The design imperatives of a

New American University

represent a new way of thinking

A SOCIAL EMBEDDEDNESS PLAN FOR ASU

about the fundamental objectives

of a university's teaching, research,

and public service.

September 2006

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"Social embeddedness means having long-term, reciprocal relationships with the community. I don't think the university should be a brain bank that the

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community makes withdrawals from. It should be a partner, blending into the neighborhood... intermingling."

\- External

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he plan, for creating a New American University through social embeddedness that unfolds on the following pages represents two years of work, led by Fern Tiger Associates[1], working together with Arizona State University. In reality, this plan should be seen as a work-in-progress, representing a vision for how ASU and the communities of greater Phoenix can create an ethos that values working in a collaborative – almost symbiotic – partnership to create and support a vital economic, social, cultural, and political region.

In 2008, Arizona State University will reach its 50-year milestone as a university; in 2012, the State of Arizona will celebrate its 100th birthday. The significance of these anniversaries should not be underestimated. Though Arizona and ASU are young compared to national peers, together the state and the university lie at a unique historical crossroad – a moment of opportunity, but also of challenge. It is imperative to seize this moment to build an enduring future.

The 2000 U.S. Census reported the Phoenix Metropolitan Statistical Area as the 14th largest in the United States with a population of more than 3.2 million; according to the Census Bureau's latest estimates, Phoenix is the 6th largest city in the U.S. In 2002, ASU welcomed its 16th president, Michael Crow. At the time of his arrival, ASU had grown to three campuses (with a fourth "downtown" campus in the early planning stages) and a student population of nearly 60,000. Today, ASU's Tempe campus has the largest student enrollment in the U.S. (ASU is projecting 100,000 students at its four combined campuses, in the next decade.)

The history of greater Phoenix and the history of ASU are intertwined and the stories of their future will continue to be linked. These are stories of explosive growth and man-made ingenuity. But the changing demographics and the limited natural resources of the region underscore the need for urgent attention to the challenges facing both the University and the greater metropolitan area. As each seeks to meet the demands of growing populations, new ways to maintain and renew the Valley's social and physical ecology and economies that sustain them need to be identified and developed.

In his 2002 inaugural speech, President Crow described the need to move beyond the traditional university to a "*New* American University… which is a function of its contemporary environment rather than a replication of an entity that was derived in another setting and another time." He laid out eight design imperatives which formed what he called the "new gold standard" for the New American University. One of President Crow's design imperatives is referred to as "social embeddedness" – a concept which is fraught with the weight of numerous preconceived connotations and yet, was not given a tangible definition.

"The community is a learning, living, and adapting organism; the University sits on the edge of that 'becoming' process.

- Michael Crow

1 Fern Tiger Associates (FTA) is an Oakland, CA-based national consulting firm, working with the public and nonprofit sectors, and select corporate clients. Since 1978, FTA has been dedicated to bringing about positive social change by providing communities and organizations with an unusual and comprehensive array of services and skills focused on: advocacy documentation; organizational effectiveness; research and public policy; and strategic outreach and communications. FTA was selected through an RFP process conducted by ASU in 2004 to develop a plan that would fulfill the University's vision of social embeddedness, as mandated through the President's design imperative. FTA proposed a process to assess the University's and the community's readiness, and to develop a set of recommendations based on research described in the Methodology section. Fern Tiger, founder, is a Professor of Practice at ASU's College of Public Programs.

Still, the concept has a substantial pre-history. Educational institutions have long attempted to reach out to local communities through "community relations," "partnerships," "community engagement," "service learning," and other programs.

Civic responsibility and community engagement are not necessarily new concepts. They have influenced the mission of educational institutions as diverse as land-grant, Jesuit, and alternative colleges for more than 200 years. Today, hundreds of colleges and universities nationwide boast programs and strategies aimed at improving or enhancing the connections between the university and the community. Across the country, urban universities have recognized the need and importance of "engaging" with local communities, as well as the potential this engagement offers to change the way local people and institutions think about resources and relationships. As ASU embarks on a process intended to increase its "embeddedness" in the greater Phoenix metropolitan area (and more specifically in the communities ASU calls "home:" Tempe, Mesa, Glendale, and Phoenix), there is much to learn from the experiences of other universities across the country.

As part of its work with ASU, Fern Tiger Associates sought out the diverse perspectives of more than 200 individuals from ASU and the greater Phoenix community. FTA assessed community perceptions and tested assumptions through in-person, on-site interviews, with a broad range of people, including ASU administrators, faculty, and staff; community residents and activists; directors and board members of nonprofit institutions ranging from local neighborhood and community groups to statewide organizations; civic and business leaders; urban planners and architects; public and private funders; policy makers; and elected officials and legislators. FTA also conducted a study of best practices in community engagement at more than 75 colleges and universities across the country. The study surveyed the state of university-community relations around the U.S., including focused research on more than 40 colleges and universities (or particular programs at these universities) as well as site visits to interview key players (both university and community leaders) at 15 of these locations. This study identified extraordinary goodwill and many promising programs that offer important lessons for ASU and other institutions which attempt greater levels of engagement with their neighboring communities. However, very few of these institutions evidenced a holistic and integrated set of strategies and goals for reaching out to, engaging with, and forming full, mutually-beneficial partnerships with communities. Nevertheless, in assessing both lessons learned and promising practices, there were many examples of stand-alone efforts which could be pieces of a much larger, coherent, and strategic vision for social embeddedness.

Combining local research and interviews with national visits, and working with a core team of ASU faculty and administrators, a definition and vision emerged that frames the plan presented here. By striving to transform the University through an ambitious vision of social embeddedness, ASU will move toward a true university/community partnership, which will permeate every aspect of the University and the community.

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2 Quotes appearing throughout this document are from the 200+ interviews conducted by FTA throughout 2004 and 2005 with people from both ASU and greater Phoenix. *See Methodology for additional information.*

This process of transformation will demand that ASU look deeply and critically at many established ways of thinking about and operating as a university. At the same time, communities will be pushed, and even provoked, into perceiving and working with the University in an entirely new manner.

At ASU, this vision involves the ongoing integration of five innovative and distinct, yet interrelated, actions:

- **Teaching and Learning,** involving faculty and students in solving problems facing communities.
- **Research and Discovery,** advancing relevant inquiry by valuing community input, knowledge, and needs.
- **Community Capacity Building,** enabling community-based organizations and institutions to become strong and effective by providing support, training, and access to resources and information.
- **Economic Development and Investment,** responding to the needs of both the university and communities as ASU pursues its role as an economic engine.
- **Social Development,** enhancing the well-being of the diverse people and communities of Arizona, by working closely with public and private institutions.

The vision and actions to transform Arizona State University, while building and sustaining the values of social embeddedness, encompass four main goals. Two of the goals relate directly to the University; two goals relate more broadly to the community. The five integrated actions (noted above) are woven thematically into the four goals:

1) Foster a university-wide culture that embraces responsibility for contributing to positive social change in the community and in the research, teaching, and service practices of ASU.

2) Develop internal and external structures and reward systems to encourage and support effective implementation and long-term sustainability of social embeddedness as a core value for ASU and the greater Phoenix community.

3) Work in partnership with the communities of Arizona to increase the state's social capital and to strengthen the capacity of communities.

4) Establish ASU as a national model for university-community partnership.

The plan encompassed in the following pages describes in detail the goals, strategies, and recommended actions that ASU should take to move towards the accomplishment of a coherent vision of a university which is socially embedded within its regional community. While the plan provides a comprehensive series of goals and strategies for achieving its vision through programs, policies, and structural changes, it does not lay out the logistical or technical aspects of putting the plan into place.

An accompanying section entitled *Management Strategies* is intended to provide an overview of the broad tasks and decisions that must be undertaken in order to begin and sustain implementation of the goals.

Despite its mandate of innovation, this plan will still require some degree of traditional and fundamental operational elements, including staff; dedicated funding; physical facilities; strategic leadership and communications strategies, as well as materials; a long-term plan for evaluation; and supporting technology.

The *Management Strategies* section begins the discussion of the strategies, needs, and requirements for each of these elements, including: *Staffing; Accountability and Oversight; Engagement, Communications, Outreach; Facilities; Evaluation; Technology*; and *Funding.*

As both ASU and greater Phoenix lie on the cusp of continued growth and expansion, both players – the "New American University" and the "New American City" – have a tremendous opportunity to mutually and positively influence the development of the other. In spite of a good deal of community skepticism about the direction and intentions of ASU as it grows and expands rapidly, it commands a generally strong reputation in the community. Beyond that, there is an overarching platform of political will and commitment to link the skills, knowledge, and resources of ASU with the skills, knowledge, resources, and experiences of the people of the Phoenix metropolitan region. If the vision and dreams for social embeddedness are to be successful, the moment to push forward is now.

The endeavor to "socially embed" or integrate ASU in the greater Phoenix community is a Herculean task, but ASU – together with the people of Arizona – can create enduring, positive change in the dialogue, mindset, and lives of ASU's students, faculty, and staff as well as greater Phoenix's leaders and communities for generations to come. The results will not look anything like previous attempts at "community outreach" or "community relations" and will transform traditional service models and approaches into new models of positive community change and empowerment.

"Embeddedness is more than a program – it's an attitude."

- External

"There's an opportunity in Phoenix, and in Arizona more broadly, to build a community that works. It's an unfinished place that's open to new ideas.

Creating the New American University
through Social Embeddedness

That creates a huge opportunity. The challenge is that it's growing so fast, it's hard to know how to seize the moment to make something happen."

- External

I n 2008, Arizona State University will reach its 50-year milestone as a university; in 2012, the State of Arizona will celebrate its 100th birthday. The significance of these anniversaries should not be underestimated. For, though Arizona and ASU are young compared to their national peers, together the state and the university lie at a unique historical crossroad – a moment of opportunity, but also of challenge. The leaders – and, indeed, all of the people of ASU, greater Phoenix, and Arizona – have the potential to forge into uncharted territory by creating a new model of collaboration between an incredibly large institution of higher education and the communities that surround it. Such a partnership could transform the university and the state, unleashing the creative energy, intellectual capital, economic power, and grassroots experience and know-how needed to address the broad range of educational, ecological, economic, and social issues facing Arizona today. It is imperative to take advantage of this moment to build an enduring future.

The concepts that unfold on the following pages represent two years of work, led by Fern Tiger Associates[3], working together with Arizona State University. In reality, this plan should be seen as a work-in-progress, representing a vision for how a university and community can create an ethos that values working in a collaborative – almost symbiotic – partnership to create and support a vital economic, social, cultural, and political region.

Though community members from greater Phoenix have contributed to the content of this plan through extensive interviews, ASU directed the research effort in order to learn and understand how the community perceived it as an institution, and to think through the ramifications of substantial changes in its own institutional culture and structure. It is not appropriate for ASU to dictate what the community thinks or needs. For any joint plan to have validity, it should be reviewed, reworked, and ratified by a broad spectrum of residents and institutional leaders. Through a highly public launch of this draft Plan in the coming months, ASU hopes to begin a mutual dialogue with the larger Phoenix community in order to better understand and reflect the needs and desires of all constituents. *Together, it is hoped that ASU and the community can craft a "working plan"[4] that will guide them towards the vision that they share.*

3 Fern Tiger Associates (FTA) is an Oakland, CA-based national consulting firm, working with the public and nonprofit sectors, and select corporate clients. Since 1978, FTA has been dedicated to bringing about positive social change by providing communities and organizations with an unusual and comprehensive array of services and skills focused on: advocacy documentation; organizational effectiveness; research and public policy; and strategic outreach and communications. FTA was selected through an RFP process conducted by ASU in 2004 to develop a plan that would fulfill the University's vision of social embeddedness, as mandated through the President's design imperative. FTA proposed a process to assess the University's and the community's readiness, and to develop a set of recommendations based on research described in the Methodology section. Fern Tiger, founder, is a Professor of Practice at ASU's College of Public Programs.

4 This plan focuses primarily on the steps ASU needs to take to establish appropriate policies, programs, evaluative methods, and outreach to become socially embedded in the communities of Arizona. Once the dialogue between the University and the community begins, a shared work plan will define joint goals and lay out the next steps of implementation.

5 Quotes appearing throughout this document are from the 200+ interviews conducted by FTA throughout 2004 and 2005 with people from both ASU and greater Phoenix. *See Methodology for additional information.*

The Valley of the Sun and ASU: A Brief History

The Valley of the Sun which became home to the city of Phoenix – and now includes all of Maricopa County – was settled centuries ago by the Hohokam Indians, who are said to have arrived as early as 300 B.C. The Hohokam were the first to tame and farm the desert landscape by tapping precious water from the nearby Salt River through a sophisticated and extensive system of irrigation canals. The Hohokam mysteriously disappeared around 1450 A.D., possibly due to an extended drought. From the 16th to the 18th centuries, numerous Spanish explorers and missionaries fanned out across the state, followed by European and American settlers who gradually moved into the Valley to try their hand at mining and farming in a desert climate. The city of Phoenix was incorporated in 1881 with a population of approximately 2,500 at a time when the Navajos called it Hoozdo – "the place that is hot."

In February 1885, a House Bill introduced by the 13th Legislative Assembly of Arizona Territory called for "An Act to Establish a Normal School in the Territory of Arizona." The School set forth a mission to provide instruction *"in the art of teaching and in all the various branches that pertain to good common school education; also, to give instruction in the mechanical arts and in husbandry and agricultural chemistry, the fundamental law of the United States, and in what regards the rights and duties of citizens."* Approved by the governor, the Normal School began instruction in February 1886 with 33 students who met in a single room on property donated by private landowners in Tempe.

In 1912, Arizona was declared a state by President William Howard Taft, with Phoenix as its capital. In the decades following, Phoenix emerged as a trade center and the population in the area burgeoned with the expansion of the transcontinental railway, highway systems, and extensive growth of irrigation systems for farming made possible by the Roosevelt Dam. In the 1940s, World War II transformed Phoenix from a farming community into a distribution center, providing mass production of military supplies. Three large military training centers brought thousands of soldiers into Phoenix and in the years that followed, the city grew to more than 100,000.

The Arizona Normal School – subsequently named Arizona State Teachers College and then Arizona State College in 1945 – also experienced phenomenal growth following World War II. The G.I. Bill of Rights greatly increased student enrollment at colleges and universities nationwide. In Arizona, many war veterans who trained in the Phoenix area vowed to return to the place they had come to love. Enrollment at the Normal School grew a staggering 110% from 553 students in the Fall of 1945 to 1,163 students in January 1946. Over the next decade, Arizona State College advanced its academic ambitions by requesting and receiving authority to become a university and in 1958, the College became Arizona State University – quickly establishing and/or reconstituting colleges of fine arts, law, nursing, social work, liberal arts and sciences, and engineering. In reality, the transition from college to university was a long-term process that took place over the course of almost 50 years.

"Making the transition from a teacher's college to a world-class university is a tough go. I think ASU has always operated in the intellectual shadow of U of A."

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The University has continued to grow and expand, mirroring the growth of the greater Phoenix metropolitan area. The 2000 U.S. Census reported the Phoenix Metropolitan Statistical Area as the 14th largest in the United States with a population of more than 3.2 million; according to the Census Bureau's latest estimates, Phoenix is the 6th largest city in the U.S. The rapid growth and challenges facing the region prompt many to think that it, and especially the city of Phoenix, have the unique opportunity to create a model for a *new American city* – sustainable, creative, socially concerned, and "megapolitan."

In 2002, ASU welcomed its 16th president, Michael Crow. At the time of his arrival, ASU had grown to three campuses (with a fourth "downtown" campus in the early planning stages) and a student population of nearly 60,000. Today, ASU's Tempe campus has the largest student enrollment in the U.S. (with growth projections to 100,000 at the four combined campuses in the next decade).

The history of greater Phoenix and the history of ASU – of explosive growth and man-made ingenuity – are interconnected and the stories of their future will continue to be linked closely. But the changing demographics and the limited natural resources of the region underscore the need for urgent attention to the challenges facing both the University and the greater metropolitan area. As each seeks to meet the demands of growing populations, new ways to maintain and renew the Valley's complex and demanding social and physical ecology and the economies that sustain them will need to be discovered and developed.

ASU — The New American University

In the 19th century, the American model of a research university evolved when the German "prototype" of an elite, graduate-level, scientific research university was melded with the more typical American-style liberal arts undergraduate institution. Over time, an elite group of U.S. universities came to exemplify the "gold standard" of the American research university. Some of these institutions are private, such as California Institute of Technology, Columbia, Cornell, Harvard, Massachusetts Institute of Technology, Princeton, University of Pennsylvania, Stanford, and Yale. Others are state or land-grant colleges, including the University of California, University of Illinois, University of Michigan, and University of Wisconsin. Together, these universities have produced the majority of PhDs in the country and have set the tone for teaching and research for generations of undergraduate and graduate students.[6]

In his 2002 inaugural speech, President Crow described the need to move beyond the traditional university to become a "New American University... which is a function of its contemporary environment rather than a replication of an entity that was derived in another setting and another time." He laid out eight design imperatives which formed what he called the *"new gold standard."* Defining what he hopes to be the epitome of the New American University, Crow states that ASU promises "excellence, inclusion, and impact" in all that it does and in all the people that it touches. Thus, ASU strives to meet exceedingly high standards, to be democratic, and to achieve extraordinary results in its teaching, in its research, and as a respected member of a local, regional, and international community. It seeks to reach multiple constituents to provoke their best thinking, to inspire creativity, and to find thoughtful answers to the manifold issues and challenges in civic life, both locally and globally. These constituents include, but are not limited to, ASU students, faculty, staff, members of the administration, community residents, grassroots activists, leaders of community institutions, civic and business leaders, local elected officials, public and private funders, leaders of peer universities, and heads of national and international policy organizations.

One of President Crow's design imperatives is referred to as "social embeddedness" – a concept which is fraught with the weight of numerous preconceived connotations and yet, had no tangible definition, when originally introduced at ASU in 2002. Nevertheless, the concept has a substantial pre-history. Educational institutions have attempted to reach out to local communities through "community relations," "partnerships," "community engagement," "service learning," and other programs. Many universities have established particular and unique projects within their local communities, and some have created specialized "centers" to address targeted community issues. These institutions consider themselves to be "engaged." While efforts to work with local residents and leaders are certainly laudable, the approaches have been neither comprehensive nor revolutionary. Evaluations of the success or failure of these efforts have been both few and far between, and often, of questionable value.

6 Inaugural address. November 2002. Michael Crow.

The mandate for social embeddedness proposed and planned for ASU – as framed by the President's challenge and refined through the two-year planning process leading to the vision, definition, and recommended actions included in this document – encompasses new ways of thinking and an unprecedented level of change throughout the university as well as in neighboring communities. True community engagement will put the resources of this university into reciprocal partnership with the community, and will require delineating expectations of real consequences and real benefits that are well-informed and destined to lead to the transformation not just of the community, but of the University itself: its research, teaching, and service practices, as well as its administrative decision-making.

To be successful, the vision and values of social embeddedness will need to be backed by a clear statement of intent, and concrete examples of how programs and activities are expected to proceed. Additionally, if this effort is to be considered seriously by departments, school directors, and deans, issues of hiring and promotion will need to reflect these values. And, the University will need to work with some long term faculty and staff who feel that the work they have been doing are examples of social embeddedness. Indeed, the plan must recognize efforts which are in place, and address how to shape this work to support the new thinking.

As might be expected, there is a perception across ASU that the newer campuses offer a more accepting venue for change, as they are still in a period of growth and flux, and relatively unhampered by the more established structure of the Tempe campus. But, the University functions as a whole comprised of multiple campuses; thus, every part of the University must ultimately accept the vision of social embeddedness and seek to move in this direction.

There is strong recognition at ASU that the development and growth of the community's social capital is challenging because of the transiency of residents; the rigid demarcations between "haves" and "have nots" and between newcomers and old timers; well-publicized racial tensions; and vast geographic dispersal that makes "the community" difficult to define and to embrace. Yet, despite these self-criticisms, there is a strong sense of optimism and a belief that now is the time for change, for stability, and for success.

The endeavor to "socially embed" or integrate ASU in the greater Phoenix community is a Herculean task, but ASU – together with the people of Arizona – can create enduring, positive change in the dialogue, mindset, and lives of ASU's students, faculty, and staff as well as the leaders and communities of greater Phoenix, for generations to come. The results will not look anything like previous attempts at "community outreach" or "community relations" and will transform traditional service models and approaches into new models of positive community change and empowerment.

Social Embeddedness: The Origins

Academics and educational policymakers point to Ernest L. Boyer as the "father" of a modern approach to university/community relations. Boyer had a distinguished career in education, serving as Chancellor of the State University of New York, United States Commissioner of Education, Senior Fellow at the Woodrow Wilson School of Public Policy at Princeton University, and finally President of The Carnegie Foundation for the Advancement of Teaching. Over the course of his career, he researched and authored numerous articles and books which shaped the direction of the nation's educational agenda. Several seminal publications had particular influence on the thinking of university leaders as they sought to develop or enhance relationships with the regional communities surrounding their institutions. The introduction to *A Quest for Common Learning* (1981), co-authored by Boyer and Arthur Levine, President of Teachers College at Columbia University, observed that "the mission of higher education has become muddled." In *College* (1987), Boyer documented the fragmented nature of the undergraduate experience: Inadequate connections between the academic and social lives of students, and between the campus and the nearby community led to what he called "disconnects." To remedy this problem, he called for, among other things, greater community service on the part of students.

In *Scholarship Reconsidered* (1990), Boyer pushed for a greater degree of faculty involvement beyond the walls of academia. He believed it was critical for the health of local communities, the nation, and the university itself that academics use their scholarly knowledge to benefit the greater good by finding real-world solutions that could make a positive impact on their local communities. (It should be noted that academics almost universally believe that their work benefits a greater good; however, more likely than not, these faculty have defined the "greater good" themselves without any consultation or input from the communities they purport to help or benefit.) Between 1993 and 1995, Boyer made a series of speeches in which he referred to the "New American College" – his vision of an institution which brought together many disparate parts and fragments to create a place which "celebrates teaching and selectively supports research, while also taking special pride in its capacity to connect thought to action, theory to practice." For the first time, at a conference in March 1995, Boyer used the term "scholarship of engagement" to push faculty members to look beyond their individual projects and units, to find relevant connections across the university and within the community, and to draw those connections into their work in order to enrich the community and not just the project itself.

According to Boyer, the three priorities for the New American College should include:
1) Clarifying the curriculum, realizing that learning is a lifelong process, and that what happens in the classroom may, and rightly should, spill over into the life of the campus and the community;

"The urban engaged university is an institution that takes its location as a central element of who, what, and how it teaches, does research, and provides service. It makes the urban area its subject matter whenever possible, and seeks to actively involve business, government, civic, and community organizations. It realizes that it is not the sole source of knowledge, but that knowledge resides in many sectors, and is best pursued in partnership with others."

- University of Baltimore

2) Connecting to the world beyond the classroom, which is grounded in the history of land-grant colleges -- established to assist agriculture and industry -- expanding that concept to create an engaged campus that pursues research to address the most pressing problems facing local and global communities; and

3) Creating a campus community, by building an ethical environment in which individual character and responsibility are taken seriously, and the importance of shared values between the university and community are emphasized.

At about the same time, two of Boyer's colleagues, Ira Harkavy of the University of Pennsylvania and Wim Wiewel of the University of Illinois at Chicago foresaw a "sea change" in higher education and predicted that "the university of the next century will closely resemble Boyer's 'New American College.'"[7]

Numerous organizations, associations, and movements took shape through the influence of Boyer's work. In 1985, in response to ongoing criticism by the mainstream media that college students were self-absorbed and materialistic, the presidents of Brown, Georgetown, and Stanford formed *Campus Compact*, together with the U.S. Education Commissioner. Campus Compact sought to counteract negative media by broadly sharing information about student involvement in community service and promoting civic engagement throughout U.S. campuses and communities. In December 1998, Campus Compact and the University of Michigan's Center for Community Service and Learning, together with a number of sponsors, including The Johnson Foundation and the W.K. Kellogg Foundation, held a conference at the Wingspread Educational Center in Racine, Wisconsin. The conference focused on developing strategies for renewing the civic mission of the research university and included presidents, provosts, deans, and faculty members, as well as representatives of professional associations, private foundations, and civic organizations. The conference resulted in working groups and action items, including a subsequent conference planned for the following year.

In July 1999, Campus Compact convened 51 college and university presidents at the Aspen Institute to craft and adopt a shared statement, "The Presidents' Declaration on the Civic Responsibility of Higher Education." The statement articulates the commitment of all institutions of higher learning – including two- and four-year institutions – to a greater civic purpose. By 2004 more than 600 colleges and universities nationwide, including ASU, had endorsed the Declaration. Today, Campus Compact is a network of 31 state offices, representing a coalition of approximately 1,000 college and university presidents (whose institutions comprise more than five million students) committed to furthering the public purpose of higher education.[8]

7 Excerpted from "Ernest Boyer and the New American College: Connecting the 'Disconnects,'" Dale Coye, *Change*, May-June 1997

8 Campus Compact, compact.org

Learning from Campuses and Communities across the U.S.

"Occidental chose to use the term 'community-based learning' instead of 'service learning' because we wanted to communicate true reciprocity from the very beginning. Community-based learning is a conversation where we all say, 'Let's talk about it, let's get things on the table, and let's see what interests you, and see what you can bring to this project.'"

- Occidental College

Civic responsibility and community engagement are not new concepts. They have influenced the mission of educational institutions as diverse as land-grant, Jesuit, and alternative colleges for more than 200 years. Today, hundreds of colleges and universities nationwide boast programs and strategies aimed at improving or enhancing the connections between the university and the community. Across the country, urban universities have recognized the need and importance of "engaging" with local communities, as well as the potential this engagement offers to change the way local people and institutions think about resources and relationships. For at least the last 15 years, a wide variety of university-based community engagement "experiments" have been undertaken in nearly every major city and at every major university across the country, including ASU. As ASU embarks on a process intended to lead to increased "embeddedness" in the greater Phoenix metropolitan area (and more specifically in the communities ASU calls "home:" Tempe, Mesa, Glendale, and Phoenix), there is much to learn from the experiences of other universities across the country.

As part of its work with ASU, Fern Tiger Associates conducted a study of best practices in community engagement at more than 75 colleges and universities across the country. The study surveyed the state of university-community relations around the U. S., including focused research on more than 40 colleges and universities (or particular programs at these universities) as well as site visits in 2005, to interview key players at 15 of these institutions.[9] *(See Methodology.)*

This study identified extraordinary goodwill and many promising programs that offer important lessons for ASU and other institutions which attempt greater levels of engagement with their neighboring communities. However, very few of these institutions evidenced a holistic and integrated set of strategies and goals for reaching out to, engaging with, and forming full, mutually-beneficial partnerships with communities. Nevertheless, in assessing both lessons learned and promising practices, there were many examples of stand-alone efforts which could be pieces of a much larger, coherent, and strategic vision for social embeddedness.

Successful, comprehensive approaches have not been easy for universities to create or sustain, though some have forged a shared institution/community will to make it happen -- at some level. For instance, Portland State University's mission and motto, "*Let knowledge serve the city,*" is emblazoned on banners, is at the core of the web site homepage, and is in the minds of faculty, staff, and students who have crafted an array of courses and programs, including a

9 University of California, Los Angeles; University of Southern California, Los Angeles; Occidental College, Los Angeles; University of California, Berkeley; Portland State University, Portland, OR; University of Washington, Seattle; University of Minnesota, Twin Cities; University of Wisconsin, Milwaukee; University of Illinois, Chicago; Georgia State University, Atlanta; Georgia Institute of Technology, Atlanta; Trinity College, Hartford, CT; University of Baltimore, MD; University of Maryland, Baltimore; and University of Pennsylvania, Philadelphia. Of these institutions, 12 have more than 20,000 students; 10 are publicly funded; five are private; six are land grant colleges; all are located in major metropolitan areas.

required track of courses called "University Studies" which includes a two-year series entitled "Urban Inquiry" and a senior "capstone" which focuses on working closely with local organizations and government on community issues.

