CURDS Newcastle University

The Civic University

Universities in leadership and management of place

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Executive Summary

The University of Warwick Chancellor's Commission was established to consider the future role of the university in Coventry, Warwickshire and the wider Midlands; and to suggest a long term vision and strategies for delivering this role.

To inform the Commission's deliberations the Centre for Urban and Regional Development Studies (CURDS) at Newcastle University has been commissioned to produce a report which reviews contemporary university civic engagement and the role of universities in the leadership and management of 'place' .

The report is structured as follows:

- It introduces the relevance of the local context for a 21st century world class, globally oriented university such as Warwick.
- It then provides a review of the academic and policy literature and 'state of the art' on civic universities and their potential role in the leadership of place.
- The next section outlines a number of short case studies of civic engagement by universities in the UK, Europe and the United States.
- Finally it looks at the changing UK policy environment and highlights some issues that the Commission may wish to consider in its deliberations.

There is considerable empirical evidence to suggest that leading research intensive universities benefit from a well-articulated and proactively managed relationship with the places where they are located. For such institutions local engagement can enhance the quality and global significance of their teaching and research. Equally, there is considerable pressure from local and national governments and from society at large for universities to actively engage with their local communities.

In the UK these pressures for civic engagement from both within and out with higher education are likely to increase over the period to 2020 and beyond (e.g. public austerity, localism, devolution to Combined Authorities, greater emphasis by research funders on addressing societal challenges with local as well as global dimensions, the Teaching Excellence Framework etc.).

In promoting dialogue between universities and policy makers responsible for territorial development the notion of the university as an 'anchor' institution can be helpful. Being anchored in a particular location does however raise questions for the university about the extent to which some aspects of its academic practice should be relevant to the place in which academics live and work as citizens.

This leads to specific demands on universities to be seen as active contributors to place making, business innovation and economic and social development in the round. With society increasingly facing complex challenges (for example ageing, climate change, terrorism) the role of universities in solving these problems comes to the fore, not least in the communities where they are located.

As well as these new demands, universities are being expected to work in new ways. Concepts such as the 'quadruple helix', social innovation and living laboratories are just some emerging tools for the new forms of multi-disciplinary and trans-partner working that will be needed to address these challenges going forward.

Developing a quadruple helix approach to science, research and innovation that embraces the university, business, government and civil society within the city is not without both challenges and opportunities. These specific tensions are underpinned by those between the external civic role of the university and the internal processes within the university, processes heavily influenced by the higher education policy environment within which it operates.

Addressing societal challenges can necessitate a response from a wide range of disciplines and this may require active institutional leadership. This in turn raises questions around business models of the university. Indeed a new model to capture how the university is organised may be needed. The 'civic' university is one such model.

The civic university can be characterised by its ability to integrate its teaching, research and engagement with the outside world in such a way that each enhances the other without diminishing their quality. Research has socio-economic impact designed in from the start and teaching has a strong community involvement with the long term objective of widening participation in higher education and producing well rounded citizens as graduates. In terms of institutional structure there is a soft, flexible boundary between the university and society.

This integration between research, teaching and engagement needs to be achieved whilst maintaining the vitality of the university as a 'loosely coupled' institution. Whilst a strength this loose coupling can also be a barrier in terms of the willingness and capacity of individual academics to contribute pro-actively to solving local problems not least when this may require working across disciplinary boundaries in response to local needs.

Realising the potential of the civic university to 'reach out' to the community will not only depend on what the university does but also on the capacity of its local and regional partners to work together and 'reach into' the university. Where there is weak local political and managerial leadership, ineffective partnerships and lack of a shared vision the university can still have a role in providing intellectual leadership, for example around thought and actions relevant to possible long term futures for the area.

This review and the case studies do raise a number of important issues around local engagement that institutions around the world are having to address. These include:

Meaningful civic engagement is by its nature a risky endeavour; how can a culture of managed risk taking and innovation be fostered?

Location is important – but how is the 'place' defined and what are the implications of this definition?

How can universities, their staff and partners be supported to cope in a rapidly evolving policy context

Are dedicated formal institutional structures within the university (e.g. civic partnership hub) and intermediate organisations (e.g. Science and Innovation Park) needed to promote and sustain local collaboration? How do these relate to the academic heartland of the university?

Is it possible to manage engagement activities and relationships in a 'joined up' way without creating a burdensome bureaucracy and a heavy handed, top-down managerial approach?

Can partnerships be formed around collaborative projects in which everyone has a vested interest to create 'win-win' situations that can be sustained in the longer term?

How should the civic function of universities be resourced? Is it better to see it as a separate function or embedded in role of every unit and employee?

What are the right planning horizons for civic engagement activities and can (or should) these be aligned with planning timeframes of other local and national actor and agencies?

How can universities create career paths for people whose experience and expertise spans the boundaries between academia and support roles and between the university the 'outside' world?

How can universities work with other higher education institutions locally to support the development of the place while at the same time competing with each other for students and funding?

Universities can't do everything that is expected or asked of them; how should they decide what to prioritise?

How can the impacts of collaborative activities on the university and on the local society be measured and evaluated?

English universities also have to address these issues in turbulent higher education and territorial development policy environments. Radical changes in the way in which higher education is funded and regulated, the localism agenda, decentralisation and devolution are all being introduced with relatively limited consideration of the implications for universities as anchor institutions in local communities.

Deep rooted civic engagement by a well-established university will therefore require a renewed sense of purpose and a connection between its global and local roles. It may require institutional change to integrate teaching, research and engagement at every level. It will certainly have to go beyond joining the global PR war of flaunting the societal relevance of its activities. Finally, it will require a messy process of negotiations with external stakeholders locally and nationally.

Introduction: the global and the local

In the context of the ongoing globalisation of the economy and society - a process in which higher education is an active player - questions are being asked in many circles about the contribution that universities can make to the public good, not least in the places where they are located. More specifically, not only what is a particular university "*good at*" in terms of the quality of its research and teaching (as reflected in national and international league tables) but also what is it "*good for*" in terms of its active contribution to the wider society globally and locally.

The local dimension is particularly relevant when universities are directly or indirectly funded from the public purse and where governments are accountable to their electorates via territorially based governance systems. Politicians might be heard to ask: *'I have a university **in** my constituency or local authority area but how does it actively contribute to the development **of** my area*.' A typical response is that while the university is not formally bound to a particular area it can be a key link for that area to the wider world, connecting the global and the local.

This response chimes with a growing recognition of the link between globalisation and localisation. As the leader of the UNESCO Global Universities Network for Innovation (GUNI) points our "*Although communication is now global, location, proximity and uniqueness still matters*". He quotes the distinguished urbanist Manuel Castells who notes that "*the network society diffuses selectively, working on the pre-existing sites, organisations and institutions which still make most of the material environment of people's lives. The social structure is global but most of human experience is local, both in in territorial and cultural terms*". (Grau 2015). As key institutions in society all universities have a unique location and cannot avoid a relationship with the myriad of other institutions and communities that also inhabit that place, particularly others also involved in the production and distribution of knowledge and public bodies like local authorities responsible for the place in the round and the wellbeing of its citizens.

In the UK 19th century institutions that were the predecessors of the so called 'redbrick' universities evolved to meet the needs of a rapidly evolving industrial society. This included not only support for key industrial sectors like mechanical engineering but also hospitals contributing to a healthy workforce (and which later became the foundation for university medical schools). These institutions depended to a large degree on local public support. During the 20th Century these local links weakened with increasing central government support and influence over local government, the nationalisation of higher education and the concentration of banking and corporate headquarters in London. As a consequence many of these civic institutions turned their backs on their host cities. However in the 21st Century some of these universities are seeking to re-invent themselves as civic institutions in the context of a globalisation of both the economy and higher education, an urban renaissance and of devolution to city regions. (Goddard, 2009).

Higher education is currently entering a period of turbulence following the Government's Green paper with the pending dissolution of the Higher Education Funding Council for England, the creation of a new regulator in the form of the Office for Students and the creation of Research UK to co-ordinate research strategy, distribute interdisciplinary funds and speak to the Government. At the same time the Government is intent on devolving more responsibilities to city regions and reducing resources directly allocated to local government with an implicit assumption that well-endowed universities (compared to local government) might opt to take on a more pro-active role in the local economy and society. All of these changes have implications for the civic role of research intensive universities. The way ahead will pose further challenges for institutions founded in the 1960s that now have a global position but which are located outside of the UK's urban industrial heartland but may nevertheless regard it as necessary to respond to the perceived challenges of linking the global and the local as key anchor institution in their localities.

This report seeks to help the Commission in advising the University in developing its future strategy regarding engagement with civil society, not just as a 'third mission' but in a way that is embedded in globally excellent teaching and research. Embedding engagement in teaching could imply degree programmes or modules that equip students for both global and local citizenship. Embedding engagement in research could involve co-production of knowledge with citizens to address societal challenges which have both a global and local dimension. This is likely to require teaching and research programmes that bring together a variety of disciplines. In moving on from the entrepreneurial university model as depicted in Burton Clark's case study of the University (Clark, 1998) to an engaged or 'civic' model of the university may help Warwick to combine its contribution to city and regional competitiveness with its responsibility to society in the round.

This report is in three parts. The first is a review of the academic and policy literature on civic universities, drawing particularly on the book The University and City which looks into the university from the outside, the forthcoming book The Civic University: the Policy and Leadership Challenges which focusses on the university as an institution, policy work for the European Commission on Connecting Universities to Regional Growth and advisory work for universities, cities, regions and international organisations such as the European Commission, OECD and UNESCO. (Goddard & Vallance, 2013; Goddard, Hazelkorn, Kempton and Vallance, forthcoming; EC, 2011; OECD, 2007). The second part provides some case studies of civic engagement by universities in the UK, Europe and the United States. The third part focuses on the changing UK policy environment and highlights some issues that Warwick University might wish to consider in its deliberations. Annexed to this report is a policy brief which seeks to capture insights gained on working on the future of the city region in Newcastle, and as such provides a sixth institutional case study to be considered.

Part 1: Defining the civic university

1.1 The university as an anchor institution

In promoting dialogue between universities and policy makers responsible for territorial development the notion of the university as an 'anchor' institution can be helpful. Anchor institutions might be characterised as not just in the place but of the place.

The Work Foundation defines anchor institutions as: *"Large locally embedded institutions, typically non-governmental public sector, cultural or other civic institutions that are of significant importance to the economy and the wider community life of the cities in which they are based. They generate positive externalities and relationships that can support or 'anchor' wider economic activity in the locality. Anchor institutions do not have a democratic mandate and their primary missions do not involve regeneration or local economic development. Nonetheless their scale, local rootedness and community links are such that they can play a key role in local development and economic growth representing the 'sticky capital' around which economic growth strategies can be built*". (Work Foundation, 2010).

In the case of universities their main location, in comparison with private firms, is fixed within the current home location. Notwithstanding possible expansion to other nearby or far away campuses it is where they have considerable sunk investment in buildings and strong identification with place through the name of the institution. On past experience universities have generally been immune to institutional failure or sudden contractions in size. They can therefore act as a source of stability in local economies, buffering against the worst effects of periodic downturns. They are particularly important as anchor institutions in weaker economies. (Goddard et. al., 2014).

1.2 What does anchoring imply for universities?

Being anchored in a particular location does raise normative questions for the university about the requirement for academic practice to be of relevance to the place in which academics live and work as citizens. The current director of the LSE, Craig Calhoun, in a famous paper entitled 'The University and the Public Good' makes an important point when he writes: *"We treat our opportunities to do research not as a public trust but as a reward for success in past studies. Rewards for research are deeply tied up with the production of academic hierarchy and the relative standing of institutions"*

But, significantly, Calhoun goes on to say: *"Public support for universities is based on the effort to educate citizens in general, to share knowledge, to distribute it as widely as possible in accord with publically articulated purposes".* (Calhoun, 2006).

More recently in his treatise on The Public Value of the Social Sciences John Brewer unpacks the word 'public': *"Use of the adjective 'public' not only implies fundamental questions about accountability but also poses additional queries about to whom should we as social scientists feel accountable…Public social science has both a research and teaching agenda and involves a commitment to promote the public good through civic engagement".* (Brewer, 2013).

