residents and businesses in economically distressed communities.

U3 VENTURES
1735 Market Street, Suite A-443
Philadelphia, PA 19103
T 219-279-8385
www.u3ventures.com

U3 Ventures is a consulting firm that works with urban university clients, with the aim of channeling their real estate development to support both institutional and community objectives. U3 Ventures has worked in a number of cities to date, including Denver, Philadelphia, and Calgary.

Section 4: Models & Innovations

LOWELL BENNION COMMUNITY SERVICE CENTER
University of Utah, Department of Student Affairs
101 Olpin Union, 200 S. Central Campus Dr.
Salt Lake City, UT 84112
T 801-581-4811
www.sa.utah.edu/bennion

Founded in 1987, the Lowell Bennion Community Service Center adheres to a team approach to recruiting, training, and selecting issues on which to focus. Through student leadership, volunteer participation grew dramatically (from 546 to 1409 volunteers) in the first year. At last count, the Center had 6,800 volunteers performing more than 152,000 hours of service to the community.

CENTER FOR COMMUNITY AND ECONOMIC DEVELOPMENT
Michigan State University
1801 W. Main St
Lansing, MI 48915
T 517-353-9555
F 517-484-0068
cedp@msu.edu
www.cedp.msu.edu

The Center for Community and Economic Development at Michigan State University is located in the state capital city of Lansing and operates with the express purpose of developing and applying knowledge to address the needs of society across the state of Michigan - primarily in distressed urban communities.

CENTER FOR COMMUNITY PARTNERSHIPS
University of Pennsylvania
133 South 36th Street, Suite 519
Philadelphia, PA 19104
T 215-898-5351
F 212-573-2799
www.upenn.edu/ccp

Founded in 1992, the Center for Community Partnership is the University of Pennsylvania's primary vehicle for community-oriented, real-world problem solving. The center enlists the broad range of knowledge available at a research university in its efforts to help solve the complex, comprehensive and interconnected problems of the American city. By linking theory with application, CCP works to create a mutually beneficial relationship between the University and West Philadelphia community. The center's programs focus on local schools, urban nutrition, and a range of community initiatives.

CENTER FOR DEMOCRACY AND CITIZENSHIP
Humphrey Institute of Public Affairs
University of Minnesota
301 19th Ave. South
Minneapolis, MN 55455
T 612-625-0142
F 612-625-3513
www.publicwork.org

Founded in 1989, the Center for Democracy and Citizenship at the University of Minnesota's Hubert H. Humphrey Institute of Public Affairs aims to promote both democratic theory and practice. The Center promotes a number of different university community partnership efforts, including programs centered in working with Hmong and Latino immigrants in the West Side of St. Paul, Minnesota.

CENTER FOR ECONOMIC AND COMMUNITY DEVELOPMENT
Pennsylvania State University
105C Armsby Building
University Park, PA 16802
T 814-865-0659
F 814-865-3746
http://cecd.aers.psu.edu

The Center for Economic and Community Development at Penn State works closely with Pennsylvania regions and communities on issues of economic development, land use, local government finance, and community asset building, as well as developing community profiles, posted on its web site, of individual county economic and demographic indicators.

CENTER FOR URBAN PROGRESS
Howard University
1840 7th Street, NW, 3rd Floor
Washington, DC 20001
T 202-865-8572
F 202-232-6751
hucup@howard.edu
www.coas.howard.edu/hucup

The Howard University Center for Urban Progress (CUP) is an interdisciplinary center that mobilizes the Howard University community to address critical local, national, and global urban issues through applied and community-based research, academic programs, technical assistance to public and private agencies, program evaluation, and demonstration projects.

CENTER FOR URBAN RESEARCH AND LEARNING
Loyola University Chicago
Lewis Towers, 10th Floor
820 N. Michigan Avenue,
Chicago, IL 60611
T 312-915-7760
F 312-915-7770
curlcomm@luc.edu
www.luc.edu/curl

The Center for Urban Research and Learning (CURL) of Loyola University Chicago connects Loyola faculty and students with community and nonprofit organizations, civic groups, and government agencies. By working closely with community leaders outside the university, the Center combines the knowledge and experience of both university researchers and individuals or organizations in non-academic settings to effectively address community needs.