The University of Illinois, Chicago (UIC) is a land-grant institution whose mission emphasizes serving society in concrete ways. In the 1990s, UIC was looking for ways to distinguish itself in the college-rich city of Chicago. The Great Cities Initiative was developed from the catch-phrase, *"Every great city needs a great university,"* suggested by a marketing and public relations firm hired to "brand" UIC as a distinctive institution. Created in 1994 and originally housed in the chancellor's office, the Great Cities Initiative moved to the College of Urban Planning and Public Affairs (CUPPA) in 1995 and evolved to include The Great Cities Institute (GCI), an interdisciplinary center for applied urban research within CUPPA. GCI uses its annual $1.5 million funding allocation from the state legislature to support its Neighborhoods Initiative and to create incentives for UIC faculty to engage with the community in interdisciplinary research. GCI provides office space and infrastructure for "resident faculty scholars," as well as small grant awards ($4,000-7,000) through its Faculty Seed Fund.

The University of Pennsylvania, as part of its *Penn Compact*, created the Center for Community Partnerships which provides course development grants to faculty to assist in the creation of curricula focused on service-learning and community partnerships. These grants have led to the creation of more than 60 courses focused on the issues and needs of West Philadelphia, an inner-city neighborhood comprised largely of low-income households of color. In addition, Penn leads a number of community development efforts – both through the Center, and separate from it – including the management and support of a successful elementary school, a school-based community health education program, and a wide range of economic development initiatives intended to revitalize neighborhoods, through housing, retail, and workforce development programs.

University of Wisconsin, Milwaukee (UWM) touted a massive community engagement program, *The Milwaukee Idea*, begun through a community process initially tagged as *"100 people, 100 days,"* a slogan which represented the efforts to reach university and community members to determine the needs and priorities of the region, and the ways in which UWM could work with the community to attain lasting results. This process very quickly spun into the development of ten major initiatives, undertaken through a collaboration between the University and the community. To help increase visibility, the University engaged a public relations agency to "brand" and widely promote the initiatives. The chancellor became a virtual missionary to spread the message, taking on an unprecedented and very visible leadership role in the Milwaukee community.

Trinity College, a much smaller, private, liberal arts college, committed $175 million of its endowment to community projects in the surrounding Hartford area. In the mid-1990s, the College established the Office of Community and Institutional Relations (OCIR) to act as the "official liaison" between the College and the community (though OCIR does not manage any academic work). OCIR focuses on institutional community relations, government relations,

"The university has to be willing to reach out in different ways. The community has to be willing to have the university in amongst it."

- Portland State University

adult learning opportunities, youth programs, urban school collaborations, and neighborhood revitalization efforts. One of the largest revitalization projects was the development of the Learning Corridor with the Southside Institutions Neighborhood Alliance (SINA)[10]. Underwritten primarily by the W.K. Kellogg Foundation, the Learning Corridor is a campus which includes four inter-district public schools: a Montessori elementary school, a middle school, and two public magnet high school programs.

Each of these examples point to inspired concepts. Their capacity, however, to fully impact broad decisionmaking at the university's administrative level, to truly engage the community as equal partners, to deeply transform the relations between the university and the community, and to be sustained over a long period of time, are yet to be evaluated and/or have had varying degrees of success.

To become *truly* embedded, as described in this document, is an ambitious and unique goal, that will require an all-encompassing process integrating five broad areas of activity: teaching and learning; community capacity-building; social development; economic development and investment; and research and discovery. Additionally, ASU has determined that a plan for a comprehensive, long-term evaluation needs to be designed at the onset which assesses and analyzes related programs and activities, while also measuring the transformation of the University and community. A thoughtfully-crafted mission statement; leadership at the highest levels of the institution; faculty buy-in; criteria which attract and energize like-minded faculty, staff, and students; a true commitment to ongoing engagement with the community (not just public relations); and ongoing sources of funding to support these programmatic activities are all seen as essential for success and sustainability.

If one defines "engagement" or "embeddedness" as the five-pronged strategy articulated in these pages – community capacity building; curricular change based on academic commitment to local social issues and problem solving; academic research and discovery to benefit regional and national communities; community-focused economic development; and a transformation of social development and well-being – it is easy to see that almost every university visited addresses one or more of these strategies. However, examples of universities that care about and invest thoughtfully in *all* five of them are few and far between, and no institution appears to have fully integrated all five components in any sustained way, nor unified its efforts with a comprehensive evaluation.

10 SINA was founded as an alliance between five institutions in South Hartford: Trinity, Hartford Hospital, the Institute of Living, Connecticut Children's Medical Center, and Connecticut Public Television and Radio.

Building the Social Capital of the Region

While the concept of the *New American University* may be viewed as an outgrowth of the movement started by Boyer more than two decades ago, it moves conceptually and in practice -- as defined by this plan -- well beyond the philosophy of student service and faculty engagement. Linked with the other seven design imperatives, the New American University not only provides high quality education to a diverse student body and engages in multi-disciplinary research for the public good, but also takes responsibility for building leaders capable of addressing community and societal needs; generates and sustains appropriate economic growth in the region; and recognizes the importance of discovering solutions to local and global issues. Through these efforts, the university contributes to the economic, social, and cultural vitality, as well as the knowledge base, of the region in which it is located.

Arizona State University is unique among its peers and has many advantages that support the potential for the social embeddedness idea to become reality. It is one of only three major universities in a rapidly growing state. Of those three universities, it has the largest student enrollment, the highest number of degrees awarded, the greatest number of faculty and staff, and the largest budget.[11] The sheer nature of its size and scope makes it an "elephant" in greater Phoenix, and an outsized presence and influence across the state. As the largest university in the state of Arizona, ASU it has an obligation to use its resources to positively impact its community, and in turn to enable the community to impact ASU.

In many respects, the New American University is a response to the changing needs and priorities of urban areas, such as Phoenix, across the United States. From the 1960s to the 1980s, many metropolitan regions experienced declining populations and the onset of vacant, boarded-up downtown centers resulting from racial tensions, "white flight," suburban growth, and economies changing from manufacturing work to professional and service-oriented jobs. Beginning in the 1990s, policy makers, elected officials, academics, and business leaders – bemoaning the loss of great cities and the vitality of the "urban core" – became champions of the need to renew America's cities.

Urban planners, civic leaders, and communities themselves have sought the right alchemy to bring life to old cities and to generate vitality in new regions. Academics such as Richard Florida in *The Rise of the Creative Class* (2002), asserts that the growing international "knowledge economy" requires attracting highly-educated, creative people to an energetic, centralized urban core. These individuals can work anywhere in the world, and choose to work and live in stimulating environments which offer access to varied social, cultural, political, and economic experiences and opportunities. This "creative class" can, in turn, spark the economic and cultural growth of an entire region.

"We defined ourselves by growth and it succeeded. And now we're saying we're not so sure we like growing as we have in the past. But our identity is wrapped up in believing that being the 'fastest-growing urban area in America' is important. We can't figure out what to replace it with... We don't know what we are, other than fast-growing. We don't have any clue how to work our way through that."

- External

11 Arizona Board of Regents, Annual Report, 2004-2005

Involvement in communities seems to have come about relatively late in the development of universities' missions and activities, perhaps reflecting the scale of the institutions, their structure, and the inherent and historical detachment of academia from the life of real communities. Surely, it is not a coincidence that the rise of urban university-community partnerships as a hot topic among academics, foundations, and government agencies came at the same time that inner cities were crumbling, crime was increasing, and central city property values were falling. In numerous instances, it was urban decay and violence in the university's immediate neighborhood (Trinity College in Hartford, CT; University of Pennsylvania in Philadelphia; University of Southern California in Los Angeles, among others) that moved administrators or trustees to embrace community engagement – and devote resources to it – in an effort to keep enrollment up and pacify the parents of future applicants. Regardless of the situational driver behind new engagement initiatives, it became an opportunity for positive change and sometimes a chance to embark on a transformative course.

The open question in each case seems to be whether "community engagement" could be defined merely as local economic development that enhances the quality of life for the university community and its immediate neighbors, or as a comprehensive, multi-modal effort to change the culture of the university and the community of which it is a part for generations to come. One might argue that organizations, of any size, have the right to exist to serve their constituents and are not necessarily mandated or equipped to play a larger role in their communities. Nevertheless, educational organizations that are true to the mission of teaching and learning will realize the benefits greater institutional responsibility can bring, not only to students, but to faculty and staff, as well as to local residents and community leaders. Such institutions will come to see that there is a huge opportunity – and even necessity – to take a leadership role in helping to define the vision as well as the short and long term needs of the surrounding region, while marshaling academic and economic resources to successfully attain the goals of that vision.

How might this vision translate to ASU and greater Phoenix?

In the ideal world of some future time, travelers would arrive in the thriving city of Phoenix and its environs and be delighted, and perhaps a bit perplexed, at how difficult it is to tell where ASU starts and the community ends. They would not know whether the community is transforming the University or the University is influencing the community. In such a dynamic, creative place, the boundaries and firewalls between institutions and individuals; between theory and action; between university "experts" and community "experience;" will have all but disappeared. While the achievement of such a vision may be next to impossible in the "real world," it serves as inspiration for what can be made possible if the individuals and institutions within a region recognize common needs and dreams, and develop a shared will and responsibility for achieving a mutually desired vision.

Community Perspectives –
in and around
the Valley of the Sun[12]

"There are people saying, 'They're trying to take away my university. They're trying to turn it into an elite institution that I couldn't have been admitted to, and I'm worried my children may not be admitted. I don't like that. I want it to be the ASU I remember that tried to serve all people and tried to educate everyone.'"

- Internal

Excitement and enthusiasm surround ASU's plans – tempered by skepticism and fear of its power in decisions about the development of greater Phoenix. Though ASU had not previously been viewed as a dominant force in the Phoenix community, under its current leadership, the university has become – depending on one's perspective – either a "player," a voice to contend with, or an integral part of the social fabric and economic well-being of the Phoenix metropolitan region. There is a general understanding that ASU is seeking to expand its role in the region and to become part of the public and private dialogue on issues confronting the Valley. Most believe the University has an important role to play; some question its motives. That ASU is tied to the future of greater Phoenix is undeniable. Some feel ASU might even be able to do the heretofore impossible – bring together the many fragmented communities and municipalities that have emerged in the Valley over the years. There is widespread recognition of the impressive recent success and visibility in developing private funding sources for the University, and for what is seen as the creation of high level partnerships and respect for the university within new circles of influence.

But amid the support for the entrepreneurial spirit and achievements in fundraising, there is also criticism that ASU is putting too much emphasis on a "corporate business-model" and cares more about hobnobbing with wealthy Arizonans and out-of-towners than in understanding the issues facing local residents and those who struggle to develop the region in ways that will ensure a future for the people whose voices don't typically get heard in public arenas.

Thus, skepticism remains about the direction, true purpose, and intentions of this rapidly growing institution called ASU. For some in the community, ASU's quest to become a world-class research institution, significantly increasing the quality of its academic programs, appears to some to conflict with its expressed and historic commitment to educate the broad diversity of Arizona's youth despite prior academic preparation, racial/ethnic background, or socioeconomic status. And for some faculty, it is difficult to understanding how a university's relationship with its communities impacts or boosts the potential to be a world-class university.

12 As part of one aspect of its work with ASU (from 2004 through 2006), Fern Tiger Associates sought out the diverse perspectives of more than 200 individuals from ASU and the greater Phoenix community. FTA assessed community perceptions and tested assumptions through in-person, on-site interviews, with a broad range of people, including ASU administrators, faculty, and staff; community residents and activists; directors and board members of nonprofit institutions ranging from local neighborhood and community groups to statewide organizations; civic and business leaders; urban planners and architects; public and private funders; policy makers; and elected officials and legislators. This section of the report provides an overview of the community and university voices encompassed in those interviews. (See appendix for demographic breakdown of interviewees.)

While many praise the enhanced focus on excellence, others question whether resources will be available to accomplish the bold agenda. And finally, there is criticism that many good things that existed at ASU before 2002 were ignored in favor of "new ideas" and bold initiatives that brought attention to the university, though not necessarily depth. Both inside and outside ASU there is a sense that an early "listening tour" might have helped merge the "old " with the "new", and spread goodwill. It appears to some that the promotion of the new vision and reforms were pre-ordained without understanding the culture of either ASU or of Phoenix – without being "embedded" in the area.

Despite general enthusiasm for the overall concepts for the University's future, the perception has been that the vision was created by a single individual, lacking genuine depth of support from stakeholders in either the university or the community, making the goals of success and sustainability elusive to many. There are pockets of genuine excitement – especially in the seats of power – about the concepts being proposed, but many faculty and community leaders are baffled by how to participate in the vision. At the onset of FTA's interview phase of work (2004-2005), there was expressed concern that the University's leadership might change suddenly, such that the vision may not last, creating some reluctance to become immersed or dedicated to it. Over the course of the interview period, that perception dissipated.

Both on campus and in the community, there is a perception that ASU has done an impressive job recruiting new, top level academic and administrative talent, but critics focus on the lack of commitment to "promoting from within." This opinion fosters the notion that those with long histories (and perhaps with connections to the community that could have been helpful in building meaningful relationships with the Phoenix region) have not been supported.

ASU is praised by many who are committed to turning downtown Phoenix into an exciting and viable residential, business, and cultural center. This includes faculty and administration at the university, elected officials, and some community leaders. But others are wary of ASU's intentions or the unintended results of development on the residents and businesses located in close proximity to the new downtown campus. While viewed as a crucial part of the University's strategy to impact the urban vitality of the city, there is vocal concern as to whether all community views are being 'heard' in the process and whether ASU has any real interest in the needs and desires of pre-existing communities who fear gentrification and displacement as a result of its new and powerful neighbor. The development of a downtown campus is of great significance to both the university's capacity to grow and also to the city's vision of itself. It is also of interest to other universities across the country.

While diverse definitions and explanations of "social embeddedness" abound on campus, the community is actually more unified in its ability to differentiate between "doing for" or "to the community" versus "doing with the community" or "being of the community." External stakeholders can articulate community-driven goals for a "social embeddedness" initiative. A small number question whether the university has meaningful experience to offer or wonder what "strings" would be

attached to working together. There is also criticism that the University (especially the leadership) has not taken the appropriate "pulse" of the community – to ensure that its efforts are in synch with the community needs and desires.

In spite of the mixed perceptions, the overriding sentiment is that greater Phoenix is at a crossroad. How it takes advantage of the current, somewhat precarious confluence of politics, growth, commitment, and the sense that "the heavens are aligned" will have decisive implications for ASU and for the city of Phoenix.

Opportunities and Challenges

Over the course of its history, ASU has educated hundreds of thousands of students from the state of Arizona, as well as from the other 49 states and scores of foreign countries; provided employment and economic opportunities to many thousands more; and hosted significant social and cultural activities for students and community alike. For the most part, ASU has been a "good citizen" of greater Phoenix and has enjoyed positive support from business and civic leaders, elected officials, and the communities that comprise "the Valley."

Since the arrival of President Michael Crow in 2002, private donors (especially those from the local region) have contributed hundreds of millions of dollars in support of academic programs, as well as specialized centers and projects, such as Stardust Center for Affordable Homes and the Family, the Global Institute of Sustainability, and the University-Schools Partnership program.

In August 2006, ASU opened its new downtown Phoenix campus to great fanfare. It is hoped and expected that the downtown campus and continued development at all four campuses, along with the myriad new centers will add to the sense of a region thriving and teeming with the energy of students and residents, learning and creating together.

As both ASU and greater Phoenix lie on the cusp of continued growth and expansion, both players – the "New American University" and the "New American City" – have a tremendous opportunity to mutually and positively influence the development of the other. Despite the sense that the University's true motives and methods are hidden and difficult to grasp, there is an overarching platform of political will and commitment to link the skills, knowledge, and resources of ASU with the skills, knowledge, resources, and experiences of the people of the Phoenix metropolitan region. If the vision and dreams for social embeddedness are to be successful, the moment to push forward is now.

There are a number of opportunities unique to ASU and the greater Phoenix region which may enhance the ability to integrate the University and the community:

- The relative youth of the region, with fewer entrenched traditions. (Open to new ideas, anxious to make lasting, positive impacts.)

- Retirees and entrepreneurs with new wealth, looking for innovative ways to invest in both for-profit and philanthropic ventures.

- Relative youth of the University. (Fewer "sacred cows" than at many other academic institutions.)

- New deans, faculty, and staff who support and are energized by ASU's vision, and who are committed to a comprehensive vision for ASU's future and the role that social embeddedness plays in this vision.

- University expansion.

"ASU's new infrastructure of connectedness and connectivity is more important today than it's ever been for the University... ASU can't pull the train by itself. It is too aggressive for ASU to pull by itself. And so ASU's got this window here, and a very important window."

- External

- ASU's history as a teachers college, as well as its unique viewpoint and mission. ASU's College of Education graduates comprise the majority of teachers who serve the region, giving the College – and the University – a strong dedication to the educational outcomes and economic opportunities of local residents.

- Excitement generated by the new Downtown campus, and proposed expansion of the Polytechnic and West campuses, create a sense of energy and possibility among students, faculty, residents, and other community members.

- Communities in greater Phoenix are aware of the potential for positive change in the region; they are eager to move forward to seize these opportunities.

- The scale of the institution and the untapped resources, including students, can bring an unprecedented amount of energy to the concept of social embeddedness.

But, there are also a number of challenges and/or potential pitfalls, including:

- The perception that the University has moved forward more quickly on other design imperatives creates the sense that this one may not be held in high regard.

- Ongoing community skepticism that the process of social embeddedness is built on motives driven by the University's needs and not truly meant to include the community.

- Resistance of faculty who are notoriously opposed to change (especially on issues related to promotion and tenure) making systemic change difficult.

- The diverse strengths and levels of interest/support among different university units could marginalize social embeddedness to particular departments, schools, and colleges whose foci are historically rooted in community and public issues and who may already be working with community, thereby avoiding real change.

- The scale of the institution – which is also noted as an opportunity – makes change difficult and time consuming to implement.

- Some faculty and staff have done community work for years; they may feel resentful that their work has gone unrecognized and they could become vocal detractors of a "new" social embeddedness vision or ethos, unless they understand how it is different from, and perhaps more substantive than, what they are already doing, and how their work can be transformed to meet the goals of the new vision.

- Need for funding, particularly on an ongoing, sustainable basis.

- Possibility that ASU or the Phoenix metropolitan area will lack public and political will to accomplish tough tasks to achieve the vision of social embeddedness.

- Difficulty of communicating to a broad range of audiences, especially explaining the difference between social embeddedness and other kinds of community engagement and service.

• Community demand could exceed the university's resources or its capacity to work with the community on its needs.

• ASU may be tested to show its commitment to operate as a truly embedded university; in particular, valuing community input when making key decisions involving campus development and other regional business and real estate investments.

• A partial commitment – evidenced by piecemeal-type implementation of the plan – will make social embeddedness at ASU similar to what other universities have done, instead of creating the unique and comprehensive effort promoted over the last several years.

By striving to transform the University through an ambitious vision of social embeddedness, ASU will move toward a true university/community partnership, which will permeate every aspect of ASU and the community. This process of transformation will demand that ASU look deeply and critically at many established ways of thinking about and operating as a university. The very attitudes and beliefs of administrators, students, faculty, and staff – from what are appropriate subjects for study; to what it takes to achieve tenure; to how to make real estate and development decisions; to how to work with communities; to how to promote the work of the institution; to how to address challenges – all of these, will be subjected to a profound metamorphosis. At the same time, communities will be pushed, and even provoked, into perceiving and working with the University in an entirely new manner. Community members will be asked to think deeply about their needs and priorities, and then work together in a committed, ongoing fashion with University members – which may be exciting, but also frustrating (as any true partnership may be).

In the future, University and community members will no longer be able to point a finger to an "us" or a "them" when assigning blame for a problem or taking credit for a job well-done. Instead, it will be a "we" of community and University individuals and institutions working together to make the greater Phoenix region a thriving home for all.

There are indeed other, easier ways for a university to thrive within the context of a community, but by embracing this plan, ASU will show its determination to take the "hard road" towards its own ideal of a socially embedded institution of higher education and a transformative community resource. It is hoped that this path will allow the University and the community to be changed qualitatively in ways that create both a truly thriving and successful New American University and New American City.

"It's a two-way street...

I wish I knew how to

embed, how we could

make ASU part

Methodology: Drafting the Plan

of our world and

how we make our

world part of ASU."

- External

At the request of ASU President Michael Crow, in April 2004 Fern Tiger Associates (FTA) – a strategic communications firm with deep roots in the nonprofit and public sectors, and with extensive experience working with communities in diverse parts of the U.S. on issues related to increasing civic engagement and making public policy accessible – engaged in a four month project (through July 2004) to advise Arizona State University on its readiness and steps necessary to begin the daunting task of defining and designing a plan to enable it to fulfill one of the President's eight design imperatives: to be socially embedded in the communities of Arizona. During these initial months, the firm conducted about 40 one-on-one interviews with key internal and external stakeholders, including some community leaders. Additionally, a cursory study was done to determine what the literature said about this topic, and in a report presented in August 2004, several process options were described, along with three potential working definitions of the term, "social embeddedness." A four-person committee, including the President, Rob Melnick, Kimberly Loui, and Jim O'Brien, reviewed the results of this work.

In September 2004, ASU issued a Request for Proposals (RFP) to identify a firm to take on the tasks necessary to develop a plan to move the social embeddedness mandate into practice. FTA's August 2004 report showed that there were vast discrepancies between "what is" and "what might be" with regard to relations with the community and that there was little understanding (and some resistance and skepticism) as to how the university might unleash its vast resources – especially its knowledge and skills – to support community concerns. There was also little acknowledgement of the skills and experiences that communities could bring to the table. Many in the community were skeptical of the University given its scale, its power, and its growing influence in the region, which they saw as a threat. FTA responded to the RFP, and in September 2004 began a two-year process leading to the development of this plan for social embeddedness, as core to the creation of the New American University at ASU.

From September 2004 through November 2005, one-on-one, in-person interviews were conducted with more than 200 internal and external stakeholders (see appendix for demographic distribution of interviewees), including faculty, administration, and staff at ASU, community leaders, nonprofit executive directors, funders, elected officials (state, county, city), business, civic, and ethnic leaders, and others. Most interviews lasted between 60 and 90 minutes, with some taking as long as three hours. Nearly all interviews were taped and transcribed. The format for the interviews was informal, at the homes or offices of the interviewee, with a few taking place at restaurants or public places. All interviewees were guaranteed anonymity and confidentiality. Thus, ASU has not seen a comprehensive list of those who shared their views with Fern Tiger Associates. Four different staff at FTA conducted the interviews, with the large majority being conducted by Fern Tiger and Jennifer Foster (senior associate). Interviews were conducted in English, although a few were conducted in Spanish at the request of the interviewee.

While some questions were consistent, interview to interview, the majority of questions and the discussions that ensued were focused on the particular vantage of the interviewee. All interviewees were asked to recommend other potential names for additional interviews, and a large number of the people interviewed came through that process. Every effort was made to interview both internal and external stakeholders from each of the four campuses of the University; a large number of external stakeholders lived and/or worked in the city of Phoenix. These interviewees formed a significant part of the qualitative analysis presented to the University in January 2005, July 2005, and January 2006. Information gleaned during this process was also helpful in developing innovative strategies to set ASU apart as it defines its role in greater Phoenix.

In 2004 and 2005, staff at Fern Tiger Associates visited all ASU campuses; observed numerous presentations made by ASU administration about its plans for expansion, especially its development of the downtown campus; and followed press and media related to both the University's activities and also political, social, and community issues. Discussions were also held with local funders and large nonprofits, including United Way, to understand what information existed with regard to asset mapping or other data regarding existing community structures and programs.

As part of the scope of work, FTA researched best practices of university/community engagement at 170 universities and colleges nationwide. This first tier of university research assessed common themes, promising practices, and challenges. The second tier of research focused on 55 universities and colleges that appeared (through web searches, Lexus Nexis, and phone interviews with faculty and community leaders) to have more extensive interest in topics similar to what was being defined as "social embeddedness." Eventually the list was narrowed to 25 colleges and universities – all located in large metropolitan areas, most publicly funded, most large research universities. Fifteen of these 25 universities were visited over a period of three months in the spring of 2005. (See footnote, page 14, for list of universities visited.)

All university visits and interviews were conducted by Fern Tiger. Visits included interviews with between two and 12 representatives of the university and community of each institution. In general, the names of potential interviewees at each campus and community were determined by FTA – in an effort to bypass the more "official and promotional view" that would be presented if left to the universities themselves. A thorough review of each university's website, press, promotional materials, and other documents preceded each campus visit, as well as preliminary phone meetings with each potential interviewee to assess their role within the community and campus structure. Wherever possible, meetings were set with provosts, vice presidents, individual faculty, center directors, and others integrally related to the systems in place at the institution to support engagement. Every effort was also made to meet with the people who conceived the university's engagement program to understand both the history and the activities that were developed to move the agenda forward.

From July to September 2005, Fern Tiger Associates presented the findings from both the stakeholder interviews and the national research to the President and the four-person committee; to University Council; and to the newly created Social Embeddedness Steering Committee (comprised of 35 university leaders representing all four campuses, students, staff, faculty, and administration). A small sub-group of this committee was formed, following the Steering Committee's first meeting where the Committee's responsibilities were defined by the President *(see Appendix)*. The sub-group[13], dubbed "G-9" (acknowledging both the number of members and the months of work) met monthly with Fern Tiger to craft the definition of social embeddedness, and the vision and values the University needed to embrace to move forward.

At the onset, the G-9 focused on the initial concept presented in the July report looking at social embeddedness as a three-legged stool (teaching and learning; economic investment and development; and community capacity building; with research and evaluation as a connector for the model). The group quickly expanded the components to include social development and research as equal elements of the model – creating the five-pronged definition included in the plan presented here.

Between October 2005 and February 2006, the concepts related to the definition and vision were presented to the Academic Chairs and Department Heads Council and others, and was added to ASU's website.

The group presented its work to the larger committee in February 2006 and in May 2006 led a discussion related to the draft goals and recommendations. The committee focused on what they thought ASU and the community would look like if the University was truly "embedded." Key to the discussion were issues related to sustainability, leadership, and the means to develop a university-wide ethos that would move ASU to a new standard internally and to become a model for public and research universities, nationally. Central to these dialogues was the difference between engagement through a collection of dispersed programs and projects (which the committee felt, currently, best characterized ASU and most other universities) versus a clearly defined and embraced university-wide ethos and strong philosophical roots which thread through all decisionmaking from teaching and learning to economic investment. The ideas of both the G-9 and the Steering Committee are incorporated into this document and form the basis for the recommendations.[14] The G-9 and the President will review the plan and discuss implementation at meetings scheduled for October 2006.

13 The G-9 group included Rob Melnick, Debra Friedman, Gene Garcia, David Schwalm, Colleen Jennings-Rogensack, Barry Ritchie, Kimberly Loui, and Fern Tiger. Meetings were facilitated and documented by Fern Tiger Associates. (See Appendix for composition of full Steering Committee.)

14 In June 2006, Fern Tiger Associates was asked to prepare a set of implementation options related to staffing, budget, and the launch of the socially embedded university. This was submitted in July 2006.

The goals in this plan embrace a vision

of a state where communities work

together to cultivate their

Implementing the Vision

combined creativity, knowledge,

experience, and resources to enhance,

promote, and support the

well-being of its people.

This plan, including the definition, goals, and strategies that follow, represents a "first draft" of the University's vision of social embeddedness and its role in the greater Phoenix community. While influenced by community views (gathered through extensive interviews over the course of one year) and needs, the plan has been neither reviewed nor endorsed by the community; it represents an initial attempt to define a set of goals and actions which could be taken to better integrate the University with the surrounding community. It will be critical for the community to share in the process of defining the ultimate vision, goals, and actions of the final "working plan."[15] Similarly the process of developing this plan (see Methodology) – because of its focus on long term institutional change – has yet to engage students in any meaningful way. But, as the recommendations indicate, broad dissemination and discussions – with community leaders and residents, and with students, as well as a broad cross section of ASU faculty and staff – leading to the working plan should prove rewarding and will be critical to actualizing the plan.