Although neither of these authors are specifically writing about territorial issues or indeed all disciplines within the university, they are relevant to a narrative about the civic university and its relation to the wider society locally as well as globally. In relation to the local much academic writing on territorial development recognises that we cannot only view the city as an economic engine or physical place – which it is – but also a node in a

network of local and global social, cultural and political interactions. Put more simply the development of the city is about businesses that generate jobs, the people who live there and the institutions of urban governance connecting these domains. The civic university is therefore engaged with the city in the round.

1.3 The university and the development of the city in the round

How are universities actively contributing to place making, innovation, economic and social development?

Thomas Bender in his seminal 1988 book on the university and the city referred to campuses as *'semi-cloistered' spaces in the midst of the city to meet the work and leisure needs of students and academic communities'*. (Bender, 1988). In terms of place making the expansion of universities has led to demand for more space. In some cases university sites have been dispersed all over a city, reducing their impact. Science parks developed to accommodate businesses linked to universities have often been established on the urban periphery. However there has been recent and growing pressure to open out university campuses to the city. Even science parks have been experiencing an urban turn towards sites that are more mixed in function and integrated into the fabric of the city. In this trend universities have become involved in local regeneration projects and the development of initiatives such as cultural quarters, science zones and media hubs.

In terms of the contribution of universities to business innovation, NESTA notes that the way innovation takes place is changing. (Fig. 1). We are moving from a linear model to a co- production model which highlights the important role of users, service, open and social innovation. According to the European Commission open innovation can be defined as *" A new paradigm based on a Quadruple Helix Model_where government, industry, academia and civil participants work together to co-create the future and drive structural changes far beyond the scope of what any one organization or person could do alone. This model encompasses also user-oriented innovation models to take full advantage of ideas' cross-fertilisation leading to experimentation and prototyping in real world setting."* https://ec.europa.eu/digital-agenda/en/growth-jobs/open-innovation

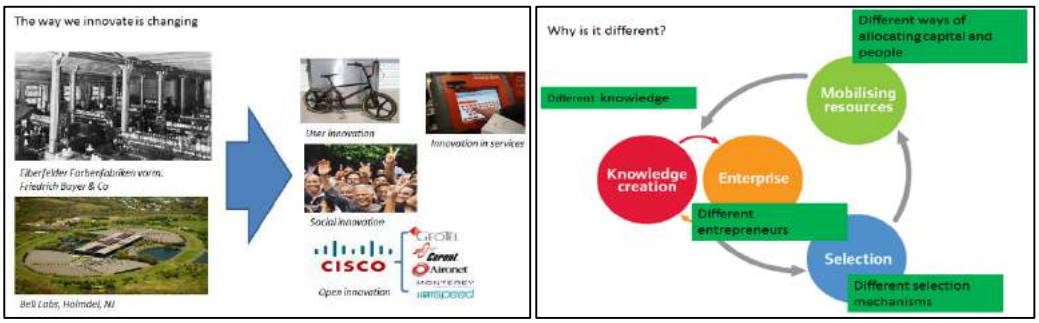

Figure 1 New Modes of Innovation (Source : NESTA)

This model refers to a wider range of knowledge inputs, additional entrepreneurs and different selection mechanisms and ways of allocating capital and people to projects. NESTA suggests a range of partners including local authorities, public service organisations (NHS, schools etc.), charities and social enterprises and civic universities can be involved. This new reality for innovation gives even greater salience to the role of

personal contacts between a wide range of actors and agents which underscores the advantages of urban agglomeration. Students can be a key part of this mix. They can act as knowledge transfer agents through work placements linked to their courses. If these students are subsequently employed in the organisation this will establish the social relations with their teachers on which subsequent links can be built.

Turning to social development, universities cannot avoid the inequalities present in most large cities where they are located, not least because of its likely impact on attracting students and staff from elsewhere. They are also expected to recruit more students from disadvantaged backgrounds and this can be done by work with schools within the city. Cities are also under fiscal stress and expected to deliver more services in a joined up way to the local population. As NESTA suggest social innovation can be seen as one focus for university collaboration with the city.

The influential European Commission's Board of European Policy Advisors (BEPA). BEPA have defined social innovation as: *"Innovations that are social in both their ends and their means. Specifically, we define social innovations as new ideas (products, services and models) that simultaneously meet social needs (more effectively than alternatives) and create new social relationships or collaborations. They are innovations that are not only good for society but also enhance society's capacity to act. The process of social interactions between individuals undertaken to reach certain outcomes is participative, involves a number of actors and stakeholders who have a vested interest in solving a social problem".* **(**BEPA, 2010).

This can be boiled down into three perspectives:

1. A social demand perspective in terms of the needs of vulnerable groups traditionally not met by the market and where there is a strong role for social entrepreneurs
2. A societal challenge perspective through which societal problems are addressed through new coalitions and where the boundaries between the economic and social blur
3. A systematic change perspective where social innovation is reshaping society itself

Social innovation implies extending the dominant model for university external collaboration from the so called 'triple helix' of university, business and government to a 'quadruple helix' which embraces civil society. More specifically to quote two recent reports for the European Commission: *"The Quadruple Helix, with its emphasis on broad cooperation in innovation, represents a shift towards systemic, open and user-centric innovation policy. An era of linear, top-down, expert driven development, production and services is giving way to different forms and levels of coproduction with consumers, customers and citizens."* (Arnkill et.al., 2010).

"The shift towards social innovation also implies that the dynamics of ICT-innovation has changed. Innovation has shifted downstream and is becoming increasingly distributed; new stakeholder groups are joining the party, and combinatorial innovation is becoming an important source for rapid growth and commercial success. Continuous learning, exploration, co-creation, experimentation, collaborative demand articulation, and user contexts are becoming critical sources of knowledge for all actors in R&D & Innovation". (ISTAG, 2011).

According to Arnkill et.al. the quadruple helix model can have four variants depending on whether the focus is on citizens, firms, the public service sector or simply the better commercialisation of university research by testing products and services with users:

1. A triple helix model with users added on
2. A firm centred 'living lab' model
3. A public sector centred 'living lab' model
4. A citizen centred model

Although the role of digital technologies is central to the quadruple helix, this does not necessarily mean that geography no longer matters. Indeed the city as a living lab for testing new ways of organising the delivery of services in a sustainable and inclusive way, for example to an ageing population, is influencing public policy all over Europe.

1.4 Societal challenges and the civic university

Part of the growing expectation of universities is that they will contribute to the major challenges facing society. Such an approach characterises the European Union's Horizon 2020 programme designed to contribute to the Europe 2020 agenda of 'smart sustainable and inclusive growth '. Many of the themes within the programme such as health, demographic change and well-being; smart, green and integrated transport; and inclusive, innovative and secure societies have an explicit or implicit territorial dimension.

Horizon 2020 also has a cross cutting theme of 'Science With and For Society' which recognises that "*betting on technology acceptance by way of good marketing is no longer a valid option … Early and continuous iterative engagement with society in research and innovation is key to innovation adequacy and acceptability*". (SWAFS, 2014)

With these points in mind the Commission has endorsed the concept of Responsible Research and Innovation : "*RRI is a process where all societal actors (researchers, citizens, policy makers, business) work together during the whole R&I process in order to align R&I outcomes to the values, needs and expectations of European society… There is a need for a new narrative drawing on a broad-based innovation strategy encompassing both technological and non-technological innovation at all levels of European society, and with a stronger focus on the citizen and responsible and sustainable business - a quadruple helix and place-based approach to science, research and innovation*." (SWAFS, 2014).

These principles have been embodied in the Rome Declaration adopted by the European Council in December 2014 which calls upon public and private research and innovation performing organisations to implement institutional change that foster RRI by:

- Reviewing their own procedures and practices in order to identify possible RRI barriers and opportunities at organisation level;
- Creating experimental spaces to engage civil society actors in the research process as sources of knowledge and partners in innovation;
- Developing and implementing strategies and guidelines for the acknowledgment and promotion of RRI;
- Adapting curricula and developing training to foster awareness, know-how, expertise and competence of RRI;
- Including RRI criteria in the evaluation and assessment of research staff

1.5 Tensioned themes

Developing a quadruple helix approach to science, research and innovation within the city is not without both challenges and opportunities. This is inevitable. To once again refer to Thomas Bender: *"I propose that we understand the university as semi-cloistered heterogeneity in the midst of uncloistered heterogeneity (that is to say the city…). Because of this difference, relations between the two are necessarily tense, and they cannot be assimilated into one another. To do so, either practically or conceptually, is to empty each of its distinctive cultural meaning and falsify the sociology of each*". (Bender, 1998).

In terms of physical development there may be tensions between the optimal strategy for the expansion of the university estate in terms of location and function and with projects that have an urban development or regeneration focus targeted at the needs of the city. This includes issues around student housing.

Universities as institutions partly protected by public funding can be sources of 'slack' in metropolitan innovation systems. By virtue of harbouring non-commercial activities that cannot be supported by the local private sector, universities can potentially add to the adaptive capacity of the metropolitan economy, particularly SMEs. (Vallance, forthcoming). But this potential is tensioned against the immediate opportunities of working w ith the best companies regardless of location and the (low) level of absorptive capacity of local businesses.

These specific tensions are underpinned by those between the external civic role of the university and the internal processes within the university which are heavily influenced by the higher education policy environment within which it operates. Public universities are principally influenced by national governments. A city may have several higher education institutions within its boundary but no powers to develop a city or region wide higher education system to meet a range of local needs. It could be said that this is because the work of a university is not bounded by any specific territory. It operates within a national higher education system which does not have an explicit concern with territorial development issues. Because higher education is now a global business a key driver for many universities is position in national and international league tables. These are heavily weighted in favour of recognition for research with its very straightforward metrics of citations and pay little regard to contributions to civil society where the metrics are much more complex.

Whilst city interests might expect a corporate response from THE University this does not recognise that the **traditional** university is a loosely coupled organisation composed of disciplinary based units driven by higher education metrics and with only limited horizontal or vertical co-ordination. In such universities responding to external needs is easier at the level of the academic unit than the entire university.

As the Director of the Royal Society of Arts, Matthew Taylor, has commented in his blog: "*Local public agencies (like councils) often find the authority structure of universities opaque and diffuse; this is a barrier to collaboration. While the relative autonomy of faculty from the university administration is a virtue, and the tendency of academics to view the hierarchy of their discipline as more important than the hierarchy of university leadership is inevitable, it still leaves the problem for universities of how – as institutions – to mobilise to meet shared challenges and pursue overarching objectives".*

Addressing the 'shared challenges' to which Taylor refers requires an institutional response from a wide range of disciplines and strong institutional leadership. This raises questions around business models of the university.

1.6 Business models of the university

One well-established model is that of the entrepreneurial university model outlined by the American sociologist Robert Burton Clark in 1998. This was designed to help the traditional university become a more corporate and outward facing institutions, hence its subtitle '*organisational pathways to institutional transformation.'* His model consists of a strengthened steering core (or what we would now call an executive board), an enhanced developmental periphery(composed of intermediate organisations like science parks and centres for continuing professional development) , a diversified funding base (reducing dependence on state funding) and a stimulated and more entrepreneurial academic heartland. It is this model that underpins the triple helix framework extolled by Henry Etzkovitz of universities, business and the state and now adopted by governments across the world. (Etzkovitz and Leyerdsorff, 1995).

However the shortcomings of this model are increasingly being recognised not least for its focus on research in science and technology and links to business. It neglects teaching except in the field of student entrepreneurship, the role of humanities and social sciences, place based communities and civil society more generally. We have suggested an alternative model of the civic university which is best introduced by defining first a non-civic university (Figure 2).

