University public engagement: The perspective of a Chilean institution in a process of reappraisal of *extensión*, linkage with the context and communications

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Abstract

University public engagement has become a topic of renewed interest, and institutions are increasingly required to engage with communities in order to promote the impact of their research. This qualitative case study focuses on a Chilean public university developing a process of reappraisal of *extensión*, linkage with the context and communications, aimed to construct a form, indicators, rubric and definitions to include engagement as a criterion for academic and institutional assessment systems. The rationale for this study emanates from an interest in understanding the meaning and significance attached to public engagement at a Latin American public institution, and how these reflect on the role of the university in society.

The research questions relate to the context of the reappraisal process, the way it was organised and developed, and the extent to which its outcomes satisfy the needs and expectations of stakeholders. Data collection methods included interviews, focus groups, observation and document analysis. Participants comprised academic and non-academic staff, students and community members, focusing on the group that led the reappraisal process and the case of three specific departments.

The results show a perspective of public engagement grounded in a Latin American tradition of social purpose, where influencing public policy and contributing to the country's development is the main goal, and links with the civil society and the public sector are the most highly valued. A perspective of *extensión* as a way of preserving the university commitment to the public good and its character as a public institution was identified, contrasted by a relation with the community that was respectful, but tends not to consider it as a source of valuable knowledge. A framework of goals, partners and ways to engage was generated, which can be used by practitioners and researchers to plan or evaluate public engagement activities.

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CUP	Community-University Partnership
D1 (Health)	Faculty in the area of Medical and Health Sciences
D2 (Arts)	Faculty in the area of Arts
D3 (N&E Sciences)	Faculty in the area of Natural and Exact Sciences
ELC	*Extensión* and Linkage with the Context
HE	Higher Education
HEI	Higher Education Institution
LC	Linkage with the Context (*Vinculación con el Medio*)
NAC	National Accreditation Commission, Chile (*Comisión Nacional de Acreditación*)
NCCPE	National Coordinating Centre for Public Engagement, UK
OECD	Organisation for Economic Co-operation and Development
UNESCO	United Nations Educational, Scientific and Cultural Organisation

Chapter 1:
Introduction

This thesis is a qualitative case study of university public engagement in the Latin American context. The research was based on a Chilean public university that was going through a process of reappraisal of this function, aimed at: standardising the ways in which it reported on activities in this area; defining assessment criteria and indicators to be applied to the academic qualification and assessment system and the institutional self-evaluation process; and defining concepts and delimiting fields of action. This chapter presents the background of the study and refers to my personal background as a researcher. Then it introduces the research problem and the research questions, and refers to the expected outcomes of the study. The chapter concludes with a brief explanation of the structure and contents of the thesis.

1.1   Background

In Latin America, the concept of *extensión* is widely recognised as one of the three fundamental missions of universities, along with teaching and research (Jiménez, Lagos, & Durán, 2013; Menéndez et al., 2013). The importance of the *extensión* function is an old tradition dating back to the Córdoba reform in 1918, which shaped the model of Latin American universities with a strong emphasis on their social function (Rofman and Vázquez Blanco, 2006). Notwithstanding a vast practical experience, *extensión* has been scarcely considered a research topic, and therefore it tends to be developed with little theoretical guidance (López, 2016).

In the case of Chile at the beginning of the 2000s, the related concept *vinculación con el medio* (linkage with the context) was introduced as one of the criteria for the national process of accreditation of higher education institutions, and since then it has propagated rapidly. Many universities have renamed their *extensión* departments as *vinculación con el medio,* while others have opted to

use both concepts in parallel. Nevertheless, the coexistence of both concepts has caused confusion regarding their meaning, as the National Accreditation Commission has provided only a very general definition.

The pressure of the accreditation process has implied a need for universities to define this area with more clarity and to establish criteria for its measurement. This pressure has been recently enhanced by the new reform to the higher education system, approved in 2017 and to be implemented this year, which includes a change to the national higher education accreditation system, which implies that the accreditation in the area of linkage with the context will no longer be voluntary but compulsory for all institutions. That is how nowadays Chilean public universities come to be working on redefining and building shared definitions about *extensión* and linkage, in a context of a renewed interest in valuing, improving and positioning it as a substantive university function (UNDP, 2018). This has motivated discussion about the topic, reflected on the creation of a network of linkage with the context in state-owned universities in 2016, which has been working on definitions, objectives and indicators for this area. This renewed interest is also reflected in the recent publication of a report of the National Accreditation Commission with proposals of indicators to assess this activity (Adán et al., 2016), and the commissioning of a study about the state of linkage with the context in state-owned universities by the Ministry of Education, published by the United Nations Development Program (UNDP, 2018).

However, this emergent discussion has not yet generated empirical research in academic publications; rather it has been conducted at the level of institutional policy, with no critical review of these concepts at the level of academic research apart from the recent publication of the aforementioned documents and an academic paper of my own, published from the literature review for my PhD (Dougnac, 2016).

This situation of scarcity of theoretical referents for the *extensión* function in Chile is also true in the rest of Latin America. In this regard, this research addresses the call made by the conference of the Latin American Union of

University *Extensión* in 2015, the year I started this project, regarding the need to deepen the theoretical referents of *extensión* (Balsinde Herrera, 2015).

This is part of an international context where the public engagement of universities is being enhanced. The concept of university public or community engagement emerged in the mid 1990s in the USA as a way to revitalise the relationship of universities with the community from a mutually beneficial perspective (Boyer, 1996). Currently, higher education institutions around the world, following a call from foundations, governments and the general public to become more in tune with the needs of society, are working to engage with their communities (Hyde et al., 2012). In this context, there is an extensive acknowledgement that universities should contribute to the development of their societies (Hart and Northmore, 2011) and a push for them to become more socially relevant (Watson et al., 2012). Nevertheless, this has happened in a context where the concepts related to public engagement are not clearly defined and the central questions regarding its aims and purposes remain under-studied (Saltmarsh and Hartley, 2011).

Public engagement is therefore a relatively new research topic (Moore, 2014) and the majority of the literature in this area has been produced in the northern hemisphere (McIlrath, Lyons, & Munck, 2012) and analyses cases from developed, English-speaking countries (Correa Bernardo, 2012). Although Latin American universities have a particularly rich tradition regarding their link with the community through their *extensión* function (Serna Alcántara, 2007), this experience has been mostly neglected in the English literature and scarcely developed as a research field in the Latin American context.

1.2   My background and value position

My personal interest in university public engagement stems from my own experience as a student and practitioner.

Firstly, I studied for my undergraduate degree at a Chilean public university, which shaped my perspective about what universities are and should be. I always saw the university as a place accessible for people from different

backgrounds, with a strong commitment to contribute to the country. I participated in several student uprisings during the five years of my course, where the demands related to democratising access to university, and the discussions revolved around the contribution that the university made to the country. Thus my experience of university is not that of an institution focused on generating only a private good for those who study there, instead I saw it as an institution with the duty to contribute to the wider society.

Secondly, I have worked as Corporate Communications officer for three different departments of a public university. In my last position I created and led a pilot project of university/local community engagement, which allowed the surrounding community to access the activities organised on the campus for the very first time, and involved establishing relationships with local organisations. This experience made me passionate about the topic, as I saw how I could become a bridge between the community and the university, and how both parties could benefit from this interaction. I realised how the lack of definitions and guidelines regarding this function undermined its practice, as I struggled to find theoretical guidance for my work. This defined my commitment to complete research that not only contributes to theoretical knowledge, but also to enhancing this function in practice.

I approached this research in an intermediate position: although I could be regarded as an insider due to my working experience at the university studied in this project, I could also be considered an outsider because I finished my working relationship with the institution long before the data collection process, and I did not work for the departments in which this research took place. The implications of this position are discussed in the methodology chapter. Nevertheless, due to this experience, my approach to this research is shaped by an interest in making an impact in terms of contributing to the practice of university public engagement, especially in Latin American and Chilean institutions. My aim is not to be judgemental about the way university staff members have embraced this work, as I understand the challenges that they face in this area, including the lack of guidance and the minimal valorisation of their job. Conversely, I wanted to conduct research where the results could be shared with practitioners in order to contribute tools to facilitate their reflection,

planning and assessment of their own work. At the same time, I want to contribute to generating awareness regarding the importance of *extensión* and linkage with the context as a university function, as well as contributing to making the case for it to be addressed not just on a practical level but also as a research field.

1.3   Problem statement and research questions

The Chilean scenario where universities are being assessed for their public engagement activities but without clarity regarding the delimitations, significance and purpose of such activities, has become a potentially fruitful focus for research.

In order to explore and critically analyse the assumptions and understandings regarding *extensión* and linkage with the context (ELC), this study focused on the case of a Chilean state-owned university that was going through an internal process of reappraisal of this function. This process aimed to create a form, indicators, rubric and definitions of the key related concepts, to include this area as a criterion for the academics' and institutional assessment systems. It therefore offered an ideal case study of the assumptions and significance attached to this university function at the institution in question.

The project addressed the following research questions, related to the context, the contents and the outcomes of the process:

1. What are the reasons for a process of reappraisal of *extensión*, linkage with the context and communications at University One?
2. How is the process being developed?
3. To what extent are the outcomes of the reappraisal process meeting the needs and expectations of key stakeholders?

1.4   Anticipated outcomes

This study aims to contribute to both the research field and to practitioners.

It is expected to contribute a deeper understanding of university public engagement in the Latin American and specifically the Chilean context, through an in-depth qualitative case study. At a time when the 'engaged university' is considered by some to be the new paradigm of higher education (Bacow, 2012), this study seeks to include the case of Latin America and its rich tradition of university/society relationships in international discussion about the topic. It also aims to contribute to providing theoretical referents for institutions regarding the engagement function, especially at a time when such a function is being assessed.

At the same time, it is expected to achieve a positive impact for practitioners, not only with the outcomes of the study but during the research process itself. That is why the research process included ways to engage stakeholders, in order to consider their perspectives as well as making some contribution to the reappraisal process they were going through. This was pursued through providing participants with international and historical referents for the discussion about this topic, with a presentation about public engagement concepts in the international context, as well as a publication of an article in Spanish during this research. It is also expected that, once finished, a briefing about the study's results in Spanish will be distributed to participants to contribute to their own critical reflection and empowerment in their engagement work.

1.5   Thesis structure

The chapters that follow are based on a conventional structure. Chapter 2 describes the context of the study, including a historical review of the relationship of universities with the public and the development of the related concepts, and a description of the case study. Chapter 3 presents the literature review that frames this study, which includes a revision of the different interpretations of public engagement and also refers to different understandings regarding the role of the university in society. Chapter 4 details the methodological approach of this research, based on a qualitative methodology,

including interviews, observation and document analysis. Chapters 5 to 9 present the findings and Chapter 10 offers an overarching discussion of them, in relation to the literature. Finally, Chapter 11 provides the main conclusions of the study.

Chapter 2:
Contextual Background

2.1   Introduction

This chapter introduces the research topic within a wider perspective of the role of Higher Education in Chile, and a historical review of the relationship of universities with the public and the development of the related concepts, both in the Chilean and the English-speaking context. It then offers a discussion about the translation and functional equivalence of the concepts *extensión,* linkage with the context, and public engagement. This review forms part of an article published during the PhD process (Dougnac, 2016) and is based on a procedure of literature search described in Chapter 3. The chapter continues to present a description of the case study university and the reappraisal process that was the focus of this research. Finally, a summary section encapsulates the main points of the chapter.

2.2   Higher Education and its role in the Chilean society

The last decade has been marked by big changes in the Chilean education landscape. Mass student revolutions have challenged the neoliberalisation of the system and consequent reforms have given back a leading role to the State in terms of regulation and funding. Furthermore, these movements have contributed to putting the issue of education in the public debate. This section will offer an overview of the current panorama of Higher Education in Chile, a description of its historical evolution, and finally, by way of context, a review of the recent uprisings and reforms.

The Chilean Higher Education system comprises a total of 61 universities, of which 29% are State owned, 15% are traditional private (owned by non-for profit corporations) and 56% are new private (established since the 80's) (SIES, 2018b). There is a total of 750 thousand students enrolled, half of which participate in the new private, and the other half is spread in State and traditional private (SIES, 2018a). Participation in universities has massified

dramatically during the last decades: In 2017 there were 6 times more university students than in 1984 (SIES, 2017).

Since the first university was created in the mid-1800s, the Higher Education system was considered to be responsibility of the Chilean State, and the few private universities that emerged were considered collaborators of one unique, publicly funded system (Bernasconi, 2005). This changed dramatically after the military coup d'état in 1973 and consequent dictatorship, which installed a neoliberal economy in the country. From the early '80s the regime conducted reforms in the whole national education system, which implied the end of the "Teaching State". In the case of schools, it decentralised the system, promoted the expansion of private schools with access to public funds and with minimal requirements to function, it encouraged competition among schools and created a national standardised assessment system, and liberated schools from several regulations, allowing differentiation (Bellei and Vanni, 2015). In the case of Higher Education, in order to expand enrolments in the private sector, differentiate within the system and enhance competition, the dictatorship authorised the creation of new private institutions and divided the two biggest national universities in several small independent, local institutions. Public funding was also changed from a system of generous financial support to the provision of meagre subsidies (Bernasconi, 2005). In this context, both private and public universities needed to generate their own funding, mainly through tuition fees and sale of services, and started to compete for students and for public funding in a system with market logics (Lemaitre, 2004). This new landscape did not change once the dictatorship finished in 1990, and private universities continued to expand. That is how by the mid 2000s, Chile could be described as one of the countries with the most private and marketised Higher Education systems in the world (Bernasconi, 2005).

It was only from the second half of the last decade that the students, through two major revolutions, brought to the public discussion the shortcomings of this neoliberal model. A school students' revolution in 2006 and a university students' revolution in 2011 demanded a more protagonic role of the State in education, guaranteeing quality and reducing inequalities (Bellei and Cabalin, 2013). These revolutions achieved big reforms that are currently being

implemented, making the Chilean system a rare case of reversing neoliberal policies in education.