ASU's Definition of Social Embeddedness

Social Embeddedness is core to the development of ASU as the New American University. It is a university-wide, interactive, and mutually-supportive partnership with the communities of Arizona. At ASU, social embeddedness involves the ongoing integration of five innovative and distinct, yet interrelated, actions:

- *Teaching and Learning* - involving faculty and students in solving problems facing communities.

- *Research and Discovery* - advancing relevant inquiry by valuing community input, knowledge, and needs.

- *Community Capacity Building* - enabling community-based organizations and institutions to become strong and effective by providing support, training, and access to resources and information.

- *Economic Development and Investment* - responding to the needs of the university and the needs of communities as ASU pursues its role as an economic engine.

- *Social Development* - enhancing the well-being of the diverse people and communities of Arizona, by working closely with public and private institutions.

15 See Footnote 4; page 7.

ASU's Five Strategies

As noted earlier, Arizona State University has defined "embeddedness" as a five part strategy including community capacity building; curricular change based on academic commitment to local social issues and problem solving (teaching and learning); academic research and discovery to benefit regional and national communities; community-focused economic development and investment; and a transformation of social development and economic well being of the region.

- *Building the capacity of communities* requires sustained engagement efforts – informed and reinforced by trust and true two-way communication between and among the university and the community. Most important, for communities and community-based organizations to mature, and become capable and effective enough to be real partners with long-standing institutions like universities, they need support, training, and access to resources and information that can enable them to become more sophisticated and self-sufficient.

- *Teaching and learning* are at the heart of every university's mission. The institution's core values are evidenced in faculty hiring criteria, tenure requirements, and the nature of coursework offered to students. Curriculum that reflects an institutional commitment to civic values and social responsibility; that prepares students to be valued members, and indeed the backbone, of a civil society; and that sustains the involvement of faculty and students in problem-solving for core issues facing communities, form the internal manifestations of a university's sustained commitment to meaningful engagement. Often, these efforts entail a major cultural shift within the university. If today's college graduates are to be positive influences and constructive actors locally, nationally, and globally, they need to be more than just "educated." They need to realize that they are members of a community – often the privileged members – obligated to participate in, and contribute to, civic life. Perhaps most important, they should be able to understand and work effectively for the common good of the community.

- *Research and discovery* are the lifeblood of academic institutions. Pure research in the hard sciences and in social sciences serves to advance the knowledge that drives human civilization. This type of research has historically shaped universities, determining faculty hiring, promotion, and tenure decisions. Yet often, this pure research becomes disassociated from the human needs that ought to drive it and becomes an end in itself. The research agenda at the New American University should be connected to community needs and, in fact, often be inspired by the community. Research, by nature, addresses complex issues which should then translate to an interdisciplinary or transdisciplinary approach to developing hypotheses and seeking solutions. Research and discovery should serve as connecting threads across the colleges and departments of the university and throughout the community.

- For large urban universities, *economic development and investment in local communities* have become "givens" – be it the purchase and development of property, or the recognition that the institution is a major local employer. The question becomes whether a university is prepared to be transparent in the evaluation of its decisions and hold itself to the standards communities deserve. Universities need to ask whether their plans respond both to the needs of the institution and to the needs of the community, and whether these efforts meet the goals of social embeddedness. When representatives of the community are included early – in both program planning and oversight – and when the university treats communities and community organizations as true partners that add value to the university's mission, projects are more likely to be embraced by both sides.

- Evidence of *social development and well-being* is found in many forms in communities – from the health of its residents; to the vibrancy of its culture as evidenced by a free and generous flow of ideas, to the thoughtfulness of leaders and residents in planning and development, to the formation and growth of social capital. As a community institution, and as an academic and financial powerhouse, the university plays a significant role in the social development of a community, just by virtue of being there. At the institutional level, however, the university can and should take responsibility for broad systems changes by using its many resources to form relationships with communities, to understand their needs, to put the institution's wealth of expertise to work to seek answers to problems, and to contribute its financial resources to implement solutions.

Missing one component, the university is unlikely to topple, but the commitment to community engagement will, in all likelihood, be flawed and transitory.

Goals

The vision and actions needed to transform Arizona State University, while building and sustaining the values of social embeddedness, encompass four main goals. Two of the goals relate directly to the University; two goals relate more broadly to the community. The five integrated actions included in the definition are woven thematically into four goals:

1) Foster a university-wide culture that embraces responsibility for contributing to positive social change in the community and in the research, teaching, and service practices of ASU.

2) Develop internal and external structures and reward systems to encourage and support effective implementation and long-term sustainability of social embeddedness as a core value for ASU and the greater Phoenix community.

3) Work in partnership with the communities of Arizona to increase the state's social capital and to strengthen the capacity of communities.

4) Establish ASU as a national model for university-community partnership.

The following pages describe in detail the goals, strategies, and recommended actions that ASU should take to move towards the accomplishment of a coherent vision of a university which is socially embedded within its regional community. A separate section, *Management Strategies*, provides additional insight into how the plan and the goals can be supported and implemented.

For the sake of logic and organization, some strategies and actions may appear at a later point in the document, but that is no indication of their relative level of importance. To highlight key strategies and actions, each section begins with a brief overview of critical activities related to that particular goal.[16]

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16 Note some recommendations repeat because they are relevant to more than one goal.

Goal #1: University-wide Culture

Foster a university-wide culture that embraces responsibility for contributing to positive social change in the community and in the research, teaching, and service practices of ASU

Goal One: University-wide Culture
Core Strategies and Actions

- **Refine University mission statement and strategic plan** to reflect social embeddedness as a core institutional goal.

- **Actualize the definition** of social embeddedness to clarify what makes an activity, program, project, or decision socially embedded.

- **Build departmental and faculty understanding of, and support for, the vision** and definition of social embeddedness.

- **Appoint a curriculum task force** to consider a university-wide capstone requirement that meets social embeddedness definitions and includes coursework, original research, and community empowerment.

- **Create a community-based forum** to engage students, faculty, staff, local residents, and community leaders in ongoing dialogues on topics relevant to both the University and the community.

- **Initiate publication of journal-style case studies** to document ASU's experiences and to highlight and showcase exemplary efforts of university - community partnerships that meet the social embeddedness definition.

- **Integrate community knowledge into university-driven and university-wide research** and use research to advance community goals.

- **Develop university policies and accountability procedures** that stress social embeddedness in all operational aspects of ASU.

- **Hire "Director of Social Embeddedness"**[17] to ensure a consistent university-wide vision, strategy, and direction for social embeddedness within academic and administrative programs and activities.

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17 The exact title of the position will be determined by the President. Based on research and best practices, it appears to be important for the person overseeing social embeddedness to play a hands-on role, yet still have a high level title (Vice President in some universities, Director in others) which is understood to have the clout necessary to take action, to make decisions quickly, and to have access to the highest levels of authority at the institution. the title should be one that garners respect university-wide and in the community. Throughout this report, the term "Director" is in quotation marks to indicate that this is a "working title."

Commentary

Arizona State University has a myriad of ambitious programs and activities throughout the institution which connect with and involve the regional community – from volunteer activities and service learning programs, to community clinics, to partnerships with local high schools and hospitals, to sporting and cultural events. Some might argue that, in light of these programs, ASU is already "socially embedded" in the communities of greater Phoenix. However, like at other institutions across the country, these individual activities lack a number of critical elements contained in the definition and intent of "social embeddedness" and do not come together as a cohesive "whole."

Though ASU states its commitment to social embeddedness at the highest levels of the University, neither its mission statement nor its strategic plan reflect a dedication to community empowerment or to civic engagement that brings community voice to major regional and University decisions. This reality filters into attitudes held by faculty and staff throughout the University. The lack of a comprehensive vision that integrates the community with the University has been apparent historically in examples as varied as promotional materials and websites, student recruitment and admission decisions, research agendas, program funding, tenure decisions, business investments, and campus development and growth.

Over the course of ASU's history, the University has provided the communities of greater Phoenix with substantial resources including expertise and research through programs and centers (e.g. Morrison Institute, community health clinics, partnerships with local public schools). In recent years, ASU has deepened its commitment to community issues through the launch of innovative new centers and initiatives such as the Institute for Sustainability, Phoenix Urban Research Laboratory, Indian Legal Program, the Decision Theater, University-School Partnerships, Stardust Center for Affordable Homes and the Family, and Academic Nursing Centers. While the work of these centers is valid, useful, and laudable, the creation of specialized units, tacitly or explicitly relegates community-focused work to individual faculty or academic "silos," rather than being at the core of the University's mission. In many cases, the work of these centers is not threaded into curriculum, especially at the undergraduate level. Nor do these units necessarily influence the research of the broader University population. More importantly, this work is often perceived as not being accessible to community members who might benefit from it.

There has been relatively little planned coherence or strategy to existing community involvement efforts, and in many cases, ASU has not worked in mutual partnership with the communities in which it operates. As at most universities, ASU students, faculty, and staff knowingly or unknowingly adopt a traditional, much-rewarded service mentality ("give to" or "do for") rather than an approach of empowering communities ("do with" or "be of").

In developing a "community-based" student service project or faculty research agenda, faculty and students generally consider their own academic and pedagogical needs first. They do not always consult community leaders or residents about community needs and priorities; nor do students and faculty consider how the student services or research project results will impact important community issues. When executing their projects, students and faculty do not necessarily strive to engage communities in what they are doing and why.

Like all academic institutions, ASU often collects reams of data from the community, publishing lengthy reports and papers, which might be shared with prestigious academic journals. These documents are not regularly disseminated to the community in which the study took place, nor written in formats useful to communities. Due to the academic calendar and vagaries of program funding, university-sponsored community projects can be halted suddenly; projects come and go as faculty and faculty priorities change; and university schedules (with long summer vacations) interfere with the ongoing activities and life of a community. For communities, their issues are ongoing; often for universities, the focus of community issues are intermittent (not necessarily by choice, but by circumstance). Additionally, communities need information quickly – to make decisions, to apply for grant funding, to consider next steps; academics are accustomed to time-consuming research and analysis and exacting information. Sometimes these two different worlds and approaches just cannot understand one another. Instead of building knowledge and skills to empower the community, universities often confuse "charity" and "service" for "engagement with community" and are perceived by communities as treating them as living laboratories.

Over the course of two years, and more than 200 one-on-one interviews with internal and external stakeholders, Fern Tiger Associates found that most faculty are quick to note that while they believe the premise of an "embedded" university is intriguing and something they would like to rally around, they either think they are already doing work that supports "the greater good" (which they equate with social embeddedness) or they do not see how social embeddedness fits into a rigorous academic research agenda. Some do not understand how their teaching and research can (or should) connect to communities. Some believe that the university should be dedicated to "pure study" and the creation of knowledge. Still others are skeptical about the intent of social embeddedness, believing that it is just a "hot topic" which will fade as soon as the commitment and attention of key leaders fade.

Some University administrators see a viable role for individual colleges – or individual faculty – to be "socially embedded" but cannot imagine how the university as a whole can truly fulfill this ambitious goal. Others point to the need for the university to clarify and articulate its values (social embeddedness, funded research, entrepreneurship), and let those values drive the agenda. But these views would seem to leave the community voice out of the picture.

In spite of the fact that the concept of social embeddedness has had fairly high visibility at ASU, as part of the initial set of design imperatives presented by the president in 2002 and published broadly, and through the creation of numerous high profile centers aimed at increasing ASU involvement with social issues – there does not appear to be an overarching commitment or coherent strategy to connect the individual and distinct efforts. Nor is there compelling evidence that the intent of some of these activities moves beyond "serving" to an empowering, enduring endeavor to build the capacity of the community. Additionally, it is not clear that any comprehensive effort has been made to systematically document or evaluate programs that purport to be socially embedded to determine who they have affected, if there has been an impact, whether that impact has been positive, how the results might be linked to other outcomes, and whether they have increased community capacity and sustainability. Without an ongoing, long-term evaluation, it is nearly impossible to determine whether programmatic efforts related to social embeddedness have had any consequential or lasting results.

While no single university, nationwide, appears to demonstrate a comprehensive, successful approach to social embeddedness, those universities that are perceived as having built successful partnerships (as acknowledged by peer universities and community alike) are those where the culture of the institution is based on a commitment to community engagement. In some cases, that culture stems directly from a clear, well-supported, and publicized mission statement and/or institutional motto that stresses the value of community, the importance of civic engagement, and the need to link together the innovative ideas and actions of university and community members for the betterment of the larger region. Such transformation requires a fundamental change in the culture of the institution – moving beyond traditional academics and research into an institution which values and engages in active empowerment of the community.

The recommendations that follow attempt to move ASU toward this transformation. Beyond the refinement and refocusing of ASU's mission statement and strategic plan to set the tone and direction for all future work, setting a clear definition of social embeddedness, will be critical to the success of ASU's efforts.

To this end, among the recommendations noted in this plan, is the development of a series of journal-style publications. The first will explore the actions that ASU has taken to become an "engaged university" and the lessons learned along the way. The publication is intended to be a highly informative, visual, "documentary-style" book-length product that will captivate university and community audiences alike. It will highlight approximately 20-25 projects, programs, and curriculum concepts that epitomize the best of ASU's definition of social embeddedness, featuring mini case studies and stories depicting the projects – based on interviews with faculty and students involved, in addition to community organizations, constituents, and other key stakeholders for each project. Each journalistically-written case study will be enhanced by documentary photography and self-evaluations from both the university and the partner community organization. The publication itself will hold to the social embeddedness standards – accessibility and usefulness to both community and University, (with wide regional and national dissemination).

Part Two of the publication *"Promising Practices: An Analysis of the New American University"* will focus on innovations, best practices, new models, and transdisciplinary work developed over the subsequent two years (following more robust implementation of the social embeddedness goals, which would likely show faculty and community changes in their thinking and programming related to community partnership and sustainability).

The creation of a community forum and processes to integrate community knowledge into the University's research agendas and other work will be critical steps in engaging the community as a true partner. Building faculty support for the vision; creating integrated academic coursework; and developing university-wide policies and procedures to guide decisionmaking to embrace the values of social embeddedness – will all serve to actualize a cultural shift throughout the institution. Finally, a new "Director of Social Embeddedness" will guide the vision, strategy, and implementation of the plan, until the plan itself is embedded within ASU and the community. Through the set of strategic, thoughtful, and coordinated actions presented on the following pages, ASU can work to change its institutional culture and mindset.

Teaching and Learning

- **Actively recruit, admit, and retain students who believe in, and are committed to, the social embeddedness mission of the University.**

Recommended Actions

- Use existing partnerships with greater-Phoenix area high schools to foster an understanding of the social embeddedness mission and to encourage high school graduation and university matriculation.

- Consider dedicating an admissions staffer to recruit high-caliber undergraduate students dedicated to community-related study and research.

- Offer incentives and provide coordination to ASU graduate programs to encourage recruitment of post-baccalaureate students dedicated to transdisciplinary social embeddedness study and research.

- Develop and include social embeddedness activities as part of new student orientations.

- Promote funding for a "Social Embeddedness" scholarship for undergraduates; offer a "Social Embeddedness" fellowship to graduate students.

- As part of evaluation efforts, track student retention data and determine (through surveys, focus groups, etc.) the extent to which social embeddedness programs and activities help keep students engaged at the University.

Foster a university-wide culture that embraces responsibility for contributing to positive social change in the community and in the research, teaching, and service practices of ASU

- **Increase opportunities for student learning and community empowerment projects related to the social embeddedness vision.**

Recommended Actions

- Appoint a curriculum task force to consider a university-wide capstone requirement that meets social embeddedness definitions and includes coursework, original research, and community empowerment.

- Develop and maintain a shared database (accessible to ASU and the greater community) of meaningful community empowerment activities in which students can choose to participate.

- Produce a journal-style publication to document through case studies both innovations and best practices as well as the actions ASU takes to become an engaged university. *(See Commentary for more detail.)*

Research and Discovery

- **Build departmental and faculty understanding of, and support for, the vision and definition of social embeddedness.**

Recommended Actions

- Identify and cultivate "champions" of social embeddedness among faculty and staff.

- Provide ample time for promotion and discussion of social embeddedness as a core university goal at appropriate internal venues (e.g. University Council Retreat, Chairs' Retreat, New Faculty Orientation, Deans Council, Academic Chairs and Directors Council, etc.) – with the intention of explaining college and unit level expectations.

- **Integrate community knowledge into research and use research to advance the goals of communities.**

Recommended Actions

- Create a community-based forum – both real and virtual (including regularly-scheduled "town hall-style" meetings and a community web log) – to engage students, faculty, staff, local residents, and community leaders in ongoing dialogues on topics relevant to both the University and the community.

- Work with community members and leaders of community organizations to identify areas of community need which could be addressed through student projects and faculty research.

- Conduct a biannual formal community needs assessment in greater Phoenix metropolitan area to determine community needs and priorities. *(See Appendix.)*

Community Capacity-Building

- **Generate an understanding of social embeddedness across the University and throughout the greater Phoenix community.**

  Recommended Actions

  - Hire a "Director" of Social Embeddedness (reporting jointly to the University Provost and President) to ensure consistent vision, strategy, and direction for social embeddedness programs and activities.

  - Refine the University mission statement and strategic plan to reflect social embeddedness as an institutional goal.

    - Publicize the changes in the mission and strategic plan, following extensive community discussion and development of the joint working plan, to ensure broad understanding and acceptance.

  - Actualize the definition of social embeddedness to clarify what makes an activity, program, project, or decision socially embedded as compared to "service" or "volunteerism." (E.g. It is socially embedded if it is *not one-time only; and leaves behind expertise in the community; and/or* advances social development in the community; and/or advances economic development; *and is evaluated for outcome and impact in the community.*)

  - Integrate the social embeddedness vision and definition in all ASU materials, website, publications, speeches, and presentations in a consistent manner.

  - Ensure that the social embeddedness vision and information is highly visible and easily accessible from the ASU website homepage.

Economic Development and Investment

- **Develop university policies and accountability procedures that stress social embeddedness in all operational aspects of ASU.**

  Recommended Actions

  - Develop a policy handbook which provides university staff with suggestions and direction to guide decisionmaking (e.g. for investments, development, contracting with vendors, etc.).

  - Hold an annual seminar for key university staff (e.g. fund development, campus operations, real estate, etc.) to create a dialogue about appropriate decision-making processes and activities related to social embeddedness.

  - Conduct a biannual "audit" to determine whether investments and operations meet social embeddedness criteria. (This could be modeled – to some extent – on Community Reinvestment Act audits of financial services companies.)

Foster a university-wide culture that embraces responsibility for contributing to positive social change in the community and in the research, teaching, and service practices of ASU

Social Development and Well-Being

- **Track and evaluate the effectiveness of the social embeddedness vision and programs across the university and involved communities.**

Recommended Actions

- Identify and track a series of "well-being" metrics for the University and the community which could be influenced by social embeddedness programs (e.g. health indicators, graduation rates, employment rates, etc.).

- Publish and share metrics with the University and greater Phoenix community on a biannual basis through publications, websites, and presentations.

Goal #2: Structures and Reward Systems

Develop internal and external structures and reward systems to encourage and support effective implementation and long-term sustainability of social embeddedness as a core value for ASU and the greater Phoenix community.

Goal Two: Structures and Rewards
Core Strategies and Actions

- **Create faculty and staff hiring policies** that include social embeddedness criteria.

- **Develop reward systems** to acknowledge and support ASU's commitment to social embeddedness as a scholarly endeavor.

- **Define social embeddedness involvement, success, and accountability by "unit,"** with regular reporting to the Provost and President on progress.

- **Develop "socially embedded" teaching and research criteria** which set models for tenure track standards across the university.

- Inspire and support groundbreaking course development through the funding of the **Curriculum Innovation Trust.**

- **Seek to build and foster a new generation of community leaders** in greater Phoenix who have a shared vision of social embeddedness.

- **Encourage and support reciprocal relationships** and involvement of individuals at ASU, and within the Phoenix community.

Commentary

Develop internal and external structures and reward systems to encourage and support effective implementation and long-term sustainability of social embeddedness as a core value for ASU and the greater Phoenix community.

Historically, educational institutions – including research universities and liberal arts colleges – have focused on their core activities of teaching, research, and service. For centuries, it has been taken as an article of faith that the purpose of undergraduate education is to teach students a generally agreed-upon curriculum of academic subjects, using traditional pedagogical methods. In research institutions, faculty and graduate students pursue the creation of knowledge through rigorous study of highly specific subject matter in order to add to a scholarly body of knowledge. Students are evaluated on a demonstration of knowledge through papers and presentations, and written and oral exams. Faculty are evaluated through observation, peer review, student commentary, and most importantly, publication of scholarly works in respected, peer-reviewed academic journals.

It is no secret that of the three foci of educational institutions – teaching, research, and public service – published research is generally paramount. The prestige of research impacts decisions ranging from hiring and promotion, to curriculum development, to tenure review, to program funding, to physical campus development. This traditional approach has profoundly impacted the structure of educational institutions, including that of ASU.

It should be a truism that when academic transformation to embrace social embeddedness is a goal, converting the faculty to the cause of community engagement becomes a primary objective. This point deserves special emphasis, however, in light of the many failures – on the part of otherwise well-conceived engagement efforts at universities across the country – to win over a critical mass of faculty before personnel changes at the top alter the institutional commitment to community partnerships or curricular change. Meanwhile, the age-old traditions of the academy continue to discourage younger faculty who would like to incorporate work with community partners into their teaching, but who also need to gain tenure and stature in their disciplines. Local tenure decisions and hiring practices are generally based on traditional benchmarks for academic accomplishment: quality of research and the ability to attract grant funding to support it; peer-reviewed scholarly publication; and (often to a lesser degree) quality of teaching.

For numerous reasons, the addition of a community engagement criterion to the promotion and tenure checklist has been an elusive goal at most, if not all, universities. Yet all agree this is key to real, cultural change at academic institutions. Tenure discussions could be accompanied by ongoing efforts to educate the faculty about recognizing and responding to the true needs of the community through their disciplines – moving beyond research that quantifies or elaborates on a local problem without incorporating community inquiry into potential solutions to research that addresses real and pressing needs and that involves community understanding of the significance of, and participation in the design of, the research.

Community engagement initiatives across the country are variously led and supported from a university's central administration (the president's or chancellor's office), from the office of the Provost, from a research center within a college or school, or from a free-standing center or institute housed within the university. The locus of the effort appears to be consequential for credibility, sustainability, funding, and for gaining faculty support.

The idea of social embeddedness at ASU has, to date, been driven from the top, leading some to see it as a superficial overlay on work already being done or simply as a way to build community support for ASU.

From the research and interviews, it was apparent that faculty and administration worry about the capacity to sustain community-based work, especially if it is not supported with a long term commitment of resources. Few believe their teaching or research falls within the university's new definition of social embeddedness. There is consensus that to move this agenda forward, leadership needs to come from the President – who many believe holds the definitions and criteria for what is and is not socially embedded, regardless of the faculty's own definitions. Deans and faculty hope to get beyond the "big picture" and are anxious for assistance to understand how their work can support ASU's agenda of social embeddedness – although much attention seems focused on "quick wins" and examples of "how pre-existing programs can be redefined to fit the new vision."

While it is critical that the vision for social embeddedness becomes a university-wide ethos, it is important to note that this does not mean that *all* faculty will necessarily develop new curriculum or redefine their research agendas. Rather, this plan proposes that each individual unit will determine how it will interpret and meet the social embeddedness agenda. Each unit will be responsible for supporting and advancing the work of social embeddedness, holding it in the highest regard. It will be the responsibility of the President and Provost to set standards and to determine the success of the effort to transform the university as a whole. Faculty members who undertake work related to the goals and vision of social embeddedness should be honored with appropriate awards and public recognition.

It is important to note the crucial distinction between truly engaged coursework planned jointly by the community and the faculty member, and faculty-driven research agendas developed before the community is invited to participate. Similarly, universities often sponsor volunteer activities which, while providing free labor, do not foster long-term relationships with communities and continue the charity model ("serving"), rather than the capacity-building model ("empowering"). These efforts sometimes create tension between communities desiring to learn and to build sustainability and skills, academics who want data, and universities who want to "do good."

Teaching and Learning

- **Create a tradition of curriculum and teaching methods that consider community needs and make ASU a leader in social learning and responsibility.**

Recommended Actions

- Define social embeddedness involvement, success, and accountability by "unit," with regular reporting to the Provost and President on progress.

- Provide support and resources to colleges to encourage a social embeddedness agenda, including curriculum transformation, as appropriate for each unit.

- Inspire and support groundbreaking course development through the funding of the Curriculum Innovation Trust. *(See Appendix.)*

- Appoint a review team to assess programs and curriculum within units and to provide guidance to best meet criteria of social embeddedness.

- Create hiring policies that include social embeddedness criteria.

- Emphasize the social embeddedness vision and activities at orientations for new staff and faculty.

  - Develop and disseminate materials, talking points, and PowerPoint presentation for use by units to best explain social embedddedness.

Research and Discovery

- **Support individual units in their review of academic performance standards and reward structures to incorporate social embeddedness as an element, in the context of the research and teaching missions of the University and in the work of the unit.**

Recommended Actions

- Encourage directors to meet individually with their units on an annual basis to review and discuss all activities related to academic performance, research agendas, and faculty promotion and tenure decisions in light of the vision for social embeddedness.

- Create a network of research universities committed to social and economic investment in communities – values that are encompassed in the definition of both social embeddedness and the New American University.

  - Formulate and disseminate best practices, intersectoral partnerships, and impact models.

  - Develop a regularly published journal to help develop common lexicons, to assess lessons learned, and to promote a vision for social embeddedness work at research universities that can begin to build and sustain a movement for transformative thinking, leading to social change.

Develop internal and external structures and reward systems to encourage and support effective implementation and long-term sustainability of social embeddedness as a core value for ASU and the greater Phoenix community.

- **Develop reward systems to acknowledge and support ASU's commitment to social embeddedness as a scholarly endeavor.**

Recommended Actions

- Identify funding to: institutionalize dedicated stipends, one-time and/or permanent salary increases; cover travel expenses to visit exemplar programs in other communities; provide sabbatical program to plan curriculum; create a Regents Professorship tied to social embeddedness; etc.

- Provide focused attention on social embeddedness research in publications, public presentations, and through other public venues.

- Encourage research that will further the development of a socially-embedded university and to provide useful knowledge to support community needs and to address community problems.

- Review the potential to waive or reduce University "overhead fees" for research focused on local community issues and needs in the greater Phoenix area.

- Develop a strategy and identify faculty to spearhead a national campaign to begin changing publication standards and requirements at academic journals to emphasize and encourage community-related research articles.

- Develop criteria for "socially embedded" teaching and research criteria which meet tenure track standards across the university.

Community Capacity-Building

- **Seek to build and foster a new generation of community leaders in greater Phoenix who have a shared vision of social embeddedness.**

Recommended Actions

- Design and implement a coordinated strategy to identify and develop community leadership across the University.

- Engage the President's Community and Minority Councils in ongoing dialogue about the vision and goals of social embeddedness at ASU and in the greater Phoenix community; seek to build an understanding of, and support for, the vision among these key community leaders.

- Consider funding a university-wide "Community Leaders Fellowship" (in place of, or in addition to, existing programs housed within specific centers). Year-long fellowships could include opportunities to study or to participate in specially designed symposia, research, etc. as well as support for much needed research and investigation by non-traditional "researchers," e.g. community leaders, nonprofit executive directors, business leaders, etc.

- Convene an annual "Community Leaders Summit" to bring together community leaders participating in diverse ASU programs at the unit level to focus on critical community issues and to expand the social embeddedness dialogue, locally, regionally, and nationally.

Economic Development and Investment

- **Focus resources to impact the positive growth and development of local communities.**

Recommended Actions

- Seek to build and maintain sustainable sources of funding to support ongoing activities related to social embeddedness.

- Foster relationships with key economic and political decisionmakers in greater Phoenix and enlist their ongoing support for the vision and goals of social embeddedness.