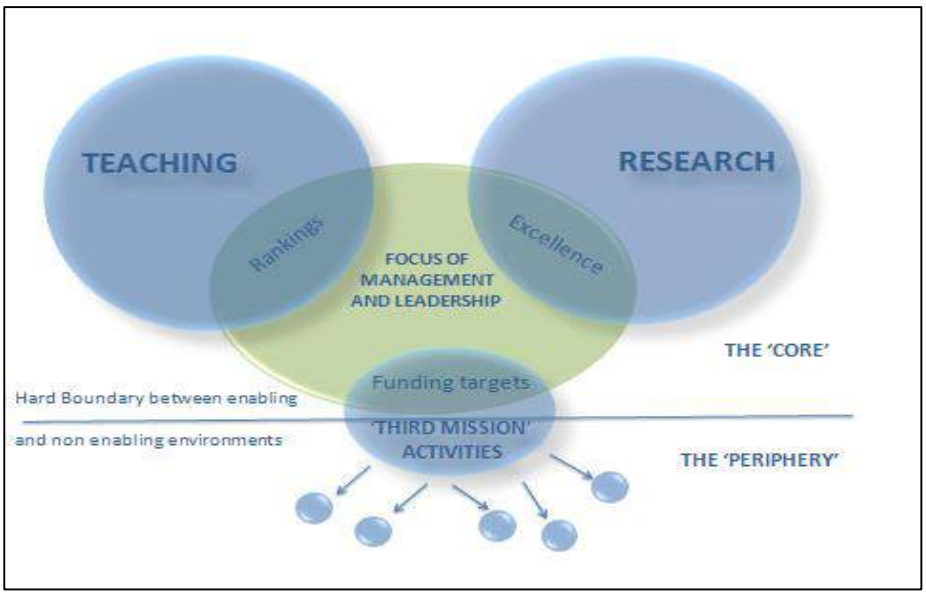

Figure 2: The 'un-civic' university (Source: Goddard, Hazelkorn, Kempton and Vallance, 2016)

Such a university maintains a strict separation of its teaching and research, with research performance judged by academic publications in peer reviewed journals and teaching judged by student satisfaction scores. Third mission activities are only seen as 'core' where there are hard funding targets attached. Activities outside the core areas of focus are not enabled through incentives and others kinds of support, so are often seen as 'below the radar' of management. The outcome of this is that the results of this work is not absorbed back into the teaching or research taking place in the university and impacts are not tracked or measured.

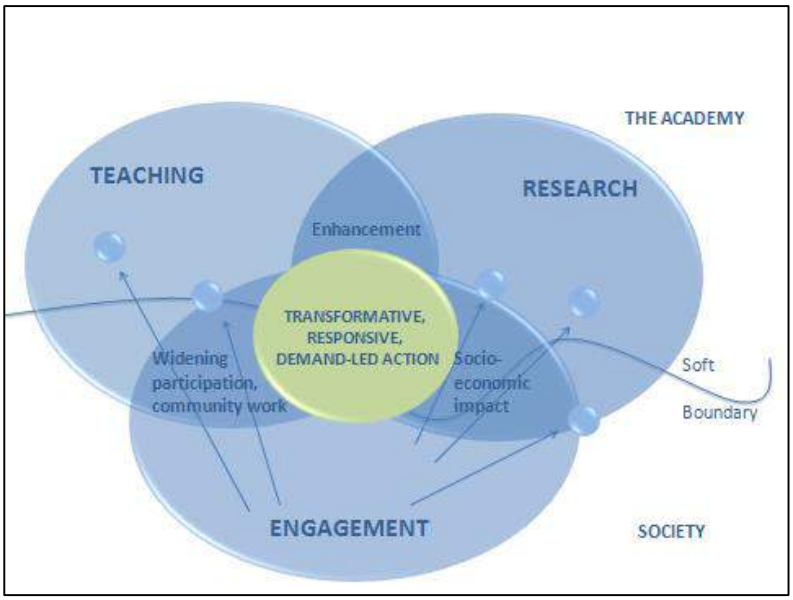

Figure 3: The Civic University (Source: Goddard, Hazelkorn, Kempton and Vallance, 2016)

In contrast the civic university integrates teaching, research and engagement with the outside world such that each enhances the other (Figure 3). Research has socio-economic impact designed in from the start and teaching has a strong community involvement with the long term objective of widening participation in higher education. Most importantly there is a soft, flexible boundary between the institution and society.

To turn this into a practical way in which institutional leaders and mangers can appraise their own organisations we have identified seven dimensions of the civic university. These are:

1. It is *actively engaged* with the wider world as well as the local community of the place in which it is located.
2. It takes a *holistic approach* to engagement, seeing it as institution wide activity and not confined to specific individuals or teams.
3. It has a strong *sense of place* – it recognises the extent to which is location helps to form its unique identity as an institution.
4. It has a *sense of purpose* – understanding not just what it is good at, but what it is good for.
5. It is *willing to invest* in order to have impact beyond the academy.
6. It is *transparent and accountable* to its stakeholders and the wider public.
7. It uses *innovative methodologies* such as social media and team building in its engagement activities with the world at large

We recognise that universities are on a journey of institutional transformation and may position themselves at different points along a spectrum against each of these dimensions, from embryonic to fully embedded in the customs and practices of the institution. In an international comparative study on the leadership and management of aspiring civic

universities we are using this framework as a means of developing a shared understanding between the participating institutions of the challenges they may be confronting on this journey and how these might be overcome. (The participating universities are Newcastle and UCL in the UK; Amsterdam and Groningen in the Netherlands; Aalto and Tampere in Finland and Trinity College Dublin and Dublin Institute of Technology in Ireland).

Realising the potential of the civic university will not only depend on what the university does but also on the capacity of its city partners in the public and private sector. In a review of university partnerships with their regions that we undertook for the European Commission, we have developed a framework to characterise the connected region. (European Commission, 2011). The review sought to identify of how best to mobilise universities in support of regional development. Significantly most of the regions we reviewed had city based universities at their core

As in the case of the civic university it is best to start by characterising the disconnected region. (Figure 4)

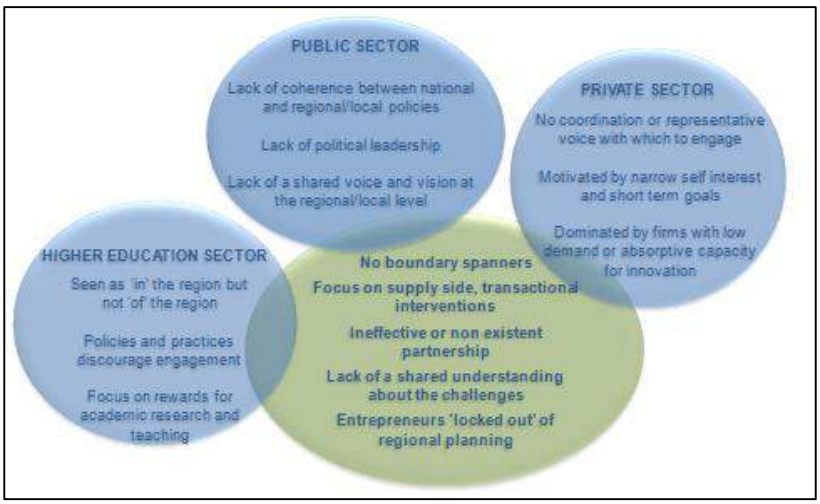

Figure 4: The Disconnected Region (Source: EC, 2013)

In terms of higher education we might observe the following:

- Seen as 'in' the region but not 'of' the region
- Policies and practices discourage engagement
- Focus on rewards for academic research and teaching

In terms of the public sector we might observe:

- Lack of coherence between national and regional/local policies
- Lack of political leadership
- Lack of a shared voice and vision at city region level

In relation to the private sector the picture might be:

- No coordination or representative voice with which to engage
- Motivated by narrow self-interest and short term goals
- Dominated by firms with low demand or absorptive capacity for innovation

Lastly in terms of the mechanisms for connecting Higher Education into the development of the city and region the following might be observed:

- No boundary spanning people
- Focus on supply side, transactional interventions
- Ineffective or non- existent partnership
- Lack of a shared understanding about the challenges
- Entrepreneurs 'locked out' of regional planning

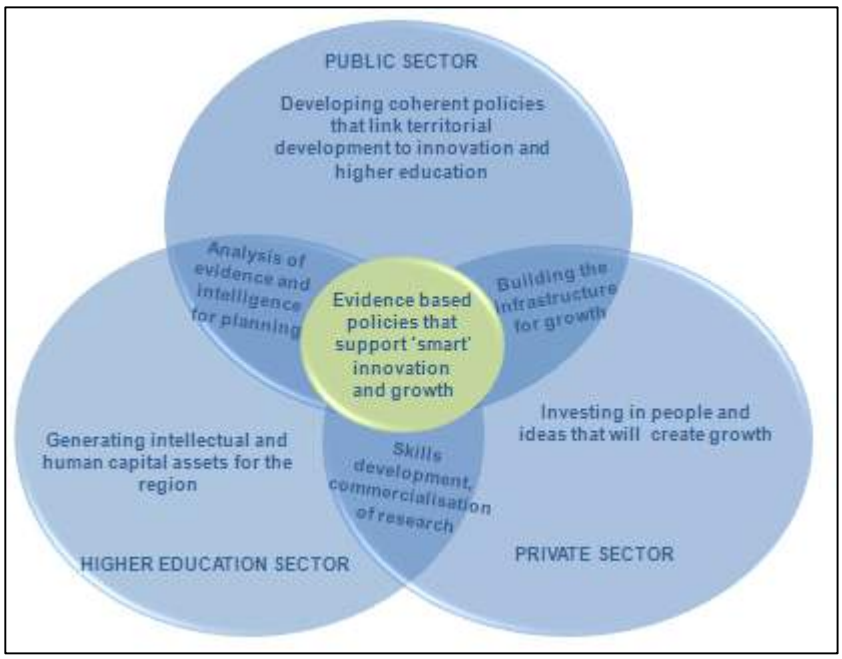

Figure 5: The Connected Region (Source: EC, 2011)

In the connected city region the following might be observed in higher education (Figure 5):

- Generating intellectual and human capital assets for the city region

In the case of the public sector:

- Developing coherent policies that link territorial development to innovation and higher education

For its part the private sector would be:

- Investing in people and ideas that will create growth

The three pillars of this framework would be connected by HEIs providing skilled people and commercialisible research for the private sector and analytical work to underpin public policy interventions. All three pillars would work together to shape evidence based policies that support innovation and growth.

1.7 Universities and urban challenges in England: Research impacts

Focusing on the UK, how are the universities in four English cities – Newcastle, Manchester, Sheffield and Bristol - meeting urban challenges of environmental sustainability, health and cultural development? To compare the promise and the practice of one aspect of civic engagement – research - we can draw on the evidence of an online survey we undertook of a 1 in 3 random sample of academics in all disciplines in the six universities in these cities (Newcastle, Northumbria, Sheffield, Sheffield Hallam, Bristol and the University of West of England) regarding the intended impact of their research. The survey had 700 responses, a response rate of 30%. (Goddard and Vallance, 2013).

Respondents were asked to distinguish between the direct and impacts of their research in terms of the intended primary and secondary beneficiaries. Not surprisingly the principal focus of most academics is on knowledge creation followed by the transfer of this through education. Impact on the economy and society across a wide range of areas from public policy through to cultural enrichment is a secondary concern. (Figure 6). It follows that the primary intended beneficiaries of most academics research are peers in their own discipline followed by their own students. (Figure 7). Notwithstanding the triple helix rhetoric only 10% of academics intend their research to have direct impact on private businesses. And only 20% see their work as directly contributing to technological development. However academics do anticipate their research as having a secondary impact on a wide range of beneficiaries in civil society, most notably professional associations, the third sector and the general public. This lends support to the quadruple helix model. Moreover when we separate out those who said the intended impact of their research was on one of our urban challenge themes we found these academics were more likely to be seeking an impact on other disciplines and civil society across the board.