CENTER OPERATIONS AND COMMUNITY SERVICES (COSERVE)
Division of External Affairs
The University of Texas-Pan American
1201 West University Drive
Edinburg, TX 78541
T 956-381-3361
http://ea.panam.edu/coserve

Founded in 1995, the University of Texas-Pan America's Co-SERVE provides a wide range of community services including first-time homebuyers assistance, as well as small business development (estimated by Vice President of External Affairs Roland Arriola to generate more than 1,000 jobs a year), technical assistance for non-profit groups, and English-language training.

DUKE-DURHAM NEIGHBORHOOD PARTNERSHIP
Office of Community Affairs
Duke University
2024 W. Main St., Bay C 1st Floor
Durham, NC 27705
(Alternate address: Box 90433, Duke University, Durham, NC 27708
T 919-668-6300
F 919-668-6284
www.community.duke.edu

The Duke-Durham Neighborhood Partnership began in 1996 as a way to engage Duke University and its people in a structured partnership with the surrounding community. To date, Duke has helped to raise more than $12 million to invest in its partner neighborhoods. Duke's work in this area includes support of affordable housing (including a $4 million investment in Self-Help), the operation of two community health centers, and an after-school program for at-risk students in local public schools.

EAST ST. LOUIS ACTION RESEARCH PROJECT
University of Illinois at Urbana-Champaign
Campus mail code: MC-549
326 Noble Hall, 1209 S. Fourth St.
Champaign, IL 61820
T 217-265-0202
F 217-244-9320
eslarp@uiuc.edu
www.eslarp.uiuc.edu

Since 1990, this program of mutual learning and assistance has been an important part of the growing neighborhood revitalization movement in East St. Louis, Illinois and more recently four adjacent communities: Alorton, Brooklyn, Centreville, and Washington Park. Areas of concentration have included youth skill development, neighborhood organization capacity building, and affordable housing.

EDWARD GINSBERG CENTER FOR COMMUNITY SERVICE AND LEARNING
University of Michigan
1024 Hill Street
Ann Arbor, MI 48104-3310
T 734-647-7402
F 734-647-7464
www.umich.edu/~mserve/umich_community_programs/index.html

The Ginsberg Center is home to several community partnership and service-learning programs. Courses today exist in five colleges (Architecture and Urban Planning; Engineering; Literature, Science and the Arts; Residential College) and eleven schools (Art and Design; Dentistry; Rackham School of Graduate Studies; Music; Natural Resources and Environment; Nursing; Public Health; Social Work; Education; Information; Public Policy).

ENGINEERING PROJECTS IN COMMUNITY SERVICE
The EPICS Program at Purdue
Electrical Engineering Building Room 348A
465 Northwestern Avenue
West Lafayette, IN 47907-2035
T 765-494-0639
F 765-494-0052
epics@purdue.edu
http://epics.ecn.purdue.edu

Founded at Purdue University in the fall of 1995, since its founding over 2,000 Purdue students have participated in 150 projects. Each team has a multi-year partnership with a community group. Projects can focus on human services, access and abilities, education and outreach, or the environment. Purdue's EPICS program is a model in engineering for marrying learning and engagement and is headquarters for the National EPICS program. Today, EPICS programs are operating at 15 universities, with over 1,350 students participating on 140 teams in 2003-04.

GREAT CITIES INSTITUTE
University of Illinois, Chicago
412 South Peoria Street, Suite 400
Chicago, IL 60607
T 312-996-8700
F 312-996-8933
gcities@uic.edu
www.uic.edu/cuppa/gci

The UIC Great Cities Institute is a research center committed to creating, disseminating and applying interdisciplinary knowledge to urban affairs. It implements dozens of teaching, research and service programs designed to improve the quality of life in metropolitan Chicago and other urban areas. Among its programs is its Neighborhoods Initiative, which works with local community groups on health, technology, leadership development, and other issues of mutual concern.

INSTITUTE FOR URBAN & REGIONAL DEVELOPMENT
University of California
316 Wurster Hall # 1870
Berkeley, CA 94720
T 510-643-7553
F 510-643-9576
iurd@berkeley.edu
www-iurd.ced.berkeley.edu

Since 1991, IURD has focused on supported community development efforts in neighboring Oakland, raising more than four million dollars for such efforts since 2000 alone. Faculty and students involved in these projects have been drawn from many of the university's different colleges, including the College of Environmental Design, the College of Natural Resources, Civil Engineering, the School of Education and the School of Public Health.