Social Development and Well-Being

- **Encourage and support reciprocal relationships and involvement of individuals at ASU and within the Phoenix community.**

Recommended Actions

- Encourage ASU faculty, staff, and students to participate on local and regional nonprofit and city/county boards, commissions, committees, task forces, etc.
    - Promote participation as an "ASU value," and consider offering time off, modest reimbursements, etc. to support participation that meets ASU's definition of social embeddedness.

Develop internal and external structures and reward systems to encourage and support effective implementation and long-term sustainability of social embeddedness as a core value for ASU and the greater Phoenix community.

Goal #3: Partnerships with the communities of Arizona

Work in partnership with the communities of Arizona to increase the state's social capital and to strengthen the capacity of communities.

Goal Three: Partnerships
Overview of Strategies and Actions

- **Ensure that the vision and goals of the community are understood and respected** at all levels of the University, and are universally incorporated into the teaching, learning and research at ASU.

- **Create an environment for discussion** about the appropriate role for the University in the communities of Arizona.

- **Conduct meaningful, relevant community research** and share results broadly with the communities of Arizona in an ongoing and consistent fashion.

- **Develop a "community clearinghouse"** at a high level within the University to handle community requests; to share resources; and to direct community inquiries.

- **Structure ASU's economic investments to set a new standard** for community partnership and university/community dialogue and decision-making.

Commentary

As one of only three major universities in the state of Arizona, with more than 60,000 students, approximately 11,000 faculty and staff, and a budget in excess of $1 billion[16], ASU has an outsized presence both in greater Phoenix and in the state of Arizona. Given its sheer size, and the intellectual and economic power that it wields, ASU has not only the opportunity, but also the responsibility to act as a catalyst to expand dialogue and bring its vast academic knowledge and financial resources to bear on the needs and challenges of the region.

While a university embarking on a new engagement initiative undoubtedly understands its own specific needs, it may not understand the needs of the community. Generally, communities do a lot of thinking about their needs, since addressing them often requires prioritization of resources that are not readily available (otherwise the needs would likely be met). In many, if not most, communities the local university is perceived as a monolithic, immovable institution that leaves its ivory tower only when it needs something from the community, such as support for large scale construction. The reputation of many – especially large – academic institutions is that they are cut off from the very people who have "real" knowledge (experience-based, "non-book" knowledge) about community. Community-based activists especially, feel that their knowledge could enrich student learning, but are rarely called on to work with the university. The gap between communities and universities perpetuates the insularity of many academics – even those who purport to be studying communities and community development – and separates communities, community-based practitioners, and organizations from the often strong and relevant research that is done by academics. In short, the two cultures do not come together very often. The primary responsibility for bridging the gap – of necessity – falls on the university, because it can more easily enter the open doors of the community, while communities have difficulty finding their way into the university.

In this environment, building trust, gaining cooperation, and working toward collaboration with neighborhood and community organizations is both critical and time-consuming.

A very different and genuine kind of engagement happens when administrators and individual faculty and staff participate in local civic life as residents of the communities of the region – living in close proximity to the university, participating on neighborhood or city commissions, and impacting policymaking as "individuals," rather than as "representatives" of the university. Civic involvement by individuals identified with the university can help build a positive image of the institution in the community. It also models active participation in democracy for students and decreases the university's "arrogance quotient," mentioned frequently by community leaders who are skeptical of a university's commitment and who question its understanding of community issues.

Work in partnership with the communities of Arizona to increase the state's social capital and to strengthen the capacity of communities.

Work in partnership with the communities of Arizona to increase the state's social capital and to strengthen the capacity of communities.

As ASU takes this plan to the next phase, a comprehensive process – in which the community participates as an equal partner with the university – will add both visibility and credibility at the same time that it builds in safeguards against strategic omissions. The final working plan should identify key constituencies as well as a sequence and timetable for engaging them as partners in the process: deans, professors, and students; university administrators including those with responsibility for finance and development; community partners including community-based organizations and the business community; and local government decision makers.

ASU has already taken an important step in its planning process, as reflected in this draft plan, but now it must take the next step of sharing the plan with the community, and subjecting it to the voices of suggestion, skepticism, and criticism as community residents and leaders re-work and re-shape the plan to more accurately and comprehensively reflect the needs and priorities of greater Phoenix and of the state.

The recommended public (and well-publicized) launch to engage and attract as many people as possible (including those community members not usually involved in civic processes) will create an opportunity for the University not only to share its vision for social embeddedness, but also to demonstrate what it has learned about itself and how it relates (or does not) to the surrounding community. The launch is merely a starting point – it is not the moment for the University to "tell" the community what it has planned. Rather, it is a time to share learnings and listen carefully to the inputs and comments from various community constituents. The launch is proposed to comprise an extensive series of activities – potentially including public presentations by key university and community leaders, a speaker series, round-table discussions and symposia, a door-to-door neighborhood campaign, the unveiling of a new interactive website, and the broad dissemination of publications related to social embeddedness including case studies of promising practices.

By sharing the planning process in a truly collaborative fashion with the community, ASU opens the doors of its own ivory tower, inviting the community to take an active, participatory role in shaping the institution that sits within its midst. Community members are likely to be much more receptive to new ideas, programs, and initiatives put forth by the University if they feel they have taken part in a collaborative effort to make those decisions. In turn, the University may find that community members are no longer adversarial, but have turned into neighborhood friends, colleagues, and partners.

Following the start-up, ASU will need to continue efforts to keep the lines of communication open between community and university. ASU has historically had any number of communications programs through the University's offices of Public Affairs and University Initiatives, through its website, through the efforts of individual colleges and departments, and through stand-alone centers – each of which puts out its own brochures, flyers, newsletters, and reports (and in the case of the public relations department, frequent press releases).

The ASU website has extensive information available to the public, and the section of the website entitled *ASU in the Community* is a strong effort to collect and share the myriad activities and programs which ASU undertakes with and in the community (somewhat like community asset-based mapping, without the participation of the community in the gathering of the information). ASU in the Community is purposefully not academically focused and does not overtly solicit community information. Thus, it is easy to interpret it as a public relations vehicle. Still, it is a good start at documenting university-based activities and provides a base on which to build a more comprehensive view of social-embeddedness.

It will be critical for ASU to formulate a long-term communications strategy which targets the broad array of audiences in the Phoenix area and throughout the state (as well as nationally and internationally), providing those audiences with a clear understanding of the university's vision and of ongoing efforts to transform ASU into a socially embedded university. The communications program should be viewed as a process to both "communicate with" and "report to" the community.

A thoughtful "branding" of the concept of social embeddedness will provide a touchstone for the vision the community and University define together and can serve as a marker linking all programs, activities, related communications materials, and other representations of social embeddedness. While many "names"[18] for the social embeddedness effort have been floated throughout the planning process, ASU did not commit to any title, preferring that the naming be part of the initial implementation work. (The current thinking for a name is *ASU-Connected*.) The recommendations outline numerous other suggestions for opportunities for ASU and the community to work together on mutually beneficial goals.

Teaching and Learning

- **Build support throughout greater Phoenix and Arizona communities for the value of an education grounded in the local community.**

Recommended Actions

- Build and maintain strong relationships and programs with the community college system to allow community members another avenue of access to ASU.

- Expand and re-design curricula for ASU General Education and continuing education courses to include greater emphasis on social embeddedness vision and activities.

- Develop an on-going public relations campaign targeted at legislators and other elected officials about the value of a community-oriented education.

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18 Some of the names discussed include SE[3] Social Embeddedness/ Social Entrepreneurship/ Social Enterprise; ASUdo; AZUCan; ASUdoes; It's About Change; About Changing Arizona Together (ACAT); AZFramework for Collective Change (AForce); Acting Together for Arizona (ATAZ); All Together for Arizona; C3 Collective Community Change; SA-4: Shared Agenda and Action to Advance Arizona; and ASU-Connected.

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Work in partnership with the communities of Arizona to increase the state's social capital and to strengthen the capacity of communities.

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- **Incorporate community input into teaching, learning, and research.**

  Recommended Actions

  - Launch pilot "ASU 1000" door-to-door research, using students, faculty, staff , and community members to survey the community about local community needs, concerns, and desires. Incorporate annual data into coursework, independent study, and research. *(See Appendix.)*

  - Coordinate and manage regional dialogues/roundtables 1-2 times per year with civic and political leaders in key ASU communities (e.g. Phoenix, Tempe, Mesa, Glendale) (*See Appendix.*)

  - Coordinate annual focus groups with leaders and constituents of nonprofit organizations to learn about community needs and priorities.

    - Incorporate findings into teaching and research.

Research and Discovery

- **Conduct meaningful, relevant community research and share results broadly with Arizona communities in a consistent, ongoing fashion.**

  Recommended Actions

  - Develop annual focus on key regional issue(s) as determined by the university in partnership with community.

  - Strive for shared interdisciplinary, inter-center research as often as possible.

  - Ensure broad dissemination of research results through publications, public presentations, and prominent positioning on ASU and other websites.

Community Capacity-Building

- **Create and support sustainable partnerships that build on community knowledge and university resources.**

  Recommended Actions

  - Develop a "community clearinghouse" at a high level within the University to evaluate community requests; to share resources; and to direct community inquiries. Establish a dedicated address, phone number, and e-mail address with a staff member assigned to track answers/solutions.

  - Work in partnership, when possible, with community organizations to conduct research (e.g. local funders and nonprofits).

- **Create an environment for discussion about the University's appropriate role in the Arizona community.**

  Recommended Actions

  - Build and sustain relationships with ASU alumni as "liaisons" between the University and the community (consider Alumni Summit and newsletter)

- Develop a comprehensive publication providing critical case studies of social embeddedness, including goals, successes, challenges, and lessons learned to be co-written by university and community partners.

- Host a range of speaker series and seminars to encourage dialogue among internal and external stakeholders in social embeddedness discussions.

- Plan and host community events and dialogues which tie into State plans for centennial celebrations in 2012, and which link ASU to the future vitality of the State.

Economic Development and Investment

- **Structure ASU's economic investments to set a new standard for community partnership, university dialogue, and decision-making.**

Recommended Actions

- Utilize regional forums as venues for open dialogue on ASU's plans for economic investments and on the appropriate role of the university in the Arizona community.

- Conduct surveys, as needed, of households and community leaders to determine level of support for ASU investments (especially in real estate and economic development) and to determine the economic and developmental needs and priorities of greater Phoenix and of the state in general. Use survey results to prioritize investment decisions.

- Share the results of the social embeddedness "audit" with the community and encourage on-going dialogue about the ASU "record" of community investment and development.

Social Development and Well-Being

- **Promote shared responsibility as a value for the university and the community.**

Recommended Actions

- Encourage community members to contact ASU with questions, concerns, and suggestions on any topic related to university/community relations. (See "community clearinghouse.")

- Promote active participation of community members in any and all ASU "town hall" and other community meetings.

- To fully participate in the region, encourage faculty and staff to live in ASU communities (e.g. downtown Phoenix, Tempe, Glendale, Mesa) by promoting it as an "ASU Value."

- Consider developing an ASU "Student/Neighbors Association" which promotes constructive relationships between local neighbors and students in adjacent off-campus housing.

Work in partnership with the communities of Arizona to increase the state's social capital and to strengthen the capacity of communities.

- **Ensure that the vision and goals of the community are understood and respected at all levels of the University, and are universally incorporated into the University's teaching, learning and research.**

Recommended Actions

- Determine and confirm mutually beneficial goals and expectations of community and university, through the establishment of a meaningful and ongoing communication process. (See Appendix.)

- Involve the community in the process to advance and transform this draft plan for a socially embedded university into a comprehensive "working plan."

- Institutionalize a system of ongoing communication with the community.

  - Develop targeted communications strategies, messages, and approaches for diverse ASU and community constituents.

  - Develop a tabloid-style newspaper appropriate for insertion into all regional and statewide newspapers, including ethnic press, containing topical issues related to social embeddedness.

Work in partnership with the communities of Arizona to increase the state's social capital and to strengthen the capacity of communities.

Goal #4:
National Model

Establish ASU as a
national model for
university-community
partnership

Goal Four: National Model
Overview of Strategies and Actions

- **Become a national model for innovative approaches to community partnerships** and for ground-breaking research into effective approaches.

- **Establish university-wide evaluation model and tools** to assess all projects considered to be socially embedded.

- **Strive to help leaders and residents of greater Phoenix feel pride in ASU,** that "ASU is *our* university and it makes a positive difference in our lives."

- **Engage students** in conceiving new ways for universities to meet the growing demand for civic engagement.

- **Seek to publish extensive articles, case studies, and other publications which document social embeddedness programs,** including successes, challenges, and lessons learned.

- **Host a website to promote national dialogue** and offer a venue for examples of social embeddedness.

- **Convene a national summit** on social embeddedness with peer universities, establishing ASU as the exemplar of the Socially Embedded University.

Commentary

There are more than 4,000 institutions of higher learning across the United States. Every one of them is located in a community. Large and small institutions each have unique histories and relationships with their community neighbors. Every community has its own particular assets and also its own set of challenges, whether they be geographic, demographic, ecological, economic, or social.

Each educational institution has existing, and often long-standing, relationships with communities that are in close proximity to their campus or headquarters, based on individual or shared history, level of community need, and the availability of resources. Some institutions have relationships that span centuries, others only a few decades. Some universities have endeavored to be proactive in building working partnerships with their local communities; others have been dragged into relationships through acquisitions of property outside the campus boundaries; the need for campus development; neighborhood controversies related to student issues and behaviors; or a crisis that affects both students and residents; among other things. These issues have forced the institution to develop relationships with its communities on a reactive, rather than a proactive, basis.

ASU's relationship with the region has changed as both the University and the metropolitan area have grown. Given the enormous demographic, social, and economic changes, the University and the metropolitan region are at a historic moment where it is not only advantageous, but also necessary to form a university/community partnership at a scale and intensity that has never been tried elsewhere.

As ASU moves toward the creation of a unique educational model, "the New American University," and as greater Phoenix amasses its energy in ways that could make it qualify as the quintessential "New American City," the leaders, students, and residents of the region have the opportunity to be pioneers in developing an innovative model to share with other communities and universities – to challenge and change the traditional relationship between "community" and academic institution. This model can challenge other universities and communities to understand the power and potential of partnership and of true embeddedness.

For Arizona State University, it is an enormous opportunity to lead; for the communities of the Valley, it is an incredible chance to define themselves for the coming decades – creating a vision that moves beyond growth, to embrace potential of building capacity by working in collaboration with the University.

Establish ASU as a national model for university-community partnership

Teaching and Learning

- **Encourage teaching of the theory of social embeddedness** across the curriculum and consider social embeddedness as a component of doctoral programs.

Recommended Actions

- Encourage colleges, departments, and units to strive for national recognition based on a community focus related to student admissions, teaching, scholarship, and overall commitment to community.

Research and Discovery

- **Become a national model for innovative approaches to community partnerships and ground-breaking research on effective approaches.**

Recommended Actions

- Develop evaluative tools and mechanisms to continuously ensure effectiveness of programs. Work with the community to ensure appropriate metrics and benchmarks. *(students/ faculty/ staff/ community)*

- Establish a university-wide evaluation program and model to assess all projects considered to be socially embedded. Encourage cumulative learning and publication about the evolution and evaluation of each project to gain national attention and to promote ASU's work. *(students/ faculty/ staff/ community)*

- As part of the evaluation of social embeddedness activities at ASU, develop (and regularly update) a database inventory of socially-embedded activities, programs, projects, and decisions throughout the University and in the community (as distinguished from, or in addition to, what is currently noted on *ASU in the Community* website).

- Write and seek to publish extensive articles, case studies, and other publications which document social embeddedness programs, including successes, challenges, and lessons learned.

- Broadly share research on social embeddedness with peer universities (e.g. with presidents, provosts, deans, etc.).

Community Capacity-Building

- **Build a reputation for university-wide commitment to community engagement and openness to transformation through community involvement.**

Recommended Actions

- Host a website to promote national dialogue and as a venue for examples of social embeddedness.

Establish ASU as a national model for university-community partnership

- Seek venues for presentation and dissemination of ASU's work in social embeddedness.

- Convene national summit on social embeddedness with peer universities, establishing ASU as the exemplar of the socially embedded university (the New American University.)

Economic Development and Investment

- **Set a national example of a university with an exemplary record of responsible, community-oriented investment and development.**

Recommended Actions

- Engage funders (public and private) in discussions on the value of sustainable relationships between universities and communities in order to build and maintain social capital, and to inform the creation and implementation of a shared vision for the future of the region and for the transformation of a university.

- Broadly share results of the social embeddedness "audit" with peer universities.

- Advocate for the development and adoption of a national economic investment "audit template" which could be used by colleges and universities across the country.

- Review university policies related to hiring, investment, contracting, vendor selection to ensure that such policies are imbued with social embeddedness concerns.

Social Development and Well-Being

- **Become known as the university that "walks the talk, and talks the walk."**

Recommended Actions

- On an on-going, but infrequent, basis hire surveyors to talk casually to people "on the street" about ASU to learn what they know about, and think of, the University.
    - Consider phone survey to supplement the ASU 1000 effort to ensure large scale response.

- Use feedback from the survey to appropriately adjust elements of social embeddedness – e.g. vision, values, programs, etc.

- Strive to help leaders and residents of greater Phoenix feel that "ASU is *our* university and it makes a positive difference in our lives."

"You will ensure sustainability by literally putting this at the core of the mission – not in a cosmetic, reflective, service function. You'll ensure sustainability if you get

Management Strategies

what I would say is 'institutional embeddedness.' Without that, you'll just have good public relations. Maybe you'll have political peace, but it will be ephemeral."

– External

The first part of the "Plan for a Socially Embedded University" sets forth an ambitious vision for transforming the relationship between Arizona State University and the greater Phoenix region. While the Plan provides a comprehensive set of goals and strategies for achieving its vision through programs, policies, and structural changes, it does not lay out the logistical or technical aspects of putting the plan into place. The management strategies in this section are intended to provide an overview of the broad tasks and decisions that must be undertaken in order to begin and sustain implementation of the goals articulated on the previous pages. It should be noted that once structural changes throughout the University have been finalized and enacted, this section will likely need to be revised and described in greater detail.

The plan documents the need for an integrated, all-encompassing approach – building from a base of five thematic areas – to foster ground-breaking changes including structure; curriculum; decisionmaking; information-sharing; and partnership-building that engages the community. While other universities have adopted one or more of these five elements in their community engagement programs, none have embarked on a program as comprehensive as the one ASU is setting – embracing the totality of the university.

Research indicates that the most successful and effective "programs" incorporate a constellation of initiatives aimed at changing the culture of a university and the perceptions and actions of the surrounding communities. In various combinations, many universities can point to numerous interesting, effective projects and programs including, but not limited to, service (or "community-based") learning; sustained involvement in local public schools; mentoring and scholarship programs for local applicants for admission; curriculum development grants for faculty; competitive review of project proposals from faculty-community partnerships; and recognition programs for faculty, students, community members, and community organizations.

A number of community engagement programs and initiatives that showed great promise at the outset, lost momentum over time. Hypotheses abound for this phenomenon. A charismatic leader who oversaw all program efforts may have left. There may have been structural reasons, such as loss of funding; it could have been a failure to convince important partners, or win over a critical mass of the faculty. Society – and more importantly, funders – may have moved on from the post-1960s concern with the social problems that still plague inner cities and from the prevalent belief in the 1990s that urban universities could be key instigators for social change and support for community development. Ultimately, it could be that the start-up was more enticing, more exciting, and easier than the work entailed in building long-term sustainability.

Initial decisions about the structure, oversight, and governance of community engagement strategies have critically important consequences for program implementation, design, funding, and sustainability. Perhaps most important, structural decisions impact the perception as well as actual results of any community engagement initiative or undertaking.

One can argue all sides of the question of whether more resilience is gained by creating a "program" under the protection of a university president; or under a provost; or within an academic college, school, or department; or whether a comprehensive, stand-alone center has an advantage in terms of fundraising and flexibility. Based on research and site visits to other universities, it appears that both the "program" and "center" approaches have the potential to become easily marginalized as community engagement initiatives become seen as either being taken care of by "someone else," or being independent of the academic and research mission of the university. The decision as to placement of community engagement strategies appears to be paramount to the success of all subsequent engagement work.

Operating within the office of the president lends an air of immediate credibility and sometimes helps to secure a permanent line in the budget. But the flip side of the presidential credibility is the fate of the program when the president leaves the university, unless ample provisions have been made for continuity and sustainability (i.e. if the effort itself is truly "embedded" throughout the university as well as in the community, etc.). It appears to help when the person running the engagement initiative, on the ground, has an elevated title such as vice president or "associate vice president." Still, priorities and commitments change whenever there is a shift in leadership. An "academic home" for coordinated engagement activities (e.g. within a particular college) might have some advantages in gaining support from deans, which is seen as critical to building faculty participation, but this also tends to marginalize participation from other units across the campus.

While some universities have created "programs" within (or through) public affairs (or community/public relations, external affairs) departments, there was fairly unanimous consensus that being affiliated with these departments conflicts with the intention of community engagement and embeddedness that can impact academics, research, and communities themselves, without the impression that the intention is tied to the promotion of the institution.

No two universities surveyed by Fern Tiger Associates had the same organizational structure. In many cases an engagement "initiative" brought together at least a few (or in some cases, many) existing programs from different corners of the university. This sometimes involved renaming a pre-existing center or program/project – "Old wine, new bottles," quipped one director, interviewed during the process. In some universities, the "program" was initiated by either the chancellor, president, or provost and later moved to an academic department, often after a personnel change at the top. Only at one university (Portland State University/PSU) does the ethic of engagement appear to be so broad-based and accepted as part of the university's core mission that it does not seem to have, or to need, a structural niche. (PSU's efforts were initially designed and managed quite directly by the President and Provost, who took an active and personal involvement in both the development of the concept and actual implementation of the strategies.)

In every case, even at PSU, identifying and coordinating all of the diverse community projects being undertaken by academic units and individual professors is a continuing struggle and challenge. In defining the structure of a new initiative it is critical to evaluate the particular barriers to success internal to the university, and devise an organizational strategy that addresses those issues.

In moving forward on social embeddedness, ASU is in a particularly challenging position. While it does not appear that any college or university across the country has as comprehensive a definition of community engagement as ASU is developing; nor is any other institution staking a claim to an initiative as unique and innovative as ASU strives for. ASU has made a "big splash" in promoting the New American University – not only raising its profile nationally, but also – greatly increasing the expectations, both in its home communities and in presidential offices and faculty lounges across the country. Though ASU has an opportunity for significant impact, success, and recognition as it becomes a socially embedded university, it also has the potential to disappoint and fail at many levels if it cannot or does not deliver on its promises to revolutionize the relationships and partnerships between the University and the community.

ASU's definition of social embeddedness focuses on a unique, new mission of empowering communities, transforming the University, and building leadership and social capital throughout the region. As such, it cannot be relegated to any one college, school, department or center at the University. Nor should the work be captured within a new institute or center requiring burdensome bureaucracy. The work of social embeddedness will flourish best in an atmosphere of openness and flexibility, allowing individuals and institutions to be nimble and creative, seizing new opportunities for innovation and partnership.

The vision and activities of social embeddedness, defined over the past year, are intended to permeate the University and the community. While it is obvious that these goals are long term, the work towards this vision cannot be saddled from the outset with traditional structures or constricted ways of thinking. Yet, despite this mandate of innovation, the Social Embeddedness Plan will still require some traditional and fundamental operational elements, including staff; a strategic leadership strategy; dedicated funding; physical facilities; a communications strategy and materials; a long-term plan for evaluation; and supporting technology. The following pages frame the discussion of the strategies, needs, and requirements for:

- **Leadership:** Implementation of the goals and vision will require the consistent guidance and direction of a "Director of Social Embeddedness"[12] with supporting, though limited, administrative staff.

- **Accountability/Oversight:** To ensure community and university buy-in, and to provide for a system of checks and balances, a "Planning and Oversight Committee"– comprised of representatives of ASU and the community – will be appointed to help guide and oversee activities related to social embeddedness. This committee will also conduct a portion of the annual performance review of the "Director."

- **Engagement/Communications/Outreach:** One of the most important elements of the Plan is the design and implementation of a highly public "launch" and dissemination of intentions. The development of a comprehensive engagement strategy; branding; the creation of related publications and communications collateral; and ongoing presentations, communications, and outreach to support the launch, and build credibility as well as continuously increase understanding – while encouraging the cultivation of genuine partnerships – among and between community and University members will be critical.

- **Facilities:** It is anticipated that the vision and values of social embeddedness will grow into an ethos threaded throughout ASU – ostensibly with no need for a physical "location." Nevertheless, it will be important to have offices and meeting spaces at each of ASU's four campuses as well as in a downtown Phoenix "street-front" location. Each should be designed to illuminate ASU's commitment and be accessible to both the university and community. Ideally, these locations would be staffed 8:00 a.m. to 8:00 p.m. six days per week to encourage frequent visits and regular "drop-ins."

- **Evaluation:** A comprehensive, long-term plan for evaluation is essential to determine the viability, success, and impact of ASU's integration with its communities and to understand and learn from the programs and activities established as exemplars of social embeddedness. This evaluation should include appropriate and rigorous quantitative and qualitative methodologies and documentation standards; an innovative approach to, and use of, flexible, interactive evaluation tools; the collection, analysis, and synthesis of data over a 10-15 year period; and ongoing publication and broad dissemination of results, including discussions of challenges, lessons learned, and next steps.

- **Technology:** Implementation of the Plan will require dedicated and proactive technology including the development of a new, nationally-focused website, linked to relevant ASU and community websites. In addition, a selective redesign of ASU's primary website should prominently feature the vision, values, strategies, and activities related to a socially embedded university.

- **Funding:** To ensure the start-up, implementation, and sustainability of the vision and values of social embeddedness, substantial, ongoing sources of funding need to be identified and secured through the cultivation and solicitation of foundations, individual and corporate donors, and government funding programs. To show its commitment to the vision of social embeddedness and to provide active encouragement to potential donors, ASU should publicly announce significant, early seed funding which could then be matched by other donors.

Leadership

In a perfect world, there would be no need for a single person to lead or direct community engagement activities. At a truly embedded university, individuals and units would have so completely embraced the notion of working and living in partnership with their communities that the concept of a "leader" of social embeddedness would be entirely foreign or absurd. In the study of best practices at other universities, Portland State University seemed to come the closest to the ideal of embracing a campus-wide value of community engagement. Though the president and provost initially took a hands-on role in guiding start-up efforts, PSU never designated one individual to "direct" program efforts. Instead, through extensive support, faculty members took on the mission of community empowerment, re-writing curriculum to reflect this value.[19] At some point in the near future, it is hoped that ASU will reach a level of engagement with its communities that will be similarly sufficiently self-generating and organic as to not require the guidance of a "leader." Nevertheless, as noted in the first goal of the Plan, this report recognizes the need for coordination and leadership to integrate the concepts of social embeddedness into the culture of the institution and to solicit, understand, support, and promote communities' ideas of their needs and desires.

A "Director" should be recruited and hired to operate at the highest levels of the University, while acting as a liaison to academic units and to the communities, to guide the start-up efforts related to social embeddedness, to ensure the implementation of plans for sustainability, and to provide the vision and cohesive strategy for programs and related activities across the entire University and throughout the greater Phoenix community. It should be cautioned, the "Directorship" should not be viewed as a typical position within the institution. Key to the success of social embeddedness is the designation of this position as a unique role, reporting jointly to the President and University Provost in order to guarantee that the strategies of social embeddedness are considered, included, and pursued in all key decisionmaking. Additionally, this arrangement will demonstrate credibility to the critical mass of faculty at the University and to the community – if people believe he or she "has the ear" of the President and Provost.

Ideally, this professional would bring extensive experience and credibility in both academic circles and in community outreach/engagement/renewal projects that focus on social change. The leadership of social embeddedness should be in the hands of a broad, innovative thinker and leader who can guide the strategic efforts related to social embeddedness and to the transformation of ASU into the New American University.

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19 Portland State University has a coordinator of a required series of courses - University Studies - focused on Urban Inquiry and a senior capstone. When Portland State developed its curriculum the Provost hosted a seminar for faculty to discuss new ways to teach and to engage with communities. What began as an informal discussion continued for two years and engaged more than 200 faculty of all ranks and disciplines.