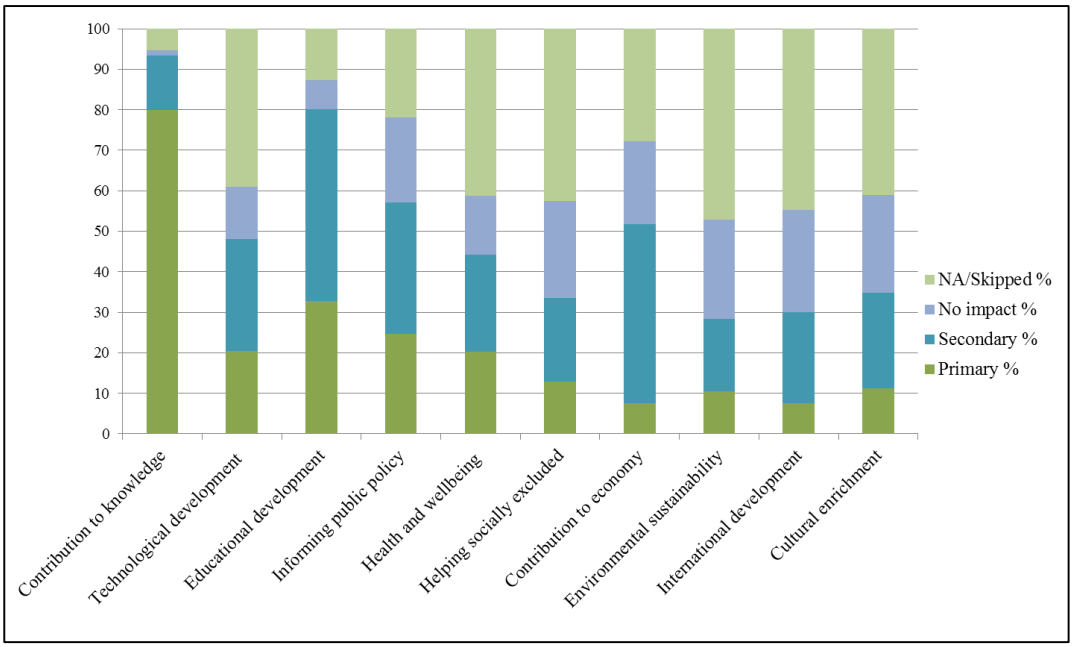

Figure 6: Areas of Research Impact (Source: Goddard & Vallance, 2010)

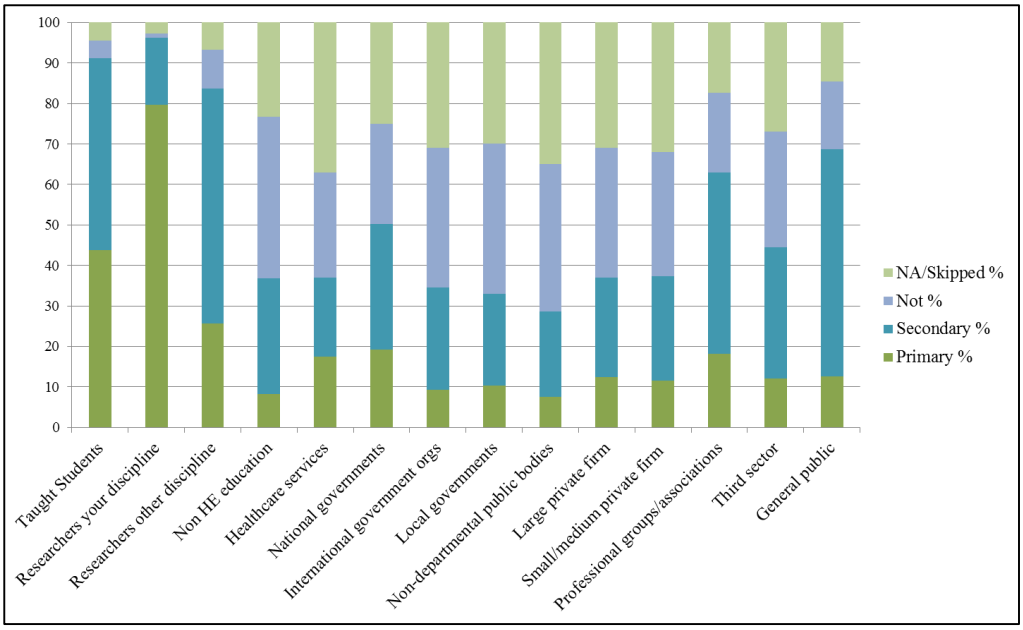

Figure 7: Beneficiaries of Research (Source: Goddard and Vallance, 2010)

But to what extent are these intended impacts geographically targeted? Not surprisingly the majority of academics do not intend their research to have an impact on particular places. However there are pronounced differences between disciplines. Academics in the social sciences and humanities are most likely to want their research to have a place specific impact. In contrast the hard sciences which have been the focus of much effort in terms local economic development initiatives are even less likely to look to specific locations for research impact.

There are also important differences between universities in terms of geographical focus. Again not surprisingly academics in the former polytechnics in our three cities are more likely to want their research to have a geographically specific impact. Interestingly this orientation across both types of university is greatest in the northern cities which have a lower level of prosperity than Bristol which is arguably an extension of the South East 'golden triangle'. This lends weight to the view that some academics are influenced in their priorities by the challenges presented by the place in which they work.

The findings are compatible with those of a much larger sample of 22,000 academics involvement in external activity undertaken by UK Innovation Research Centre. Between 5% - 14% said they were involved in various forms of commercialisation activity whilst around one third were involved in community based activity and 57% in providing informal advice (Figure 8).

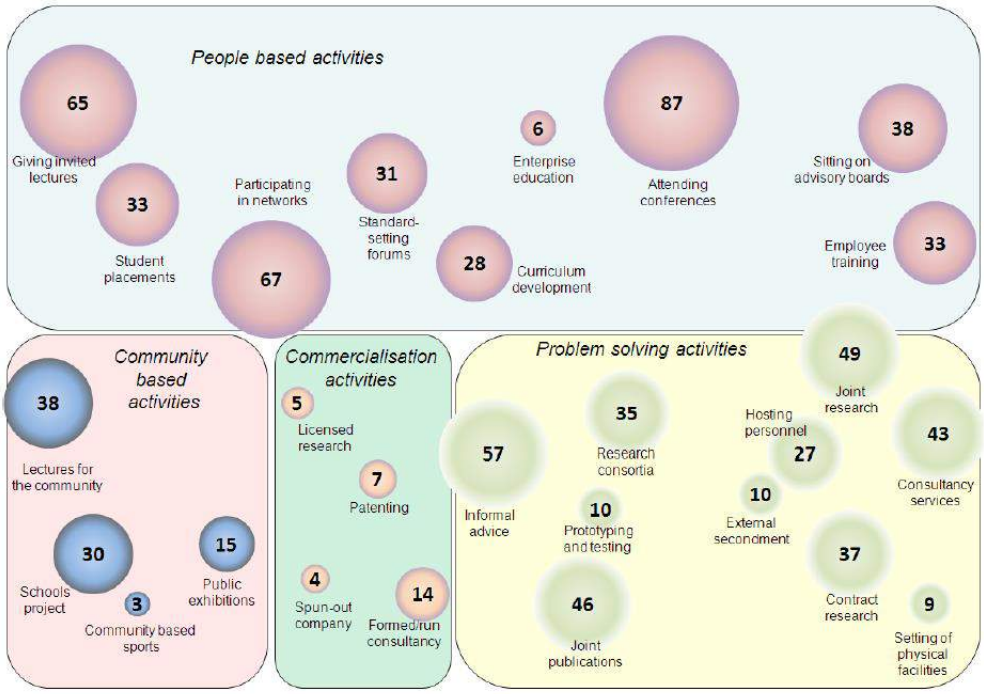

Figure 8 Forms of engagement (% of respondents mentioning each form). (Source: Abreu et.al. (2009))

1.8 Universities and sustainable, healthy and creative cities

Reviewing the documentary evidence it was clear that universities in these UK cities were working hard to minimize the environmental footprint of their estates. More significantly they were involved in economic development and regeneration initiatives involving the public sector that have a strong environmental dimension, such as Science Central and the Manchester Low Carbon Economic Area and Manchester Corridor. Academics through their national and international roles were influencing the debate about sustainable cities and the regulatory environment with which energy production, distribution and consumption operated. In this process they were contributing to what can be referred to as multi-level governance and anchoring their agenda setting roles in their home university and city. We also observed academics from different disciplines engaging with the city as an urban laboratory. The city was simultaneously the object of study, the setting for field research and the site for collaboration, experimentation and intervention. For example one senior academic reports:

"*The notion of treating our city and its region as a seedbed for sustainability initiatives is a potent one… the vision is of academics out in the community, working with local groups and businesses on practical initiatives to solve problems and promote sustainable development and growth. This necessitates that we proceed in a very open manner, seeking to overcome barriers to thought, action and engagement; barriers between researchers and citizens, between the urban and the rural, between the social and natural sciences, between teaching research and enterprise*"

Turning to the health challenge facing cities we see a mutual dependence of public health services and university medical faculties. They are in separate governance domains but joined together by many types of organisational and personal linkages of a financial and informal character. There is a well-established work based learning model for medical students and the hospital and local population acts a living laboratory for clinical academics. While acute medicine and public health are in different universities the latter is now a key function of local government. This is leading to three way partnerships.

In terms of public health work based learning is a key mechanism linking one university to the city: *"We're continually revising our curriculum, in partnership with our stakeholders - the strategic health authorities, the acute trusts, the PCTs - in order to be one step ahead in terms of anticipating the need. ... We are very much wedded to work-based learning delivery, and particularly when you're talking about part-time, postgraduate [students] our unique selling point is that you learn by using your day-job, and so the assignments are actually around projects that will take your organisation forward as well as yourself "*

Finally in relation to the contribution of universities to the creative city the diversity of the cultural sector in cities is mirrored by diversity of creative and artistic disciplines taught, researched and practised in universities – visual arts, music, drama, creative writing . The academic units in the universities and the constituent communities of students and staff have a strong identity with and connection to urban cultural life. These are fields where the hierarchy of research ratings between 'old' and 'new' universities does not apply – practise led research and teaching used in art, design and media fits particularly well with the mission of new universities. The campus provides cultural venues – university museums, theatres, art galleries, media labs and also the shared use of off campus sites where practise, teaching and research are linked.

"I think what we are attempting to do is to try and crack that nut that a lot of fine art departments have to crack, which is how do you work in a professional practice environment that's recognised by students and postgraduates, but also works to the needs of a research culture … . What kinds of resources do you need? ... Really the model you want to put forward is a sort of relationship of art and the city; so very metropolitan, very urban. It's not on campus, its right in the middle of town".

In the digital media area complementary temporalities can be seen: *"We as academics are really planning for five to ten years ahead, people in business are usually planning for the next quarter or the next six months or the next year. There are different temporalities, and one of the things that we can do is try to use our expertise to catch some of the things that they don't really have time to reflect on, or have the analytical purchase on, and play it back to them, and help them enrich their own process"*

"I think one of the benefits of working with academics is that they provide a kind of stability in the way we work. ... There is a space in the middle where they can collaborate which is the work that might come out in 2 to 3 years. And then there's the horizon work, which the academy is in a much better place to look at, because it hasn't got the commercial constraints. ... But the studio acts as a kind of gearing mechanism to try and help those timescales, agendas, cash flows, find each other and work together."

"There is a 5 year collaboration agreement between the three [organisations] at a corporate level, which we are calling a creative technologies collaboration. It's for research, innovation and teaching in what we are broadly calling creative technologies; so that cross- over space between what you would normally call creative content and what you would normally call digital computing. It is a mixed up space that none of us quite understand. ... So it is an active collaborative space, which adds value to what the universities can do in their own faculties, on their premises, and on their own."

1.9 Conclusion: universities and the leadership of place

The evidence presented here and our experience suggest that there is a wide range of potential contributions that universities wishing to identify themselves as civic institutions can make to the places where they are located, not least to responding to societal challenges that are both global and local. Nevertheless fully realising that potential across the whole institution will not be easy. There will be barriers both within the institution (the knowledge supply side) and in civil society (the knowledge demand side) which leaders will have to address. Leadership of place will be critical and as Hambleton has pointed out what the academy can bring is intellectual leadership (Figure 10).