In the so-called "Penguin revolution" in 2006, thousands of High School students demonstrated in the streets and paralysed schools for more than two months. They had four main demands: free education, defence of public education, rejection of for-profit providers and elimination of discriminatory practices at schools. A main focus of criticism was the "LOCE", the Constitutional Education Law in place since the dictatorship. The government reacted creating an Advisory Council for Quality in Education. Based on its recommendations, a set of reforms were created and approved in Parliament: a new General Law of Education that replaced the LOCE; the creation of Superintendence in Education and an Agency for Quality; and changes in the structure of educational cycles (Bellei and Cabalin, 2013).

In 2011, a new mass student movement came to shake the educational system, this time led by university students. The movement brought demands of structural changes in terms of quality assurance, state funding, and ending profit in higher education institutions (Unicef, 2014), with the slogan "free and quality education for all". A major issue for the students was funding, including the raising prices of tuition fees and particularly a State-endorsed loan system provided by the banks and established since 2005, which was granted with a 6% interest rate with no termination period, that was leaving families with enormous debts. The revolution lasted for seven months, including 36 massive marches, paralysed the universities and managed to change the public agenda in education (Bellei and Cabalin, 2013). It was characterised by creative demonstrations in the streets that attracted the attention of the public opinion, such as massive dance performances, carnivals and a kissing marathon. Student leaders were frequently interviewed in the media and managed to bring their demands to the public discussion achieving generalised sympathy. In September 2011, 79% of Chileans supported the demands of the movement (Adimark, 2011). The media baptized the movement as "The Chilean Winter", making parallel with international social movements such as the "Arab Spring" occurring during the same year (Kubal and Fisher, 2016).

The 2011 revolution had a big impact. Former President Piñera and his Ministers had to negotiate with the students to end the upraising and committed to a series of reforms, including the end of public funding to for-profit providers, provision of free places and reducing the interest rate of the loan system from 6 to 2 percent. During the following presidential election, Education was an obligated topic, and new president Bachelet won with the promise of providing free education for those who need it. During her government (2014-2018) two major education reforms were approved: the Inclusion Law that regulates schools, including the elimination of selection and tuition fees at all schools that receive public funding; and a Higher Education Law, including a new regulatory and quality assurance system and the provision of free places for the 60% poorest of the population, a major change unimaginable a few years before.

Both movements managed to create awareness and generate public criticism of a neoliberal system of education resulting in profound social inequalities (Cabalin, 2012). The 2011 revolution has been described as the most important social mobilisation in the country since the return of democracy in 1990, which expressed the discontent with the neoliberal features of the national education system (Bellei et al., 2014). Students became political actors who changed the discussion on education in the country, through their rejection of a competitive and privatised system with low quality and equity, and who were able to install a new social imaginary in education (Cabalin, 2012). The students became so legitimised in the public opinion that four of the student leaders became members of the national parliament in the following general election. The discussion about Higher Education became part of the public agenda, and that is how Higher Education is currently a priority for Chileans, and its evolution and role in social mobility are matter of public debate (OECD, 2017).

It is in this context of massive change, of recovering education as a social right, of countering neoliberal reforms, that my fieldwork took place. The discussion about the role of Higher Education and its public purpose was alive among interviewees, and this is important to understand the perspectives reflected in the data.

2.3 The traditional *extensión* function in Chile and Latin America

In Latin America, the concept of *extensión* is familiar for all those involved in higher education, as it is widely recognised as one of the three main missions of universities, along with teaching and research (Menéndez et al., 2013; Jimenez de la Jara et al., 2011). Despite having a long tradition at the practical level, *extensión* has been rarely addressed as a research topic, and therefore is an activity carried out with little theoretical guidance despite its importance (López, 2016).

This tradition is linked to the origin of Latin American universities, which were created with the explicit mission of contributing to the development of the newly independent republics (Gómez, 2011). This social mission was consolidated in the concept of *extensión*, following the University Reform Movement that began in Córdoba (Argentina) in 1918 and expanded to the whole region (Tapia, 2012).

The Córdoba Reform propelled a model of university "of" and "for" the nation (Gómez, 2011), expressed in the motto "link the university with the people" (Tünnermann, 2000). That is why this reform is recognised as the most important milestone in the formation of the Latin American model of university, which has a strong emphasis on its social function (Rofman and Vázquez Blanco, 2006). The nascent concept of *extensión* was marked by social change as a fundamental principle, with a commitment to sharing culture and knowledge with those socially excluded (Serna Alcántara, 2007). Furthermore, it advocated greater democratisation of universities and broadening of the critical consciousness of students concerning social problems (Cedeño Ferrín, 2012).

Serna Alcántara (2007) identifies four moments in the evolution of *extensión* as a concept. First, at the beginning of the 20th century, an altruistic model was predominant, favouring generous action by the university students in service of those deprived. By then, the concept of *extensión* had an outreach perspective of the university literally "extending" itself and giving something to the community in a patronising fashion (Tünnermann, 2000). For example in Chile, the Decree-Law 4.807 of 1929, which approved the Organic Statute of University Education, states that:

> In addition to the teaching function, the university will tend to the constant improvement of its education and the overall improvement of nation's

culture, through the establishment of *extensión* works (cited in Donoso, 2001 p.182)

During the 1930s and 1940s, the artistic and cultural *extensión* experienced an intense development in the country (Donoso, 2001), in tune with a tendency in the region to develop this function with an emphasis on artistic activities such as concerts and exhibitions (Tünnermann, 2000). For example in the case of the University of Chile, two museums, the National Ballet and the university chorus were created during this period, but without abandoning other kind of initiatives such as a dental service for building workers and research projects about the fishing and agriculture activity in the country (Mellafe, 2001 in Gómez, 2011). An outreach perspective prevailed in this period, as expressed in this definition of the former President of the University of Chile, Juvenal Hernández:

> University *extensión* is to bring the knowledge of the great scholars to the public, popularising technical progresses, making available to all the results of the research of a few and raising the level of the cultural context *(Hernandez, 1939 p 416)*.

The second moment identified by Serna, starting in the 1950s, brought a dissemination model, related to taking science, culture, and technology to those without access to university education. The third moment occurred during the 1960s and 1970s, when a conscientisation model appeared, which understood *extensión* dialogically, with the aim of raising consciousness about social issues and aiming for social transformation. The Brazilian educational theorist Paulo Freire is recognised for his influence in this period, with his critique of the banking concept of education, where the educator deposits content into the minds of those considered to be ignorant. According to Freire, all individuals have valuable knowledge that should nurture the learning process. That is how differences between teacher and student are overcome, and two-way learning, based on dialogue and communication, is encouraged (Freire, 1970; Freire, 1969). The second Latin American *Extensión* Conference in 1972 echoed these notions, questioning the patronising and unidirectional perspective of *extensión* with a new definition:

> University *extensión* is the interaction between the university and society, through which it assumes and fulfils its commitment of participation in the social process of cultural creation and the liberation and radical transformation of the national community (Unión de Universidades de América Latina, 1972 p 344).

Just one year after this declaration, a coup d'état took place in Chile, followed by 17 years of military dictatorship, and similar situations occurred in other Latin American countries. As a result, universities were intervened and the flourishing debate about the relationship between universities and society was abruptly halted (Cecchi et al., 2013). In this context, the concept of *extensión* was drastically reformed: the idea of bi-directionality introduced during the 1960s was eliminated and an unidirectional perspective was established and continued as such once the dictatorship ended (Merino, 2004). As an example, the new President of the Pontifical Catholic University of Chile, admiral Jorge Swett, re-defined *extensión* as a role focused on transmitting knowledge generated in the university to alumni who have entered the labour market (Donoso, 2001).

The fourth moment identified by Serna is related to engagement with companies, which began to emerge in the 1980s. The aim was to respond to companies' needs, and universities began to provide paid services. This is explained in a context in which democracies had returned to Latin America with a neoliberal imprint (Gómez, 2011), the university system expanded dramatically, and public institutions experienced severe cuts in state funding. On the one hand, this favoured the expansion of sales of services as a means to contribute to universities' self-funding (Lemaitre, 2004). On the other hand, it hindered the construction of institutions with a social vocation (Cecchi et al., 2013). The conceptual debate on the meaning of the term *extensión* was replaced by a more pragmatic approach, with a heavy emphasis on life-long learning and artistic-cultural activities (Donoso, 2001). For example, in the case of the Pontifical Catholic University of Chile, Bernasconi states that under the new perspective of the entrepreneurial university, the *extensión* function "was completely subverted": it lost its social role and became a business unit providing cultural, recreational and educational services for the upper segments of society (Bernasconi, 2005 p 269).

To the four moments identified by Serna, it is important to add that, during recent years, the critical discussion about the meaning of *extensión* has resumed in the Latin American context. A good example is the case of Argentina, where a trend towards its reappraisal can be identified (Mato, 2015;

García Delgado and Casalis, 2013). Thus, the National Interuniversity Council defines *extensión* as an integrated function of teaching and research, with a pedagogical, dialogical, and transformative purpose (Consejo Interuniversitario Nacional Argentino, 2012). In Brazil there is a national policy of university *extensión* that defines it as a process that promotes interaction between universities and society based on the indivisibility of research, teaching, and *extensión*; and characterised by dialogical communication, understood as the exchange of knowledge (Fórum De Pró-Reitores De Extensão Das Universidades Públicas Brasileiras, 2012). Along similar lines, Universidad Austral de Chile understands it to be a two-way endeavour, in accordance with the social role of the university, that facilitates the relevance of teaching and research (Universidad Austral de Chile, 2009a). As it is possible to observe, current definitions of *extensión* are far from an idea of the university just extending itself to the outside, but include the purpose of two-way dialogue and mutual benefit.

2.4   The concept of *vinculación con el medio*

Vinculación con el medio (linkage with the context) is a concept introduced in Chile at the beginning of the 2000s by the National Undergraduate Accreditation Commission, the predecessor of the current National Accreditation Commission (NAC). It is one of four criteria to assess universities' quality, along with teaching, research and institutional management.

The introduction of this concept took place a few years after the emergence of the concept of "engagement" in the USA and UK, which posed the promotion of a two-way relationship as a new way of linking the university to the community (Kellogg Commission, 1999). In Chile, the NAC defines linkage with the context in its regulation as:

> The set of links established with the disciplinary, artistic, technologic, productive or professional environment, in order to improve the performance of institutional functions, to facilitate academic and professional development of the members of the institution and its updating or improvement, or to meet the institutional objectives (Comisión Nacional

de Acreditación, 2013).

The focus of this definition is not placed on the benefit of the community, but on that obtained by the university through the interaction. However, the same regulation features criteria for assessing this function that includes: that it should impact both the external environment and the institution itself; and that it should be linked to teaching or research.

There is another NAC definition referenced by different universities in their policies, but it is based on a document that is not publically available:

> Linkage with the context is an essential function of higher education institutions in Chile, a substantive expression of their social responsibility, transversally integrated to the set of institutional functions.
>
> Its purpose is to contribute to the comprehensive, equitable, and sustainable development of the people, institutions and territories of the country, through two fundamental roles:
>
> a)   A significant, permanent and mutually beneficial interaction with the main public, private, and social actors, of a horizontal and bidirectional nature, conducted in shared spaces corresponding to its local, regional, national, or international environment, and
>
> b)   Contributing to the meaning, enrichment, and feedback of the quality and relevance of institutional teaching and research activities, in relation to their respective subject area. (Von Baer et al., 2010 p 16)

While based on these definitions it could be concluded that the concept *vinculación con el medio* might replace the term *extensión*, various Chilean universities have understood it to be a broad concept that includes the latter. That is how most institutions have kept the concept *extensión*, which coexists with the concept of linkage (Adán et al., 2016). For example, University of Santiago considers that linkage with the context includes: cultural and academic *extensión*; socio-productive *extensión*; institutional communications and dissemination; and inter-university or international relations (Universidad de Santiago, 2013). For University Austral, it includes: university *extensión*; provision of services; national and international relations; university-company relations; publications; development and training; social responsibility; and dissemination (Universidad Austral de Chile, 2009b).

Similar concepts have been introduced in other Latin American countries, such as *vinculación con la colectividad* (linkage with the collective) in Ecuador

(Reuvic, no date), and *actividades en el medio* (activities in the context*)* in Uruguay (Universidad de la República, no date-a). In terms of institutional accreditation, there are various approaches. The dimension *"extensión,* technology production and transfer" is considered an area of evaluation in the case of Argentina (Comisión Nacional de Evaluación y Acreditación Universitaria, 2016). There is a dimension of "relevance and social impact" in Colombia (Consejo Nacional de Educación Superior, 2014), "institutional social linkage" in Paraguay and "linkage-*extensión*" in Mexico (Consejo para la Acreditación de la Educación Superior, 2015), to name a few.

Thus current policies are not clear regarding the difference between the traditional concept of *extensión* and the new term linkage with the context, which generates confusion and different interpretations. For the purpose of this study, and considering that there is not a clear-cut differentiation between the concepts, both of them will be considered.

2.5   The challenge of translating *extensión*

Translation is a fundamental part of intercultural research (Wong and Poon, 2010), as not all the concepts in one language have an equivalent in another and, even if they did, they may not have exactly the same meaning, resulting in different patterns of response (Peña, 2007). This is because different frames of reference may imply that apparently identical concepts have different meanings and, therefore, assumption of similarities can be misleading for research (Shah, 2004).

When translating the concept *extensión* into English in their abstracts, Latin American authors have various alternatives. *Extensión* can be found translated as "extension" in most papers (e.g. Álvarez de Fernández et al., 2006; Boscán et al., 2010; Corado et al., 2015), but some also translate it as "extracurricular activities" (Coro Montanet et al., 2009), "social welfare" (Rofman and Vázquez Blanco, 2006) or "outreach" (Mato, 2015). Meanwhile, *vinculación* was found only in three abstracts during this review: one of them translates *vinculación social* as "social reach" (Mato, 2013), one as "social linking" (Mato, 2015), and

another as "outreach" (Beltrán-Llevador et al., 2014). However, "engagement" does not appear. These translations reveal the concepts that authors or readers would use to seek comparable experiences, which are not always the most appropriate.