The "Director" will continually articulate the concepts and best practices of social embeddedness; work tirelessly to integrate the principles of social embeddedness into the culture of ASU; act as a liaison with all University units to support socially embedded work; strategically coordinate activities in the community and at the University to align them with the vision and goals of social embeddedness; promote ASU's work in national and international forums and publications; oversee the development of a comprehensive evaluation plan and ongoing evaluative efforts; and establish and maintain ongoing dialogue with communities in relation to all socially embedded activities and partnerships.

To accomplish the goals set in this plan, the "Director" will be responsible for attracting and sustaining long-term funding, goal development, implementation, evaluation, internal and external communications, and community engagement, while acting as a key advisor to the President and Provost to ensure broad implementation at all university levels including curriculum review and revision, as well as key decisionmaking that could impact university/community partnerships. As currently conceived, the "Director" will be supported by a full-time assistant and a small corps of graduate students who will receive academic credit and/or stipends. During the course of the first two years, the "Director" will develop a detailed plan for sustainability, address the potential for permanent funding, and develop a strategy for appropriate long-term staffing, as well as define long-range program goals and objectives beyond the period set by this plan.

It is hoped that at the close of approximately five to eight years (in 2012 - 2015), social embeddedness will have become so integrated into the fabric of a transformed New American University at ASU that there will no longer be a need for a high level position to actively oversee the development and implementation of this vision. It is likely, however, that an administrator will likely be needed, long-term, to coordinate and facilitate the various processes put into place, to ensure sustainability and ongoing success.

Recommended Actions

- Develop job description, responsibilities, and performance criteria for the "Director."

- Determine appropriate salaries and benefits.

- Recruit and hire leadership for a contracted five year period.

- Support "Director" to define full-time assistant position and graduate student positions, and then hire appropriate personnel.

- Develop a detailed and realistic five-year budget.

- Support development of a detailed work plan and orientation for leadership.

- Evaluate Director performance, annually.

Accountability/Oversight

Social embeddedness has been described and outlined by President Crow as one of a series of "design imperatives" critical to the transformation of ASU into the New American University. When an institution sets off on a journey of profound cultural and structural change, it is generally helpful – perhaps necessary – to identify a set of road markers and milestones to guide the path. In ASU's case the concept, values, and standards of social embeddedness need to be defined in order for people to grasp and understand the meaning. ASU has already made great strides by defining what social embeddedness means and by establishing goals to meet the vision of a transformed university. With strategic guidance and direction, over time, the importance of this particular design imperative will become part of the consciousness, not only of individuals, but of the institution itself, becoming a deeply held value. If truly successful, this value or ethos of community empowerment and mutually beneficial partnership between the University and the community will be woven seamlessly through the fabric of the University.

In order to reach that point, it will be important to have thoughtful guidance from a representative group of individuals who have an objective, but engaged, interest in the current needs, priorities, and future direction of both the institution and the community. Drawn from units across the University and from communities throughout greater Phoenix, this group will comprise a "Planning and Oversight Committee" which will help formulate the broad thinking, strategy, and direction of activities and outreach related to social embeddedness.

While the strength of the vision, preparation, and activities related to social embeddedness will require the oversight of this Planning and Oversight Committee – and strategic coordination by the "Director" – the true work of transforming ASU into a socially embedded university will happen at the unit level.

The general lack of understanding across the University of what it means to be socially embedded, or of how academic work can fit into such a vision, and/or the confusion between "service," "empowerment," "capacity building," and "mutually-beneficial partnership" needs to be confronted, challenged, and eventually remedied with clarified understanding and acceptance at the unit, and even the individual faculty and staff, level. One might argue that while it is fairly obvious to see how some of the "social" disciplines – such as education, social work, nursing, and law – could, and already have, in some cases, translated academic work into ongoing community engagement that meets ASU's definition of social embeddedness, other disciplines find it more difficult to make connections to fulfill the social embeddedness mandate.

Rather than require individual accountability for undertaking work related to the goals of social embeddedness, this plan recommends that responsibility for implementation be at the "unit" level. Units would appoint one or more "liaisons" to oversee and coordinate programs and activities on behalf of the unit, reporting regularly to the head of the unit, who would in turn "report" to the "Director" of Social Embeddedness.

"Internships benefit students; they do not necessarily benefit communities."

- University of Maryland

Through this approach, it is expected that, over time, each person at the University will intuitively understand, share, and be part of this unique university whose ethos is integrated into the work of the institution, including close partnership with communities, to create an empowered, vital region.

Recommended Actions

- Identify and coordinate a *Planning and Oversight Committee*, comprised of University and community members. This committee will provide feedback and insight on the effective implementation of social embeddedness concepts and goals; initially develop appropriate roles and responsibilities for the committee (including length of service, expected time commitment, general duties, meeting procedures, etc.)

- Schedule regular meetings (at least semi-annually) for the "Director" with the President, Provost, and Planning and Oversight Committee to discuss program implementation, including desired results, anticipated challenges, progress of evaluation, and lessons learned.

- Ensure appropriate and timely pursuit of the social embeddedness vision and goals at the unit level, through regular communication with unit leaders/directors; the appointment of unit level "liaisons" responsible for overseeing program implementation at the unit level; and annual unit-level review of activities.

- Direct the Planning and Oversight Committee to conduct a portion of the performance appraisal of the "Director," annually.

"The language of 'outreach' is the language of an imperialist university. The language of 'service' creates a class relationship inside the academy where first-class citizens do research, and second-class citizens go to 'centers of service.' That attitude breaks up the university."

- University of Illinois, Chicago

Engagement/Communications/Outreach

Since engagement takes many forms and plays many roles within an institution, as well as in (and with) communities, it is tempting to aggregate diverse forms of community relations [e.g. service-learning courses; student/faculty volunteer activities; campus events open to the public (e.g., arts, theater, sports); advocacy/government relations; public relations or external affairs; staff recruitment; and charity work; and even participation in municipal planning processes related to zoning, land use, or permitting needed by the university] and call it a comprehensive engagement initiative. What is missing in such an aggregate description is a strategic blueprint for collaborative engagement that aims to transform both the university and the community by truly pursuing an authentic, substantive, mutual partnership. Each of the university's community partners and external "audiences" has different informational and programmatic needs and will define progress differently. Savvy community organizers, activists, and advocates will easily see through a collection of university programs that calls itself engagement but misses the community's mark – creating confusion and mistrust of the university's motives. More important, such "manufactured" community relations will not transform either the university or the community in ways that release the creative, social, and intellectual potential of a region.

"There are so many messages being sent right now, this could just become 'one more.'"

- Internal

Planning and research for social embeddedness programs at ASU have been underway since 2002, and most intensely for the past two years. Still, community members interviewed expressed skepticism about the University's current relations with the community, decisionmaking processes, as well as future plans for engagement.

Community leaders say that the University administration does not distinguish between "schmoozing" or networking in pursuit of the University's own interests, and what they describe as "real" community involvement that would include self-reflective questions about how to create appropriate relationships between the University and the community, and who should cultivate them. ASU's community outreach website, *"ASU in the Community"* lists hundreds of community programs, "partnerships," and activities but purposefully does not differentiate between any of the activities on the site – in terms of duration, importance, intensity, or impact, or relation to the social embeddedness definition. ASU's website does not offer evidence of any overarching strategy for engaging with the community.

Unless people see, hear, and feel the impact of ASU's unique transformative effort to be engaged and integrated with the community, the perception will be that this university is like others – involved in a series of well-intentioned "good works," which are not connected to a larger vision and which do not necessarily increase social capital, empower the community, or help to move the community's agenda forward. To change these perceptions, a well-conceived set of communications, engagement, and information-sharing plans will form a central and crucial component of the Social Embeddedness Plan.

To lay the groundwork, not only for awareness and support for social embeddedness, but also to gain national recognition, a full-scale public "hearing" of the initiative is imperative. This "launch" is currently conceived as a series of participatory university/community events, which not only have the potential for broad community engagement, and which could attract substantial local and national attention, but should also be seen as a sincere effort to expose the University's plans to the scrutiny, criticism, and excitement of the community. Ultimately – it is hoped – this will begin a constructive, two-way dialogue between the University and the community.[20]

Given the diversity of communities, including neighborhoods, businesses, government, nonprofits, and ASU itself (students, faculty, staff, alumni) – and the complexity of the vision of social embeddedness, it will be critical to develop an inclusive, flexible, and comprehensive strategy for the "launch," which offers appropriate roles and responsibilities for each of the various ASU and community constituents who will help carry out the strategy.

To support the launch and ongoing engagement, a wide variety of communications tools are recommended, including the branding of the partnership.[21] Recommended materials include a publication of critical case studies, a tabloid insert in the Arizona Republic (see appendix), brochures, and other collateral. An engaging, user-friendly website should support interactive outreach efforts (see Technology). Some activities, which are directly related to social embeddedness programs – such as community roundtable discussions, a door-to-door community walk (the "ASU 1,000"), and a year-long speaker series – seek to tap into the wellspring of community knowledge, by honoring, respecting and documenting the history, traditions, local wisdom, "fault lines," and common understanding of residents, activists, business and civic leaders, and elected representatives. These activities can, and should, be viewed as opportunities to share the vision and message about social embeddedness and solicit input throughout the process.

It should be noted that this section does not represent a complete and comprehensive communications strategy, but rather lays out the broad steps that should be taken to develop and implement appropriate, ongoing communication and information-sharing related to social embeddedness.

Recommended Actions

- Develop a comprehensive short- and long-term engagement strategy.

- Determine appropriate role and relations with and between other ASU departments which manage day to day visibility of University.

  - Develop targeted communication strategies, messages, and approaches for diverse internal and external audiences.

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20 A detailed, initial plan for the "launch" has been drafted. Please see appendix for further information.

21 See page 52 for discussion of branding concepts.

- Develop an annual communications/outreach calendar (to set logical frame for events, dissemination of materials, release of publications, etc.)

- Share communications strategy/calendar with city officials and other community leaders on an ongoing basis.

- Broadly disseminate, within ASU and the wider community, information related to ASU's vision of community engagement, including activities, research, evaluation results, etc.

• Brand social embeddedness so that it becomes known at ASU and within the greater Phoenix community.

- Develop visual identity and brand (including the development of an action statement) with community participation.

• Develop a comprehensive suite of communications materials:

- Overview brochure with results from findings phase.

- A book of social embeddedness case studies (approximately 24) appropriate for publication and broad dissemination, with four additional case studies each year, and a compendium every third year. Train graduate students to conduct interviews in conjunction with the development of case studies. *(See page 70.)*

- A 16 page tabloid-style newspaper appropriate for insertion into the *Arizona Republic* and all regional and statewide newspapers, including ethnic media, containing topical issues related to social embeddedness at both ASU and nationally (including the current vision, national status, history, results of program activities, etc.).

  • Consider regional mailing.

- Other project materials, as appropriate, including letterhead, business cards, flyers, brochures, posters, banners, etc. for university-wide and/or community outreach and information sharing.

• Plan and conduct a public launch of the Social Embeddedness Plan (See appendix.)

- Share the Plan, as well as the results of the findings of the 200+ interview, by creating an overview publication and disseminate initially to interviewees.

- Plan and implement presentations to all ASU units, as well as at student forums, and at faculty, staff, administration meetings – and to external communities – civic organizations, elected officials, nonprofit organizations, business executives, funders and philanthropists, unions, etc.

  • Consider hosting events for particular populations (interviewees, nonprofit leaders, elected officials, etc.) to present the plan and to garner support and participation.

- Recruit and train 1,000 ASU students, faculty, staff, and community members ("the ASU 1000") to go door-to-door. Use data gathered from this effort to develop an annual campus-wide topic focus (e.g. healthcare, children, housing, etc.). Repeat process biannually.

- Develop and lead discussion groups (participants assembled by nonprofit leaders) throughout the community to solicit qualitative input and feedback on potential "themes" derived from ASU 1000.

- Plan and lead a series of roundtable discussions with university and community representatives in the key communities of Phoenix, Tempe, Glendale, and Mesa.

- Coordinate related media coverage of the launch activities.

- Assess and evaluate launch events and replicate appropriate activities annually/ biannually.

- Develop and execute ongoing public events, presentations, discussions, and "happenings."

  - Plan and host speaker series and seminars to encourage dialogue between internal and external stakeholders in social embeddedness discussions.

  - In conjunction with ASU's 50th anniversary in 2008, develop and convene a national summit on social embeddedness with peer universities and community members, establishing ASU as a leader and exemplar of the *"socially embedded university."* (Consider hosting national summit to overlap with Alumni Summit and Community Leader Summit.)

  - Seek diverse venues for presentation and dissemination of ASU's and greater Phoenix's work in social embeddedness.

- Develop a national website dedicated to social embeddedness.

Facilities

Despite the fact that this Plan sets the stage for an underlying ethos of community empowerment which is relegated neither to the institution's fringes, nor to a single domain, but rather threads through all units and the "interstitial spaces" of the University – ultimately, there must be "a there there." While it is expected that the "Director" of Social Embeddedness will spend a great deal of time at all four ASU campuses and out in the community, nevertheless, he or she will need a "base" for support staff, for storage of materials, for meetings, and for research and thinking. These dedicated locations should be dynamic, welcoming, community spaces – providing a visible demonstration of ASU's willingness to dissolve barriers between the University and the community.

"Phoenix – what a laboratory for us."

- Internal

To have ample access to the President and Provost, the "Director" and his/her staff should have a primary office on the Tempe campus with the appropriate technology, materials and supplies, private offices, and public meeting rooms to accomplish the mission of the Plan. In addition to the Tempe campus office, a "storefront" office and presentation space should be located in downtown Phoenix. The layout of this space should be designed to encourage fluid exchange of ideas between the University and the community. The "Director" should also have access to office and presentation space at each ASU campus and/or in each of the communities where ASU is located. Ideally, these facilities would be able to contain interesting regional photography, varying exhibits and installations of university programs at ASU as well as nationally, to host frequent roundtables and community "brown bag lunch" presentations, comfortable meeting spaces, community access to current and archived program materials, and extended hours of operation (e.g. evenings and weekends). Community members should be able to do research, to engage in collegial discussions, and to hold public meetings on issues important to the community and to ASU. It is expected that graduate students can staff these locations.

Recommended Actions

- Locate and build out/equip an appropriate office space on the Tempe campus with access to meeting spaces.

- Locate and conduct due diligence for a downtown Phoenix location, which should include at least one private office and flexible open space for the activities described; build out space and equip with technology, as appropriate.

- Reach an agreement with Provosts at other campuses (Polytechnic, West, and Downtown) for dedicated space (one office) and access to meeting areas.

Evaluation

A study of best practices in community engagement nationwide (see Appendix) revealed a noticeable lack of comprehensive evaluation, exacting methodology, or published results. While university presidents and public affairs spokespersons, and even (in some cases) community leaders could point to examples of strong programs or cite anecdotal evidence of community impact or university and student benefit, no institution pointed to a rigorous evaluation of results and/or a well-articulated plan to track and analyze program activities (beyond quantitative descriptions of numbers of participants, numbers of activities, numbers of courses developed, etc.). Universities also lacked clear understanding of what an engaged university would look like if engagement touched all aspects of the institution. And universities had widely divergent expectations of outcomes, even within the same institution.

Considering the potentially broad impact, the millions of dollars expected to be invested, and the dedicated talent of residents and expert professionals, it will be imperative for ASU to plan at the outset for a comprehensive (and potentially innovative) ongoing evaluation of social embeddedness through a carefully considered discussion of expectations and measurements of success.

The evaluation should measure the impact university engagement has on students, faculty, the institution, and the community, as well as the impact the community, in turn, has on the university as a whole. Since ASU, together with the community, seeks not only to transform university/community relations in the greater Phoenix area, but to become a model for other communities and universities who aspire to similar change, this comprehensive evaluation will be important to demonstrate evidence of substantial impact and to validate the hypothesis that a university which is socially embedded acts as a catalyst to enrich the social, cultural, economic, and political life of the region.

To measure the level of impact, a longitudinal study (10-15 years) of both the process to implement the plan, as well as the "results" of social embeddedness efforts will need to be undertaken. The tangible (quantitative and qualitative) evidence of transformative results could take years to manifest themselves. Success will need to be determined through the analysis and synthesis of an extensive array of quantitative and qualitative data. This Plan recommends that ASU work together with the community to guide the development of a carefully-designed, reflective, and interactive evaluation, providing insights into the types of benchmarks and metrics necessary to measure "success," as well as lessons learned and challenges that need to be overcome.

Collected data should include a broad range of inputs, including, but not limited to: student enrollment and satisfaction surveys; curriculum changes and academic courses offered; surveys related to the level of awareness of the socially embeddedness vision, among ASU and community members; questionnaires and surveys of public and community leaders; comprehensive audits to review the decisionmaking of University administrators in areas such as real estate investment and campus development; an assessment of demographic, ecological, economic,

"Depth is really important to people in this town. Just 'saying it' is the worst thing you could do. You have to mean it and show it."

- External

education, and health data measuring the vitality of the region; metrics related to economic development and business investment in the regional community; oral histories; case studies; unique photographic and other visual documentation; archival materials; an analysis of program visibility beyond greater Phoenix; interview transcripts; the "stories" of social embeddedness told from diverse perspectives; lessons learned; and an assessment of the continuing sustainability of program efforts.

Given the nature of the work that ASU, in partnership with greater Phoenix, is considering and its potentially lengthy time-frame, it will be essential to form an evaluation team that will initially set the parameters for assessment and then determine how to implement it (with faculty, staff, students, and community, with an external evaluator, etc.. Sharing the results of the evaluation at periodic points in the process will help to inform ASU, the community, funders, and other institutions. An effective evaluation will allow ASU and the greater Phoenix community to stand apart from its peers for its unique, comprehensive, and unprecedented efforts to work together toward both a vision of community empowerment, and for documenting and analyzing successes, accomplishments, challenges, failures, and lessons learned. Success in evaluation efforts will likely gain regional and national recognition for ASU and greater Phoenix as a model program and will garner additional support for ASU and for the social embeddedness concept from funders, business and civic leaders, and elected officials.

Recommended Actions

- Recruit an ASU/community "Evaluation Committee" comprised of experts in research and innovative documentation techniques to set the parameters for assessment and measurements of success.

- Ensure dedicated funding for evaluation efforts on an on-going basis (See Funding strategies).

- Working together, ASU and community should determine metrics and benchmarks for data collection (e.g. indicators related to demographics, health, education levels, economic productivity, other quality of life indicators, etc.) and standards for documentation (e.g. oral histories, photographic and written documentation, archiving, etc.).

- Share interim evaluation results biannually, and a comprehensive evaluation every five years with ASU audiences and with residents, community leaders, elected officials, and peer universities.

Technology

Software and internet technology should be used to maximize the ability of individuals, communities, and institutions – both in greater Phoenix, and across the country – to provide information about and examples of opportunities for community empowerment and to share best practices in social embeddedness programming, and university/community engagement.

ASU and the community should take advantage of technology innovations to collect and store information in databases; to broadly share that information via easily-accessible websites; and to use web-based forums for promoting local and national dialogue about social embeddedness.

ASU should also consider the potential for its innovative work in integrating a research university with a complex, growing community to create a "movement" among research universities across the country to consider new ways of thinking about education, research, and service. Such academic institutional change would require broad discussion, which ASU could host.

Recommended Actions

- Redesign ASU's website to ensure that social embeddedness has central prominence on the homepage; that there are easy and accessible links to other information about social embeddedness programs at ASU and links to other relevant websites in the community and nationally.

- Re-frame "ASU in the Community" to be an interactive and participatory community mapping process and to better reflect the vision and goals of social embeddedness in terms of the types of programs and activities that are listed as exemplars of effective community engagement.

- Encourage links to ASU website from community, civic, academic partners.

- Create a database of examples of social embeddedness programs that match the community's and ASU's definition (e.g. related to health, education, economic development, etc.) and demonstrate how they fit into the greater vision and goals for social embeddedness with greater Phoenix and at the University.

- Separately, as part of the "community clearinghouse," develop a community empowerment database, an interactive site which provides a comprehensive list of opportunities for ASU involvement in the community, and community involvement at ASU; link the community database to the ASU homepage and other related websites.

- Develop and host a web-based national forum to share examples of best practices in the ASU/Phoenix community and to encourage dialogue about successes and challenges inherent in working towards a comprehensive vision of social embeddedness.

- Ensure dedicated funding for technology investments related to social embeddedness. (See Funding.)

"It's like the stars are aligned for ASU right now."

- External

Funding

As government funding for higher education and university research declines, and as the gap between tuition payments and the cost of a university education grows, universities are forced into a business model that prioritizes internal efficiency and partnerships with wealthy corporations while de-emphasizing work with community collaborators (who generally cannot provide significant sources of funding) and the learn-by-doing approach that can make community-based instruction rich, enlightening, and transformative for students and rewarding for community-based organizations. Commitment to the goal of integrating the transformation of a city with the transformation of a university (by understanding the needs of neighbors and cities as integral to the needs of the university) must extend beyond the president or chancellor to the trustees or regents, and to faculty, students, local elected officials, and community leaders. Any effective engagement initiative will need a distinct budget and clearly defined reporting authority, separate from the budgets and reporting lines for economic development activities, public relations/public affairs, and student activities.

To be sustainable, social embeddedness will need the commitment of both start-up and ongoing funding. The more notable community engagement programs at other universities have had committed sources of funding for some period of time; in fact, the W.K. Kellogg Foundation has observed that a minimum of eight years of sustained funding is critical. For ASU to be successful, it is critical that the Social Embeddedness Plan have substantial, dedicated funds for the foreseeable future.

The start-up phase will require funding for the planning and implementation of the public "launch" of the community engagement process, as well as for the recruitment and initial hire of the "director;" build-out costs for office locations; the development of communications and outreach collateral; the development of a website and for some degree of reconfiguration of the primary ASU website; planning for the evaluation; and for processes to transform this ASU-focused plan into a plan which has been shaped with and embraced by the community.

Ongoing program funding will be necessary to fund salaries, communications materials (including in-depth case studies, tabloid inserts for major newspapers, brochures, flyers, etc.) and a broad range of outreach activities for both ASU and the community; planning and implementation of a biannual National Summit; and a comprehensive, longitudinal program evaluation, among other things. It is estimated that start-up costs will be approximately $750,000; while longer-term ongoing costs will be about $1.3 - $2 million for each of the first three years. The Plan is designed as a series of interlinking parts, each of which could provide an attractive funding opportunity (alone, or combined with other parts) for private philanthropists, foundations and corporate donors, government programs, and other public and private donors.

"How do you pay for this? It's not really very flashy. You need to find donors to set up a steady stream of funds. But then again, maybe funders and donors will be able to see the benefits and realize that this is really important."

- External

To transform the teaching and learning at ASU so that it emphasizes community empowerment as well as the development of social capital in Arizona and at ASU's four campuses, the Plan recommends the creation of a Curriculum Innovation Trust, which will require separate, but related, funding. The Trust will challenge faculty members, whole departments, and entire colleges to rethink curriculum and to incorporate engagement activities that will develop socially-committed students prepared to become productive, active leaders, while simultaneously building the capacity of the community to address its own needs in new and sustainable ways. Faculty members, alone or in teams, will apply to the Trust for grant funding to underwrite new curriculum development. ASU should provide seed money of approximately $100,000, to be matched by private funders – on at least a one-to-one basis – to create a minimum annual fund of $200,000. A series of small grants (approximately $5,000 to $25,000 each) would be distributed annually through a competitive, peer-review process.[22]

Recommended Actions

- Research potential funding prospects, including public and private sources regionally and nationally. (Initial research on possible local funding sources has been started. See Appendix.)

- Develop a comprehensive funding strategy and plan within the first six months of project start-up.

- Coordinate fundraising strategy for social embeddedness with other units throughout the University and with the ASU Foundation.

- Cultivate private donors, including ASU alumni, business leaders, entrepreneurs, and retirees to fund specific parts of the Plan.

- Assess the potential for government funding support (local, state, national) of the Plan.

- Where possible, consider dedicating resources from ASU's General Fund, rather than from "soft money" sources.

- Draft grant templates to be used in grant-seeking efforts that will occur over the subsequent two to three years.

- Implement funding plan.

- Develop plan and strategy – including fundraising efforts – for the Curriculum Innovation Trust.

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22 An initial, detailed plan for the Curriculum Innovation Trust has been drafted. See appendix for details.

Appendix

A Social Embeddedness Plan for ASU

September 2006

table of contents

**ASU Social Embeddedness
Steering Committee**

Social Embeddedness Steering Committee

A 35-person steering committee was established in September 2005. This committee's work was intended to be focused over a nine month period. A subcommittee met monthly and the full committee met twice between September 2005 and May 2006.

Mission

To advise and inform the social embeddedness agenda and implementation for ASU's campuses and university-wide, and to establish connections and support with faculty and staff across all campuses that encourage and support true partnerships with community through:

• teaching and learning about and with community input and content;

• guidance and collaboration in capacity building to increase the sustainability of communities and community organizations;

• support of mutually beneficial community development and economic investment;

• research and evaluation that enhances partnerships and dialogue – encouraging sustainability and the transformation of both university and community

Committee Responsibilities

• Provide input and advice into the plan for strategic implementation (of the social embeddedness initiative, as defined through consensus at the series of steering committee meetings) at all levels of the University – staff, faculty, administration, students

• Consider potential enhancements to curriculum (teaching and learning) – university-wide, college-/school-wide

• Determine key input from community required to inform university direction with respect to community capacity building

• Establish university-wide (and if necessary, campus-specific) guidelines and standards for economic and community development partnerships (investment)

• Build understanding of appropriate community-based research and learning

• Recommend appropriate reward structure (recognition, promotion, etc.)

• Determine best process for securing support (and participation) from the broadest possible cross section of faculty to consider and incorporate, wherever possible, the tenets of social embeddedness as defined by ASU

• Organize/facilitate appropriate outreach discussions within departments and across disciplines to guarantee broad understanding of the definition of social embeddedness (encouraging cross-disciplinary work, beyond current individual projects, centers, programs, etc.)

• Assess potential for campus-wide "launch"

• Recommend parameters for ASU internal structure to ensure effective implementation and long term sustainability

• Evaluate need for "name" of effort and/or branding for short and/or long term viability

• Leadership role in implementation of the plan, as developed over the course of the coming nine months.

Social Embeddedness Steering Committee 2005-6

Maria Allison
Alan Artibise
Michael Awender
Cordelia Candelaria
Bernadette Melnyk
Debra Friedman*
Gene Garcia*
Milt Glick
Gail Hackett
Mernoy Harrison
Ira Jackson
Mark Jacobs
Colleen Jennings Rogensack*
Kimberly Loui*
Rob Melnick*
Steve Miller
Jim O'Brien
Jewell Parker
Chuck Redmond
Duke Reiter
Virgil Renzuli
Barry Ritchie*
James Rund
Sherrie Schmidt
David Schwalm*
Mark Searle
Rebecca Tsosie
Ann Wales (Classified Staff Council)
Christine Wilkinson
David Young
Marjorie Zatz*
President of Faculty Senate
President of the Undergraduate Student Body
President of the Graduate Student Association
President Michael Crow

* Members of G-9 work team (Subcommittee of Steering Committee)

Interviews

Interview Process

From September 2004 through November 2005, one-on-one, in-person interviews were conducted with more than 200 internal and external stakeholders (see appendix for demographic distribution of interviewees), including faculty, administration, and staff at ASU, community leaders, nonprofit executive directors, funders, elected officials (state, county, city), business, civic, and ethnic leaders, and others. Most interviews lasted between 60 and 90 minutes, with some taking as long as three hours. Nearly all interviews were taped and transcribed. The format for the interviews was informal, at the homes or offices of the interviewee, with a few taking place at restaurants or public places. All interviewees were guaranteed anonymity and confidentiality.