Figure 9: Universities and the Leadership of Place (Source: Hambleton (2014))

In recognition of this fact the Leadership Foundation in Higher Education asked us to research and scope a "Higher Education and Civic Leadership Programme". (Goddard, Howlett, Kennie and Vallance, 2010) The programme proposed the identification of staff from both universities and cities to work together in "action learning sets" in joint university-city projects and in the process develop skills in both the "know what" and "know how" of city development . (Figure 11). The programme was never launched due to changed circumstances in the Leadership Foundation. The very different present climate presents an opportunity to revisit the need for building capacity for collaborative working between universities and cities

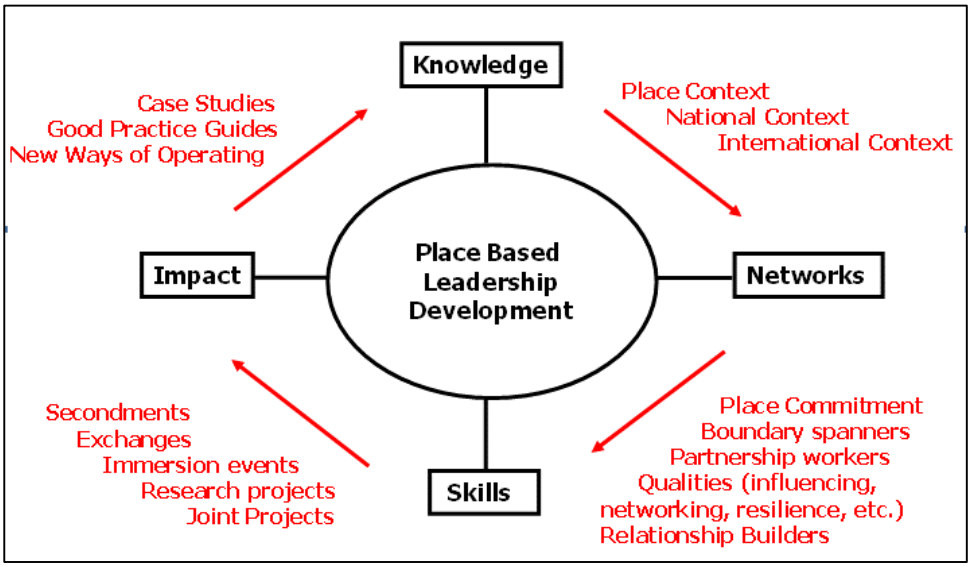

Figure 11: Design for a Universities and Civic Leadership Programme (Source: Goddard, Howlett, Kennie and Vallance (2010))

Part 2: University Case Studies

2.1 Arizona State University

About the university

Arizona State University (commonly referred to as ASU) is a public research university established in 1885. ASU has over 80,000 students making it the largest public university by enrolment in the U.S. It was ranked No. 1 among the Most Innovative Schools in America in the U.S. News & World Report 2016 university ratings.

ASU has over 3,000 academic staff and a similar number of 'graduate assistants' - people pursuing postgraduate degrees while also acting as teaching and research assistants.

ASU's charter, approved by the board of regents in 2014, is based on the "New American University" model created by its President Michael Crow. It defines ASU as "a comprehensive public research university, measured not by whom it excludes, but rather by whom it includes and how they succeed; advancing research and discovery of public value; and assuming fundamental responsibility for the economic, social, cultural and overall health of the communities it serves."

Local context

ASU is located on five campuses across the metropolitan area of Phoenix. Its main campus (home to around 50,000 of the student population) is in Tempe, an 'inner suburb' of the city of Phoenix.

Tempe is a fairly dense, urbanized area to the southeast of Phoenix. Its population has grown rapidly since the middle of the last century - the population has more than doubled in the past 40 years - and now stands at almost 170,000. ASU is the largest employer by far in Tempe, employing over 12,000 people in total.

The state of Arizona is below the national average on a number of key indicators such as educational achievement, people living below the poverty line (almost 20% of the population) and has a considerably higher proportion of Hispanic and Native American residents.

How do they embed the place/region in their mission?

The purpose of Crow's New American University is to establish national standing in academic quality and impact of colleges and schools in every field, be a global center for interdisciplinary research, and also be fully embedded in the local environment. The design principles of the New American University put the 'place' and society at the heart of its activities. There is an explicit resolve underpinning the model that being a locally engaged and 'excellent' (as traditionally defined) university are not mutually exclusive, but are in fact mutually reinforcing ambitions.

How do they ensure their effectiveness?

The New American University model that has been developed at ASU describes itself as being characterised by excellence ('advancing research and discovery of public value'), impact ('assuming fundamental responsibility for the economic, social, cultural and overall health of the communities we serve'), and inclusion ('measured not by whom we exclude, but rather by whom we include and how they succeed').

The ASU charter is underpinned by 8 design principles (which each have a number of KPIs) to drive and measure their effectiveness:

- Leverage Our Place - ASU embraces its cultural, socioeconomic and physical setting.
- Transform Society - ASU catalyzes social change by being connected to social needs.
- Value Entrepreneurship - ASU uses its knowledge and encourages innovation.
- Conduct Use-Inspired Research - ASU research has purpose and impact.
- Enable Student Success - ASU is committed to the success of each unique student.
- Fuse Intellectual Disciplines - ASU creates knowledge by transcending academic disciplines.
- Be Socially Embedded - ASU connects with communities through mutually beneficial partnerships.
- Engage Globally - ASU engages with people and issues locally, nationally and internationally.

What are their synergies with other partners?

In response to the needs of the local and regional economy ASU has established a number of centres in the past decade.

- The Megapolitan Tourism Research Center in recognition of the economic and social centrality of tourism in the region
- The Office of Latino Projects, in recognition of the growing importance and needs of the Latino community in Phoenix
- The Center for Policy Informatics, in recognition of the complex public policy issues for which sophisticated tools for decision making are required
- The Center for Healthcare Innovation and Clinical Trials in recognition of the need for more effective evidence-based practice in community nursing,
- The Hartford Center for Geriatric Nursing, in recognition of the significant elder population in the region.

How do they act as a 'good citizen'?

ASU seeks to advance social embeddedness through five interrelated actions:

1. Community capacity building— enabling community-based organizations and institutions to become strong and effective by providing support, training and access to resources and information.
2. Teaching and learning— involving faculty and students in solving problems facing communities.
3. Economic development— responding to the needs of the university and the needs of communities as ASU pursues its role as an economic engine.
4. Social development—responding to the needs of the university and the needs of Arizona by working closely with public and private institutions.
5. Research and discovery—advancing relevant inquiry by valuing community input, knowledge and needs.

In terms of evidencing this role, the university reports that 757,383 student hours were devoted to volunteering in the community in 2013, with an

estimated impact of $16m on the local economy. Some of the activities staff and students get involved with include community health clinics, law clinics, building platforms of learning resources, lifelong learning and outreach with local schools.

Issues for the commission to consider

Research by Friedman (2009) identified 3 key principles for ASU in building effective partnerships with the city and region:

1. Location is important as proximity diminishes opportunity costs for ongoing collaboration. How does UoW define its location? Who does it want to engage with and does its location have implications in terms of 'opportunity costs' for collaboration? What can be done to mitigate these?

2. Relationships are the foundation upon which the capacity for collaboration expands. How are UoW relationships managed – at an individual or institutional level? What are the implications?

3. Certain institutional forms in the academy are better suited to advancing partnerships than others. In particular, centres and institutes have considerable advantages over schools or departments in advancing embeddedness. What are the institutional forms that UoW uses to drive collaborations and partnerships?

A number of challenges were also identified to success in working with local partners. There is a danger of an 'overabundance of opportunity'. Working in collaboration results in ever more ideas and opportunities for further work which may hamper delivery through creating a lack of focus. It may also unrealistically raise expectations among partners about what can be achieved, leading to disappointment and disillusionment if these are not carefully managed. The process by which opportunities are identified, chosen and communicated is therefore critical. Deciding what not to do may be just as important in deciding what to do. How this is decided with and communicated to partners is critical.

A second challenge is that staff, students and community partners are operating in a context of continuous change, often due to forces beyond their control. This results in a need to adapt and adjust to different conditions, often at a rapid pace. In the UK recent changes in HE policy, funding, devolution, new structures etc. have created new opportunities and challenges for engagement. How these being addressed and what are their impact for UoW and its partners?

What can be learnt from the New American University model? There is certainly evidence that it has been a framework by which ASU has increased student numbers, its endowment and its reputation as a public research institute *while at the same time* engaging deeply with its local economic and social partners.

The New American University model has generated controversy and criticism as well as praise. According to The Wall Street Journal the increased influence of external donors, sponsors, and politicians over the university's internal

activities has led to a tendency toward top-down determination of research directions, and an emphasis on revenue generation. This is a tension faced by all universities in engaging with the outside world – how can relationships be institutionalised and managed effectively without constraining the autonomy and creativity of individual academics?

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www.asu.edu

2.2 University of Sheffield

About the university

The University of Sheffield is a research university in the city of Sheffield in South Yorkshire. It received its royal charter in 1905 as successor to Sheffield Medical School (1828) and University College of Sheffield (1897). As one of the original red brick universities, it is also a member of the Russell Group of research-intensive universities.

The University of Sheffield is widely recognised as a leading research and teaching university both in the UK and in the world. In 2014, QS World University Rankings placed Sheffield as the 66th university worldwide and 12th in the UK. In 2011, Sheffield was named 'University of the Year' in the Times Higher Education awards. The Times Higher Education Student Experience Survey 2014 ranked the University of Sheffield 1st for student experience, social life, university facilities and accommodation, among other categories.

The University of Sheffield is not a campus university, though most of its buildings are located in fairly close proximity to each other. The centre of the University's presence lies one mile to the west of Sheffield city centre, where there is a mile-long collection of buildings belonging almost entirely to the University.

The university has over 26,000 students (2014-15) and more than 7,000 staff.

Local context

The Sheffield City Region is centred on Sheffield with a population of 1,819,500 covering an area of 3,517.84 km^2. It covers the entirety of the metropolitan county of South Yorkshire, and also includes four districts from north Derbyshire and one district from northern Nottinghamshire. The city of Sheffield has a population of around 563,000.

The Sheffield City Region LEP covers the same geography as the city region. However the combined authority just covers 4 of the nine local authority areas (basically the same as the old metropolitan council abolished in 1986). The combined authority has committed to a mayoral election in 2017.

As part of the consultation process for the new authority, the UK government suggested the name *South Yorkshire Combined Authority*, which was rejected by the authorities who favoured the name *Sheffield City Region Combined Authority*. The government rejected this name as "misleading and inappropriate". The order presented to parliament to create the authority referred to it as the Barnsley, Doncaster, Rotherham, and Sheffield Combined Authority. The authority has since adopted the corporate name *Sheffield City Region Combined Authority*.

How do they embed the place/region in their mission?

While its roots go back to 1828, the university was founded formally in 1905 via penny donations from the local citizens. The aim was to bring higher education within reach of the children of the people working in the great industries of Sheffield, to give support to those industries and to serve as a centre for the study of diseases.

According to its website, the University is 'proud of its origins and continues to value the role it has come to play in its city and region'. The university is (relatively?) unique in having established an office for city and cultural engagement. One of the activities this office spearheaded was to hold a 10-day Festival of the Mind in 2012, the first ever collaboration of its kind to blend university research with the inspiration of a city's creative community. 16,000 people of all ages attended over 70 events in venues across the city and University, with topics ranging from science to philosophy, from robots to poetry.

The university is also highly active in promoting advanced manufacturing in the region with its Advanced Manufacturing Research Centre acting as a hub in creating the UK's first Advanced Manufacturing Innovation District – 'a nucleus of innovation, research and technology designed for collaboration and open innovation' which aims to provide 'a centre of innovation and productivity for the Northern Powerhouse'.

How do they ensure their effectiveness?

There are six guiding principles that underpin the University's mission and inform all its strategic decisions and which combine to constitute a shared framework for its activities. They are:

- Achieving Excellence
- Cultivating Ambition
- Making a Difference
- Working Together
- Protecting the Future
- Leading the Way

In its Mission, Vision and Identity document the Working Together principle is detailed as follows: 'Solutions to important problems depend increasingly upon collaboration: between staff and students, across disciplines and in partnership with others locally, nationally and internationally. We aim to build inclusive teams, maximising the benefits of difference and drawing on the skills and potential of the widest possible range of colleagues.'