KENNETH COLE COMMUNITY BUILDING FELLOWSHIP PROGRAM
Office of University-Community Partnerships
Emory University
1256 Briarcliff Road, NE, Suite 418 West
Atlanta, GA 30306
T 404-712-9893
F 404-712-9892
www.oucp.emory.edu/Info/kennethcolefellows.html

The Kenneth Cole Community Building Fellowship Program is an intensive twelve-month program that introduces Emory students to the challenges and opportunities involved in seeking to revitalize urban communities and promote positive - and lasting - social change.. Launched in 2002 with a seed gift from the Kenneth Cole Foundation, student fellows have worked with Atlanta-based community groups on a wide range of issues, including affordable housing, community development, health, the environment, and social justice.

THE MILWAUKEE IDEA
Engelmann Hall B78
University of Wisconsin-Milwaukee
P.O. Box 413
Milwaukee, Wisconsin 53201
T 414-229-6913
F 414-229-3884
www.uwm.edu/MilwaukeeIdea

The Milwaukee Idea is the University of Wisconsin-Milwaukee's initiative to forge vital and long-lasting community-university partnerships. Started in 1999, the initiative has led to expansion of service-learning efforts, partnerships with local K-12 schools, and university participation in affordable housing development. The web site contains a number of publications regarding local community engagement efforts.

OLD NORTH PARTNERSHIP PROJECT
University of Missouri, St. Louis
2800 North 14th Street
St. Louis, MO 63106
T 314-241-5031
pprc@umsl.edu
www.umsl.edu/services/pprc/onnp/preservation.html

Over a 3-year period, faculty, students and staff at the University of Missouri-St. Louis collaborated with residents of Old North St. Louis to cultivate a sense of place and spur neighborhood revitalization through historical research. One outcome of this ongoing partnership was the book *From Village to Neighborhood: A History of Old North St. Louis*, published in 2004, which documents the history of the neighborhood through research, interviews, and archaeological excavations.

PARTNERSHIP FOR COMMUNITY DEVELOPMENT
P.O. Box 37
10 Utica Street
Hamilton, NY 13346
T 315-825-3537
F 315-825-0230
info@partnersatwork.org
www.partnersatwork.org

Founded in 1998 as a partnership between Colgate University and the Town and Village of Hamilton, New York, the Partnership for Community Development has fostered small business development; provided design help and funding to improve building facades and streetscapes in the five-block business district of downtown Hamilton; helped restore the Village Green; and established retail and marketing support for local arts and crafts. To date, Colgate has provided $630,000 in funding, which has leveraged over $1.5 million from private sector, foundation, and government sources.

PUBLIC SERVICE & OUTREACH-UNIVERSITY OF GEORGIA
Office of the Vice President
Treanor House
Athens, GA 30602-3692
T 706-542-6167
F 706-542-6278
www.uga.edu/outreach

The University of Georgia has a broad vision of its public service mission. Current areas of concentration include anti-poverty initiatives, working with Georgia's Latino communities, economic development, and service-learning.

SOUTHSIDE INSTITUTIONS NEIGHBORHOOD ALLIANCE
207 Washington Street
Hartford, CT 06106
T 860-493-1618
F 860-520-1359
www.sinainc.org

Southside Institutions Neighborhood Alliance (SINA) is a partnership between Connecticut Children's Medical Center, Hartford Hospital and Trinity College that works cooperatively with the community to develop leadership and improve the economic, physical and social characteristics of Hartford's Frog Hollow, Barry Square and South Green neighborhoods. The partnership has promoted homeownership, jobs for neighborhood residents, and community commercial development.

IRWIN W. STEANS CENTER
DePaul University
2233 N. Kenmore Ave.
Chicago, IL 60614
T 773-325-7457
F 773-325-7459
http://cbsl.depaul.edu

The Irwin W. Steans Center for Community-based Service-learning was founded to integrate the service concept into the University's curricula. DePaul's commitment to service is part of its Vincentian, Catholic, and Urban Mission: to foster through higher education a deep respect for the dignity of all persons, especially the materially, culturally, and spiritually deprived; and to instill in its students a dedication of service to others.

STUDENT LEADERSHIP & CIVIC ENGAGEMENT-COLORADO STATE UNIVERSITY
Room 176, Lory Student Center
Fort Collins, CO 80523-8033
T 970-491-1682
F 970-491-2826
www.slce.colostate.edu

Colorado State's Office of Student Leadership & Civic Engagement (SLCE) promotes leadership development, service-learning and volunteer opportunities. One of its programs is its Alternative Spring Break program, which places approximately 100 students a year in short-term intern positions with non-profit community groups from across the country.