Interviewees: Demographic Analysis

Total Interviews

- Govt (non-elected) 4%
- Govt (elected) 9%
- ASU Administration 23%
- Business & Labor 11%
- Educators 1%
- Foundations 4%
- ASU Deans 11%
- Nonprofits/ Community 15%
- ASU Center Directors & Staff 5%
- ASU Faculty 17%
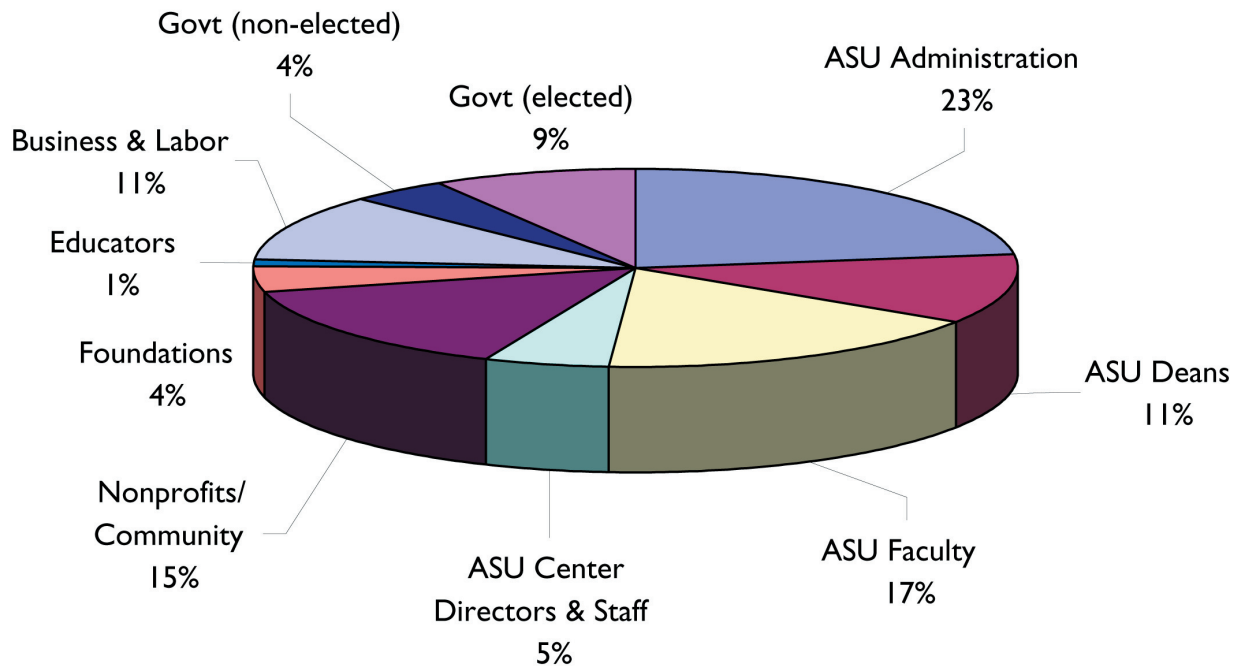
Interviews: Internal vs. External

- Internal 56%
- External 44%

Interviews: Internal

ASU Center
Directors & Staff
10%

ASU
Administration
40%

ASU Faculty
30%

ASU Deans
20%

Interviews: External

Govt (elected)
20%

Nonprofits/
Community
34%

Govt (non-
elected)
9%

Business & Labor
25%

Educators
3%

Foundations
9%
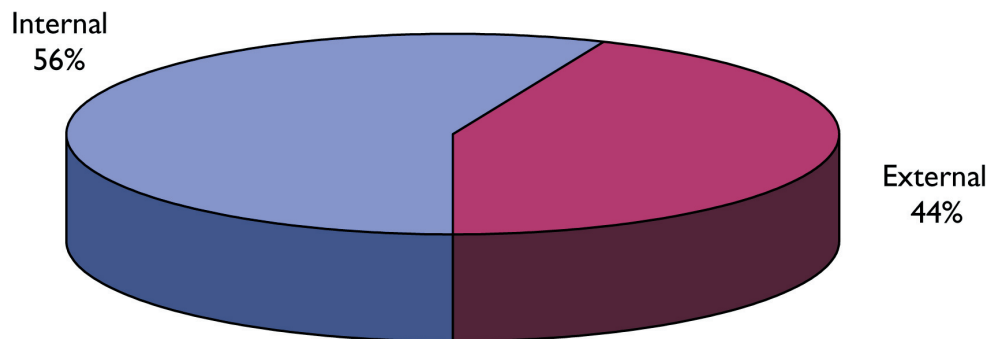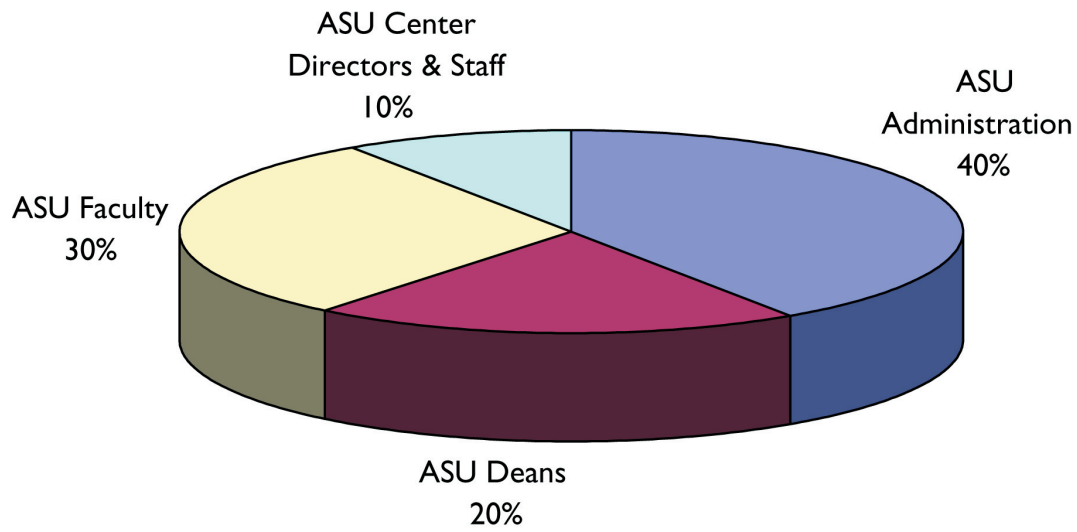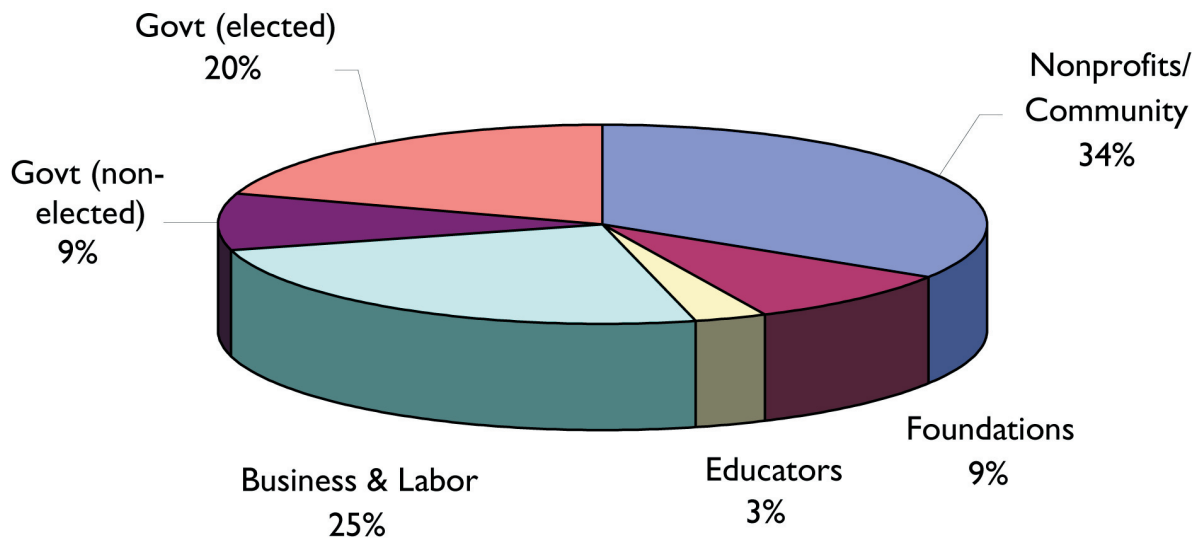
**Social Embeddedness:
Working Definitions August 2004**

Social Embeddedness: Working Definitions

In August 2004, as part of a presentation to the President of Arizona State University, Fern Tiger Associates developed a set of three working definitions – each of which could be considered a way to explain how universities engage with communities.

Working Definition #1
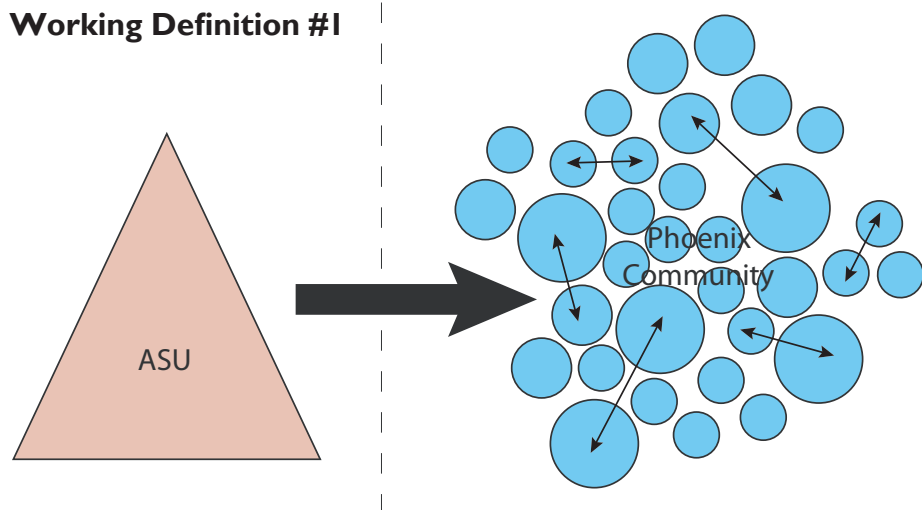
Informed by a continuous assessment of community needs and desires, ASU offers its knowledge, along with human, experiential, financial, and social resources in ongoing and myriad ways to enrich the surrounding community.

Pros:
- Easy to implement
- Those individuals already "doing the work" will feel acknowledged
- ASU faculty and staff, as well as the community, are accustomed to this type of relationship
- No extra burden of implementation
- Opportunity to capture the breadth of what is being done in the community; document it, highlight it, and share broadly
- Opportunity to better understand the needs of the community

Cons
- Tied to specific faculty, staff, and students
- May not be strategically conceived
- No cumulative impact
- No way of knowing if real/changing community needs are being addressed
- Limited capacity-building to strengthen the community
- Does not link to changes in ASU's perception of itself or community's changing perception of itself
- No new visibility outside of the region

Working Definition #2
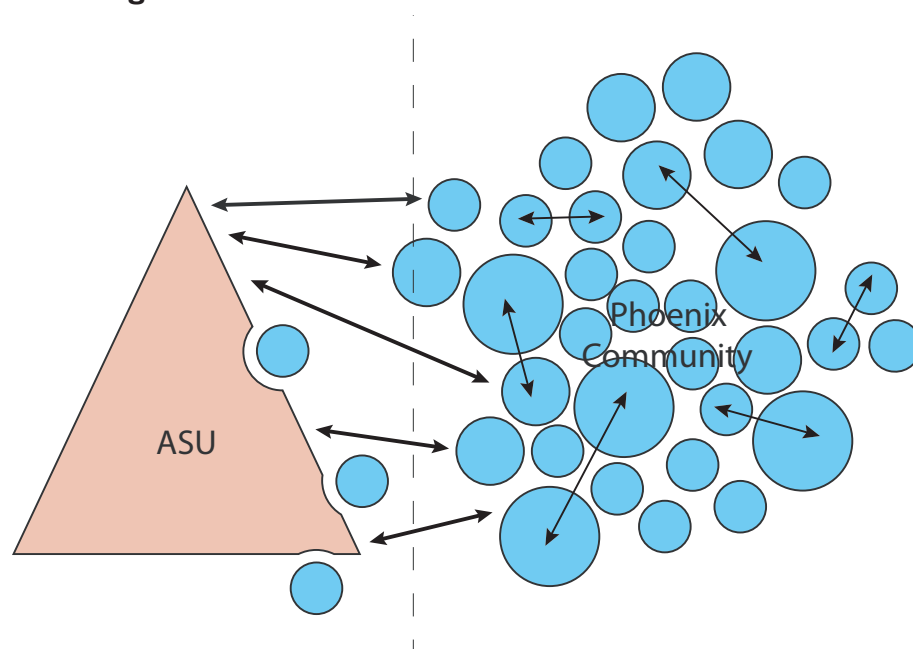
Working in close partnership, ASU and the community share knowledge, resources, and experiences to attract and nourish students, faculty, and residents, while actively engaging them in the greater social good of creating Phoenix's civil society.

Pros:
- Shows the university as a collaborator
- University participants can learn a great deal through the process
- University would have strong understanding of community needs
- University would be more engaged than it has been previously
- Some degree of community capacity-building
- Stronger university and community interaction and feedback
- Community would feel more engaged with the university
- May be interim step towards ongoing social embeddedness

Cons
- May set up community expectations that cannot be met
- May not meet changing, dynamic needs of the community

Working Definition #3
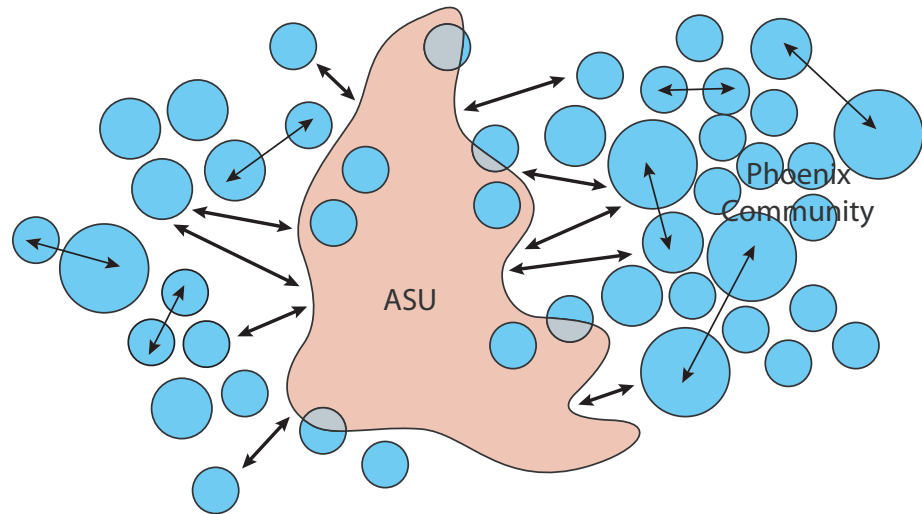
Empowered by and through ASU engagement, the community strengthens its own capacity and resources while challenging ASU toward continual openness, innovation, and responsiveness in an ongoing, dynamic cycle of change.

Pros:
- True model of the university being challenged in new ways by the community
- Sense of ownership of ASU by the community
- Could turn ASU skeptics into supporters
- Organic process may lead to more sustainability
- Community may view as a refreshing new approach
- Will see visible changes in the university and the community in terms of increased trust and reciprocity
- Opportunities for visibility (PR value); may lead to new partnerships, funding, new support
- University could become as dynamic as the community
- Potential for constant redefinition of the University

Cons
- Difficult to control and manage
- University is exposed to risk; pressures from the community to do things beyond the University's agenda
- Challenges traditional partnerships; requires real flexibility
- Potential for constant redefinition of the University

**Lessons Learned from
University/Community Visits**

Lessons Learned from University/Community Visits[1]

Potential barriers to effective, lasting engagement

- Interviews conducted with representatives of diverse institutions reveal conflicting views of the effectiveness of creating a separate "center" focused on community issues and community-based research. There is a compelling argument that the creation of such a center essentially lets the rest of the university "off the hook," as in, "Community engagement is being taken care of over there, so we don't have to bother about it."

- Campus communities with a history of volunteering and "good works" may take some time and indoctrination to learn how to move beyond "service" to a genuine two-way, mutually beneficial relationship with the surrounding community. There is a corollary temptation to allow the interest of the university to dominate, or to "serve" the community in ways that are essentially paternalistic or imperialistic. A collaborative planning process in which community voices are on a par with the university should be helpful in combating this tendency, although this can be difficult for an institution which is not as "process-oriented" as community groups.

- Non-coordinated, independent engagement initiatives or research projects by different faculty in different departments and colleges may duplicate efforts and create confusion or even distrust in the community. However, coordination – even creating a comprehensive data base or clearing house – is complicated, difficult, and requires ongoing attention and support and related resources.

- Faculty buy-in is critical and essential to any broad-based engagement, especially if it is to involve the most valuable resource of the university – research and new ways to think about teaching young people who will ultimately play leadership roles in communities. In different universities, in different cities, with different degrees of faculty participation both in university governance and in local civic affairs, different strategies for obtaining faculty support will be more or less effective. But in all cases where faculty participation is high and supported beyond the initial attention of the president, faculty were engaged early on and in some unique ways. (e.g. Portland State University).

- Faculty and universities that are lionized and rewarded for their work on international/global issues may see themselves as resources for "larger" dimensions than the local scene.

- Faculty may be less likely to support and participate in community engagement initiatives if the initiatives are driven by the administration without evidence of strong ties to teaching and research. Such administration-driven programs are often seen as "fluff," lacking the rigor of academically involved projects and programs. Involvement of deans and academic department heads in planning, implementation, and evaluation is essential.

1 In 2005, Fern Tiger Associates visited the campuses of 15 colleges and universities whose efforts at engaging with communities were noted in literature and by peers as exemplary. For additional information related to these visits, see *Embedding Arizona State University*, Fern Tiger Associates, July 2005.

- Unless tenure criteria specifically include engagement or community-based research, younger, non-tenured faculty may be difficult to recruit for community partnerships, as engagement is often seen as antithetical to substantive research. Similarly, successfully involved departments need to work with professional organizations to increase the visibility of engagement as a powerful research and teaching model.

- Universities need to understand the high risks involved with commitment to community. Universities often use soft money to create programs on which communities rely. When the funding is reduced or eliminated, the university is faced with few options, but community expectations have already been raised and the "bad guy" is the one who pulled the plug, not the one who cut the budget.

- Understanding the complexities and dynamic nature of communities is a truly interdisciplinary undertaking. Many research universities have long standing biases against cross-disciplinary work, as they encourage faculty to attain prominence in a particular discipline.

- Universities have done little to produce the knowledge base or the people with the skills needed to help communities and nonprofits. Very few community leaders would point to their university education as being the basis for their understanding of and desire to participate with communities.

- While the inclusion of community foci can be handled by many faculty, not all faculty members are temperamentally suited for community-involved work or research. Individuals who appear arrogant and "unknowledgeable" despite possessing key information and knowledge about the community in question might do best performing background research.

- Communities generally perceive the university as capable of getting whatever it wants from the city, the state, etc. They do not see the university as vulnerable – which is how they see themselves.

Successful Strategies

- Early recognition and intentionality about a new mandate for cultural change may be helpful in managing the slow, evolutionary nature of a "campaign" to institute such a change. (Kellogg research indicates a minimum of eight years.)

- Consistent, vocal support from the president or chancellor is essential. This means a focus at events such as new faculty orientations, graduation ceremonies, events for incoming students, and presentations in the community as well as on campus. However, it is important to ensure that there is widespread buy-in, understanding, and support so that the "words" translate to commitment and to operation. It is important to note that change of personnel at the top is the most often cited reason why a successful and potentially sustainable initiative begins to slip. Building in sustainability that is not personality-dependent is one of the great challenges.

- Expressions of the university's interest in, support, of, and intentional direction toward involvement should be evidenced on the university's web site and should be part of the mission of the university at the highest level of recognition (not buried on the third page). Similarly, the university's own strategic plan should have goals set for engagement – university- wide, and by department.

- While university visits did not reveal real strategic planning for a long-term future, such planning (possibly even in conjunction with the community) would go a long way to anticipate the future, availability of resources, etc.

- Identifying faculty who are already involved in community-based research or service learning, and including them in early planning and oversight – especially if they are well-respected academic leaders – as well as asking them to champion engagement with their peers, can give the new initiative an important boost with the rest of the faculty.

- Over time, a university that has established and made broadly public an institution-wide ethos of community engagement will attract new faculty who are predisposed to community-based teaching and research and a student body interested in becoming informed leaders. At that point, the university has been transformed and no longer needs to "sell" its new ethos.

- Community-based learning programs (a.k.a. "service learning") that are sequential, that include linked series of courses related to the theory and practice of community engagement, or that build on previous work should be developed and made attractive to students, faculty, and community partners.

- True partnership with the community requires a deep understanding of the local CBO/NGO environment, local resources for neighborhood-based activist/advocacy groups, and local government structures that often include bonafide neighborhood-level entities (Seattle, Minneapolis, Atlanta, Oakland.)

- Universities can support community engagement efforts by waiving overhead fees for grants obtained by faculty, programs, or departments to support work with community partners.

Specific Examples of Successful Strategies

- Georgia State University's RFP process for Freshman Learning Centers (multi-disciplinary clusters of academic courses focused on local topics— "Atlanta-based Learning")

- Georgia Institute of Technology's commitment to its adjacent community (as evidenced in its master plan and strategic plan) that it will not encroach on the neighborhood, despite its aggressive land banking and growth plans

- Strong recognition at University of Maryland, Baltimore County, of differences between experiential learning, internships, volunteerism, and the development of a graduate program designed to encourage and prepare participants for leadership positions in communities and governments

- University of California, Berkeley's willingness to take risks, to invest substantial funds, and to bring together the very top university officials, electeds, and corporate leaders

- University of Illinois, Chicago - Great City Initiative's branding, presence on the campus website, and commitment to community in mission statement

- Trinity College's intensely engaged service learning program and massive financial commitment to revitalization and to the development of The Learning Corridor

- University of Southern California's definition of 'neighborhood' as a tightly defined area surrounding the campus, showcasing evidence of results

- Occidental's patience

- University of California, Los Angeles' focused relationship with small nonprofits across the city, and its private funding

- University of Wisconsin, Milwaukee's engagement process that kicked off The Milwaukee Idea's ten initiatives; the president's pledge of financial support; pulling together existing programs under a single banner

- Univesity of Minnesota's Council on Public Engagement, its reward system, and establishment of college liaisons to spread the message

- Portland State University's faculty-driven process to integrate engagement and city-focused research

Hallmarks of Sustainability

- Public commitment and involvement of top administration leadership (the president, chancellor, or strong provost) is critical for a university-wide community engagement ethic to take hold.

- A multi-level strategy, including economic development activities, community-based research, and community-related coursework, is essential for sustainability.

- The best community research programs are truly interdisciplinary – which benefits students as well as community partners.

- Initiatives that target specific, community-identified problem areas for work and study – rather than simply funding random proposals from faculty or the community – offer greater opportunities for grant funding, longevity of projects, and significant problemsolving in the community.

- Evaluation strategies that are realistic and tailored to prescribed definitions of success, the conditions in the community, and the duration of the project will be more effective than numerical tallies or benchmarking. "You can have systematic evidence of a non-quantitative nature if it is gathered from all your units, including comparable information. It's a powerful kind of evidence. It may be more powerful than the quantitative data."

Specific Examples of Sustainability

- Georgia State University's course "credit" accounting/allocation system (rewarding departments whose faculty participate in Freshman Learning Centers) and the evolutionary development of Freshman Learning Centers and Atlanta-Based Learning

- University of Maryland's endowed Shriver Center

- University of Illinois' permanent funding through the state legislature.

- University of Southern California's Civic and Community Relations

- Cultures and Communities Program at University of Wisconsin, Milwaukee

- University of Pennsylania's Center for Community Partnerships

- Portland State' University's capacity to integrate the community agenda into coursework, programs, and administrative decisionmaking without any apparent need for a "leader" to guide sustainability

Recommended Practices for Successful Partnership

- Make sure a critical mass of faculty – and if appropriate the faculty senate – are on board before announcing the initiative to the public.

- Clearly define, through a joint, collaborative university-community planning process, what community engagement and "partnership" mean to the both the university and the community.

- Design a mission/vision statement for the university that respects and incorporates the community's agenda.

- Create a cohesive program agenda linked to local needs identified and articulated by the community. For example, focus on housing, education, health.

- Extend the university's core educational mission into the community, by jointly developing relevant courses and opening them to neighborhood residents as well as community leaders.

- Get people accustomed to understanding what the university's intentions are and to the terminology being used, and to the reality that this is a long term commitment.

- Determine the most appropriate structure for engagement within the university, such that it will integrate as broadly as possible, have credibility for academic units, and have the greatest chance for long term sustainability.

- Seek a permanent funding stream or a small endowment to ensure long term sustainability.

- Participate in the national dialogue about engagement and consider hosting inter- and intra-university discussions on best practices.

- Design an ongoing assessment/evaluation mechanism to monitor efforts and inform practice.

- While leadership is required from the top of the university to guide – but not dictate – the tone, vision, culture, and implementation of community engagement programs, support from other top power-brokers (e.g. regents, business leaders, elected officials) is also critical.

Additional Points to Consider

- The university's website can make finding information about the community and about its engagement practices and programs easy to find. The university can also create links to neighborhood- and community-based organizations' home pages.

- It is important that the university's strategic plan carefully supports community engagement as both an academic and institutional transformation component.

- A mechanism for individuals throughout the university to exchange information and collaborate across departments is helpful. That may mean centralizing activities through one office.

Observations

- Interest by universities in being embedded in communities seems to have grown in recent years; some believe this is a result of the age of those in power who reflect on their experiences in the 60s and 70s.

- Campus/community partnerships are discussed in a range of literature that incorporates a variety of terms: civic engagement, outreach(programs), community engagement, civic responsibility in higher education, and "the engaged campus." Programmatically, these partnerships include or straddle teaching, research, and service.

- Community engagement strategies include: student and faculty volunteering, academic centers and university affiliated centers, service learning courses, and capstone courses.

- Universities frequently intermingle diverse community engagement concepts - community planning processes (related to zoning, land use, permitting), service learning course work, student volunteer activities, activities open to the public (e.g., sports), advocacy/ government relations, public relations, job recruitment, and charity work - to the detriment of creating a strategic practice of engagement that encourages the transformation of both the university and the community.

- Most universities tend to lack a focused mission and purpose for approaching the community.

- Universities that have an institution-wide ethos to support and encourage community engagement attract more (and generally more meaningful) faculty involvement.

- It is difficult for individual faculty members or departments to start and/or maintain community engagement activities without broader university support and encouragement (this includes a culture that encourages engagement as well as monetary support).

- The university has many "communities" to engage with - city departments, businesses, neighborhood associations, etc. Each constituency has different needs and often view success differently.

- Community engagement is often used as a vehicle to accomplish other institutional goals.

- In most instances of campus/community partnerships, the campus dominates. Universities often approach communities with a paternalistic or superior attitude which community members resent.

- Many university efforts are sporadic, creating the perception that students or faculty gain more than community members do.

- The greatest criticism of university community partnerships is that they tend to be short-lived (due to resource challenges, changes in administration, lack of being truly incorporated into the long term goals of the university), marginalized (because of where they are administered), and that they lack legitimacy.

- Superficial programs and what is perceived by the community as "public relations stunts" do not constitute genuine community engagement and are spurned by community leaders.

- Student service-learning programs can transform university teaching and should play an important part in community engagement.

- While some universities stress the importance of maintaining an entrepreneurial spirit so that individual faculty members can become passionate and pursue their ideas for community engagement, such individually-driven efforts often evaporate when key faculty members retire, go on sabbatical, or otherwise "shift" to other interests.

- Programs are often most successful when faculty actually live in the communities where the interchange is occurring.

- Independent efforts often duplicate and/or contradict one another, creating the perception that the university is disorganized. Also, individual projects are often not holistic or brought together to create larger scale change. It appears to be rare, among universities studied, to have a coordinated and strategic approach.