The university's current strategic plan outlines a number of goals and priorities which are explicit about its local and regional role. For example two of its priorities are to -

- 'Demonstrate a closer civic engagement between the student body, academic departments, the people in our city and region, and our wider society as a contributor to economic, cultural and social advancement.'
- 'Contribute to the civic life of our city, the region and globally in ways which are appropriate to our aims and goals.'

What are their synergies with other partners?

The Advanced Manufacturing Research Centre (AMRC) and Nuclear Research Centre (NAMRC) driven by Boeing, Rolls-Royce and the University of Sheffield is central to driving the university's partnership activities. It is a core component of the city/city-region strategies for growth and innovation. The AMRC/NAMRC has enabled the university and its partners to attract significant external funding e.g. from Innovate UK, HEFCE and European Structural Funds. In 2014 a new £18m, 5000m^2 Advanced Manufacturing

Institute Training Centre (AMI-TC) was established at the AMRC to deliver a new high-level apprenticeship programme.

The University of Sheffield partners with Sheffield Hallam University on a range of projects and programmes ranging from public health to widening participation (the 'Heads Up' initiative with local schools). A recent initiative is Re:New Sheffield, which supports start-up and 'pop up' businesses to use vacant premises in the city centre. It is governed by a board made up of representatives from the two universities, the city council and local property agents.

As part of the Advanced Manufacturing Innovation District, Care 2050 is a Sheffield City Region-wide initiative, which is developing a visionary pipeline for providing and producing innovative solutions for health, wellness and social care. It is a collaboration between industry, the NHS, the two universities and Local Government.

The City Region Leadership Programme aims to develop the next generation of leaders for the region through an accredited collaborative leadership programme co-created by the two universities in partnership with public, third and private sector organisations engaged in public service. It is the first time the universities have worked collaboratively on a programme in this way.

How do they act as a 'good citizen'?

The university has a programme of open days, lectures, seminars, exhibitions and family events running throughout the year. It offers a range of courses to members of the public, some of which are free. For example, Discover is a free award winning short course, designed to inspire adults who haven't been to university. The course is delivered one morning each week, and focuses on themes that link into the subjects offered by the Department for Lifelong Learning.

Sheffield Volunteering supports students and staff to get involved in activities in the city. Its aim is to increase awareness of local community issues amongst students as well as an understanding of how they can make a positive impact through volunteering. In 2014 2,213 students and staff took part in 2,922 volunteering opportunities within the local community and across Sheffield.

The university's sports facilities are open to the public, with many of the facilities available on a 'pay and play' basis such as the swimming pool, fitness classes, squash and badminton.

Issues for the commission to consider

According to Professor Sir Keith Burnett, Vice-Chancellor 'The Civic University is not a separate area of activity. Within our overall strategy and educational mission there are clear areas of strength where we are especially able to make a difference. At this particular time of economic recession, there are many calls on us to help. We have to be focused in how we respond, ensuring that we do what grows out of our remit as a University and our particular strengths and unique contribution.' The underlying sentiment seems to be that the university must be clear what it is good ***at*** as well as what it is good ***for***. It should understand and play to its strengths, recognising that it cannot respond to every request for support.

Sheffield University does appear to approach its civic role not as a tagged on 'third mission', but as an integral part of its position as an esteemed research and teaching institution. The AMRC is a fundamental component in this, fostering economic growth in the city-region while at the same time acting as a hub for high quality research and teaching. Clearly activities which create a 'win-win' for all parties involved are more likely to be sustained into the longer term, as everyone has a vested interest in their success. Where these result in large scale capital and revenue investments they are less likely to be affected by the whims of individual leaders or the policy 'fashions' of the day.

In an era of increasing competition between universities for students and funding it is only to be expected that there may be tensions between institutions operating in the same city. However the University of Sheffield and Sheffield Hallam University have found ways to come together in supporting the region and its development. The City Region Leadership Programme in particular is an pioneering approach to building capacity locally to innovate, and in creating linkages across the 'quadruple helix' which may lead to future collaborations.

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https://www.sheffield.ac.uk/

2.3 University College London

About the university

University College London (UCL) founded in 1826 was the first university established in London and the earliest in England to be entirely secular. In 1878 it became the first university in England to admit women students on equal terms with men.

UCL had a student body of just over 30,000 in the 2014/15 academic year. The recent merger with the Institute for Education brings this figure close to 36,000. As of October 2013 UCL had 9,250 staff of which 5,405 were in academic, research, teaching and NHS-related roles.

The 2014 REF ranked UCL as the top university in the UK for research strength. According to independent analysis, UCL won the largest funding allocation from the UK research councils in 2013 (£135m). UCL also has the greatest number of prestigious Doctoral Training Centres in the UK.

UCL's historic main campus is located in the Bloomsbury district of central London, with a number of institutes and teaching hospitals located throughout the city. University College Hospital, a major teaching hospital closely affiliated with UCL since the University's inception, sits adjacent to the central campus.

Local context

Being based in London means that UCL operates in a number of geographic contexts. Its home is in the Borough of Camden, which has an estimated population of 229,700, making it broadly comparable to mid-size UK cities such as Southampton and Newcastle. UCL is the largest employer in Camden.

Camden is a borough of immense contrast and diversity. The borough's 8 square miles stretch from the commercial and business centres of Tottenham Court Road, New Oxford Street, Covent Garden, Fitzrovia and Holborn in the south, to the exclusive residential districts of Hampstead and Highgate in the north.

Every part of Camden has areas of relative affluence alongside areas of relative poverty. On the *average rank* summary measure for local authorities, the Indices of Deprivation 2010 ranks Camden among the 55 most deprived districts in England. However this includes areas which rank in the top quartile nationally for affluence as well as the top decile for deprivation.

Camden is home to the second highest number of businesses in London and the fifth highest in the UK. Camden has more higher education institutions than any other local authority area in the country. The borough also has the largest student population in London.

How do they embed the place/region in their mission?

UCL badges itself as 'London's Global University: in London, of London and for London.' UCL's base in London is vitally important for the University, the city, and for forging improved relations between the two. The UCL 2034 strategy states 'UCL is committed to becoming a global leader in knowledge exchange, enterprise and open innovation with societal impact. Our relationship with London is central to this commitment. We will bring our

profile as London's Global University and our international connectivity to bear on establishing UCL at the centre of a cluster of organisations that will make London the premier destination for higher education, research and innovation in the world. We recognise our role in making London a better place to live and work in for all, and in promoting and contributing to social equity and environmental sustainability in our capital city.'

How do they ensure their effectiveness?

The 2034 strategy sets out a number of objectives aimed at increasing UCL's effectiveness at working in partnership with the city. An implementation plan for each of these is currently being developed. UCL aims to:

- build multi-faceted, long-term strategic alliances and engage effectively with all the key agencies in London, ensuring that we are well connected to UCLPartners and the NHS, business and industry (including SMEs), local government, schools and school partnerships, the Mayor's office and GLA, the cultural and heritage sectors and non-profit organisations
- use our global standing, reputation and international partnerships to help attract inward investment to London
- take advantage of our location in London to develop more ambitious engagement with UK and other national governments to embed our expertise into policy development
- work in partnership with the GLA, London Legacy Development Corporation, the cultural and heritage sector, and with other HEI (including international) partners and the local community, in the creation of an innovative education and cultural hub on the Queen Elizabeth Olympic Park
- build on our current activities to enhance creation of societal and economic value from our research and innovation and contribute to the intellectual life of London
- be open, honest, transparent, ethical, professional and generous in our approach to partnership working, such that we develop a reputation for being an outstanding and reliable partner
- develop and maintain high-profile, successful partnerships with other UK HEIs, particularly those in London and south-east England.

What are their synergies with other partners?

UCL is involved with local engagement strategies at the Borough level, as well as the Mayor's Office and broader levels of government driving national activities. UCL's location affords proximity to loci of political power at City Hall, Whitehall and Westminster. There are further linkages to the global financial hub of The City and ready access to the cultural facilities at the British Library and British Museum.

UCL is a founding member of Knowledge Quarter, a partnership of academic, cultural, research, scientific and media organisations based in the knowledge cluster in the Bloomsbury and King's Cross area of London. Other members of the partnership include the British Library, the British Museum, Google and the Wellcome Trust.

UCL is the sponsor of the UCL Academy, a secondary school in the London Borough of Camden. The school opened in September 2012 and was the first

in the UK to have a university as sole sponsor. UCL also has a strategic partnership with Newham Collegiate Sixth Form Centre.

In 2013, UCL confirmed its commitment to creating a new higher education cluster on the Queen Elizabeth Olympic Park, working in collaboration with the London Legacy Development Corporation, the Greater London Authority, the Mayor of London's Office, the Smithsonian Institute, and the Victoria and Albert Museum. Phase One of the project proposes the establishment of 50,000m^2 start-up campus, with academic buildings and 12,000m^2 of 'innovative' staff and student housing to attract top global talent, opening in 2018. Phase Two will double the campus footprint. The vision is of an 'open connected campus' intended to 'break down the conventional barriers between research, education, innovation, public engagement and collaboration… [and] attract and facilitate interactions between large international corporations, small businesses and universities'.

How do they act as a 'good citizen'?

All of UCL's research, subject to permissions, is placed in Discovery – UCL's online repository, available to everyone.

UCL SMILE has supported, or is currently offering technical expertise, to small and medium (SME) businesses in 29 out of 32 of London boroughs.

UCL Outreach works with more than 20,000 young people, 900 parents, 400 teachers and 140 state schools each year. 150 student mentors and tutors are placed in London schools to raise aspirations and demystify university life.

The Volunteering Services Unit worked with 288 projects across London in 2012-13. Over 1,700 students volunteered for 41,500 hours, offering valuable skills and energy to good causes around the city.

UCL has three museums open to the public, which share their extensive and important collections through a wide-ranging programme of exhibitions and workshops.

UCL has run a series of Lunch Hour Lectures since 1942, offering an opportunity for the public to sample the university's research work. In 2010-11 32 Lunch Hour Lectures were attending by almost 2,500 people. A further 48,780 people watched these lectures on YouTube.

Issues for the commission to consider

'Town and gown' relationships, which can be negotiated on more personal levels in smaller single university cities are rendered fundamentally more complex in a global city like London. While there may be increased opportunities for universities to collaborate, share facilities and foster knowledge exchange through regional networks, they are engaged in an on-going competitive struggle to attract the best students, faculty and grants. Moreover, London's universities need to negotiate and sustain a potentially fractious set of relationships to access to governmental agencies, industry and local communities for research and engagement purposes. The current push for cities and regions to work together to drive growth and innovation outside London and the South East (e.g. 'Northern Powerhouse', 'Midlands Engine') requires universities in these places to work in new and wider partnerships and at multiple levels of governance. The experience of London universities such as UCL in negotiating these relationships and their successes and failures may be informative for universities in other places such as Warwick.

UCL 2034 reasserts a commitment to public purposes and betterment at the centre of UCL's purpose. Notably though, UCL does not define, nor explicitly refer to, itself as a 'civic university'. Rather, it stresses innovation and enterprise (alongside teaching and research) at the core of its institutional mission. It does so in a manner that contrasts with the notion of 'enterprise' central to concepts such as the 'triple helix' or 'entrepreneurial university'. More than pointing to the increasing commercialisation of university outputs, UCL's deployment of enterprise draws from its origins to appeal to a broader concern with social enterprise, research innovation and mobilisation. How does UoW define enterprise and innovation and its activities in these areas? Can concepts such as 'social innovation' and the 'quadruple helix' offer some guidance in articulating a regional role that embraces the contributions of societal as well as economic and public sector partners?

The 20-year strategy represents an extended timeframe for such institutional processes but brings UCL's temporal horizons broadly in line with 'The London Plan', which sets out an integrated vision of economic, environmental, infrastructure and social development for the year 2031 (Greater London Authority 2011). However, other local authorities and governmental agencies may be operating on differing timelines and over alternative timeframes. How does UoW's future planning map on to the timeframes of its local and regional partners?

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2.4 Aalto University

About the university

Aalto University was established in 2010 as a merger of three Finnish universities: the Helsinki University of Technology (established 1849), the Helsinki School of Economics (established 1904), and the University of Art and Design Helsinki (established 1871). By merging the three institutions into one the Finnish government set out to create a university that fosters innovation. One of the main objectives of the reform was to strengthen the role of universities as drivers of the national innovation system and to increase internationalisation and competitiveness.