Considering the lack of consistency about the possible translation for the concepts *extensión* and *vinculación*, it is relevant to offer a discussion about the possibilities of translation. According to the review of the English and Spanish-speaking literature, four main possibilities were identified: extension, outreach, third mission and public engagement.

First, *extensión* has a literal translation in English meaning "extension". The emergence of this concept is attributed to the universities of Cambridge (Bibiloni et al, 2004, as cited in Perez et al., 2009) and Oxford (Cedeño Ferrín, 2012) in the second half of the 19th century, in relation to training courses for adults, such as those provided by the Delegacy for the Extension of Teaching beyond the Limits of the University (University of Oxford, no date). The concept has now fallen into disuse in the UK and only appears as an historic antecedent of life-long learning. Meanwhile, it is still used in the USA, but specifically for agricultural extension based on the tradition of the Land-Grant universities (Collins, 2012). That is why extension (in English) is a more limited and specific concept than *extensión* (in Spanish).

Second, the concept of "outreach", sometimes used as a translation of *extensión*, is a literal translation of the Spanish words *alcance* or *proyección*, and is generally associated with a social service (Galimberti Jarman et al., 2008). Outreach can also be understood as the "translation" of scientific content for the general public (Ecklund et al., 2012). At universities in the English-speaking world, it is commonly used to refer to the relationship with schools and the promotion of access to higher education (e.g. see McInerney and Hinchey, 2013; Clark et al., 2016; Marquez Kiyama et al., 2012). In this regard, although outreach is a related concept and can form part of the Latin American term *extensión*, it is more limited in scope.

Third, the concept of third mission is defined by The Green Paper from the European project E3M as a university mission that is linked to research through

innovation and technology transfer, with education through life-long learning, and with social engagement through public activities, consultancy, and volunteering (E3M Project, 2012). While some authors have treated it as an equivalent to engagement (Barker, 2015; Correa Bernardo, 2012), its theoretical development has been focused mainly on the relationship of the university with industry, technology transfer, and commercialisation of innovations based on the perspective of the entrepreneurial university (Kretz and Sa, 2013; Sam and van der Sijde, 2014; Etzkowitz et al., 2000).

Finally, the concept of "public" or "community engagement" is defined as "the myriad of ways in which the activities and benefits of higher education and research can be shared with the public" (NCCPE, no date-b), and is associated with a model of a university committed to the needs of society (Watson et al., 2012). Although engagement is defined as a mutually beneficial relationship (Carnegie Foundation, no date), it is currently used to cover all types of links between the university and the exterior world (Grand et al., 2015; Chikoore et al., 2016). That is why I consider it to be the most appropriate functional translation for *extensión*. The scarce English-speaking literature that includes Latin American cases backs up this conclusion, as will be shown in the next section.

2.6 *Extensión* and engagement in the literature

The Latin American and English language bodies of literature on *extensión*, linkage with the context and public engagement do not speak to one another, as in the vast majority of the texts in Spanish there are no references to the texts in English, or vice versa. In Chile, exceptions are a book from the Aequalis institution about higher education involvement with regional development, in which there are references to international experiences from a report issued by the OECD (2007) regarding university local engagement (Rock Tarud et al., 2013); and also a text from Von Baer (2009) that references the same document. Nevertheless, both articles quote the Spanish version of the report and therefore they do not include a discussion about the translation of concepts.

It must be noted that although at the time of this literature review there was no document in Chile that explicitly referred to the concept of engagement, in November 2016 the National Accreditation Commission published a report that mentions it as an antecedent for the concept of linkage with the context, and presents different international systems of assessing engagement (such as the Carnegie classification) as referents to define a system of indicators for linkage with the context in Chile (Adán et al., 2016).

Just as the literature in Spanish on *extensión* does not consider the experience in the English-speaking world, the literature in English does not consider the Latin American concept either. Although it is worth noting the strong influence of the ideas of Paulo Freire in the critical literature on higher education (e.g. Lambert et al., 2007; Giroux, 2010b), and in some texts that advocate a critical perspective of public engagement (Fear et al., 2006; Rosenberger, 2012), they do not make specific references to the Latin American reality or the university/society relationship in the Latin American context.

An exception is found in three books that refer to the concept of "public", "community" or "civic engagement", which include Latin American experiences: *Higher Education and Civic Engagement: Comparative Perspectives* (McIlrath et al., 2012), *The Engaged University: International Perspectives on Civic Engagement* (Watson et al., 2012) and *Institutionalizing Community University Research Partnerships. A user's manual* (Unesco, 2015). In these texts, although there is no consistent solution for an appropriate translation, *extensión* is recurrently used as the concept that refers to engagement activities in Latin America. *Higher Education and Civic Engagement* includes a chapter on the history of *extensión* and experiences of service-learning. It states that community engagement has traditionally been important in the region and it has been carried out through *extensión* secretariats or service programmes (Tapia, 2012). *The Engaged University* states that Latin American universities commonly host university/community collaboration programmes in *extensión* offices (Babcock, 2012), but also in departments of community service or development, university social responsibility, volunteering, social outreach, student welfare, or service-learning, depending on the institution. The Chilean University Social Responsibility Network, *Universidad Construye País*, is

mentioned as one of the networks with a focus on civic engagement (Watson et al., 2012). Finally, *Institutionalizing Community University Research Partnerships* places the concepts "extension" and "outreach" in parallel to differentiate them from engagement. It states that the former two terms imply a one-way relationship, while the latter is two-way. However, the same text recognises that throughout the world there is a great variety of terms to refer to university/community research partnerships, including *extensión* (Unesco, 2015).

In conclusion, the linguistic translation of *extensión* as "extension" is not appropriate and, therefore, a functional translation is necessary to ensure that the words used, although different, refer to the same construct and provoke similar responses (Peña, 2007). Assuming that the validity of a translation depends on the purpose and epistemological foundations of each research (Wong and Poon, 2010), in this study it is argued that "public" or "community engagement" is functionally equivalent to the terms *extensión* and linkage with the context. This is for two basic reasons: they have similar definitions (emphasising the two-way relationship and the link with teaching and research); and they are used to encompass the same types of initiatives (service-learning, partnerships with the community, public activities, and participatory research, among others).

For the purpose of this thesis, the concept of *extensión* will be used in Spanish to highlight its particularities as a Latin American concept, but with the purpose of analysis and comparison, it will be assimilated to the one of public engagement. The concept of *vinculación con el medio* will be translated literally as linkage with the context, as this is not considered to alter its meaning, but with the purpose of analysis and comparison, it will also be assimilated to the one of public engagement.

2.7 The "engagement" concept

Although the relationship with the community is not new for universities in the English-speaking world, its academic valorisation and use for the formulation of

university policies has been taking place for no more than thirty years (Fear et al., 2006; Charles et al., 2010). At the end of the 1990s there was a turning point where this topic re-emerged internationally, with the United Nations World Declaration on higher education and its principle of relevance (1998), the emergence of the concept of university engagement in the USA (1996-99), and the recommendation of the Dearing Report for British universities to engage with their communities (1997).

The concept finds its origins in the USA, following the 1862 Morrill Act, when the Land-Grant universities were created. These institutions challenged the paradigm of the universities at the service of the aristocracy, with a mandate to generate research and teaching to serve the development of the nation, particularly in agriculture and mechanics (McDowell, 2003). This model used the concept of "extension" to define a way to make university knowledge available for the community, taking scientific development to the rural world to increase agricultural productivity and contribute to overcoming poverty (Collins, 2012). Nevertheless, the concept was limited to the agricultural world. It was only at the end of the 1950s that the concept of "urban extension" emerged in the USA. One emblematic case is that of the new University of California, Irvine, which attempted to transfer the mission of the Land-Grant universities to the city through the social sciences, with the aim of serving urban needs and influencing the development of the city (Schrum, 2013). However, the concept did not prosper beyond the 1970s, when it was concluded that the different reality of the city and the more theoretical nature of the social sciences meant it was not possible to transfer a model created for the rural environment (Geiger, 2013).

The concept of engagement only began to take shape in the USA toward the end of the century when, after the economic depression of the 1980s, discussions began on how universities could contribute to addressing local problems in the social, environmental and economic spheres (Moore, 2014). In 1985, the national university coalition Campus Compact was created with the objective of supporting higher education institutions in creating community service structures. The concept of "engagement" was coined in 1995 by Ernest Boyer, former president of Carnegie Foundation, who made a call for universities to connect with social needs (Boyer, 1996). In 1999, the Kellogg

Commission on the Future of State and Land-Grant Universities published the report "Returning to Our Roots: The Engaged Institution", which concluded that "it is time to go beyond outreach and service" and move toward a perspective based on a two-way relationship with the community (Kellogg Commission, 1999). The aforementioned report formalised the concepts of "engagement" and "engaged university" and triggered a discussion about this topic in the USA (McDowell, 2003). Nowadays, Campus Compact has more than 1,100 member institutions, a large proportion of universities in the USA have a community engagement department, and this function is assessed by initiatives such as the Carnegie Foundation classification (Carnegie Foundation, no date).

Meanwhile, in the UK the so-called civic universities, such as Sheffield, Leeds, and Manchester, were created in the 19th century specifically to contribute to the industrialisation of their cities (Goddard and Vallance, 2011) and therefore they had a practical and technical orientation and were rooted in their cities (Bond and Paterson, 2005). But during the post-war era, characterised by an increasingly competitive higher education market and the nationalisation of the HE system, this engagement was weakened and the institutions became separated from their cities (Goddard and Puukka, 2008; Charles et al., 2010; Charles, 2007). According to Williams and Cochrane (2013), in this period UK universities became close to the stereotypical idea of the ivory tower, focused on positioning themselves in national and international academic networks and being separated from society.

The concept of public engagement appeared in the UK at the end of the last century as a way of refocusing attention on local needs. An official appeal for British universities to engage with their communities came in 1997 from the Dearing Report, which recommended converting local and regional involvement into "active and systematic engagement" for the mutual benefit of universities and their localities (National Committee of Inquiry into Higher Education, 1997 section 12.7). The matter acquired urgency after a report of the Select Committee on Science and Technology from the House of Lords indicated that there was a crisis of confidence in science and scientific advice, and recommended improving the communication and engagement of researchers with the public (House of Lords, 2000). In 2007, Research Councils UK, the

higher education Funding Councils and the Wellcome Trust established a £9 million initiative to promote public engagement through six model centres (Mason O'Connor et al., 2011a). That same year, the National Coordinating Centre for Public Engagement (NCCPE) was launched, which has become the main centre of reference on this topic in the UK. In 2010 the NCCPE created a Manifesto for Public Engagement (NCCPE, 2010), which has been signed by 83 British higher education institutions, including 22 of the 24 Russell Group universities[1].

Public engagement has received a boost with the inclusion of "impact" as one of the criteria used by the Research Excellence Framework (REF) to assess the quality of universities' research since 2014. Impact is defined as "an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia" (Research Excellence Framework, 2011 p 26). Engagement is considered to be a pathway towards impact (Research Councils UK, no date) and, therefore, is something to which universities are increasingly paying attention.

This practical situation, where the higher education system is being pushed toward deeper public engagement (Ward et al., 2013), has had a parallel in the development of engagement as a research area, allowing progress towards a current state of broad academic recognition (Sandmann and Kliewer, 2012). Around the world, a trend can be identified in which the engaged university is substituting the ivory tower (Bacow, 2012). In this context, researching *extensión* in Latin America acquires particular relevance, especially considering its long and rich tradition and its scarce development as a research field. Following the discussion in this section, the English language literature about the concepts of public, civic and community engagement, and the Latin

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[1] Number of signatories correct at 17th April 2018. See:
https://www.publicengagement.ac.uk/support-engagement/strategy-and-planning/manifesto-public-engagement/manifesto-signatories

American literature about the concepts of *extensión* and linkage with the context in Spanish, are considered the most appropriate to frame this study.

2.8   University One

In this section, the university where this study is focused will be described. Some of its attributes will only be defined in general terms, in order to protect the identity of the institution, which has been anonymised in this study.

University One is one of the oldest and biggest state-owned universities in Chile and has a special mandate and funding from the state for the development of activities of national interest. Despite being a public institution, its state funding is limited to less than 10% of its total income (University Budget Decree, 2018). Nevertheless, as with all public universities in Chile, it has a set of funding tools available for students, such as scholarships, loans and different kinds of economic support. It has tens of thousands of students and good results in the National Accreditation process that assesses universities' quality, including the area of linkage with the context. It has a competitive admission system and is one of the higher education institutions that produces more research in the country. It is also considered among the best universities in Latin America (Times Higher Education, 2017) so it is an important actor in the region.

In the context of the confusion brought by the introduction of the concept linkage with the context, University One struggled to find a differentiation and at the time of starting this research, they were tending to use it simply as an addition to their traditional concept *extensión*. That is, they referred to "*extensión* and linkage with the context" as a single concept, without making a differentiation of both terms (University Yearly Report, 2014).

2.9   Process of reappraisal of *extensión,* linkage with the context and communications at University One

In 2014, University One started a process of discussing the importance of the *extensión* function and revitalising its significance, which was expressed in

different initiatives. For example, a group of academics and students created a registry of linkage with the context activities at the University (Registry of Linkage activities, 2015). In parallel, a student-led project organised a series of discussions about the significance and meaning of *extensión*, created an *extensión* magazine, and finally published a report about the state of this function with recommendations for its improvement at University One (Students *Extensión* Report, 2016).

In this context of renewed attention, in 2014 the University Quality Assurance Committee received a request from the *Extensión* Pro-Vice-Chancellery, regarding the necessity to fulfil the objectives mentioned in the University Institutional Development Plan, in relation to the value of the *extensión* function at the institution. The Quality Assurance Committee accepted the request and designed a process of reappraisal of *extensión*, linkage with the context and communications, which was developed jointly with the *Extensión* Pro-Vice-Chancellery.