- Engagement efforts can run into community turf issues. Some interviewees felt that this means the university has been effective and stress the need to work harder at that point to build lasting partnerships or to recognize that the community might now be mature enough and have increased its capacity to the point that it does not rely on the university for "expertise" or "direction" but rather as a "colleague."

- Interdisciplinary efforts usually fit very well within professional graduate schools (e.g. business, planning, engineering, law, nursing, social work, etc.), but are less effective or relevant in the humanities and sciences, especially at the undergraduate level.

- Some departments, such as planning, are more easily equipped to engage with community groups. They need less encouragement (but not less support).

- A few universities have established separate and independently governed organizations and partnerships in order to exhibit values of equity, to bypass overhead costs, to pursue outside funding, etc. The creation of a legitimate, academically-based coordinating entity ensures focus, consistency, and coordination.

- Most private foundations do not believe they have seen university/community partnerships that legitimately engage the interests of community residents.

- University administrations are pushing community engagement activities - all over the country they are encouraging faculty. Some are creating new incentive systems and changing tenure rules.

- Younger, non-tenured faculty are less likely to participate in community efforts for fear that these activities are not considered appropriate when seeking tenure.

- Some universities have succeeded in persuading the state legislature to set aside state budget funds specifically dedicated to university-community partnerships. Universities have been successful with legislatures and other elected officials by pitching the institution as an economic driver.

- Most universities develop and actively promote a brand name for their strategic partnership or program with the community. (Note: this branding could undermine a broader and more transparent social embeddedness, recreating the more typical project-driven – rather than all-encompassing – vision of the university's role in the community.

- One of the disincentives for faculty, departments, staff, etc. to become effectively engaged with community efforts is the overhead costs taken by the university for independently acquired grants.

- In general, there is a lack of consistency in the messages and information in the community about the amount and kinds of engagement a university is involved in. Community residents often only know the one program that they attended or heard about and describe the university's involvement through a single interaction.

- Universities can be both involved with community organizations/ offer services and be perceived as a "bad neighbor" (especially on issues related to capital/ land use disputes etc.), indicating to some that the two entities (community and university) do not share similar goals, even if they work well together to accomplish isolated and distinct objectives.

Organizations that Support University-Community Engagement

Organizations that Support Engagement

Campus Compact

Founded in 1985 by the presidents of Brown, Georgetown, and Stanford universities, Campus Compact is now a national coalition of more than 1,000 college and university presidents – representing five million students. The association challenges higher education institutions to make civic and community engagement an institutional priority – advancing the public purposes of colleges and universities by deepening their ability to improve community life and to educate students for civic and social responsibility. Campus Compact is the only national higher education association dedicated solely to campus-based civic engagement. It promotes public and community service that develops students' citizenship skills, helps campuses forge community partnerships, and provides resources and training for faculty seeking to integrate civic and community-based learning into the curriculum.

Campus Compact sponsors workshops and conferences (Education Leadership Colloquium on the Civic Mission of Education, Network for Academic Renewal, The Civic Engagement Imperative: Student Learning and the Public Good, etc.).

Committee on Institutional Cooperation

The Committee on Institutional Cooperation (CIC), established in 1958, is a consortium of 12 major teaching and research universities in the Midwest. Its programs and activities extend to all aspects of university activity except intercollegiate athletics. The CIC headquarters at the University of Illinois, Urbana, is supported through member university dues. A number of committees meet to discuss collaboration across campuses. The Committee on Engagement explores topics such as: defining engagement, bench-marking activities across CIC, sharing best practices, reinforcing institutional commitment to engagement strategies, and identifying structures for coordinating and directing activities.

The Community-Campus Partnerships for Health (CCPH)

CCPH is a national and international nonprofit organization founded in 1996 to promote health through partnerships "between communities and educational institutions that build on each other's strengths and develop their roles as change agents for improving health professions education, civic responsibility and the overall health of communities." Its goals are achieved through service-learning, community-based participatory research, broad-based coalitions and other partnership strategies. CCPH promotes the idea that these partnerships are powerful tools for improving health professional education, civic engagement, and the overall health of communities.

Great Cities' Universities Coalition (formerly The Urban 13)

Incorporated in 1998, the Great Cities' Universities (GCU) Coalition is the successor organization to an informal association of urban universities known as "The Urban 13." Established in the late 1970s, the Urban 13 served as the organizational structure through which a group of like-minded urban university presidents worked collaboratively to advance the interests of their institutions across a range of public policy areas. The Urban 13 presidents comprised one of the nation's first leadership groups to advocate for the concerns of public urban universities and their cities.

Today GCU is a coalition of nineteen public research universities located in major American cities across the country. Together they serve a collective student body of some 340,000 full- and part-time undergraduate, graduate, and professional students. GCU is committed to strengthening both its institutions and its communities through strategic alliances and public-private partnerships that have maximum local impact.

GCU is poised to be the catalyst and driver of public-private partnerships for innovation in areas like urban education, criminal justice and crime abatement, skilled workforce initiatives, digital government, urban transportation, and the biomedical and health care delivery professions. To date, GCU has raised more than seven million dollars to strengthen its communities and make a difference in the lives of residents.

GCU believes that one key to revitalizing urban America is to harness the knowledge and intelligence resources of public urban universities and direct them toward solving contemporary problems. Universities need incentives to address the applied research and education issues of urban revitalization. This will not happen without a focused strategy, along with a coordinated action plan implemented by knowledgeable and committed leaders.

The Coalition of Urban and Metropolitan Universities

A consortium of seventy-seven universities, operating out of the Indiana University - Purdue University Indianapolis (IUPUI), the Coalition of Urban and Metropolitan Universities brings together schools that share the mission of striving for national excellence while contributing to the economic development, social health, and cultural vitality of their urban or metropolitan centers.

The founding members shaped the Coalition as an association that would focus on sharing information about their institutions and enhance both internal planning and external understanding. The group initiated an academic journal for university-community engagement research, *Metropolitan Universities: An International Forum*. This journal continues to serve as a unique venue for exploring the characteristics and experiences of urban and metropolitan universities. They also sponsored occasional national conferences, and engaged in funding direct research on its institutions. Its primary goal continues to be the enhancement of internal and external understanding of the metropolitan mission.

The Association for Community and Higher Education Partnerships

ACHEP is a young and small, but potentially growing, national membership organization. It supports university partnerships with economically distressed communities. Based at the University of Memphis, it promotes the exchange of information, advocates for resources, and promotes institutional change within schools as well as government and community organizations.

The association was created at the 1999 U.S. Department of Housing and Urban Development Community Outreach Partnership Centers (COPC) Conference, when a group of attendees met and decided to pursue collaborative efforts. Working with COPC partner universities, ACHEP has begun to support advocacy and public policy efforts.

The Association of American Colleges and Universities

AAC&U is the leading national association concerned with the quality, vitality, and public standing of undergraduate liberal arts education. Its members are committed to extending the advantage of a liberal education to all students, regardless of their academic specialization or intended career. Founded in 1915 by college presidents, AAC&U now represents the entire spectrum of American colleges and universities—large and small, public and private, two-year and four-year. AAC&U includes more than 1,000 accredited colleges and universities with more than five million students.

Through its publications, meetings, public advocacy, and campus-based projects, AAC&U organizes its work around four broad goals:

1. Preparing all students for an era of greater expectations

2. Educating students for a world lived in common

3. Making excellence inclusive

4. Taking responsibility for the quality of every student's education

AAC&U works to advance both the individual benefits of a college education and the ways that higher education serves the public good. Its vision of liberal learning includes a strong focus on developing students' civic capacities, sense of social responsibility, and commitment to public action. AAC&U initiatives help campuses develop avenues through which students learn about the promise and reality of American democracy and develop a commitment to participating in building more just and equitable communities in the U.S. and throughout the global community. AAC&U projects and publications help campuses develop courses and programs that enable students to gain knowledge, but also to learn how to use knowledge ethically in the service of the public good. AAC&U works in partnership with a set of higher education associations to gather and disseminate resources related to higher education and civic engagement. It is also currently collaborating with Campus Compact in the development of a Center for the Liberal Arts and Civic Engagement.

The National Forum on Higher Education for the Public Good

The National Forum is a non-profit organization that encourages community engagement activities and sponsors a number of conferences. Its mission is to "significantly increase awareness, understanding, commitment, and action relative to the public service role of higher education in the United States."

Formed in 2000 with a grant from the Kellogg Foundation, The National Forum collaborates with organizations, institutions, researchers, and policy makers to make higher education a leading force in American society. It aims to sponsor activities in three broad categories: Leadership Dialogues that foster national conversations with higher education leaders; Connecting Research and Practice programs to help create partnerships between public service scholarship organizations and professional associations; and Public Policy & Public Stewardship activities that advocate for new ways for colleges and universities to act on their missions.

Among the many projects The National Forum sponsors, perhaps the most well-known is the Wingspread Conference Series hosted with the Johnson Foundation. This is a series of three annual conferences (2003-2005) held at the Wingspread Conference Center in Wisconsin.

National Forums

National Forums

Commission on Community-Engaged Scholarship in the Health Professions and the Community-Engaged Scholarship for Health Collaborative

The Community-Campus Partnerships for Health (CCPH) is taking a leadership role in promoting more community engagement in the area of health and health care. In 2003 the Commission on Community-Engaged Scholarship was created to spur a more supportive culture and reward system for health professional faculty involved in community-based participatory research, service-learning and other forms of community-engaged scholarship. In 2005, they released a national strategy. In 2004, CCPH was awarded a three-year grant from the U.S. Department of Education Fund for the Improvement of Post-Secondary Education (FIPSE) to lead a collaborative of ten schools in initiatives to significantly change faculty review, promotion, and tenure policies.

Kellogg Commission on the Future of State and Land-Grant Universities

The Commission was supported by the W. K. Kellogg Foundation and the National Association of State Universities and Land-Grant Colleges. It issued six reports over three years, the last in 2000, to lay the groundwork for a "renewed covenant" between land-grant universities and the publics they serve. In addition, the reports outlined thirty major recommendations for universities to implement including increasing access and engagement. These documents were signed/endorsed by twenty-four current university presidents and chancellors, including the President of ASU.

The Kellogg Forum on Higher Education for the Public Good

Supported by the W. K. Kellogg Foundation and affiliated with the Center for the Study of Higher and Post-Secondary Education at the University of Michigan's School of Education. This forum sponsors conferences such as the National Leadership Dialogue Series.

National Outreach Scholarship Conference 2005

Since 2001 this annual three-day meeting, sponsored by the University of Georgia, Ohio State, Penn State, and the University of Wisconsin-Extension, has provided an opportunity to explore ways that universities are achieving tangible, positive impacts for local communities and society at large. The conference's two premises are that university outreach can change society, and that outreach can also change the university. In 2003 more than 400 people participated, representing sixty-eight universities and colleges from thirty-three states.

Pew Higher Education Roundtable

The Pew Higher Education Roundtable began in 1986 with funding from The Pew Charitable Trusts to foster an informed national dialogue on the challenges facing higher education. The Institute for Research on Higher Education at the University of Pennsylvania was in charge of the program, which brought together some two dozen leaders of colleges and universities from around the country to discuss the challenges they saw confronting higher education institutions. This original roundtable group identified three basic issues: the cost of higher education; quality teaching and learning; and access. In 1988, the Roundtable began publication of *Policy Perspectives* as a means of extending this dialogue to higher education administrators, trustees, faculty, and those who help to shape higher education policy at both the federal and state levels.

The Pew Roundtable has now facilitated more than 130 campus roundtables at research universities, comprehensive institutions, liberal arts colleges, and community colleges throughout the United States. A campus roundtable brings together about two dozen members of a campus community — faculty, administration, students, and trustees — for two separate day-long discussions of the institution, the issues and challenges it confronts, and the possibilities that exist for fulfilling its missions more effectively.

University-Community Partnership Conference

Beginning in 2004, the Virginia Institute of Technology's Service Learning Center has hosted an annual three-day conference for educators, administrators, and community leaders to explore how universities and communities can build partnerships and work together to affect positive social change. The conference offers a combination of practical and interactive workshops, case studies, and researched presentations that provide participants a learning opportunity to launch their own partnership efforts and to examine critical issues and challenges that are foundational to partnership development and sustainability. The inaugural conference attracted eighty university faculty, administrators, and community leaders from Virginia, North Carolina, West Virginia, Pennsylvania, and Maryland.

University-Community Research Partnerships Conference (CUexpo2005)

Organized by the Winnipeg Inner City Research Alliance (WIRA) and community partners, CUexpo2005 seeks to strengthen the understanding of, and support for, the unique and diverse nature of action-oriented research involving innovative collaboration between university and community partners.

Wingspread Conference

The Johnson Foundation co-sponsors Wingspread conferences at their facilities in Racine, Wisconsin with nonprofit organizations, educational institutions, and government agencies. Wingspread conferences are by invitation only. Participants are selected and invited by the co-sponsoring organization.

Among the many conferences that take place at Wingspread, leaders from various colleges and universities, who are committed to university-community engagement, assemble at the Wingspread Conference Center to discuss strategies, best practices, and progress. In 1999 a conference coordinated by the University of Michigan Center for Community Service Learning with sponsorship by nine other higher education-focused organizations and foundations produced the Wingspread Declaration on Renewing the Civic Mission of the American Research University. In 2003 Campus Compact and the National Forum on Higher Education for the Public Good, with generous support from the Ford Foundation and the Johnson Foundation, convened a group of forty nonprofit and higher education professionals to discuss the current and future state of community-campus partnerships. In addition, the participants helped identify resources that could help nonprofit organizations develop and deepen collaborative projects with higher education partners.

Funding

Funding

The Carnegie Foundation for the Advancement of Teaching

The Carnegie name is attached to a number of organizations. The Carnegie Corporation of New York is the main grantmaking body, awarding funds in the areas of education, international peace and security, international development, and strengthening U.S. democracy. In the area of education they concentrate on literacy, urban school reform, and teacher education reform. In the area of strengthening democracy, the focus is on civic education for youth and immigrant issues. The Corporation continues to consider support for evaluation/research of school-based civic learning (includes service learning), and other systems-level change. They do not, however, consider grants for individual programs, only for projects or organizations that have the potential for widespread national or international impact. They do not cite community-university engagement as a funded strategy.

The Carnegie Foundation, on the other hand, is based in Stanford, California. It is a beneficiary of corporation grants and has an endowment. As a private operating foundation it does not itself make grants. The Carnegie Foundation is a policy center that conducts studies, publishes reports, and convenes individuals in the field of education.

To this end, they have worked since 1973 to develop (and continuously revise) the Carnegie Classification of Institutions of Higher Education, a tool that describes the diversity of higher education largely based on degree-granting. The 2005 revision will create a more flexible system that will allow users to cross-reference institutions by additional specific characteristics, and use a new web-based interface to customize classifications. As part of this overall revision process, Carnegie is developing a voluntary classification for Community Engagement – universities and colleges will elect to be included in the classification "universe." A set of indicators is currently being developed to create a framework. Thirteen universities are participating in the pilot, reviewing proposed documentation processes and definitions.

Community Outreach Partnership Centers (COPC), U.S. Department of Housing and Urban Development

In 1994, the U.S. Department of Housing and Urban Development (HUD) launched the Community Outreach Partnership Centers (COPC) program, out of the Office of University Partnerships (OUP). The purpose was to foster and support community development collaborations between universities and their surrounding neighborhoods and cities.

Through COPC, HUD provides two types of grants to two- and four-year institutions of higher education located in urban areas and engaged with community. "First Time" grants are 3-year grants of up to $400,000 awarded to those who have never before received a COPC.

"New Directions" grants are available to previous COPC grantees who demonstrate that they are implementing new eligible activities in a current COPC neighborhood, or the same or new activities in a new neighborhood. These are two-year grants of up to $200,000.

Promoted activities involve housing, economic development, neighborhood revitalization, health care, job training, education, crime prevention, environment, and community organizing. Applications should address three or more urban problems, with one distinct activity applied to each separate problem. COPC does not support non-applied research, capital expenses, or administrative costs above 20 percent of the total grant. In addition, they require a match, a community advisory committee, dissemination of practices, and outreach/ technical assistance services equal to 75 percent of total project costs. A school cannot apply for more than one COPC at a time.

Ford Foundation

Ford is a national and international foundation, focusing on strengthening democratic values, reducing poverty and injustice, promoting international cooperation, and advancing human achievement. Within these broad ideals, Ford is structured into three program areas: Asset Building and Community Development; Peace and Social Justice; and Knowledge, Creativity and Freedom. None of these areas cite community-university engagement, specifically, as a funded strategy. The first program area is the most likely to support a community-university partnership grant, through the Community and Resource Development program. Ford looks for projects with wide impact and strong collaborations between the nonprofit, government, and business sectors. They do not support routine operating costs or capital.

Fund for the Improvement of Post-Secondary Education (FIPSE), U.S. Department of Education

Established through the Education Amendments Act of 1972, the U.S. Department of Education administers FIPSE and its primary responsive grant making program – the Comprehensive Program. Each year, the Comprehensive Program awards approximately 50-80 grants (for up to three years) with an average grant size of between $150,000 to $600,000 over three years.

Applications must reflect a significant and innovative idea with the potential of developing into a national model. The funding stream favors implementation and dissemination grants for highly ambitious plans, rather than research. An ideal FIPSE project, while based on current research, creates new knowledge and practices. This requires a strong evaluation component.

Congress did not appropriate new funds for the Comprehensive Program in FY 2005, though it did provide money to support ongoing grants. The Bush Administration's FY 2006 budget restores funding, though it is possible that FIPSE will again be stripped.

Community-University Partnerships, W. K. Kellogg Foundation

Kellogg is a national and international foundation, primarily funding in the areas of: Health; Food Systems and Rural Development; Youth and Education; Philanthropy and Volunteerism; Greater Battle Creek; Cross-Programming Work in Devolution; Southern Africa; and Latin America and the Caribbean.

Through focus areas, Kellogg has sought innovative ways to stimulate systems change. They supported the Community-University Partnerships initiative (which ended in 1998), a ten-grant, three-year initiative that promoted family and community development practices. Strategies included capacity building, asset mapping, community organizing and empowerment, and utilizing multi-cultural and cross-cultural perspectives. Kellogg also sponsored conferences; scholarship on topics such as service learning; and the Kellogg Commission on the Future of State and Land-Grant Colleges. The Commission published a series of influential documents that championed community engagement.

Kellogg continues to fund programs that utilize community engagement strategies, such as Community-Campus Partnerships for Health. Through their Youth and Education area they support partnerships between post-secondary educational institutions and communities to promote learning, academic performance, and workforce preparation among vulnerable youth.

Learn and Serve Grants
Corporation for National and Community Service

The Corporation for National and Community Service houses many initiatives promoting volunteering and community service, such as AmeriCorps, Senior Corps, and Learn and Serve America (LSA). LSA specifically supports service-learning programs in schools, colleges, and non-profit organizations through grants. These grants require a community match. Currently several K-12 schools in Maricopa County receive LSA support.

For universities and colleges, two funding streams exist. A single university can apply for funding for service-learning program(s) – these grants average between $150,000 - $200,000 each year, for up to three years. A second type of funding is available when a consortium of universities and organizations, often from multiple states, approaches LSA – these consortium grants are up to $400,000 each year, for up to three years. One university acts as the grantee and contracts with, or re-grants funds to, members of the consortium.

The Maricopa County Community College District is a current grantee, heading the Supporting Actions for Engagement (SAFE) consortium. While they reserved part of the grant for themselves, they are re-granting to a number of institutions, one as far away as Florida. Mesa Community College and Arizona State University (for the Jumpstart Tempe program) are also recent, individual institution, LSA grant recipients.

The Rockefeller Foundation

Rockefeller is a national and international foundation committed to five program areas: Health Equity, Food Security, Working Communities, Creativity & Culture, and Global Inclusion. None of these areas cite community-university engagement, specifically, as a funded strategy. Of these five, Working Communities provides the best opportunity for community-university partnership funding due to the emphasis on fostering economic stability, ensuring adequate financing for public education, and encouraging affordable housing. They do not support individuals, endowments, or capital campaigns.

The Pew Charitable Trusts

The Trusts have three main areas of work: Informing the Public, Advancing Policy Solutions, and Supporting Civic Life. Though grant sizes vary over the three areas, the median grant size is $300,000. Pew often provides grants to universities for their research and projects in the specific areas outlined by the foundation. None of these three clusters, however, specifically identify university-community engagement as a funded strategy.

Two programs that surfaced during research, the Pew Partnership for Civic Change and the Pew Higher Education Roundtables, were supported through the Venture Fund, a funding stream that allows Pew to pursue opportunities outside of their clearly defined program areas. While there is no restriction on what can be funded, projects tend to address emerging issues and new solutions to older problems – innovation and timeliness are key criteria. Most of these projects are developed internally or in collaboration with other organizations. Projects that are submitted to the other funding areas, but seem to fall into the Venture Fund definition, are also considered. There is no process for contacting the Venture Fund directly.

The National Science Foundation (NSF)

NSF is an independent federal agency, created by the National Science Foundation Act of 1950 to provide research and education grants in most fields of science and engineering. Their grant review criteria include questions about the broader impact that a proposed project will have on society, and the inclusion of under-represented groups. NSF also supports collaborative projects involving academic institutions, private industry, and state and local governments.

Curriculum Innovation Trust : Proposed Guidelines

Curriculum Innovation Trust : Proposed Guidelines[2]

Background

A pilot funding stream, the Innovation Fund for Curriculum, will be created as a funding stream through the Office of the President.

Grants will challenge faculty, whole departments, or entire colleges – university-wide – to rethink curriculum to address ASU's emergence as the New American University by incorporating the vision of social embeddedness (see attachments); by developing socially-committed students prepared to become productive, active leaders; and by building the capacity of the community itself to address its needs in new and sustainable ways. Grant amounts will range from $5,000 to $25,000. Funds will be distributed based on a competitive, peer-review process led by the Social Embeddedness Team. It is anticipated that this funding stream will continue in future years.

As ASU emerges as the New American University, it will measure its academic quality by the educational challenges and experiences its students receive while attending ASU. The evolution of curricula is an ongoing endeavor and ASU is looking to create new, and reinvigorate existing, curricula to align with the values, vision, and goals of the New American University and social embeddedness.

The New American University is an institution whose researchers consider the public good while pursuing scholarly interests. Its students, faculty, and staff work to share responsibility for the economic, social, cultural, and environmental vitality of the communities the university serves. Core to the New American University is the idea of social embeddedness, a university-wide ethos and vision for what engaging community can and should be. Social embeddedness is an interactive, and mutually-supportive partnership with the communities of Arizona. Through the office of the President, a university-wide committee has worked to define both a vision and goals for social embeddedness.

While many universities talk of working with the community and of being "engaged" with community, too often they are referring to programs and initiatives that were developed to accomplish their own institutional goals. It is tempting to aggregate diverse forms of community relations, public relations, programming open to the public, and volunteer activities, calling it a comprehensive engagement initiative. At the heart of the New American University is the redefinition of engagement with the community in a way that is strategic, transformative, collaborative, entrepreneurial, and sustainable.

This new Innovation Fund for Curriculum is intended to prompt the university as a whole to meet the challenges associated with creating and sustaining a university-wide ethos of social embeddedness. All applicants should make the case as to how their proposed course and/or program supports the vision and goals outlined in Attachment.

2 Prepared by the G-9 Social Embeddedness Committee; February 2006

Structure for Proposals

Proposals should be no more than 3 pages in length (approximately 1,500 words) and include the following:

Brief Proposal Narrative

Provide a description of the strategies and/or activities that will be used to create, expand, or revise curriculum. Proposals should show how the program, project, or course will help the community and the university to become more socially integrated, meeting as many of the goals and subgoals for social embeddedness as possible. All requests must be for new work or expansion/ revision of current projects or curricula to meet social embeddedness goals (rather than to support ongoing projects or existing courses). In addition, proposals should emphasize sustainability (continuity for the community and students year-to-year), entrepreneurism (knowledge exchange), as well as mutually-beneficial collaboration with the community and across disciplines (schools, colleges, departments, etc.) if applicable.

Evaluation

Describe key benchmarks toward completion of the curriculum or project, as well as measurements of how the proposed program, project, or course can and will move the university toward its vision of social embeddedness. Applicants should specify objectives, goals, and timeline.

Budget

Provide a budget and a narrative justification for all requested line items. The following can be supported: technical or support personnel; consultants; supplies and reproduction costs; summer salary or teaching buy-out; travel.

Timeline

Provide anticipated completion date. Grant terms are for up to one year. Requests for no-cost extensions will be considered after submission of a formal, written request and progress report.

Indication of Support

Provide letter of support by department chair/director or dean. Letter should indicate endorsement and intended implementation by the college, school, or department, upon completion of Innovation Fund Grant.

Eligibility

The fund is open to all ASU faculty, projects, and programs. While collaboration across disciplines is encouraged, a principal investigator or grantee must be designated. With the application, provide a very short (½ to 1 page) description of the institution (department or college) or principal investigator's history (CV) working with or in community, as well as the capacity to carry out the proposed strategies and activities.

Submission Deadline

To be determined

Review Process

Work groups for those interested in applying for these funds will be convened prior to the submission deadline.

Criteria for Review

- The significance, coherence, and innovation of the course, project, or program and its relationship to meeting ASU's social embeddedness goals.

- The impact of the course, project, or program, and its potential to be transformative to ASU and to the community.

- Sustainability for the program and the community; demonstration of commitment to institutionalize the course/program if successful.

- The potential for collaboration across disciplines, community organizations, and/or non-ASU institutions or businesses.

- The feasibility of the proposal to be successfully completed within the grant term and proposed budget.

- Demonstrated expertise and/or scholarly promise of the applicant(s).

Proposals are especially encouraged from units considering the social embeddedness approach for the first time and also from those with demonstrated records of success working with communities.

**"Promising Practices:
ASU on the Ground"**

"Promising Practices: ASU on the Ground
Community Stories; University Stories"

Proposed Nominating Process[3]

Background

As ASU evolves into the New American University it is appropriate to look at internal exemplars of community engagement, to document and disseminate promising practices to colleagues locally and around the country and to the community itself, and to evaluate our efforts as we strive to achieve the goals set for expanded social embeddedness (see attached). This analysis is intended to be the first in an ongoing series of unique publications, documenting the work of the New American University and prompting debate inside both academic and community circles about the broadened role of universities as social, cultural, and economic drivers for the 21st Century.

Core to the New American University is the concept of "social embeddedness" – a university-wide ethos and vision for what engagement with community can and should be. While many universities "talk" of working with the community and of being engaged with community, too often they refer to programs and initiatives that were developed to accomplish their own institutional goals, rather than goals shared with community. At the heart of the New American University is the redefinition of engagement with the community in ways that are strategic, transformative, sustainable, and collaborative. This publication will seek out model programming to illustrate the meaning and application of social embeddedness at ASU – in the classroom, in academic units, in colleges, and in communities.

This publication will explore – in journalistic form – the actions ASU has spearheaded in the past one to seven years to be an engaged university and the lessons it has learned from these experiences. It is intended to be a highly informative, graphic, documentary-style book-length product that will captivate both university and community audiences. We currently plan to highlight 20-30 projects, programs, and curriculum concepts that showcase the best of ASU's definition of social embeddedness.

This publication will focus on "stories" (through brief case studies) depicting selected projects. Content will be developed from interviews (conducted by third parties through the President's office). Interviewees will include faculty, students, community organizations, constituents, and other key project stakeholders. No time will be required from those chosen to participate, beyond a 1-2 hour interview. Each journalistically-written case study will be enhanced with documentary photography.

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3 Prepared by the G-9 Social Embeddedness Committee

We anticipate broad dissemination of the publication, which will hold to the social embeddedness standards – accessibility and usefulness to the university and to the community – providing community partners with professionally printed copies of their individual "story," for distribution to their constituents and/or funders.

Projects accepted for publication will receive ASU President's Award (for both the program and the college/school), as well as special consideration in the competitive process for Innovation Fund for Curriculum grants for expansion/revision of ongoing project. (See Guidelines for Curriculum Innovation Trust.)