The creation of Aalto University was triggered by the increasing need for joint research and education across previously separate schools. The grand challenges of society and economy called for bold multidisciplinary approach that leverage technological, business and artistic talent of the university.

According to its 2014 annual report, Aalto has almost 20,000 students and just under 5,000 staff.

Local context

The Helsinki metropolitan area incorporates the four cities Helsinki, Espoo, Vantaa and Kauniainen and has a population over 1.1 million. The area is a growth centre of business, education and culture as well as national and international migration.

Aalto's main campus is in Otaniemi in Espoo, 10 km from the centre of Helsinki. Otaniemi is home to several high-tech companies, the Finnish forest industry's joint experimental laboratory KCL, and business incubators Innopoli and Technopolis are also situated nearby. It is also directly adjacent to Keilaniemi, with Life Science Centre and the headquarters of several notable Finnish companies, such as Nokia and Fortum. The Otaniemi campus is connected by a 15-minute bus ride to the centre of Helsinki. A metro connection is currently being constructed which will link the campus to the rest of the metropolitan area.

The area that expands over five square kilometres around the Otaniemi Campus, now called Espoo Innovation Garden, is the largest hub of technology, innovation and business in Northern Europe. There are 800 companies, 20 substantial R&D centres and a number of Centres of Excellence in the area. This ecosystem of companies, universities and technology centres accounts for 50 per cent of the R&D value of Finland and generates 50-100 start-ups every year.

The societal functions of these cities and other surrounding municipalities are carried out in strong co-operation focusing especially on sustainable and holistic urban planning for example concerning joint activities in traffic management, housing, employment and economic structure, municipal services and management of socio-economic inclusion.

How do they embed the place/region in their mission?

In its strategy Aalto explicitly deals with the challenges and opportunities faced by universities in responding to the needs and expectations of the outside world. It states: 'A reassessment of the role of universities is taking place in Europe and throughout the world. Economic development based on expertise, environmental change, globalisation and the rapid development of technology have emphasised the importance of universities as producers of new knowledge and expertise. Academic institutions have learned to define and comprehend their role in society; many universities have repositioned themselves to better interact with and serve their surrounding communities and to learn from such interactions.'

Throughout its strategy Aalto's focus is on the national (rather than local or regional) context. However this is not surprising given the relatively low (5.5m) population of Finland and its concentration around the main metropolitan areas in the South.

How do they ensure their effectiveness?

Aalto participated in a research assessment exercise in 2009, the results of which helped inform the development of the mission and strategy for the newly merged institution.

Aalto identified areas of key competences and potential where it could maximise its impact through addressing global grand challenges. Certain research areas were eliminated in order to prioritise and strengthen activities in these key competencies, which meant more resources being allocated in the areas of focus.

By autumn 2015, eighty per cent of the faculty was working in the priority areas of the university. New recruitments are done exclusively in the focus areas while some other fields have been discontinued.

Recognising that creativity and design thinking plays an increasingly important role in most industries, services and society as a whole, 'boundary spanning' is a core underpinning concept at Aalto. Shared Aalto Platforms and 'Factories', as well as joint professorships (e.g. game design) and degree programmes (e.g. International Design Business Management) facilitate mobility of and constitute new concepts for interdisciplinary collaboration between researchers, artists, students and collaborators from academia, industry and society.

Aalto has a special service unit that advances collaboration between stakeholders and develops partnerships. This unit is integrated within academic departments and supports staff in building institutional and corporate partnerships and also includes alumni relations. To fulfil its strong societal mission Aalto University has developed a substantial number of platforms that foster collaboration across disciplines and stakeholders known as 'Factories'.

The factories act as joint platforms combining the expertise of Aalto University's schools in product development, media, services and health. They are designed to facilitate new forms of collaboration in a physical environment where academic teams, researchers and students work together with companies and communities. The themes of teaching and learning are an important part of the Factory activities –new knowledge produced by

research is transferred to teaching and projects carried out by student teams are part of their accredited coursework.

The Design Factory, Service Factory and Media Factory have been operational since 2009, while the Health Factory was launched in 2013. Urban Mill is the latest iteration of the factory concept. It is a focal point for urban innovations, bringing together the research and innovation actors of built environment, ubiquitous and responsive city ICT, urban services and urban life transformation.

The factory model has generated enormous interest from universities and other collaborative translational agencies around the world and has been replicated in places such as Shanghai, Melbourne, Santiago, Seoul, Porto, New York and Philadelphia.

What are their synergies with other partners?

Since 2010 Aalto has become recognised as a highly entrepreneurial and innovative university that extensively collaborates with industry and the public sector. Aalto´s voice, both by official representatives and by individual academics, is widely heard in decision-making by partners, funding agencies and other stakeholders. University representatives have been and are in many high-level working groups (e.g. Academy of Finland), government-related and other advisory boards, as well as corporate boards. Experts from Aalto are frequent guests on TV and radio news and science and other programmes.

Aalto University is regarded as an important partner to Finnish businesses. The business and other community played a key role in setting up the university foundation by contributing €200m of private funding that was matched by €500m from the government. This funding has no strings attached to any specific field but it is endowment capital that is invested, and only annual proceeds exceeding inflation may be used as the Board decides.

The results of Aalto's successful collaboration with academic and industrial partners can be demonstrated in the large volume of external research funding coming either directly from industrial partners or from funding sources that focus on innovation and commercialisation of research results. Aalto generates about €130m annually from these sources, representing around one third of the university's annual budget. In order to maximise the impact of the funding, Aalto emphasises strategic partnerships and larger frameworks over small individual projects carried out in isolation.

How do they act as a 'good citizen'?

The Aalto Factories are the main platform for the university to engage with business and the wider community in solving problems that impact locally but may also have global dimensions.

Aalto University is one of most active universities both nationally and globally in developing and testing new adult education models. Altogether 8,073 students took part in Open University courses in 2014.

Aalto Communities links the universities to a wide range of small businesses and community organisations. As a first step in stimulating longer term collaboration Aalto runs events on topics that are of interest to the members of these groups. These include seminars and innovation workshops to large-

scale recruitment affairs, most of which are run free of charge and on an open access basis.

In the Aalto Global Impact project, university researchers and students cooperate with a large group of partners to solve global development problems. The university coordinates the Rio+20 Implementation in the Nordic Higher Education Institutions project, which is funded by the Nordic Council of Ministers, and seeks to strengthen the implementation of sustainable development in Nordic universities.

Issues for the commission to consider

Universities are not generally known for their ability to radically change their management structures and adopt innovative new ways to work. Aalto seeks to embed a culture of well-managed risk-taking in all university operations. The Aalto values are based on the principle that people – students, faculty and staff - are the most important resource and success factor of the university. Senior managers try to foster Aalto as 'a place with an inclusive culture that inspires ideas; a place where people are not afraid to be different, and where they have the freedom to think and permission to act, even if they fail.' Meaningful engagement with the outside world is by its nature a risky endeavour, with uncertain timescales and outcomes. Fostering a culture of managed risk taking, innovation and giving people permission to fail is necessary to ensure genuine impact.

While Aalto strives to be recognised as a 'world class' research university, at the same time it is focused on generating impacts that have commercial or social value. The main specialisms of Aalto – business, design and technology - are by their nature relevant to business, and research in these areas leads to application. Thus the university as a whole is committed to the civic mission without distinguishing it as a separate task. For universities whose areas of excellence and specialism are in more 'applied' fields of teaching and research, delivering a civic agenda can be more easily seen as being fully integrated in 'day to day' activities.

Aalto University believes that civic involvement should be fully embedded in the normal work of employees rather than having dedicated staff specialising in civic tasks. The key is not to have a separate organisation for the civic service, but to create structures, practices and mentalities to include the civic aspect as a natural part of their work. However while every faculty member is expected to be committed in research, every faculty member is not necessarily focusing on civic issues, recognising that people have different strengths and they should use their talents innovatively. How do universities resource their civic functions? Should there be a separate support function or is it seen as a core part of every staff member's role?

Because limited funding presents a challenge for civic-type operations, Aalto's approach is to actively seek external funds in cooperative projects and operations. Where possible, civic engagement is priced on a commercial basis. For example, the Executive Education programme, while benefiting the participating employees and employers, is also expected to generate surplus that can be channelled to other departments as incentives for further work. In 2014 the turnover from CPD activities was €17M. Impactful activities do not necessarily have to be 'free'. Many stakeholders can and will pay to have

access to university expertise, equipment and facilities. The revenues from these activities can then be deployed to subsidise and incentivise other, hard to fund but potentially high impact projects.

To strengthen the bridge between the University and the rest of society Aalto has professors of practice, artists in residence and executives in residence. The total number of these was 58 at the end of 2014. These boundary spanners are highly valued both in research and teaching, and especially in civic engagement as these people are skilled in communicating both with the academics and non-academic audiences. Employing and creating career paths for people whose experience and expertise spans the academic and non-academic worlds can act as an important catalyst for civic engagement.

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2.5 Karlstad University

About the university

Karlstad University is one of the youngest universities in Sweden, having gained its university status in 1999. It has 16,000 students and 1,200 staff. According to its prospectus, Karlstad University seeks to contribute to the development of knowledge both at the international, national, regional and individual level. To achieve this teaching and research is underpinned by a close dialogue with private companies and public organisations. The university is located on a single, self-contained campus around 5km from the city of Karlstad.

The University continues to develop research centres and research with the capacity to enhance innovation as part of its goals of being a "modern university". One of the most notable is the Service Research Centre (CTF) – one of the world's leading interdisciplinary research centres focusing on service management and value creation through service. CTF has over 60 researchers drawn from business administration, working-life science, sociology and psychology.

Local context

The region of Värmland is located in Western Sweden along the border with Norway. The region has a population of 273,000 and the capital city Karlstad a population of around 85,000. Värmland is undergoing long term structural change from reliance on traditional industries to an economy based on innovation, IT, knowledge and services.

In common with many peripheral regions Värmland faces numerous socio-economic challenges such as low levels of research activity, an ageing population and relatively low levels of participation in higher education. While Värmland is economically 'developed' in European terms, per capita GDP is the lowest of the Swedish regions and it is in the bottom 5% of European regions for population density.

Recognition of the need for structural change and renewal of the regional economy resulted in a political agreement among the municipalities in 2001 which established a joint regional authority to promote economic and social development in the fields of environment, infrastructure, industry and commerce, education, healthcare and culture. The newly created authority recognised an opportunity for a new approach to regional development and began to evolve an approach based around key industry clusters in the area, with a prominent role for Karlstad University in the regional development system.

How do they embed the place/region in their mission?

Karlstad puts its relationships with its region at the heart of its mission which states: 'Cooperating with companies, authorities and organisations is a major task for the University. This cooperation is of mutual benefit and is part of the exchange of knowledge and experience that enriches both education and research. Through open dialogue Karlstad University also contributes to regional development and at the same time is the region's link with the international academic community. We help to ensure that innovations are disseminated in the community and that research results become commercial

successes. Our goal is clear – to become one of the best universities in Europe with regard to external cooperation.'

How do they ensure their effectiveness?

The current agreement between the university and the region has three explicit objectives: to increase the joint production of knowledge by Karlstad University, local business and clusters, regional authorities and the local school system, to build strong research environments at Karlstad University, and to contribute to regional innovation and growth.

To achieve these goals the university has installed ten new professorships in subjects where there is an intersection between the university's research strategy and the development priorities of the cluster organisations in Värmland (and their member companies). The strong links between these professorships and regional industrial specialisms is expected to act as a bridge between the university research centres and the four cluster organisations.

In addition to the ten new professorships, the agreement also includes a leadership programme. This program aims to support the development of potential future research leaders, identified for key strategic areas within Karlstad University and includes capacity building to support interaction with business and the public sector on all levels including regional, national and international.

The third largest initiative within this research collaboration concerns financing of CERUT, a research centre that conducts research in regional development with a national and international (EU) perspective. In addition to financing this research, the regional association and associated municipalities provide research resources in connection with data collection or other form of development activity.