Three objectives were defined:

1) Standardising the collection of productivity in *extensión*, linkage with the context and communications, through a unique form.
2) Agreeing on assessment criteria and indicators applicable to academic assessment and qualification, and to institutional self-assessment.
3) Defining concepts and delimiting fields of action.

The process started in January 2015 and finished in January 2017. Objective one was covered during the first semester of 2015, objective two during the second semester of 2015, and objective three throughout 2016.

2.9.1 Methodology of the reappraisal process

The process followed a methodology described in the final reports of the project. In this section is offered a description, mainly based on those reports (Technical Study: Objectives 1 and 2, and Report: Objective 3).

The following working groups were created in order to conduct the process:

1) A Technical Team: integrated by five staff members of the Quality Assurance Committee and the *Extensión* Vice-Chancellery. This group was in charge of developing the studies and making the proposals.

2) A Directive Board: constituted by three senior officers of the *Extensión* Pro-Vice-Chancellery and the Quality Assurance Committee. This group met occasionally to review the proposals and progress of the project.

3) A Main Committee: integrated by a group of *Extensión* officers from different Faculties. During the first semester of 2015 (dedicated to objective one), ten people participated. During the second semester (dedicated to objective two), 42 people were invited to participate.

4) Local *extensión* committees: From the second semester of 2015, Faculties were requested to create their own local *extensión* committees, with the recommendation to be integrated by academic and non-academic staff, and students. These groups were to review and feedback the proposals of the Main Committee. Nevertheless, there was no clarity regarding how many committees were in place: four Faculties officially notified about the existence of their local committees, but I observed that there were at least two more in other departments.

The Quality Assurance Committee led the processes attempted to embrace objectives one and two, which was developed in 2015. During that year, the working groups met regularly and finished the year with three outcomes: a form, a set of indicators, and a rubric (see Appendix 1-7).

In 2016, the *Extensión* Pro-Vice-Chancellery led the process related to objective three. For that purpose, they created a Third Stage Working Team integrated mainly by members of the Pro-Vice-Chancellery, and the Quality Assurance Committee only acted as an advisor. The result of this process was the creation of a new, agreed-upon definition for the concept of *extensión* at University One (see Appendix 8).

The methodology for the reappraisal project was designed based on grounded theory (Glaser and Strauss, 1967), intending to be a process that started by noting the practical conditions and the definitions that emanated from them. It

considered firstly a stage of analysis of the reality, then a synthesis, a validation, and finally the implementation.

2.9.2 Stages of the reappraisal process

Stage 1: Comparative study of international experiences

In order to have some references for the process, the Quality Assurance Committee conducted a short compared analysis of indicators and criteria for *extensión*. They started with a literature review about the topic, followed by a review of institutional information of a group of international universities.

They selected twenty universities, which were considered to represent different realities, based on three criteria: representation of geographical and cultural diversity, inclusion of private and public institutions, and inclusion of universities with different positions in the international rankings. For each of them, they created a file with the definitions used for the area of ELC and the criteria considered in the academic career.

A general conclusion of this review was that the duty of *extensión* is referred to in most institutional documents of the selected universities, but less than half of them define how this activity is valued. They also found that indicators to measure the institutional production in ELC are almost non-existent. For this reason, in a second review they explored other institutions that embraced this topic, including university consortia and research groups. From that review, they identified some dimensions and indicators. At the same time, they reviewed different internal documents of University One, also identifying dimensions and indicators.

Stage 2: Designing and piloting an ELC form

The objective of this stage was creating a form that standardised the collection of productivity in this area, determining fields and types of action.

The Quality Assurance Committee prepared and presented a proposal of a form to the Main Committee in January 2015, which was discussed during March and

April to agree a final pilot version. Between April and June, this version was tested by 26 academics and *extensión* officers from nine faculties, who used it to enter information of their activities, in order to assess its usability and provide feedback regarding the pertinence of fields and categories, complexity, etc. This resulted in 50 registries. The results of the pilot stage allowed an assessment of the fields, including specifying concepts, reordering and validating categories, and adding some topics. It also showed the kind of information that could be collected with this tool.

The comments received were used to improve the form and achieve a final version in June 2015. The creation of the form marked the completion of Objective 1.

Stage 3: Consultation

Stages three (consultation) and four (workshop 1) were developed during the second semester of 2015 and the first month of 2016 in order to create a set of indicators and criteria to assess the *extensión* work of academics. The consultation had the aim of finding out the opinion of the university community about the most important data and attributes that should be considered in order to value this duty at University One.

The consultation tool was proposed by the Quality Assurance Committee to the Central Committee, and in August 2015 it was sent to the Faculties to make comments through their local *extensión* committees. They had one month to make observations, and the document was finally approved on 6th October.

The consultation was then sent via email to 881 *extensión* officers and also lecturers, non-academic staff and students who participated in any *extensión* activity during 2014 and 2015. It received 312 responses, mostly from academics (72%) and also from non-academic staff (14%) and students (9%) from different Faculties.

Stage 4: Workshop 1

In January 2016, a workshop was organised with members of the Main Committee and some members of the local *extensión* committees, in order to analyse and validate the results of the consultation and develop a final proposal of indicators. 44 people participated, from 19 university departments. They worked on the attributes identified in the consultation, and classified them according to their level of importance. New attributes also emerged during the workshop, which were included in the final proposal.

With the inputs of the consultation and the workshop, two outcomes were created: a set of indicators to assess academics' performance in this area, and a rubric (Appendices 2 - 4).

Stage 5: Workshop 2

In order to start the conceptual discussion related to Objective 3, a workshop was organised on 28th April 2016, in which 31 people from different units participated. The first part involved presentations, and the second part involved a group discussion. The presentations delivered by the organising team were: an international review about the assessment of *extensión*; a historical review of this function at University One; and a compared analysis of the definitions of *extensión* present in the website of each Faculty. There was also a presentation about the concept of public engagement in the Anglo-Saxon context and the differences and similarities with the concepts used in Spanish, which I delivered as part of the engagement interfaces of this research (further details in Chapter 4: Methodology, p.89).

After the presentations, three discussion groups were formed, where participants reviewed current definitions of *extensión* and communications at the university, and the one of linkage with the context provided by the National Accreditation Commission. Finally each group presented their conclusions and proposals regarding improved definitions.

After the workshop, the different proposals were used by the Third Stage Working Team to build a proposed new definition for the concepts. This summary and the conclusions were later distributed to all Faculties to be reviewed and commented on by the local *extensión* committees. The Pro-Vice-

Chancellery received responses from six faculties, and based on that, an adjusted definition was constructed.

Stage 6: Presentations to Senate and Faculty Councils

During 2016, representatives of the Leading Team visited the University Senate and the different Faculty Councils in order to present the outcomes of the reappraisal process, answer questions and receive feedback.

Stage 7: Workshop 3

Finally, in January 2017 a final workshop was organised, which offered a presentation about the results of the comments from the Faculties, and final feedback was received, including slight amendments to the definitions. With this workshop, the third objective of the project was concluded, with the result of new agreed upon definitions for the concept of *extensión* (Appendix 8).

2.9.3 Outcomes of the reappraisal process

The reappraisal process generated four outcomes, designed as tools to be used by the University (see Appendix 1-7), as described below.

ELC form

The form contains 12 compulsory and 11 optional fields, some with open and others with closed responses, in order to gather information about the actions and products of *extensión*, linkage with the context and communications. It includes a list of different types of ELC actions. The form also includes a section of open response, where any other information can be entered. The objective of this form is becoming a tool used by academics to register their actions and products of *extensión*.

The form was sent for its approval to the Economic Affairs Pro-Vice Chancellery on 31st July 2016, requesting for it to be incorporated into the academic portfolio.

Set of indicators

The set contains 31 transversal indicators for the university in the area of ELC, plus a maximum of seven specific indicators for each area of knowledge. These indicators follow the principles of the University Integrated System of Executive Indicators, and are to be used to appraise the ELC activities reported by academics. Indicators are expected to be a source for homogeneity and comparability.

It was considered that the set of indicators should be reviewed after finishing the process of concepts and definitions. Nevertheless, in the end it was decided that the final stage did not alter the contents of the first two stages, so no further changes were included and the final version was finished on July 2016.

Rubric

The third element is a rubric of criteria that allows for assessment of the actions or products of *extensión* with regard to the quality levels demanded according to each academic hierarchy. The rubric contains nine dimensions, and is to be completed with the information contained in the *extensión* form. It is indicated that the rubric will be updated over time according to institutional and social changes. The final version is dated July 2016.

Definitions

After the workshops and validation process, a renewed definition for the concept *extensión* at University One was constructed. This definition is short and consists of an amended version of the definition that existed before. It was decided that, for the concept of linkage with the context, the university was not going to create its own definition, but use the one provided by the National Accreditation Commission, as this concept does not represent the tradition of the university and was to be used only in relation with the accreditation

processes[2]. For the concept of communications, it was decided that it was not the duty of this group to define it, as it should be done by the Communications team. The definition was finished in January 2017.

2.8.4 After the reappraisal process

On the same day of the workshop that marked the end of the reappraisal process in January 2017, a process of design of an ELC policy for University One was officially initiated. This process was organised by the *Extensión* Pro-Vice-Chancellery, and the Quality Assurance Committee was not involved.

This new process attempted to create a document that defines the sense, meaning and priorities for *extensión* at the University, according to its values. In this sense, it marks a difference with the previous process, understood as something more technical. The policy-making process was developed during 2017, and the policy is expected to be officially approved in 2018. Its contents and results exceed the scope of this project.

2.9 Summary

This chapter presented a review of the historic relationship of universities with the community, the emergence of the engagement concept in the Anglo-Saxon literature, and the development of the *extensión* concept in the Latin American context. It also showed that, although they are not literal translations, *extensión* and linkage with the context are similar to the concept of engagement in terms of functionality (Peña, 2007) and therefore the literature about public, community and civic engagement is appropriate as a theoretical framework for this study. Finally, a description of the case study university was offered, along with the reappraisal process that it conducted, which is the focus of this research.

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[2] During 2017 the Pro-Vice-Chancellery worked on the creation of a policy of ELC, and there the same definition is used for both *Extensión* and Linkage with the Context.

Chapter 3:
Literature Review

3.1   Introduction

In order to have a robust understanding of the existing research about university *extensión and* public engagement, a review of Latin American and English-speaking literature was conducted, covering the concepts *extensión*, *vinculación con el medio* (linkage with the context) and public, community and civic engagement. The review focuses on the meaning and features of this function, the kind of relationships that are built with the public, and the objectives of these relationships. As most of the engagement literature has been produced in the global north (McIlrath et al., 2012; Watson et al., 2012), mostly in the USA and more recently in the UK, and because US universities are world leaders in service and engagement (Inman and Schuetze, 2010), this review is based mostly on the literature produced in those countries. The final section of the chapter highlights the gaps identified in the research field and the need for further research.

3.2   Literature search process

Both this chapter and the review of the literature presented in the context chapter are based on the documents gathered in the search process described in this section.

A literature review was conducted for the Latin American context drawn from the ISI Web of Science and Scielo databases, using the keywords *extensión*, *extensión universitaria*, and *vinculación*, with the subject filter Education and Educational Research, and English and Spanish language filters. After noting the scarcity of Chilean cases in these texts, a review was also conducted in the Latin American Redalyc and IRESIE databases, with the keywords *extensión* + *Chile*, *vinculación* + *Chile* and the Education subject filter, as well as the concepts *extensión* and *vinculación* with the subject filter Education, and the

country filter Chile. All of this search activity produced a total of 449 articles, although more than half were repeated in the various searches. A first selection was carried out by reviewing the titles and abstracts to eliminate any that were repeated and those that were not related to the topic (many used the concepts in reference to other subjects, for example "*vinculación de los estudiantes de noveno grado en clase de educación física*" [linkage of ninth grade students in physical education classes] or "*extensión de las jornadas de trabajo*" [extension of working days]). Thus a total of 63 articles were selected. These papers were then reviewed in detail, discarding on the basis of content any focused solely on the description of a case without including a general reflection on the topic, and those specifically focused on one aspect of public engagement, such as engagement with companies or the development of students' skills. Based on their methodological approach, I also discarded those texts that were not based on empirical studies or a detailed literature review. Thus 18 papers were eventually included. In a second stage review, the references contained in those papers were followed, adding another 23 publications.

A review was also conducted of institutional texts and those from national and international organisations. In order to do this, references in the literature were followed, as well as consultation of the websites of university accreditation institutions and university consortia in Latin America and Chilean universities, adding another 20 publications, and thus producing a total of 61 texts in Spanish.

For the English language context, the first approach was carried out based on the papers available on the website of the UK's National Coordinating Centre for Public Engagement (NCCPE), and following the bibliographical references that they contained. A total of 56 documents were selected to include in this review. The selection criterion was that they should include discussions of the meaning and/or history of the concepts and not merely the analysis of specific cases. Once this process was completed, a search was conducted to update the review to the last five years (2012-2016) in the ISI Web of Science database, with the keywords "public engagement" + "university", "community engagement" + "university", "civic engagement" + "university", "outreach" + "university" and "third mission", with the filter Education and Educational

Research. This search produced a total of 495 publications, of which the titles and abstracts were reviewed to rule out those that were not related to the topic or which had already been included. Given the large number of texts available, only those that were focused on the discussion of the meaning or history of the topic were chosen. Therefore, from this pool, another 15 papers were added.

A review was also carried out of institutional and public policy documents, mainly of those mentioned in the literature, and those from international organisations or national higher education institutions agencies in the USA or UK, thus adding another 13 documents, giving a total of 84 texts in English.

The review of all the documents was focused on the search for definitions or descriptions of the functions of *extensión*, *vinculación con el medio* (linkage with the context), and public, community and civic engagement, their meanings, objectives, and limitations or difficulties, as well as their evolution over time.