JONATHAN M. TISCH COLLEGE OF CITIZENSHIP AND PUBLIC SERVICE
Lincoln Filene Hall
Tufts University
Medford, MA 02155
T 617-627-3453
F 617-627-3401
http://activecitizen.tufts.edu

Founded in 2000, Tisch College was established to support the core Tufts mission of promoting civic engagement by: 1) facilitating and supporting a wide range of student programs that enable them to develop their potential to contribute meaningfully to the greater world; 2) working directly with the communities in which Tufts has a presence; 3) Engaging and supporting faculty in research and teaching; and 4) Engaging Tufts alumni interested in building stronger communities and societies.

UPTOWN CONSORTIUM
629 Oak Street, Suite 306
Cincinnati, OH 45206
T 513-861-8726
info@UptownConsortium.org
www.uptownconsortium.org

The Uptown Consortium is a non-profit community development corporation dedicated to the human, social, economic and physical improvement of Uptown Cincinnati. The organization was formed by leaders of Uptown's five largest employers: Cincinnati Children's Hospital Medical Center, Cincinnati Zoo & Botanical Garden, The Health Alliance of Greater Cincinnati, TriHealth, Inc. and University of Cincinnati. As part of the consortium, the University has helped create Neighborhood Development Corporations in Corryville, Clifton Heights, and other Uptown locations, investing up to $100 million of its $1 billion endowment in these efforts.

WEST PHILADELPHIA PARTNERSHIP
619 N. 35th Street
Philadelphia, Pa 19104-1901
T 215-386-5757
F 215-386-3220
www.westphilly.org/index2.html

The West Philadelphia Partnership involves the collaboration of the University of Pennsylvania, health care institutions, local companies, and local community development corporations and neighborhood associations to enhance the quality of residential and economic life in West and Southwest Philadelphia, with a focus on workforce training and youth education programs.

WORCESTER UNIVERCITY PARTNERSHIP
339 Main Street, Worcester, MA
T 508-753-2924, extension 243
info@UniverCityPartnership.org
www.univercitypartnership.org

The Worcester UniverCity Partnership aims to be a catalyst for long-term economic growth and prosperity by facilitating collaboration among the businesses, city government, neighborhood groups and non-profits organizations, and the colleges and universities in the Worcester area. The partnership aims to creatively link the campuses with the community, including by expanding the role local universities and colleges play both through their research and teaching, as well as through local purchasing, increasing local hiring, and assisting small businesses.

Section 5: Civic Engagement Journals

JOURNAL FOR CIVIC COMMITMENT

Community College National Center for Community Engagement
Mesa Community College
Downtown Center
145 N. Centennial Way, Suite 201
Mesa, Arizona, 85201
T 480-461-6280
F 480-461-6218
www.mc.maricopa.edu/other/engagement/Journal/index.jsp

The Journal for Civic Commitment, a journal supported by the federal government's Corporation for National Service, is dedicated to growing and strengthening the discussion around service-learning. Published twice a year, the website makes available articles both from current and back issues.

JOURNAL OF EXTENSION

Laura Hoelscher
Department of Agricultural Communication
Purdue University
Agricultural Administration Building
615 W. State Street
West Lafayette IN 47907-2053
joe-ed@joe.org
www.joe.org

The Journal of Extension (JOE) is the official refereed journal of the U.S. Cooperative Extension System. JOE aims to expand and update the research and knowledge base for Extension professionals and other adult educators to improve their effectiveness. In addition, JOE serves as a forum for emerging and contemporary issues affecting Extension education. As of June 1994, JOE has been a web-only publication. Along with new issues of JOE, back issues to 1963 are also available online.

JOURNAL OF HIGHER EDUCATION OUTREACH AND ENGAGEMENT

Institute of Higher Education
University of Georgia
104 Meigs Hall
Athens, Georgia 30602-6771
www.uga.edu/jheoe

The Journal of Higher Education Outreach and Engagement, formerly the Journal of Public Service and Outreach, promotes dialogue about the service and outreach mission of higher education. Published two times per year (fall/winter, and spring/summer), JHEOE is a peer-reviewed journal that prints articles from a broad range of scholars, practitioners, and professionals. Abstracts of articles published dating back to 2000 are available on line.