Structure for Nominations

Proposals can be submitted by deans, administrators, or faculty members. Proposals should include a one to two page abstract that describes the project. The description should answer the following key questions:

1. In what way does your project, course, program reflect the social embeddedness goals outlined in the attached definition?

2. What is the likelihood of sustainability of the project, course, program?

3. How have students or faculty (or the university as a whole) been transformed as a result of this effort?

4. How has the community been transformed as a result of this effort? (anecdotal information or quantifiable data/ evaluation)?

5. What particular obstacles have to be overcome prior to implementation?

Submission Deadline   To be determined.

Review Process

The Office of the President will review submissions. Following announcement of selected nominees, interviews with project-related staff and community will be scheduled.

Criteria for Review

- Significance, coherence, and innovation of the course, project, or program and its relationship to meeting the goals of social embeddedness as defined in the attached document.

- Impact of the course, project, program on both ASU and the community.

- Sustainability/ longevity

- Collaboration across disciplines, with community organizations, and with non-ASU institutions or businesses.

- Special consideration will be given to securing a diversity of submissions and choosing models representing departments university-wide, including those whose efforts faced particular challenges.

Preliminary Foundation Research

Preliminary Foundation Research

Following is a list of local and national foundations that were felt to look promising enough to pursue further. This analysis focused solely on the two projects (case study book and curriculum innovation trust) of particular interest to ASU - January/February 2006.

Local/Arizona-based Foundations

Arizona Community Foundation

Primary areas of interest include "improving quality of life for people in the state" and "community building – emphasizing a comprehensive and coordinated approach to economic and social revitalization in depressed communities." The Foundation is dependent on donor advised funds. (Steve Mittenthal, previous CEO was an early interviewee who expressed both interest and also concern about the social embeddedness initiative. In 2006 a presentation of the preliminary concepts for social embeddedness at ASU was made to the new foundation president.)

Flinn Foundation

Primary areas of interest include improving "the competitiveness of the state's biomedical research enterprise." The pitch would need to emphasize support for departments that impact or work with the biosciences. Flinn committed funds to support the Maricopa Partnership for Arts and Culture, which might create an opportunity for partnerships with ASU. The foundation does not accept unsolicited proposals, but it would be wise to inform the Foundation of this work and to focus on how Flinn's interests and ASU's efforts with community match.

The Virginia G. Piper Charitable Trust

Primary areas of interest include elderly, arts and culture, youth, and early childhood. Piper is interested in strengthening prevention and wellness activities for the elderly as well as: increasing the ability to "age in place"; improving health and mental health; and increasing community engagement. Under arts and culture Piper is interested in strengthening organizational capacity and partnerships/collaborations. With youth, Piper supports after-school activities, mentoring, and "growth experiences." For the early childhood area Piper supports strengthening families through parent/caregiver education, improving child care and preschool programs, and increasing access to health care. The pitch would be to request funding to support academic units that impact or work with the elderly, young children, and families. (Judy Mohraz, President, was interviewed early in the process.)

Nina Mason Pulliam Charitable Trust

Primary areas of interest include women, children, and families; and enriching community life in Phoenix. While the Trust does not accept proposals for faculty training or research, it does support "projects that link higher education institutions to their communities through service learning opportunities." The pitch would likely involve a redefinition of "service learning," and/or a focus on the departments that impact the trust's other areas of interest.

Rodel Charitable Foundation of Arizona

Primary area of interest is education, K-12. Rodel's vision is to have Arizona's education system recognized nationally by 2020. To meet this vision they support three "focus areas": partnerships to exchange ideas and resources; Rodel Initiatives which are replicable educational strategies designed to supplement existing curriculum and support teaching; and grants for programs, especially those that are focused on academic achievement. The pitch would need to emphasize support for departments that impact or work with youth or K-12 and an emphasis on how the curriculum innovation fund and/or the book would support the Foundation's own goals, as well as those shared with ASU. (Carol Peck, Executive Director was an early interviewee.)

St. Luke's Health Initiatives

Primary areas of support: community-based health and health care initiatives (the Arizona Health Futures program); and community development and capacity building to improve health and health care. St. Luke's supports civic discourse and community engagement efforts, as well as reconnecting "citizens, schools, business, and policy makers to community life." The pitch would focus on support for ways to partner to impact health and health care issues and the creation of innovative courses at ASU that would help further the goals of St. Luke's Health Initiatives' programs. (Roger Hughes, Executive Director was an early interviewee.)

Valley of the Sun United Way

Primary "impact areas" include: Learning, Empowering, and Caring. Learning supports child care, early education, mentoring, social skills development, and adult and family education and literacy. Empowering supports job training, family counseling, financial literacy, affordable housing, and independent living skills development. Finally, Caring supports prevention and intervention of: child abuse and neglect, domestic violence, homelessness, medial/dental/vision problems. The pitch is clear. (Paul Luna was interviewed twice during the research phase of this project.)

Private Foundations (beyond Arizona)

Carnegie Corporation of New York

Primary areas of interest include *Strengthening U.S. Democracy* which emphasizes K-12 and immigrant education to increase civic participation. Each grant should have a policy or systems level impact. The pitch would focus on "new" ways to partner in K-12 education, how the development of innovative courses in higher education would address concerns, and how social embeddedness strengthens democracy by increasing participation and understanding of communities and real world activities.

Carnegie also has a *Special Opportunities Fund*, which does not accept unsolicited proposals, but does much of its more innovative funding through that program.

Marguerite Casey Foundation

While Marguerite Casey Foundation is focused on a single effort – building a network of advocates from low income families – the Foundation has focused on the 10 states with the highest rates of child poverty (which includes Arizona) and is interested in innovative ways to address the problem of poverty and family disenfranchisement. A case could be made for ways in which the university could be a unique avenue to pursue the training of advocates and the building of a unique base through which to assist families in poverty.

Ford Foundation

Part of Ford's mission to "strengthen democratic values" and to "advance human achievement," broadly supports the kind of goals addressed through the social embeddedness agenda. Primary areas of interest for the Foundation include Community and Resource Development giving "low-income communities greater ownership and control of key community institutions and resources." Within this area is the Asset Building and Community Development program through which Ford makes grants that "seek to improve the quality of life and opportunities for positive change in urban and rural communities..." supporting "community-based institutions that mobilize and leverage philanthropic capital, investment capital, social capital, and natural resources."

The William and Flora Hewlett Foundation

Some of the primary areas of interest for the Foundation include education (K-12), environment, and performing arts. Hewlett has a Special Opportunities Fund that does not accept unsolicited proposals, but traditionally grants awarded through this channel have supported "excellence in higher education." The pitch would focus on social embeddedness as critical to accomplishing the Foundation's goals in higher education.

The Robert Wood Johnson Foundation

Primary areas of interest are health and healthcare, including issues related to access, quality, substance abuse, healthy behaviors/lifestyles, and education/training. Any proposal would need to include a policy or systems level impact. The pitch (if done in conjunction with either or both of the two focused projects – innovation fund or case study book) would need to focus on supporting particular aspects of curriculum and academic units that impact or work with health and health care such as public health, medical, and related departments – possibly with emphasis on underserved populations (Native American, Latino, low income).

The W. K. Kellogg Foundation

Primary areas of interest include Youth and Education. One major funding stream is to develop "a more seamless educational pipeline, especially engaging post-secondary education institutions with communities to achieve mutually beneficial goals." We believe Kellogg (which has a long history of funding university/community partnerships) is a good potential funder. Recent changes in leadership at the Foundation could alter the organization's priorities.

Charles Stewart Mott Foundation

Primary area of interest includes Civil Society, which supports democratic institution building, strengthening communities, promoting equitable access to resources, and ensuring respect for rights and diversity. To achieve these goals Mott supports strengthening the nonprofit sector and improving civic participation. Their U.S. grantmaking in this area supports "a strong, independent and inclusive nonprofit and philanthropic sector" through better governance, accountability, and partnerships. They also support improved race relations and building "community assets to address community needs." A strong pitch could be that social embeddedness and particularly the projects developed through this initiative fit with the Foundation's goals. Mott is a clear option here and support of the local community foundation would be a helpful boost. Mott also has a fund for Exploratory and Special Projects that does not accept unsolicited proposals. These are generally smaller grants.

Omidyar Network

Primary area of interest is citizen-driven models "that promote: equal access to information, tools and opportunities; rich connections around shared interests; and a sense of ownership for participants." The pitch should include the use of technology and/or knowledge transfer.

Open Society Institute and Soros Foundation Network

Primary areas of interest include shaping "public policy to promote democratic governance" as well as "economic, legal, and social reform." OSI Initiatives cover several issues including education, strengthening civil society, economic reform, public health, and arts and culture. The Youth Initiative most closely corresponds to ASU's interests – it develops "analytical, research, and self-expression skills" so that youth can "think critically about their world" and "engage actively in US society." The pitch would include support to impact youth.

The Bernard & Audre Rapoport Foundation

Primary areas of interest include the Community Building and Social Services initiative, where the Foundation makes grants to "build grassroots networks," as well as the Democracy and Civic Participation initiative, where the foundation "supports efforts to make government more responsive and to encourage citizens to take an active interest in political life." Unsolicited grant applications from organizations outside the Foundation's main geographic region (Waco/ McLennan County, Texas) are funded "infrequently" and are usually "solicited by the Foundation trustees." A letter explaining the full blown scope could be sent – pitching the potential for ASU's work to be a model that could be replicated in smaller communities.

Skoll Foundation

Primary area of interest is social entrepreneurship. They invest in, connect, and celebrate these individuals – but do not provide grants to individuals. Rather Skoll supports social entrepreneurs' organizations. The pitch would be to present the president of ASU as a social entrepreneur (or to build on the groundwork laid out through the Kauffman funds, if they materialize at ASU).

Corporate Foundations

AT&T Foundation

Primary areas of interest include giving "communities the resources they need to help them accomplish great things" – as long as the project intersects with AT&T's business interests/ communities where AT&T has a significant business presence. One of their priorities, Civic & Community Service, supports programs "that address community needs, encourage volunteerism, and promote leadership with integrity." The fit might require use of technology and/or knowledge transfer.

Washington Mutual

Primary areas of interest include K-12 public education, financial education, affordable housing, and community development (especially in locations/cities where they have a business interest). Within education, WaMu mainly supports training and professional development for K-12 teachers and administrators. The pitch would focus on these areas.

**Social Embeddedness:
"Start-up" Phase**

Social Embeddedness: "Start-up" Phase[4]

For the past two years, Fern Tiger Associates (FTA) has worked in close partnership with Arizona State University (ASU) to understand, identify, and define a concept and direction to enable the university to be socially embedded in the communities of Arizona – most specifically those of the greater Phoenix area, where ASU's four campuses continue to grow and influence the development of these communities. Through extensive interviews, community meetings, data collection, and research on best practices, FTA – with the support of an ASU advisory committee and work team -- has articulated a vision and goals intended to transform ASU, through a university-wide effort, into a truly new American university, where unique relationships are fostered with Arizona communities, based on mutual trust and shared responsibility.

It is clear that both the university and greater Phoenix are at a crossroad – defined by growth, excitement, public goodwill, and a sense of urgency to capture this vitality and put it to good use. In order to capture the momentum of ASU's support for social embeddedness, and to create a model that is not based on "the easy route," it is critical that the recommended next steps move forward quickly and intensely.

The recommendations (presented in May to the President of ASU, to the Social Embeddedness Steering Committee, to University Council, and others) indicate that if social embeddedness is truly threaded throughout the university – in its teaching, research, service, and decisionmaking – ASU could become a model, transformed in ways unparalleled in higher education. In this model, confining the university's social embeddedness to an "institute" or "center" would be counter-productive, marginalizing a concept that should pervade every aspect of the university. Yet, implementation will need the guidance, support, nurturing, creativity, and persistence of a dedicated and well-placed leader, for a period of about 5-8 years, as the thinking matures and is understood throughout ASU.

The first five years of implementation will rely heavily on numerous factors including the visible leadership and support of both the Provost (to ensure integration with curriculum and academic success) and the President (to guarantee implementation and influence in decisionmaking beyond academics). Day-to-day stewardship should rest with a "director"[5] who will be the liaison to all programs and efforts related to social embeddedness and who will work to ensure that these concepts become a deep and vital part of the culture of ASU. He/she will report directly to the Provost and President.

The following pages briefly outline tasks related to the start-up (launch: July '06 to February '07).

4 Fern Tiger Associates, July 2006
5 Title to be determined based on university categories. Director responsibilities could also be encompassed in the work of two individuals rather than a single professional.

Description of Start-Up Phase

The start-up phase (launch), leading to the full scale implementation of a set of coordinated social embeddedness efforts, is expected to last about eight months (July 2006 - February 2007). Over the course of these months, a "Director" of Social Embeddedness (or "Co-Directors") will be recruited and hired; that individual will take on his/her responsibilities January 2007.

Between July 2006 and February 2007, numerous activities and tasks should be managed and completed in order to move the recommendations forward seamlessly – without losing the momentum set during this past year of planning. The activities for this launch period fall into several broad categories:

- Development of a strategic funding plan
- Planning, implementation, and management of community outreach and related events (July 2006 through February 2007)
- Design and production of project collateral and branding[6]
- Internal and external communications
- Managing curriculum development related to social embeddedness
- Planning for program sustainability including start-up efforts to design evaluation tools and structures
- Management and facilitation of advisory committee

Fund Development (July '06 - February '07)

Activities related to the launch, early implementation, and sustainability of social embeddedness as described in the strategic recommendations will require dedicated funds. It will be imperative to devise a strategic approach to raising these funds, especially in light of the diverse donor activities already underway at ASU. We believe that several of the early start-up activities could be especially attractive to local donors, and that the longer-term components might be of interest to a broader range of funders and national foundations. However, if ASU is to begin to move from recommendations to implementation of a socially-embedded campus, a commitment of approximately $750,000 will be critical during these first eight months.

While some very preliminary research on funding prospects was done early in 2006, a more carefully-crafted longer-term funding plan will need to be designed and then executed:

- research potential funding prospects
- develop a comprehensive funding strategy and plan (private donors and foundations)

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6 During the outreach process, naming options will be developed and tested, followed by a process of branding the social embeddedness initiative, visually and through messeging.

- draft grant templates to be used in grant-seeking efforts that will occur over subsequent years

- early prospect development efforts, funder meetings, presentations, and site visits[7].

Community Outreach and Events (July '06 - February '07)

To build momentum for the social embeddedness design imperative within the broader community beyond the university, community outreach and engagement will be critical. Tasks to create a create a "street-level" dialogue between ASU and the community include:

- recruiting and training approximately 1,000 ASU students, faculty, and staff ("the ASU 1000") along with community members to go door-to-door, talking to residents to get information about their desires, needs, and hopes and fears about relations between the university and the community and to distribute information about ASU (It is expected that this outreach effort will reach 15,000+/- households in greater Phoenix.)

- developing and leading a series of discussion groups whose participants will be assembled by nonprofit leaders throughout the community (approx. 10-15 groups with 15-20 participants in each session), to solicit qualitative input and feedback to inform the vision and implementation of ASU's social embeddedness work and to develop themes that might be used university-wide

- facilitating roundtable discussions with university and community representatives in the key communities of Phoenix, Tempe, Glendale, and Mesa[8].

Each of the activities noted above will require outreach, marketing, and promotion. They are conceived to be repeated on an annual or biannual basis.

Project Collateral (July '06 - February '07)

To communicate and share the social embeddedness concept at the onset, and to encourage support, participation, and excitement from the community, a coordinated set of unique project materials will need to be developed. FTA recommends designing and developing (text, photography, production):

- a book of ASU case studies appropriate for broad dissemination

  [This book will include approximately 20 in-depth studies of innovative examples of social embeddedness at ASU and in the Phoenix community. Numerous individual interviews, site visits, and documentary photography will create a set of lively, compelling stories to share with constituents throughout ASU, Arizona leadership, peer universities, and communities. This activity could

7 Fund development activities, following the creation of the fund developent plan and strategy should be the responsiblity of the Director beginning February 2007.
8 These round tables are planned to be convened quarterly to move the social embeddedness agends forward.

become a training program for graduate students in appropriate schools and colleges who could be taught to document, interview, write, and photograph for the stories under the guidance of professionals.

In subsequent years, additional case studies should be developed and distributed (semi-annually); every third year the new case studies should be collected for the creation of a larger compendium.]

- an 8-16 page tabloid-style newspaper appropriate for insertion into all regional and statewide newspapers, including ethnic press (and/or for bulk mailing to all households within particular zip codes), containing topical issues related to social embeddedness, including the results of the ASU door-to-door walk and focus groups (which will have been conducted in fall 2006)

- other project materials, as appropriate, including flyers, brochures, posters, etc. for university-wide and/or community outreach and information sharing

Communications (July '06 - February '07)

Numerous activities need to be developed to ensure that internal and external constituents stay abreast of activities related to social embeddedness. Specifically, it is recommended that ASU:

- develop a mailing that will include an overview publication (24 pages +/-) of the draft social embeddedness plan explaining the findings (from interviews and site visits) and recommendations – to be disseminated to the 200+ individuals who were interviewed in the early phases of this work[9] (if appropriate, and if funding permits, these interviewees should be invited to a presentation and discussion of next steps)

- develop a speaker series to bring notable individuals (local and national) to ASU campuses and other Phoenix locations, to talk about social embeddedness and university/community engagement

- design a website dedicated to social embeddedness issues (and/or work with the Office of University Initiatives to make appropriate revisions to ASU in the Community)

- provide on-going communications and updates to ASU faculty, staff, and students and meet with colleges, centers, schools, and departments, as requested, to ensure thorough understanding of ASU's definition and goals (and to assist units in the development of social embeddedness plans)

- develop branding based on naming decision

Curriculum Development (July '06 - February '07)

To make certain that social embeddedness becomes part of the culture and ethos of ASU, it will be critical to appropriately integrate these concepts into

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9 This publication could also be disseminated broadly at ASU.

course curricula across all units, departments, and colleges at the university. To accomplish this, it will be important to:

- lead unit-level discussions related to curriculum development and redesign
- facilitate a task force to undertake immediate discussions related to university-wide curriculum innovation (e.g. capstones, action research, etc.) and structural changes (scheduling, course continuity, etc.) needed to support academic activities related to social embeddedness

To support creative curriculum design efforts, a Curriculum Innovation Trust – a dedicated funding source to support the development and launch of curriculum related to social embeddedness has been proposed.

ASU will need to:
- coordinate early planning for the Trust, including structure, oversight, and donor identification (Beginning in January 2007, the Director will take over management of this activity, including targeted fund-raising.)

Program Sustainability and Evaluation (July '06 - February '07)

To ensure the longevity of social embeddedness at the University and in the community, sustainable structures will need to be put into place:
- Recruitment and hiring of "Director" (or "Co-Directors") of Social Embeddedness and/or program associates
- Coordination of the design and development of an evaluation model which will include benchmarks and analysis on an annual basis
- Identification and coordination of a social embeddedness review team, comprised of university and community members to provide feedback and insight on the effective implementation of social embeddedness concepts and goals

ASU - Community Dialogue

ASU - Community Dialogue

Walk *ABOUT* Arizona

The ASU 1000
ASU students/
faculty/staff/
community

- Reach 15,000 Arizona residents (households/focus ASU sites)
- Provide information re: ASU/invite to September 2007
- Ask re: ASU image/Arizona needs

Think *ABOUT* Arizona

Focus groups: Participants organized by reg'l nonprofits

Update original interviewees (200+/-) about status/ direction of Social Embeddedness Design Imperative

Establish committees with members from ASU (faculty/ staff/ students at 4 campuses) and community

Analyze/prepare for 2007/08 Thematic Focus

Tabloid Insert or Mailing

Talk *ABOUT* Arizona

ASU / Regional Forum(s)

Phoenix   Tempe

Glendale   Mesa

- Present 2007/08 focus
- Analyze/ brainstorm ideas/ partnerships
- Disseminate SE publication/ concepts
- Announce Innovation Trust winners
- Introduce ASU "SE Director"
- Kick off web-based forum

Making Change come *ABOUT* in Arizona

Reps from each of 4 committees

Phoenix   Tempe
Glendale   Mesa
Community/ASU 2007/08 Theme Committee

Phoenix   Tempe
Glendale   Mesa
Community/ASU 2007/08 Theme Committee

Phoenix   Tempe
Glendale   Mesa
Community/ASU 2007/08 Theme Committee

Phoenix   Tempe
Glendale   Mesa
Community/ASU 2007/08 Theme Committee

1st Annual Summit (3 parts)
- Community Leadership
- ASU Alumni
- National SE Forum
(Jan 2008/50 year Anniversary)

Think *ABOUT* Arizona

Focus groups through regional nonprofits

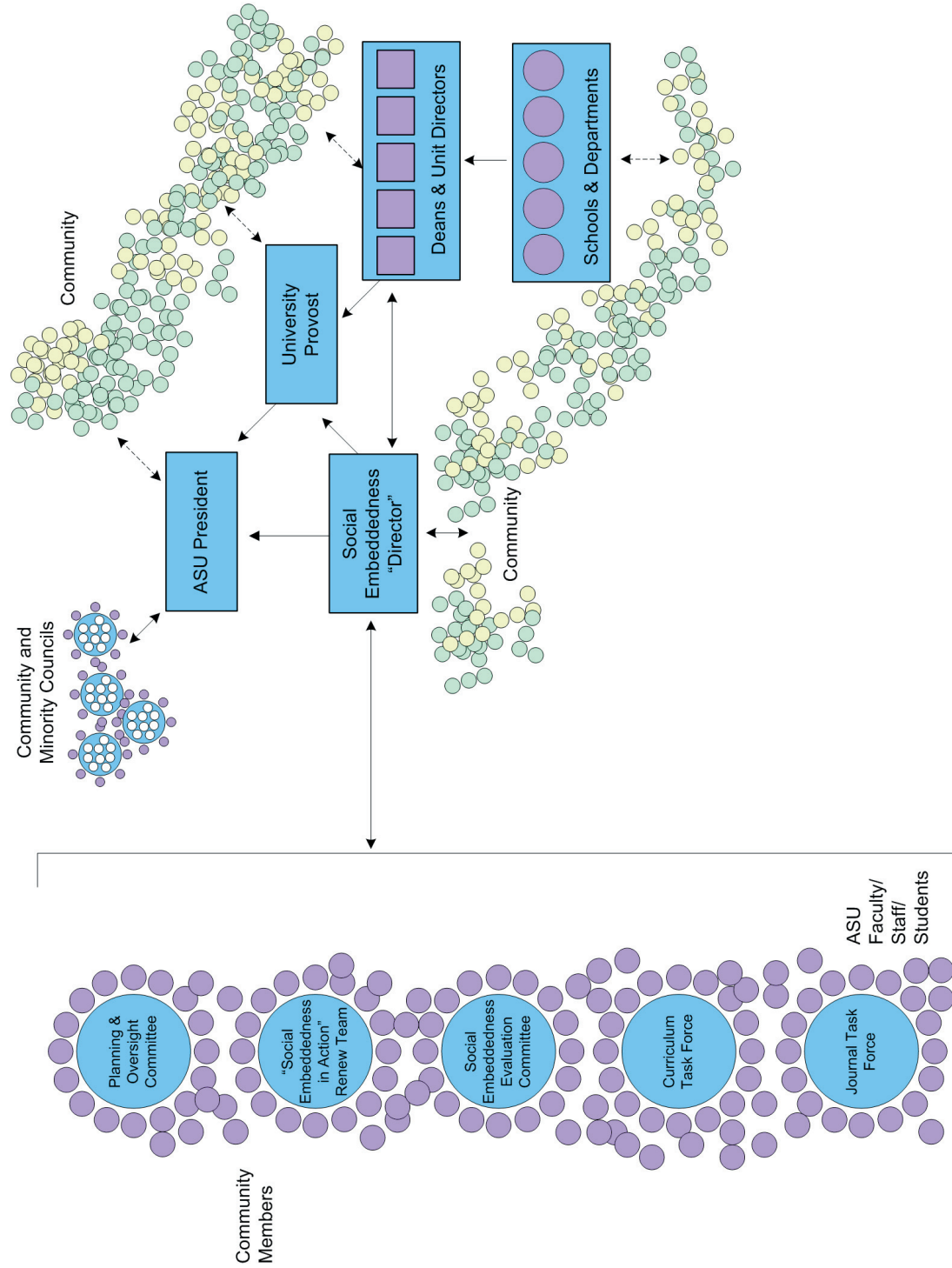| OCT 2006	FEB/MARCH 2007	AUG/ SEPT 2007	AUG 2008
• Speaker Series	• Events	• Seminars	• Community dialogue
• Planning and Oversight	• Create "Working Plan" for Social Embeddedness	• Participate in hiring & review of SE Director	• Ongoing oversight of Social Embeddedness
• "SE in Action" Review Team	• Assess programs & curriculum	• Provide guidance to units	• Oversee "Curriculum Innovation Trust", Community Leaders Fellowship; Case Studies Publication
• SE Evaluation Committee	• Develop metrics	• Create documentation standards	• Oversee interim and 5-year evaluations of SE at ASU
• Curriculum Task Force	• Determine feasibility of capstone requirement		
• Journal Task Force (Faculty only)	• Develop plan to advocate for change in journal requirements to reflect Social Embeddedness		

**Proposed ASU Structure to
Support Social Embeddedness**

Proposed ASU Structure to Support Social Embeddedness

Community

Deans & Unit Directors

Schools & Departments

University Provost

Community

ASU President

Social Embeddedness "Director"

Community and Minority Councils

Community

Planning & Oversight Committee

"Social Embeddedness in Action" Renew Team

Social Embeddedness Evaluation Committee

Curriculum Task Force

Journal Task Force

Community Members

ASU Faculty/ Staff/ Students

Commonly Used Terms

Commonly Used Terms

Community partnerships: Refers to a range of initiatives based at institutions of higher education, designed to enhance local neighborhoods though some form of working relationship with residents and institutions.

Cooperative education programs: "The integration of classroom instruction . . . with a series of paid, productive work experiences in a field related to a student's career or educational goals." (Kellogg Commision)

Cooperative Extension System: A nationwide education network of 74 land-grant universities in partnership with U.S. Department of Agriculture, the Cooperative State Research, Education and Extension Service, and state and local governments. Examples of Cooperative Extension programs include 4-H, college courses, and international education.

Department-level initiatives: Research and technical assistance provided to community organizations, businesses, and government agencies through academic departments or colleges.

Industrial extension programs: Defined by The Kellogg Foundation as "universities working with small and medium-sized manufacturers to maintain their competitive edge." (May be part of the Cooperative Extension System.)

Institutes: Often provide research and technical assistance to community organizations, businesses, and government agencies. Activities include trainings, workshops, and dissemination of reports.

Internships: Paid or unpaid opportunities for students to work within an organization that may be in their chosen field. Internships can be connected to the university, with many departments awarding credit for work completed in the host organization. Other internships are often sought by students outside their chosen field to gain diverse experience and exposure to other fields, populations, or professional opportunities.

Participatory or applied research: Research conducted by faculty or students that either focuses on active participation with subjects during the course of study, or research that is explicitly geared toward solving particular problems external to academia. Can also refer to research that is largely designed, conducted, and analyzed by the community with faculty input and guidance.

Practicum/Internships: A number of work/credit hours in a chosen field, required by specific professions in order to graduate. Examples include social work and teaching.

Service-learning courses: There is not one conclusive definition. The Kellogg Commission describes them generally as courses that combine academic study with an unpaid community service component. The National Service-Learning Clearinghouse expands this definition to include the "intent that the activity change both the recipient and the provider of service . . . [by linking tasks] to self-reflection, self-discovery, and the acquisition and comprehension of values, skills, and knowledge content."

Social movement: A sustained collective action, involving the mobilization of a broad constituency around a common goal.

Volunteer activities: Many universities cite community service, volunteer days, and centers that coordinate student, faculty, and staff volunteer opportunities as community engagement. These activities – which lack an academic component – are usually characterized as being one-time, unpaid work within the community.

Work study: Some universities have been able to use federal work study program dollars to sponsor students to work in off-campus community service jobs.