This literature search was completed in September 2016. However, three relevant studies that were published subsequently about linkage with the context, all of them commissioned by Chilean public bodies and published in late 2016, late 2017 and early 2018, were also reviewed.

3.3   Universities' third mission

Universities are recognised as having a third mission (in addition to research and teaching), which involves all the innovation, cultural, social and enterprising activities that they carry out (Montesinos, 2008). As pointed out by Gunasekara (2004), two main bodies of literature have addressed this mission of universities: the triple helix model of government-industry-university (Etzkowitz and Leydesdorff, 1999; Etzkowitz et al., 2000) and the literature about university engagement (Saltmarsh et al., 2009; Moore, 2014; McIlrath et al., 2012).

From the first perspective, the third mission concept emerged in the 1980s, due to the increasing pressure for universities to play a key role in the knowledge economy (Venditti et al., 2013). It relates to the birth of the entrepreneurial university, a model of institution that includes economic development as one of

its core academic functions (Etzkowitz, 1998), and where the university is considered a supplier of human capital, knowledge, and incubation of new enterprises (Sam and van der Sijde, 2014). This perspective understands the university's social contribution merely as an economic one, including issues such as patenting, licensing and technology transfer (Trencher et al., 2014). In this line, the idea of the "triple helix" university-government-industry (Etzkowitz and Leydesdorff, 1999) emerges by the late 1990s. It is based on the perspective that, in a knowledge-based economy, the university does not have a subsidiary role as it had in the past, but becomes a key for innovation both as seed-bed of new companies and as human capital generator. In this context, the industry, government and university work are interconnected in a spiral relation with linkages at the different stages of the innovation processes (Etzkowitz et al., 2000).

The second perspective of university engagement can include a relation with the industry but has a wider focus on the broader community, in terms of generating alliances that do not need to be linked to capital formation but to other kinds of social and cultural outcomes (Gunasekara, 2004). Although the concept of university engagement was coined only in the mid-1990s (Boyer, 1996), it can be linked to the old tradition of the Land-Grant universities in the US and the civic universities in the UK at the end of the 19th century, and the *extensión* function of Latin American universities from the early 20th century. From this perspective, engagement is understood as something that goes beyond economic issues and produces changes in the communities, providing a real contribution to them and becoming a core part of the university's duties (Benneworth, 2013b).

Thus both perspectives embrace the idea of the third mission from very different standpoints. The idea of the triple helix relates to a new model of entrepreneurial university in a neoliberal context, whereas the idea of public engagement relates to the recovery of an old mission of relevance for the local communities. That is how the idea of the third mission as the link with the industry has been the source of different criticisms. According to Rolfe (2013), addressing the third mission with this focus can make universities lose their social role and limit their relationships to the industry and business, as just

another source for income. Trencher and colleagues (2014) mention the risk of neglecting disciplines like the humanities to prioritise others more suitable to generate revenues through applied research, and limiting the dissemination of knowledge through intellectual property practices.

Thus the perspective of public engagement is the one that will frame this research and will be the focus of this literature review, as it aims to analyse the relation of a higher education institution with the public in a broader sense. It is also the most appropriate approach for the Latin American case, considering that in Latin America the concept of *extensión* has always been understood as a social function to benefit the community more than a relation with businesses, as it was created with social change as its main principle, understood as the commitment to share culture and knowledge with those socially excluded (López-Brenes, 2013; Serna Alcántara, 2007).

3.4 *Extensión*: definitions and features

Despite a long tradition in terms of practice, there is a lack of academic research published specifically about *extensión* in or about Chile. There is scarce information about the *extensión* function (Jiménez and Lagos, 2011), and most academic publications about it are mostly historical reviews, not based on empirical research (for example Donoso, 2001).

At a Latin American level it is possible to find some development of literature about *extensión*. Nevertheless, given its scarce theoretical development (Boscán et al., 2010), there is a lack of clear definitions about the meaning of *extensión* (Moreno de Tovar, 2005), as well as indicators and details of the activities it involves (Cedeño Ferrín, 2012). For example, López (2016) concluded that in the last three *extensión* conferences held in Argentina the presentations related to this topic in the area of health showed a very low level of theoretical density: almost a third of them had a total lack of references, and only 12% contained a bibliography related to university *extensión*.

The available literature permits identifying some features of *extensión* in the Latin American context, most of which, as will be seen later in this chapter, are similar to the main features of the concept of public engagement.

Although there is not a single model of *extensión* (Cedeño Ferrín, 2012), in terms of its purpose it is frequently defined as a function related to the participation of the university in the wider society, with a focus on contributing to the solution of social problems. Various authors (for example Álvarez de Fernández et al., 2006; García Guadilla, 2008) reference the concept of "relevance" contained in the 1998 United Nations Declaration on higher education, in reference to "the fit between what society expects of institutions and what they do" (Unesco, 1998). That is how *extensión* is defined as a function through which the university develops its social role (García Guadilla, 2008; López, 2016), directly participates in social processes (Cedeño Ferrín and Machado Ramírez, 2012), and is attuned with society and its needs (Corado et al., 2015), constituting a crucial mission as the social conscience of the university (Beltrán-Llevador et al., 2014).

Nevertheless, a tendency in the region has also been described for a market approach to *extensión* in recent decades, favouring the relations with the productive and private sector (Ortiz-Riaga and Morales-Rubiano, 2011). This tendency has been criticised as it is associated with a neoliberal model where the focus is obtaining economic gains (Cedeño Ferrín, 2012) and, because it implies changing the paradigm that originated this function in Latin America, linked to a social purpose (Serna Alcántara, 2007).

In the case of Chile, it has been described that the current approach to *extensión* and linkage with the context combines the Latin American tradition related to the social-community spectrum, with the influence of foreign models where this function is more linked to the productive sector (UNDP, 2018; Adán et al., 2016).

In terms of its reach, *extensión* tends to be considered the commitment of the university to the country where the university is based (Moreno de Tovar, 2005; Coro Montanet et al., 2009) or more specifically to its region (UNDP, 2018) rather than a link with the international context.

In relation to the other university functions, there is a shared idea that, as a vital function for the relationship between institutions and their environment, and as part of the knowledge generation process, *extensión* should be closely linked to teaching and research (Álvarez de Fernández et al., 2006; Corado et al., 2015; Rodrígues de Mello, 2009). Nevertheless, some authors have voiced criticism that this link is not present (Véliz et al., 2015). In terms of its valorisation in comparison to the other university functions, there is a diagnosis that it is a downgraded function whose importance is not valued sufficiently (Moreno de Tovar, 2005; Ortiz-Riaga and Morales-Rubiano, 2011; Mato, 2013) and for which there are few institutional incentives (Boscán et al., 2010).

3.4.1 Different perspectives about the form and goals of *extensión*

In terms of the form of the interaction, recent Chilean reports about linkage with the context have defined *extensión* as a one-way function (UNDP, 2018; Adán et al., 2016). Nevertheless, in the Latin American literature most authors define *extensión* as a dialectical relationship with society (Moreno de Tovar, 2005; Coro Montanet et al., 2009). It is emphasised that *extensión* should go far beyond the literal interpretation of the concept, to be a two-way activity in which university and society reciprocally feed each other (Rofman and Vázquez Blanco, 2006; Ortiz-Riaga and Morales-Rubiano, 2011) and transformative synergies and mutual improvement is generated (Cedeño Ferrín, 2012). *Extensión* has also been defined as an interactive process to work with the community in search of social solutions (Álvarez de Fernández et al., 2006)

Although most definitions highlight the idea of two-way relationships, some authors define *extensión* in terms of transferring or applying knowledge (Moreno de Tovar, 2005; Beltrán-Llevador et al., 2014). This appears also as a criticism to the practice of *extensión* in the literature. For example, Rofman and Vázquez Blanco (2006) argue that there are universities that restrict *extensión* to the provision of services and outreach activities with a one-way approach that is disconnected from social needs. Similarly, Cedeño Ferrín (2012) criticises that *extensión* has been restricted to the transmission of artistic culture.

In terms of the goal of this function, it is possible to identify at least three different perspectives: outreach, mutual benefit and transformation. Firstly in terms of outreach, although the social commitment attached to *extensión* may link it to this perspective, a solely assistentialism approach was not found as a definition in this review, but it was present as a critique. According to Boscán and colleagues (2010), *extensión* is often organised in a fragmented manner and from a purely philanthropic perspective. Vallaeys (2014) advocates for the use of the concept of University Social Responsibility, as he considers that *extensión* is no more than a unilateral and purely declaratory commitment of solidarity.

Secondly, the idea of mutual benefit is identified as a goal of *extensión*. For example, Beltrán-Llevador and colleagues (2014) suggest that in its *extensión* activities, the university learns from the society where its knowledge is applied. Similarly, Cedeño Ferrín (2012) asserts that through *extensión*, the university contributes to society the results of its teaching, research, culture and service; and, through the experience of knowing the social reality, enriches itself, re-defines its curriculum and creates development strategies.

Finally, the goal of social transformation is frequently mentioned in the literature. For example, López refers specifically to *extensión* in the area of health in Argentina as a function with transformative purposes in terms of focusing on contexts of inequality and injustice with the goal of improving quality of life (López, 2016). For Rofman and Vázquez Blanco (2006), the main goal of *extensión* projects is the development of a fairer and more caring society. Similarly, Zambrano van Beverhoudt and Rincón Perozo (2008) attach to it a role of transformation and development of critical consciousness, through which the university participates in solving community problems. For Serna Alcántara (2007), through *extensión* universities should contribute to a reflexive contact with reality, with the commitment to transform it.

3.5 Linkage with the context

In Chile, the recently introduced concept of linkage with the context has generated little research and there is also a scarcity of grey literature about it (Aequalis, no date). The concept can be found just briefly mentioned, mostly in articles about the Chilean HE accreditation process and its managerial organisation (Venables and Van Gastel, 2014) or its numeric results (Rodríguez-Ponce, 2009; Cancino and Schmal, 2014), and the marketization of the Chilean HE system (Rodríguez-Ponce, 2012). There are also articles that mention linkage with the context only in relation to one specific feature, as a way to link the curriculum with the needs of the labour market (Rodríguez-Ponce, 2011), or in relation to innovation and links with the industry (Bernasconi, 2005; Thorn, 2006).

In relation to the topic, there has been some theoretical development and research specifically about service-learning, however, these articles have focused mainly on its impact on students' learning rather than on the relationship with the community (Hernandez, 2010; Tighe et al., 2010; Jouannet et al., 2013). There has also been some development about the concept of university social responsibility, which is a set of values that govern the performance of the university, but where the link with the community is only one of its many features (Fernández et al., 2006; Gaete, 2010).

It is important to note that although the literature about linkage with the context in Chile was almost non-existent at the time of this literature review, three relevant documents were published during the course of the research. The first is a report of the National Accreditation Commission, published in November 2016, that proposes a set of indicators to assess the performance of universities in this area. Based on a case study of a group of Chilean universities, it indicates that linkage with the context tends to be understood as a broader concept than *extensión* as it involves bidirectional relationships – although institutions continue using both. It identifies as the main weaknesses of the concept the lack of clear definitions and delimitations, the need to improve the mechanisms of documenting and systematising the area, and the necessity to improve its valorisation (Adán et al., 2016). The second is also a report commissioned by the NAC and published in 2017, which proposes a survey tool to measure the linkage activities at universities, in order to have standard

criteria for their evaluation in the accreditation process. It defines linkage as a function with five dimensions: cultural *extensión*, technology transfer, community service, regional leadership and influence, life-long learning and cross-boder integration (Fleet et al., 2017).The third document is a study about the meaning, practices and expectations about linkage with the context in Chilean state-owned universities, commissioned by the Ministry of Education to the United Nations and published in January 2018. It concludes that linkage is seen as a concept that either overcomes *extensión* or complements it, and is a key function of universities, aimed to develop their territories. Its main attributes are bi-directionality, although this is understood in different ways; and transversality, in terms of being articulated with teaching and research (UNDP, 2018).

At a Latin American level, it is possible to find in the research literature some similar concepts to the one of linkage with the context used in Chile, such as *vinculación con la sociedad* (linkage with society) in papers from Argentina (Rofman and Vázquez Blanco, 2006) or Ecuador (Cedeño Ferrín, 2012); however it has not been formulated as a term that has a specific definition or that replaces *extensión*, but rather as a phrase to describe it. In the case of Mato (2015), *vinculación social* (social linkage) is used to encompass the activities that different institutions define as *extensión*, action research, volunteering, service-learning, knowledge dialogue, and university social responsibility. Beltrán Llevador and colleagues (2014) use the same concept to refer to university relationships with society from a perspective of relevance and responsibility.

As can be observed, the concept of linkage with the context has little theoretical development compared with *extensión*. The available definitions of linkage with the context emphasise bi-directionality and the relationship with teaching and research as its main features. However, these are elements that are also found in current definitions of *extensión* and therefore do not necessarily imply a differentiation between the two of them.

Considering that the literature in Spanish about the meaning and purpose of *extensión* and linkage is limited – and is mostly in the stage of historical reviews

and analysis of particular cases – the literature in English about public engagement offers a valuable source to frame this study, as well as offering a possibility for contrast.

3.6   Public engagement: definitions

Defining public engagement is a challenge. There is a widespread recognition in the literature about the lack of a consistent definition of concepts such as engagement, public and community, as there are different approaches and several overlapping terms used to refer to them (Hart et al., 2009; Hart and Northmore, 2011; Mason O'Connor et al., 2011b; Humphrey, 2013; Mahony, 2015; Barker, 2015). The idea of university engagement is being constructed in different places and in varied ways, depending on each particular context (Benneworth, 2013a).