What are their synergies with other partners?

The University has strong connections in its research and teaching with regional innovation business clusters. This is reflected through research funding partnerships, professional up-skilling programmes, degree programmes including work-based learning, and close matching of university courses with regional needs.

Between 2005 and 2007 Region Värmland and Karlstad University participated in the OECD initiative 'Supporting the Contribution of Higher Education Institutions to Regional Development'. The aim of this study was to identify and draw experience from the interaction between regional bodies and universities/colleges from a development and growth perspective. One of the outcomes of the study was the decision to sign a formal agreement for collaboration in research between the university and the region. The original agreement covered the period 2008-2010 with a yearly grant framework of 4 Million Swedish Kronor (SEK[1]).

In 2010 a new agreement was signed to run from 2010 to 2014. This was far more ambitious in its scale and scope, with total financing of SEK 150 Million made up of equal contributions from the region, the university and external sources.

[1] SEK 1 = £.08

Together with the collaboration agreement between Region Värmland and Karlstad University, the cluster strategy 'Värmland model 2.0' constitutes the main innovation strategy for the region.

How do they act as a 'good citizen'?

Karlstad does not make specific references to 'good citizen' type activities on its website. However this could well be because they see themselves (and the wider region sees them) as so fundamentally embedded in the fabric of the place that they don't see the need to describe this separately?

Issues for the commission to consider

It is important to note that the deep collaboration between the university and the region grew out of a process that began back in 2005 with the participation of the Region and University in the OECD study. Mutual understanding between the partners of the long term nature of the partnership and the lead times needed to meet key milestones has also been important. Regions lacking similar high levels of trust and understanding across the partnership will need to address this before they can expect to achieve significant results from their collaborations.

Certain types of collaboration activities between universities and regions may be preferred simply because it is relatively easy to count the outputs such as joint publications, patents registered or new businesses created. Interventions that build capacity to support longer term outcomes are more difficult to define and measure. However these are necessary in order for interventions to have a transformational effect on the regional economy and innovation. The inclusion of cross cutting expertise like the Professorship in Regional Development in the collaboration programme is one way Karlstad University is seeking to address this. Universities and their partners need to recognise the challenge of developing appropriate indicators to measure the impact of their collaboration.

The collaboration between Karlstad University and Region Värmland does provide evidence of how universities can contribute to regional development and innovation in practice. However while the case can be seen as an exemplar, many aspects of the collaboration are specific to conditions in the region and are the result of a long term process of building trust and understanding across the partnership. The main lesson might be that achieving successful mobilisation of universities for regional innovation is a complex and challenging task which requires significant investment, time and commitment from all sides.

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Part 3: **The Current UK context and Implications for Warwick University**

3.1 Looking back

Before addressing the current situation confronting the anchoring role of universities in their localities it is important to look back to Lord Dearing's review of higher education published in 1996. In this he notes: '*Higher education is now a significant force in regional economies as a source of income and employment, a contribution to cultural life and in supporting regional and local economic development… As part of the compact we envisage between HE and society each institution should be clear about its mission in relation to local communities and regions*'.

Dearing clearly recognised that this 'compact' was wide ranging, had a strong local dimension and was one where the university's contribution to 'the economy' could not be separated from the wider society in which it is embedded. The subsequent decade saw an extensive geographical extension of mass higher education such that all cities now have a university and most areas are 'served' by local institutions.

Over a ten year period from the late 90s universities came to play a key role in the regional governance architecture of England. A national network regional associations of universities *from different mission groups* worked together with RDAs and HEFCE support to respond to regional needs and opportunities such as combined efforts through the Aim Higher programme to deliver widening participation in HE. There was joint working not only with RDAs but other public bodies like regional local authority associations and the regional Arts Councils in recognition of mutual interests and the fact that the regional impact of universities was maximised when the knowledge supply and demand sides were operating in tandem across a broad front.

3.2 The current position

We now live in very different world. We have seen radical changes in the way in which HE is funded and regulated AND in territorial governance - the localism agenda - with limited consideration of the implications for universities as anchor institutions in local communities. Higher education is increasingly subject to the challenges of a global market, both reflected in and fuelled by the competition driven by World University Rankings. These can have a profound effect on international student recruitment on which universities increasingly have to rely in order to balance the books. The Green Paper on Higher Education's proposed Teaching Excellence Framework will reinforce the domestic market place. Indeed the Green paper recognises the possibility of institutional failure with a chapter on 'Provider exit and student protection'.

The likely demise of HEFCE and funding streams such as the Higher Education Innovation Fund will raise the question of how is civic engagement to be funded. Some universities may lack the resources or motivation to collaborate with other HEIs to deliver public benefits that embed higher education in the city and contribute to its economic, social, cultural and environmental development. If such activities do not directly feed into a university's bottom line it may be forced or decide to disengage. For example there is no longer a national network of regional associations of universities but instead ad hoc groupings like Midlands Innovation or groupings of research intensive universities across several regions like the N8.

In short no part of government seems to have a responsibility for the contribution that universities can make to their local communities. Local government is under severe financial pressure especially in the most deprived parts of the country. Local Economic

Partnerships have a wide brief but ambiguous role (executive or advisory?), limited capacity and core funding and *ad hoc* boundaries. The Arts Council has reduced its sub-national role. Most significantly the proposed Office for Students will be a regulator of the education market place and is unlikely to have formal responsibility for what higher education is provided where. It is unlikely to publically identify at risk institutions and take a view on their importance as anchor institutions. There will be no resources to bail out faltering institutions, which may be a real issue in places (especially economically weak places) with single institutions, and no powers to promote local mergers in the public interest. And this is notwithstanding the Green Paper's focus on the role of higher education in promoting social mobility which can be aided by work with local schools and graduate skills enhanced through work experience with local companies.

The Department for Business, Innovation and Skills which is responsible for higher education and also national industrial and innovation strategies, neither of which has a sub-national dimension. Under the coalition Government BIS sponsored Sir Andrew Witty's 'Independent Review of Universities in their Communities: Enabling Economic Growth', but the final report was published with the title 'Encouraging a British Invention Revolution'. This last-minute change of title suggests that within BIS there is a limited view of the role of universities in local economies.

Witty acknowledges the importance of "*a sound understanding of a locality's comparative economic advantage", but he champions "arrow projects*", or globally competitive ideas "*uninhibited by institutional status, geography or source of funding*". His aim was to make British higher education industrial sector-led not place-based, with funding flows directed "*by technology/industry opportunity—not by postcode*."

More recently the Minister for Universities and Science has proposed the notion of 'One nation Science'. He has stated that "The first part of One Nation science is to take *a more thoughtful approach to place."* To that end, he announced regional audits of research and innovation: "*deep dives…to identify and build on areas of greatest potential*" But in his speech on this topic he made no explicit mention of the role of a city's scientific and higher education capacity in shaping their city's future development.

Notwithstanding the aspiration for a more thoughtful approach a Research *Fortnight* headline suggests the Government is "*all over the place*" when dealing with sub-national aspects of science policy and its links to innovation and territorial development. The July budget, which proposed the regional audits, invited universities, local enterprise partnerships, businesses and cities to work with central government on identifying "*potential areas of strategic focus for different regions*", but offered no guidance on either how such regions ought to be defined or the methodology that might be employed.

Funding for research as distinct from innovation has never had a specifically territorial dimension. The Nurse review of the architecture of research funding is no exception. However in connection with its priorities for the Northern Powerhouse the Treasury has introduced a territorial dimension to its direct funding of research through upstream investment in the Rolls Royce Centre for Graphene in Manchester University, the Advanced Manufacturing Centre in Sheffield University and the National Centre for Ageing Science and Innovation in Newcastle University. The Nurse proposals for a new body 'Research UK' reporting to a new ministerial committee whose role would include "*the assessment of advice and proposals from Research UK*" and chaired by a "*senior minister with cross-cutting Cabinet responsibilities*" (the Chancellor?) will lead to a more strategic focus to science. One possibility in the light of the Northern Powerhouse experience could be contracts with universities that have in place mechanisms to support

engagement with civil society, not least in their host cities. The recent cross research council 'urban living call' could be a forerunner of this approach. It refers to research that cannot be undertaken by any one research council and which requires collaborative structures with the city in which the university is based.

From the bottom up the devolution deals being negotiated with combined authorities do see to varying degrees a role for universities as key actors in research and innovation based development, not least as local authorities find themselves with limited capacity to undertake economic development programmes. Indeed an early draft of the Birmingham bid did include a request for funding of 'National Pathfinder for Innovation'. The contribution of universities to shaping regional smart specialisation strategies funded by the European Union are part of the mix.

3.3 A way ahead nationally?

We would suggest that in turbulent times universities and city authorities should seek to identify key areas of mutual interest, for example by using the city as a living laboratory for research and social innovation or addressing societal challenges such as an ageing population and environmental sustainability—challenges that present economic opportunities with both a local and global dimension, and which, for universities, also feed into the Research Excellence Framework's impact agenda. Other possibilities include work-based learning in small and medium-sized enterprises, as a way of enhancing graduate employability and establishing the social relations between academics and business; student enterprise programmes to boost numbers of potential new businesses; attracting mobile investment through global research links; and collaborative endeavours to create cities with 'buzz'.

This is not just a local agenda for universities, cities and LEPs. It requires universities to connect bottom-up initiatives supported by LEPs, local authorities, local business interests and civil society to top-down mechanisms like those of the Innovate UK and its Catapult Centres. To sustain their public good role universities will need to introduce institution wide strategies for civic engagement embedded into teaching and research and not a separate strand. These strategies would need to be designed to address societal needs and be developed in partnership with external agencies. They will need to undertake a self-evaluation with the help of peers and partners of their strategies, structures and processes which underpin civic engagement. These strategies should identify local, national and international societal impacts.

To match this commitment within higher education, local authorities, LEPs and other centrally funded bodies (e.g. Innovate UK, Arts Council) will need to establish formal partnership agreements with local universities and FE Colleges designed to underpin local social, economic, cultural and environmental development. To reduce silos in central government a cross departmental group to monitor the impact on universities as anchor institutions in local communities of a wide range of non –spatial policies (e.g. science, culture, health, immigration, trade) is required . The group would need oversight of a funding pot to support local initiatives that contribute to national objectives such as 'living lab' partnerships between universities, the city, private sector and social enterprises in tackling the challenge of an ageing population. There would also need to be a local leadership programme building the 'boundary spanning' skills capacity of leaders working between universities and civil society along the lines proposed by the Leadership Foundation in Higher Education (Goddard, Howlett. Kennie and Vallance, 2010)

3.4 Implications for Warwick University

Regardless of precise boundaries Warwick University is undoubtedly a leading university within the wider Birmingham city region. With links along the M40 corridor it could fulfil a key role connecting the expanding greater South East of England to the industrial heartland of West Midlands. Its competiveness as a global research intensive university could be enhanced rather than weakened by strengthening its local civic role. In the turbulent higher education market place it could find itself with the opportunity to join with smaller institutions in the wider region that might be struggling but nevertheless with important niches as anchors in their local communities. In addition to universities facing financial difficulties the Green Paper on Higher Education foresees the entry of new institutions with distinctive profiles which Warwick may wish to partner with – for example building on the links it already has with the newly recognised University of Hereford with its proposed degrees combining engineering and liberal arts. Just as in the past Warwick led the way in establishing the network of Entrepreneurial Universities that sponsored the treatise on higher education leadership and management (Clark, 1998, op.cit.) it may now wish to join up with universities also wanting to highlight their role as civic institutions and in the process have an impact on higher education and territorial development policy and practise nationally and globally.

From these institutions Warwick will find that deep rooted civic engagement by a well-established university requires a renewed sense of purpose and most importantly a connection between global and local roles. It requires institutional change integrating teaching, research and engagement at every level. It will need appropriate incentives for staff and support teams with a mix of skills. It will have to go beyond joining the global PR war of flaunting the societal relevance of its activities. It will require a messy processes of negotiations with external stakeholders locally and nationally. The question it will need to address is: *How can it deepen its involvement and impact on the development of local society by responding to competitiveness demands and, at the same time, contributing to global societal challenges?*"

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