MICHIGAN JOURNAL OF COMMUNITY SERVICE-LEARNING

University of Michigan
1024 Hill Street
Ann Arbor, MI 48104-3310
T 734-647-7402
F 734-647-7464
www.umich.edu/~mjcsl

The Michigan Journal of Community Service-learning promotes dialogue about service-learning and community outreach in higher education. Founded in 1994 and publishing twice a year (fall and spring) since 2002, this peer-reviewed journal publishes a range of articles on service-learning both by faculty and program administrators. Abstracts of articles published dating back to the founding of the journal are available on line.

Appendix B: Interview Subjects and Contributors

More than 50 people contributed to this project by participating in interviews, most of which were conducted by telephone, although a number were conducted in person. Specific contributions are acknowledged in footnotes in the text; other support was of a more general nature—sources, leads, and comments that are not tied to any specific piece of data, but nonetheless greatly added to the work. We wish to thank all who generously gave of their time and insights to this research effort.

- Michael Baer, former Senior Vice President, American Council on Education
- Derek Bok, President Emeritus, Harvard University
- Harry Boyte, Founder and Co-Director, Center for Democracy and Citizenship, Humphrey Institute, University of Minnesota
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- Victor Rubin, Vice President for Research, PolicyLink
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About The Democracy Collaborative

The Democracy Collaborative was initiated by the University of Maryland in 2000 to advance a new understanding of democracy for the 21st century and to promote sustained and widespread democratic practice.

The Collaborative is a national leader in the field of community development through our Community Wealth Building Initiative. The Initiative sustains a wide range of projects involving research, training, policy development, and community-based work designed to promote an asset-based paradigm and increase support for the field across-the-board. For more information about community wealth building, and activities such as the Collaborative's "Community Wealth Building Roundtables," visit our research and action web portal at: www.Community-Wealth.org.

The Collaborative has recently initiated a project focused on anchor institutions as an emerging community building asset. In addition to the role of universities as economic engines and resources within communities, the project is examining how other place-based nonprofit anchors—including hospitals, cultural centers, libraries, faith-based institutions, community foundations, public utilities, community-based not-for-profit organizations, and others—can be leveraged to benefit the localities in which they are based. Among the mechanisms we are exploring are locally targeted purchasing strategies, such forms of real estate development as housing land trusts and employer-assisted housing, cooperative and employee-owned businesses able to provide goods and services to anchors, and endowment investment directed at equitable community development.

For more information about The Democracy Collaborative
and our Community Wealth Building Initiative, contact:

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Linking Colleges to Communities is a must read for those in and out of the academy who are interested in the civic role of colleges and universities. It provides both a broad overview of the development of the campus/community partnership movement, and strategic analysis of how to address current and future challenges. It contains a valuable history of the federal role in funding the civic activities of campuses. Strategies are spelled out for sustaining and deepening the work at the campus level and by foundations and state and federal policy makers.

Elizabeth Hollander
Senior Fellow, Tisch College of Citizenship and Public Service, Tufts University and Former Executive Director of Campus Compact

The history of universities' engagement with communities has not, before now, been told in such a comprehensive, critical, and insightful manner, nor have community engagement programs been analyzed as an area of government policy in their own right. The Democracy Collaborative has done an excellent job of filling those gaps by weaving many different strands of the story into a coherent picture of historic and contemporary federal and state policy. This unique account helps the reader understand not only *why* it has been important for higher education to establish positive, mutually valuable links with community, but *how to do it well*. As one who has been a manager, a funder, and an evaluator of such partnerships, I found this account extremely helpful, and I know that it will be for others who seek to advance the field.

Victor Rubin
Vice President for Research, PolicyLink and Former Director, HUD Office of University Partnerships

Using insightful analyses and well chosen examples, this monograph points the way for students, faculty, and university leaders to work with communities in ways that ultimately strengthen everyone involved while contributing to a stronger democracy across the board. I hope it may encourage those who are already deeply engaged in this work, but will also be valuable to presidents, provosts, and deans who provide leadership within the academy and to policy makers charged with reconstructing the essential relationships between the institutional and community assets for which they provide stewardship. It has remarkably well reasoned wisdom for all of them.

John Burkhardt
Director of the National Forum on Higher Education for the Public Good at the University of Michigan