Hence, some authors refer to public engagement (NCCPE, no date-b), others to community engagement (Carnegie Foundation, no date; Inman and Schuetze, 2010) and others to civic engagement (McIlrath et al., 2012; Checkoway, 2013). Moreover, some related literature is based on the concept of community-university partnerships (Morrell et al., 2015). There are also some authors who have specified the approach geographically as regional engagement (OECD, 2007; Charles, 2007), and those who have developed more specific approaches such as engagement with socially excluded communities (Benneworth, 2013a). Furthermore, the concept of "civic university" has been used to define those institutions that work in a global context but are strongly committed to their local environment (Goddard et al., 2012). Therefore, as different concepts are used to describe the same practices (Ward et al., 2013), it is not possible to provide a clear differentiation between them.

Regarding the public, it does not just receive various names but is also understood differently through the literature. The OECD has developed an exclusively local focus with the concept of regional engagement, oriented towards the universities' immediate environment (OECD, 2007). However, the NCCPE in the UK uses "public engagement" to define relationships with the

local and national community (NCCPE, 2010). Meanwhile, the USA-based Carnegie Foundation considers that community engagement includes the international arena (Carnegie Foundation, no date).

Nevertheless, the names given to the public are not enough to understand exactly what the authors are talking about. For example, although Carnegie Foundation uses the concept of "community engagement" to include national and international groups, Moore uses the same concept to denote "members of the geographically-delineated communities primarily located external to the university" (Moore, 2014 p 3). Some national tendencies can also be observed: for example in the UK the predominant concept is public engagement, as posed by the NCCPE; whereas in the US it is community engagement, used by the Carnegie Foundation.

In conclusion, this review explores all the different concepts that are potentially relevant for this research, including public, civic and community engagement. I use the concept of public engagement with a very broad understanding of public as the community outside the university's walls.

3.7 Public engagement and its contested position as a university function

There are at least two issues that evidence the lack of clarity regarding the status of public engagement as a key university function. One has to do with the possibility of considering it one of the three main missions of universities, or a way to conduct the main three functions. The other is the evidence that in practice it is undervalued in comparison to teaching and research.

According to Mason (1999), universities can be seen as stools with three legs – teaching, research, and service – where the third is necessary to keep the other two connected to everyday problems (Mason in Maurrasse, 2002). This is why the public engagement function, as a renewed or complementary version of the service function, can be considered to be the university's third mission (Gleeson, 2010; Schuetze, 2010). Nevertheless, it can be argued that an engagement perspective challenges the concept of third mission for two

reasons. Firstly, because the word "third" immediately relegates it to a peripheral role in comparison with teaching and research. And secondly, because in order to be effective, engagement should not be an add-on function, but should be seen as an essential element, embedded into the other functions of the university (Inman and Schuetze, 2010; Public Engagement NE Beacon, 2013). The Manifesto for Public Engagement signed by many UK universities indicates that both research and teaching are enriched when they are carried out from the perspective of engagement. The interaction with the community challenges and broadens academic thinking; research projects developed with the community have greater impact and relevance; and teaching is enriched as it generates civic skills among students and prepares them for the labour market (NCCPE, 2010; Mason O'Connor et al., 2011a).

However, it is not clear if engagement replaces or is added to the old service or outreach function. On one hand, in the literature from the UK it is clear that engagement should be embedded in the teaching and research functions (Public Engagement NE Beacon, 2013; Williams and Cochrane, 2013). On the other hand, in texts from the USA or international organisations, it is highlighted that engagement should impact the three aspects of universities' missions: teaching, research and community service (OECD, 2007; Morrell et al., 2015).
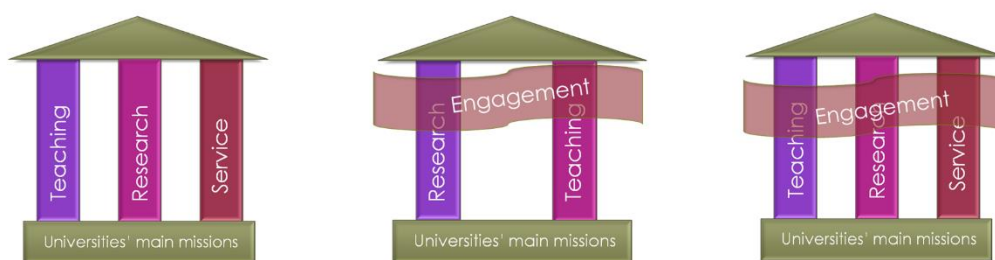
Figure 1: Different understandings of universities' missions

1) The traditional three missions; 2) Engagement embedded in research and teaching and replacing the third mission; 3) Engagement embedded in the three traditional missions.

The second issue that evidences the weak positioning of public engagement as a university function is its scarce valorisation. According to Gleeson (2010), current academic culture tends to greet engagement with scepticism,

considering it a distraction from teaching and research. Therefore, institutional incentives are not focused on encouraging academics to carry out these activities (Marquez Kiyama et al., 2012), which constitutes a constraint for public engagement to be embedded as a substantive role of the university (Smith et al., 2014).

3.8   Public engagement: approaches

As well as the blurred definition of the public, the concept of engagement is also understood in many different ways, as its nature is context-dependant, shaped by each institution according to its particular position (Charles, 2007). The idea of an engaged university cannot have unequivocal meaning, as scholars interpret it according to their own philosophical and conceptual frames and worldviews (Fear et al 2002, as cited in Fear et al., 2006).

In this scenario, it is possible to identify different ways of understanding engagement, which I have classified according to the flow of information – one-way and two-way – and according to the goal of the interaction, which can be service, democracy and transformation. These different perspectives will be explained in the following sections.

3.8.1 Two-way relationship

The original concept of engagement, as defined by the Kellogg Foundation, marks an explicit difference with the idea of outreach, in the sense that it is not a one-way but a two-way relationship (Kellogg Commission, 1999). Mainstream engagement definitions highlight a mutual relationship, including dialogue (NCCPE, no date-b) and knowledge exchange (Carnegie Foundation, no date) as one of the main characteristics of engagement. Thus mutuality appears as a key characteristic of engagement in most definitions, as it is understood as the element that differentiates engagement from service.

The basic idea of mutuality is that in university/community relationships, both parties will benefit (Hart and Aumann, 2013). Nevertheless, the character of this

mutual benefit is unclear and can be of any kind. As expressed by the NCCPE, "engagement is by definition a two-way process, involving interaction and listening, with the goal of generating mutual benefit" (NCCPE, no date-b). An example of two-way relationships can be service-learning projects, defined as "a form of experiential learning that combines academic coursework with voluntary service in the community" (Deeley, 2010 p 43). In these projects, the community is benefited by the service provided by the students, as well as the students experiencing a valuable learning experience.

A two-way perspective can imply an assumption that engagement is not about the university transferring knowledge to the community, but is a mutual relationship where both parties can exchange and even co-create knowledge (Hart and Aumann, 2013). Through an engaging dialogue with communities, universities are expected to enrich their understanding of social needs and problems as well as being able to develop better solutions for them in a collective learning process (Charles, 2007).

3.8.2 One-way relationship

Although engagement is usually defined as a two-way relationship, according to Moore (2014) in practice, most interactions between the university and community members do not build this kind of relationship. As asserted by Saltmarsh et al. (2009), engagement is used in many institutions as an umbrella term to name any campus activity that connects or relates to something outside campus. Thus it can be observed that institutions tend to consider any sort of activity related with the public under the umbrella of public engagement (Chikoore et al., 2016). This includes not only partnerships or co-creative activities, but also presentations, work with schools, and academic appearances in the press, among others. For example the NCCPE website lists three main engagement techniques, which are informing, consulting and collaborating. Informing includes presentations, podcasting and writing for a non-specialist audience (NCCPE, no date-a), which somehow contradicts the two-way mandate. Similarly, it has been found that academics frequently identify the concept of engagement with dissemination activities (Grand et al., 2015).

In this context, Moore proposes a more generic definition of engagement, describing it simply as "interactions" between university and community (Moore, 2014 p 3). Similarly, researchers at the British Open University decided to define engaged research as different ways of "meaningful interactions", including a range of possibilities, from co-creation to dissemination (Grand et al., 2015). For Checkoway, what defines a teaching or research activity as engagement is not the kind of relationship but the goal to address an issue of public interest and contribute to the public good. Thus he defines civic engagement as "a process in which people join together and address issues of public concern" (Checkoway, 2013 p 7).

3.9   Different perspectives about the objectives of public engagement

3.9.1 Engagement for outreach

Building a relationship that solely has the objective of serving the community could be seen as something that stands away from the idea of engagement, as it sticks to the old perspective of service and outreach. Nevertheless, in most universities the distinction between outreach and engagement is blurred (Westdijk et al., 2010) and there are universities that put both together through "Engagement and Outreach" departments and measurement tools (Lunsford et al., 2006).

In fact, although the report that birthed the concept of engagement starts by saying that "it is time to go beyond outreach and service to […] engagement" (Kellogg Commission, 1999 p 9), the same report later recognises outreach as one form of engagement, together with service-learning and community-university partnerships (p.51). A similar dichotomy can be found in the Carnegie Foundation, which defines engagement as collaboration between universities and communities "for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity" (Carnegie Foundation, no date). But at the same time, its community engagement classification includes two categories of engagement: curricular engagement;

and outreach and partnerships (Ward et al., 2013). Although they define engaged outreach as a special kind of outreach that considers a two-way relationship defined by mutual respect between university and community, they are not explicit about how this can be accomplished.

3.9.2 Engaging for democracy

The predominant literature has received some criticism for focusing on engagement as an outcome and in the activities developed to pursue this outcome, rather than in the process and purposes of engagement as a way of achieving democratic goals (Saltmarsh et al., 2009; Saltmarsh and Hartley, 2011; Moore, 2014).

Starting from a critical diagnosis, in a report based on a discussion with several US university leaders, Saltmarsh and colleagues conclude that the engagement movement has not resulted in a big change in the way things are done by universities in that country (Saltmarsh et al., 2009). This is because engagement is normally understood as something enacted for the public, where the university experts develop knowledge that is later applied to communities. In the words of Charles, most university engagement initiatives are defined by an "expert-supplicant relationship" (Charles, 2007 p 16).

Thus, the idea of mutuality is called into question, because it still implies the dominance of an expert-centred framework. But what democratic engagement should pursue is not only mutuality but reciprocity, defined by co-creative knowledge construction. This implies bringing the experience of both parties to define, analyse and implement actions to face problems, overcoming the difference between knowledge producers and knowledge consumers. In that way, "democratic engagement locates the university within an ecosystem of knowledge production", in an environment where students learn cooperative problem-solving and lecturers, students and community work together (Saltmarsh et al., 2009 p 10).

Similarly, Moore proposes a shift from what she calls an instrumental engagement, based on engaging for the sake of engagement, to a democratic or critical form of engagement, as the only way to stop marginalising community

members in the conversations about them (Moore, 2014). This marginalisation can reduce engagement initiatives to "detached benevolence", where universities define activities that they consider potentially beneficial but without really considering the needs of the community (Benneworth, 2013b).

3.9.3 Engaging for transformation (critical engagement)

A critical perspective has had little development in the literature of engagement in general (Fear et al., 2006) but it has achieved some development specifically in relation to engaged teaching through literature concerning service-learning (Ginwright and Cammarota, 2002; Mitchell, 2008; Rosenberger, 2012; Kinloch et al., 2015), as well as engaged research through literature about Community-University Partnerships (CUPs) (Balcazar et al., 2012; Morrell et al., 2015).

Fear and colleagues define engagement as "opportunities to share our knowledge and learn with those who struggle for social justice; and to collaborate with them respectfully and responsibly for the purpose of improving life" (Fear et al., 2006 p xiii). This definition places the emphasis of engagement activities on a major goal of social justice and transformation.

Critical scholars in the area of service-learning argue that this practice has been traditionally conceptualised as a charity action where the students provide a service, excluding the perspectives of the communities and even reinforcing unequal power relationships (Ginwright and Cammarota, 2002; Kinloch et al., 2015). A critical perspective embraces these activities with political lenses, going beyond traditional perspectives of citizenship to seek for social justice, where students should see themselves as agents for social change (Mitchell, 2008).

According to Rosenberg (2012), typical service-learning is characterised by an idealist belief that all citizens are equal, but the reality is that not everyone enjoys the same rights. From a Freirean perspective, he proposes that service-learning should problematize this reality and respond to issues of equity, oppression and domination (Rosenberger, 2012). A critical approach should aim to redistribute power among all participants, and therefore, develop authentic relationships among them (Mitchell, 2008).

Similarly, Rhoads (1997) differentiates between community service based on mutuality, and critical service-learning. The first considers that both parties receive benefits and both are involved in the design and development of the project. But a critical perspective is driven by the aim to develop a critical consciousness both in the students and the community, transforming their understanding of the social order and leading to a commitment to improve social conditions (Rhoads 1997 in Rosenberger, 2012).

There are also some approaches to critical engagement in the literature about CUPs. Critical authors question whether CUPs are truly partnerships and truly transformative, as most of them face problems such as short-term commitment and unequal power relationships, and tackle only superficial problems (Wilson et al., 2014; Morrell et al., 2015).

Regarding power relations, Morrel criticises the fact that on many occasions, community partners are objects of the studies rather than partners in them, which happens when a university enters a community with a previously defined research agenda, causing community members to feel apathetic or even exploited (Morrell et al., 2015). According to Sandmann and Kliever, addressing power relationships is the only way to make relationships reciprocal and mutually beneficial. Thus, they propose that paying critical attention to the different organisational structures, timetables, and needs of the community and the university, as well as negotiating them from an equal position, are key to overcoming these power differences (Sandmann and Kliewer, 2012).

Another problem identified by critical scholars is a time issue, as many CUPs are short-term, which is seen as a barrier for the trust of the community and for the achievement of transformative goals (Morrell et al., 2015).

Finally, criticism has been levelled against the fact that most CUPs tackle specific issues, such as cleaning an area, rather than underlying problems like poverty and exclusion (Morrell et al., 2015). Conversely, critical engagement is not about solving isolated problems through instrumental means, but it should be a persistent endeavour focusing on collective learning to transform ways of living (Fear et al., 2006). In this line, Balcazar and colleagues contend that community based partnership can even become Empowering Community

Settings (ECS), which allow community members to become aware of their oppression and to be empowered to take collective action to overcome it (Balcazar et al., 2012). For that purpose, Wilson and colleagues developed a Good Practices framework to assess whether a CUP is truly authentic in the sense of balancing power through participants and promoting dialogue and collective problem-solving; and if it is transformative in the sense of tackling environmental justice and health issues (Wilson et al., 2014).

3.10 Current trends in Higher Education: marketization and neoliberalisation

The Chilean Higher Education system is part of an international scenario charactersited by marketization and neoliberalisation. As explained by Misiaszek and colleagues (2012), neoliberalism is a worldwide trend that has promoted the reduction of the public sector and state intervention in the market and economies, favouring open and deregulated markets. This implies a perspective of learning as a path for economic gains rather than social transformation and enlightenment, where the focus is increasing profits. In this context, universities are under pressure to establish partnerships with private entities in order to generate revenues. Similarly, Pusser (2012) asserts that neoliberalisation has prompted a perspective of universities as producers of private more than public benefits, as the replacement of state funding for tuition fees has installed the perspective of the student as consumer and high competition among institutions.

This has led to the marketization of universities, which implies that research funds, salaries, programmes and resources are allocated according to competitive assessments of productivity (Rodríguez-Gómez and Ordorika, 2012). Marketization has been associated with increasing social inequalities, as it limits the access to public knowledge (Marginson, 2012). In this context, privatisation is a phenomenon currently identified even in state-owned institutions, which refers to a change in the way universities are understood, in terms of prioritising their production of private rather than public goods, reducing state funding and increasing other ways of self-funding such as tuition fees,

services and outsourcing (Rodríguez-Gómez and Ordorika, 2012). As explained by De Sousa Santos (2007), because Latin American universities are closely linked to the creation of their independent nations, neoliberal reduction of the state and the national project has left them disorientated with respect to their social functions.

In this context, Bernasconi (2007) asserts that there is little left of the Latin American model of university. According to him, the model shaped by the Córdoba Reform and characterised by things like democratic governance, orientation to the solution of national problems and the importance of *extensión*, remains present to some extent in just a select group of the oldest public Latin American institutions. And from his point of view, all Chilean universities have distanced themselves from the traditional model.

From a different perspective, Marginson describes as a particular feature of Latin American higher education that until nowadays "the leading universities are publicly positioned as autonomous arms of government" (Marginson, 2016 p 120), and Watson and colleagues describe as a distinctive characteristic of universities from the global south their commitment with solidarity and transformation (Watson et al., 2012). Recent trends in the specific Chilean context, including the strengthening of public education, the provision of free places and the limitations to profit in Higher Education institutions, as explained in the context chapter (p 8), permit framing a current situation where University One can be seen in a position of recovering part of its traditional mission after the neoliberal reforms, which will be further discussed in the data analysis and discussion chapter.

3.11   Different university models

Clarifying the concept of "university" is difficult, as the development of theoretical and conceptual understandings about the role and purpose of universities is scarce (McCowan, 2016). In order to contribute to this discussion, McCowan identifies five types of university (Medieval, Humboldtian, Developmental, Multiversity and Enterprise), which can be differentiated

according to three dimensions: value (intrinsic or instrumental value of knowledge), function (teaching, research, engagement) and interaction (how open is the university to link with society).

	Value	Function	Interaction
Medieval	Intrinsic (+instrumental)	Stewardship and transmission	Low porosity
Humboldtian	Intrinsic (+instrumental)	Discovery	Low porosity
Developmental	Instrumental (service)	Application	Medium porosity
Multiversity	Instrumental (+intrinsic)	Multiple	Medium porosity
Enterprise	Instrumental (economic)	Commercialisation	High porosity

Table 1: McCowan's five models of the university.

Source: McCowan, 2016, p.512.

According to McCowan, the Medieval university was characterised by administering and teaching rather than creating knowledge. The Humboldtian, emerged in the 1880s, promoted the indivisibility of teaching and research, and academic freedom. The Developmental is a university created from the late 1800s in certain regions, explicitly oriented to contribute to development of economy and society. The Multiversity emerges in the mid 20th century and has elements of the developmental model (emphasis on service) but is defined by great size and varied functions and units. Finally the Enterprise is a university that needs self-funding, so it creates technology hubs or other initiatives that can generate revenues for the institution.

Although in Latin American universities it is possible to identify some elements of the different models, I would like to highlight the similitudes with the idea of the developmental university, term introduced by Coleman (1986) to define universities in the Third World, especially Africa, which had a primary focus on applied research and contributing to their countries' development. Developmental universities are defined as those that were born hand-in-hand with the independence of their countries, were explicitly oriented to contribute to their economic and social development, and where community engagement had a significant role (McCowan, 2016). All this matches with the tradition of Latin American universities, characterised by their commitment to the development of their countries, as detailed in the context chapter (p 11).

3.12 Universities and the public good

Due to the introduction of tuition fees and decrease of public funding, nowadays the distinction between private versus public character of universities has become blurred (Enders and Jongbloed, 2007). According to Bernasconi's (2011) analysis of the legislation in seven Latin American countries, the law assigns similar missions and functions to both private and public universities, so it is not possible to establish differences at least in legal terms.

Marginson (2007) identifies two traditional notions for the private/public division. The economic refers to the production of private goods that benefit one person and not others, versus collective public goods that can benefit the whole society. And the statist assumes that a public institution is one that is owned by the state. However, Marginson asserts that both state and non-state owned institutions can produce both private goods (such as individual education) and public goods (such as research that contributes to ameliorating social problems). In this context, what determines the public or private character of the institution is not its ownership but the way it prioritises its purposes: "the public or private character of education is a policy choice" (Marginson, 2007 p 313).

Enders and Jongbloed (2007) offer a more comprehensive model to assess to what extent a university can be considered to be public, according to four dimensions. The first is ownership, which for the authors does not necessarily make a difference, as state-owned universities also sell services to generate funding, and many private universities produce research that makes a public contribution. The second dimension is governance, where they suggest that although institutions may belong to the state, they have increasingly introduced marketised governance systems. The third dimension is funding, and according to the authors the origin of research funding will not necessarily affect its contribution to the public good. The last dimension is who has benefited: although knowledge can be considered a public good, because its use by one person does not limit its use by another person, the fact that it may not be available to everyone signifies that this knowledge may not act as a public good. At the same time, restriction of access to education due to high tuition

fees or selective exams make both private and public universities competitive and exclude people from them.

Some issues that currently threaten the contribution of universities to the public good are selection and competition. Regarding selection, elite universities are highly selective and, through their research reputation, attract good students and produce graduates with opportunities for higher income and social status (Marginson, 2007). In that way, universities contribute to reproducing class structures (Ordorika and Lloyd, 2014). Regarding competition, universities compete for their reputation and status in international rankings. According to Marginson (2012), status hierarchy, more than marketization, is the main enemy of the public good and the public sphere: the status competition on rankings has made universities focus on their self-interest rather than collaboration and the public good. Similarly, Ordorika and Lloyd (2014) assert that emphasis on competition places universities in conflict with community demands.

3.13 Universities and the public sphere

In order to contribute to frame an analysis of the role of the university in the wider society and its contribution to the public good, it is interesting to explore the concept of the public sphere. The public sphere is defined by Jürgen Habermas (1974 p 49) as "a realm of social life in which something approaching public opinion can be formed". Habermas describes it as a space accessible for all citizens, where private individuals come together and form a public body, in order to talk and exchange their opinions about topics of general interest. It is characterised by freedom of assembly and expression, and mediates between the state and society.

Pusser and colleagues agree that universities have an essential role to play as public spheres as they are independent civil spaces for debate, development of critical ideas and exchange of knowledge and information, offering an essential site for the analysis and critique of the state (Pusser et al., 2012). According to Giroux (2010a), universities have historically been crucial public spheres as they foster critical enquiry, common deliberation and public freedom. In this

sense, they are essential for democracy as a place where people can think critically and dissent. Marginson (2012) asserts that the extent to which a university can be a public sphere depends on its generation of an environment for challenge and criticism, as has happened historically with universities being a medium for transformations such as the civil rights movement and gay liberation in the 1960s and 1970s, and anti-globalisation in the 1990 and 2000s.

From another perspective, Misiaszek and colleagues (2012), refer to the university as an entity with the duty to contribute to the public sphere through the encouragement of democratic participation and the generation of knowledge aside from market influences.

Habermas (1974) concept is based on a bourgeois public sphere in Europe, which somehow implies an elitist assumption about a specific kind of reasoning public. One of the criticisms of this concept, presented by Nancy Fraser (1990), is the idealisation of the public sphere in terms of a space for participation, when in reality it was only open to men from a privileged socio-economic background. As asserted by Fraser, although there is no formal access limitation, Habermas' concept of the public sphere does not recognise informal access restrictions such as social inequalities and the advantage of privilege groups, for example in terms of accessing the information necessary to engage in the discussions.

Brought to the case of universities, this critique can be applied to what happens with elite universities, highly selective and that compete for high positions in international rankings (Marginson, 2007). Through selection these institutions contribute to reproduce class structures (Ordorika and Lloyd, 2014), where only a few have the priviledge to participate. At the same time, competition in rankings can make them focus on their own interest rather than collaboration, threatening their contribution to the public good (Marginson, 2012) and even placing institutions in conflict with community demands (Ordorika and Lloyd, 2014).

3.14 Universities as political institutions

Considering the role of universities in the wider society, their possible contribution to the public good, their participation in the public sphere, and the different dynamics of ideologically framed negotiations that happen within them, it is possible to understand universities as politicial institutions. According to Marginson, "higher education is soaked in politics", as a contested site where politics shapes the production of public and private goods (Marginson, 2012 p 16). For Pusser, universities can be understood as political institutions, because they are "a vehicle for the allocation of significant costs and benefits through a public and politically-mediated decision-making process" (Pusser, 2012 p 28). Similarly, for Ordorika and Lloyd, state universities are political institutions as "spaces of dispute for the political and economic hegemony", which implies that any reform project is marked by the contraposition of different ideological forces (Ordorika and Lloyd, 2014 p 134).

An example of the role of universities as political institutions in Latin America is the role of students, who have historically had an influential role in the development of education policies and administrative structures, specifically through uprisings and through the work of students' unions.The student organisation has been a characteristic feature of this region, exerting power both in unionistic (achieving benefits for the students) and political terms (influencing the university and society) (Solari, 1967). As an example, in Colombia, student demonstrations started in colonial times, becoming substantial in the 20th century, with different levels of influence in the national politics over time (Archila, 2012). In Argentina, the Córdoba Reform of 1918, which influenced most higher education systems in the region and where the Latin American concept of *extensión* originated, started from a student revolution (Tcach, 2012). Latin American student movements are characterised for linking to wider societal problems and in that sense they can be considered not just student but social movements, but also an expression of discontent in society (Tcach, 2012; Núñez, 2012).

In a current context of neoliberalism, Pusser (2012) asserts that there is still a space for contest in relation to the purposes of universities and the creation of a public sphere through them, expressed for example in the student protests against tuition fees and debt. Recent student movements can be described as a

"repolitisation" of higher education (Ordorika and Lloyd, 2014). In the case of Chile, this is clearly reflected in the 2011 national student uprising, where students became influential political actors and changed the national education agenda, which in the long run generated two major educational reforms aimed to improve inclusion, quality and access (Bellei et al., 2014; Cabalin, 2012).

In Latin America, Ordorika and Lloyd (2014) also identify a tendency to contest the hegemony of the globalised model of higher education, expressed in academics' criticism of international rankings. According to the authors, rankings impose an Anglo-centred model that undermines focus on local and national development and does not value the contribution of the institutions to state building, which is characteristic of the Latin American tradition.

In this context, critical education scholars, such as Giroux and De Sousa Santos see public engagement as a way to recover and defend the university's public role. According to Giroux (2010b), a market-based neoliberal perspective of universities disdains publically-engaged research and teaching, so he calls for a rethink of the university, taking a stand about its meaning and purpose, as a democratic public sphere. Similarly, De Sousa-Santos (2007) indicates that strengthening *extensión* is one of the measures needed in order to recover the original role of the public university.

3.15   Studying a policy-making process

This research focuses on a process of reappraisal of ELC at University One. Defining wether this could be considered a policy-making process or not was a unclear within the case study institution (see chapter 6), that is why I consider necessary to include a discussion of the concept of policy.

The concept of policy is ambiguous and various authors define it differently. The Oxford English Dictionary defines it as "a course of action or principle adopted or proposed by a government, party, individual, etc.; any course of action adopted as advantageous or expedient" (Shorter Oxford English Dictionary on Historical Principles, 2007 p 2268). With this broad definition, a policy is hard to delimit. According to Hill, a policy may be a decision, or involve a group of decisions, or be seen as an orientation – which implies that it is difficult to

identify the occasions when a policy is made (Hill, 2013). For Colebatch (2009), the concept is used in different ways and does not have a single meaning. It can refer to a broad orientation, an indication of normal practice, a statement of values or a specific commitment.

Clarifying the concept is extra challenging in the Spanish-speaking context, where there is no different word for policy and politics. There is only one word, *política*, that can be used either to refer to a policy or to politics, and the meaning is only understood according to the context. It could be argued that both concepts are actually intertwined. For Thereborn (2001), the differentiation is clear as politics precedes policy: in his words, politics is about deciding the game to be played and setting its rules and goals; whereas policy relates to how to score in the game with given rules. Conversely, Jenkins (2007) challenges this division, claiming that policies are inherently political, as they do not only imply rationality and efficiency, but also values and ideology. From this perspective, he argues that policy and politics are deeply implicated and difficult to distinguish, as policy processes are inherently moments of negotiation, compromise and deal-making; where policy and politics relate to each other in feedback loops.

Both the definitions of policy and the challenges of the use of the word in Spanish will be used for the discussion of to what extent the process observed during this research can be defined as a policy-making process.

3.16 The case for further research

In this section, I reviewed the literature about the different understandings of the concept of *extensión* and linkage with the context available in Chile and Latin America, and about the concept of public or community engagement in the English-speaking context. I also included a revision of concepts that permit situating the topic of public engagement in the broader scenario of Higher Education research, including the public good and the public sphere. This made possible the identification of some research gaps, specifically related to the aim of this study and which justify its originality.

The first gap is about concepts. There is a lack of agreement about the terms used to define the relationship of the university with the community, both in English and Spanish, as well as different understandings of the same concepts, and different terms are used for similar purposes. This can be a barrier for effective engagement, as definitions are key to understanding, researching and implementing engagement strategies (Saltmarsh and Hartley, 2011; Mahony, 2015).

A second gap is related to focus, as most research has focused on showing how to practice engagement rather than discussing its rationale and aims. In Spanish, the *extensión* literature has focused mostly on historical accounts or particular case descriptions. In English, the engagement literature has gone through a phase of validating engagement as a research field, validating the practice of engagement and showing how to do it, but now it is time for the development of a more critical perspective related to its nature and deep purposes (Fear et al., 2006; Sandmann and Kliewer, 2012).

A third gap is related to context, as most research has been done from the Anglo-Saxon tradition (McIlrath et al., 2012) and there is almost nothing about Latin American engagement experiences written in English, with very few exceptions (for example Tapia, 2012). There is also little research in Spanish about *extensión* and even less about linkage; and research literature about these topics in Chile is almost non-existent. Three studies commissioned by the Chilean Ministry of Education and the National Accreditation Commission about linkage with the context, that were published during the course of this study, evidence the state of emergence and relevance of the topic, and the necessity for research about it.

Finally concerning methodology, most literature about engagement in Latin America has not been based on empirical evidence.

This PhD research project aimed to address these gaps through the study of a Chilean case of university *extensión and* linkage with the context, with a special focus on the deep rationales and meanings attached to it. This was done through the study of a process of reappraisal of *extensión*, communications and linkage with the context being developed at University One, which offered an

especially appropriate scenario for the project. This permitted contributing to addressing the first gap, regarding definitions, with a deep exploration about the understandings about the concepts of *extensión* and linkage at a Chilean public university. The second gap, concerning the focus of research, was addressed in terms of an analysis of the rationale behind *extensión* and the perspectives about the role of the university in society that it reflects. The third gap, about context, is addressed through the study of a Chilean case in English, which contributes both to enriching the scarce literature about this topic in Latin America and specifically about Chile, and to enriching the English-speaking literature with a Latin American perspective. The fourth gap, in terms of methodology, is addressed through empirical research of a Latin American case. Finally, considering that *extensión* and engagement are characterised by their lack of valorisation within the academic promotion system, this research contributes to the literature with the case of an institution working on a process specifically oriented to overcoming that problem.

Chapter 4:
Methodology

4.1   Introduction

This chapter presents the methodology for this study. It starts by explaining its theoretical underpinning and research questions, and then introduces the research paradigm and data collection methods. It also presents the data analysis process, ethical considerations, and finally refers to research trustworthiness and the impact of the PhD project. The last section summarises the contents of the chapter.

4.2   Theoretical underpinning

The methodology for this project is theoretically grounded on critical theory and the perspective of policy as a discourse.

4.2.1 Critical perspective

This research is situated in a critical perspective, which is characterised by its transformative, practical intention, as its purpose is not only understanding situations but contributing to changing them, with a wider purpose to transform society in terms of emancipation and equality (Cohen et al., 2000; Lincoln et al., 2011). Accordingly, the aim was to conduct research that makes a contribution not only to theory but also to the practice of university public engagement, in terms of empowering practitioners through the availability of theoretical knowledge for their critical reflection about their own work. Critical research addresses issues of power and oppression, with a special focus on the interests at work in particular situations and contexts and how power differences are produced or reproduced in them (Cohen et al., 2000; Kincheloe et al., 2011). Hence this research did not only consider the contents of the documents of the process of reappraisal of ELC at University One, but observed the context and interpretations of it, in order to distinguish which interests were served in the documents and which perspectives were not considered, uncovering issues of

power differences and bringing to the table the perspectives of all stakeholders, not only those considered in the redaction of the documents.

This critical perspective is inspired by some ideas of Paulo Freire. Although he did not develop his work specifically relating to higher education, it is possible to find elements that are relevant for reflection about university public engagement in his thought. Interestingly, he was the first director of the Service of *Extensión* at the University of Recife, Brazil, and he published the book "*Extensión* or Communication" (1969) – on the subject of the conscientisation in rural areas in the context of the agrarian reform – during his exile in Chile. In this work, he criticises the concept of *extensión* as cultural invasion, where an expert transfers some technical knowledge to other person, in a top-down attitude opposite to dialogue, which is the basis of an authentic education (Freire, 1969).

This links with his criticism of what he calls "banking" education, where those considered knowledgeable deposit contents in the minds of those considered ignorant. For Freire, all people have valuable knowledge that must be considered and that nurtures the learning process, overcoming the difference between teacher and student and facilitating learning as a two-way process (Freire, 1970). This perspective can be linked to the idea of public engagement as a reciprocal, co-creative process where both university and community can learn, and contributed to frame this study with special attention on how reciprocal relationships are understood and pursued.

Specifically on higher education, Freire highlights that a university cannot define an academic policy without considering the context in which it is located. Instead of reproducing the ideology of the dominant classes, universities should produce new knowledge that is needed by the communities that they serve (Freire in Escobar, 1994). This links directly with the idea that community engagement is an important aspect of universities' missions, as is embedded in the tradition of Latin American universities, which is also part of my own understanding and experience of the university's role in society.

Regarding the choice of data collection methods for this research, Freire's ideas have also inspired this project. According to Freire, researchers in education should not base their investigations only on their own perspectives but be

"sympathetic", including communication with participants in order to think *with* them rather than *for* them (Freire, 1970). Accordingly, although I did not conduct a participatory action research project – characterised by action and reflection phases where participants are involved as co-researchers – I considered some of its principles, related to treating participants as competent and reflexive agents, being context-bound, addressing real-life problems and valuing the diverse experiences of the community as a way to enrich the research process (Kindon, 2007). I saw participants not only as subjects of the study but also informants that provided interpretations and information about the case, as well as suggested different sources of evidence (Yin, 2014). That is why the research design engaged participants and considered their perspectives during the research process (Lincoln et al., 2011) through a series of interfaces, as will be explained later in this chapter.

4.2.2 Policy as a discourse

This research approached the reappraisal process from the perspective of policy as a discourse (Bacchi, 2000; Saarinen, 2008; Archer et al., 2015). Policy documents can be understood as discourses because they limit the scope of the discussion and what can be included in it, and the conceptual definitions that they provide are not necessarily a description of the concepts but a claim about how they should be used (Bacchi, 2000). This perspective proposes that the way that policy issues are defined and how policies are framed reflect the particular political, economic, social and cultural context and are the result of a political struggle over meaning (Taylor, 1997).

When I defined the focus of this research, I was told by one of the leaders of the reappraisal process that it was a policy-making process. However, when I reached the research site I found out that this was actually a matter of disagreement, with one part of the Leading Team defining it as policy-making, and the other considering it a technical process. Finally it was agreed that the reappraisal process did not include the definition of a policy, which was going to be a subsequent step. But at the moment of that decision, I was already in the middle of the data collection.

Nevertheless, I still considered that the approach of policy as a discourse was useful, as the process I researched shared many elements with policy-making. Although the documents resulting from the reappraisal process do not constitute a policy in terms of setting a clear course of action (Shorter Oxford English Dictionary on Historical Principles, 2007), they have elements characteristic of a policy: they involve a group of decisions, define orientations and establish values and commitments (Hill, 2013; Colebatch, 2009).

That is why Taylor's (1997) approach for policy-making research was considered appropriate in this case. According to Taylor, three main elements must be considered for a critical approach to policy-making research: the context in which the policy is produced; the text that is the document itself; and finally the consequences of the policy. The context relates to historical antecedents that led to the policy-making process, the agendas and interests of the different actors involved, and the possible tensions among them, which provide an umbrella for the analysis. This was covered in the present study through the exploration of the different contextual elements that explain the reasons for the reappraisal process, as well as the analysis of the way the process was developed. The text is the policy document itself, which can be seen as the result of a political struggle over meaning. This was covered through the analysis of the outcomes of the reappraisal process, including a form, indicators, rubric and definition. Finally the consequences relate to the impact of the policy and the relation between policy goals and outcomes, considering that there are different possibilities of interpretation of policy texts. Although at the time of data collection the outcomes of the reappraisal process were not yet implemented, this element was covered through the comparison of their contents with the perspectives and expectations of participants.

4.3   Research questions

1) **What are the reasons for a process of reappraisal of** *extensión,* **linkage with the context and communications at University One?**

This question is about the context in which the decision of developing a reappraisal process was made. Its aim is analysing how the university decided that it was necessary to conduct this process and which problems were detected and addressed. This question is intended to generate information regarding the role attached to public engagement and its importance from the perspective of the stakeholders.

2) **How is the process being developed?**

This question relates to three aspects of the context. The first is the expectations that the different stakeholders had of the reappraisal process. The second is which stakeholders were included – or excluded – from the process and the different levels of participation in it, and the kind of decision-making procedures considered. The third aspect refers to perceptions about the process from the perspective of participants.

3) **To what extent are the outcomes of the reappraisal process meeting the needs and expectations of key stakeholders?**

This question refers to the text, namely the documents resulting from the process (form, indicators, rubric and definition), and also to consequences, in terms of a contrast with participants' perspectives. It addresses the expectations and perceptions of stakeholders about *extensión* and linkage with the context and compares them with the outcomes of the reappraisal process.

4.4   Research paradigm

The research is rooted in the interpretivist paradigm, which highlights the importance of understanding human beings from the inside rather than observing them from the outside (Hammersley, 2013). It considers that there is not one but multiple realities; the enquiry looks for a working hypothesis more than generalisations, and the researcher will inevitably be subjective in her approach, which is influenced by her values and context (Lincoln and Guba, 1985).

As can be observed in the research questions, I was not looking for statistical tendencies but for deep meanings and assumptions regarding university public engagement. That is why I developed qualitative research, which relies on observations or written or spoken words that do not have a numerical interpretation (Schutt, 2012). A qualitative researcher "studies things in their natural settings, attempting to make sense of or interpret phenomena in terms of the meanings people bring to them" (Denzin and Lincoln, 2011 p 3). Considering that I was researching a process of reappraisal of ELC at University One, I developed my fieldwork in the setting by using qualitative data collection methods, which permit in-depth exploration of the meanings that participants attach to their experiences (Schutt, 2012) and are useful to find out how people came to understand and take action about their own situations (Punch, 2009).

4.5   Research design: case study

The selected method for this research was a case study, which is the study of one specific site, event, person or organisational unit and allows researchers working in-depth to look for meanings and understandings (Knight, 2002). Its aim is not achieving generalizable findings but observing a situation from different angles to see it in its completeness (Thomas, 2011). Its results can be used to expand or generalise theories -in terms of generating theoretical propositions that are expected to be applicable to other situations- rather than allowing statistical generalisations (Yin, 2014).

The selection criteria for the case study institution, specific departments and participants, was based on a purposive or theoretical sampling rationale, where the sample is understood as a portion of reality, without the objective of being representative of the whole (Miles et al., 2014). This implies that my selection was based on the purpose of the study, and aimed to develop a theory or argument (Mason, 2002). Accordingly, I followed Miles et al. (2014) and their six criteria for purposive sampling: relevance to the conceptual framework and research questions; likelihood of the phenomena of interest appearing in the

data; potential to enhance conceptual generalisability (in terms of generating theory that may apply to other similar cases); possibility to produce believable explanations and descriptions; feasibility in terms of time and resources; and being ethical in terms of the relation, selection and information to participants. With this in mind, the selection of University One was based on the purpose of my research, as I chose what can be acknowledged as a key or critical case. According to Thomas, a key case is considered a classic or exemplary case, which constitutes a good example of the topic of the enquiry (Thomas, 2011). Similarly Yin (2014) defines a critical case as one that has a specific relation with my theoretical propositions and can be a contribution to knowledge by challenging, confirming or extending theory.

There are several reasons that make University One a key or critical case for a study about public engagement. Firstly, its tradition as a public Latin American University with a historical mission aimed to *"contribute to the spiritual and material development of the country"* (University Statutes, 2006). Secondly, the level of institutionalisation of this function through established offices throughout the university. Thirdly, the wide variety of ELC initiatives developed at the university, which offered a complex and rich scenario for the study. Fourthly, the fact that it was developing an internal process of reappraisal of *extensión*, linkage with the context and communications, which appeared as an ideal moment to observe the reflections and decisions made regarding this topic as well as the assumptions and values on which they were based. In addition to this, there was an element of convenience in the selection rationale, as University One is for me a local knowledge case (Thomas, 2011) because I have previous experience of studying and working for this institution – this offered some advantages for the study in terms of my familiarity with the research site and the organisational culture, and my possibility of accessing it.

In a case study research design, an important step is bounding the case, which implies defining its boundaries in terms of time scope and units of analysis (Yin, 2014; Knight, 2002). The axis of the case was the reappraisal process, and therefore the data collection focused on groups that had certain participation in that process. Nevertheless, from a critical perspective it was considered

necessary to give a voice to community members, because although they were not consulted by the university within the reappraisal process, they are key stakeholders with regards to public engagement. That is how in the case of the university, I focused on the main group working on the reappraisal process (Leading Team – which includes both the Technical Team and the Directive Board – and Main Committee) and I also included the cases of three Faculties from three different areas of knowledge, whose Senior ELC officers were also members of the Main Committee. Concerning the community, I interviewed community members linked to ELC projects run by those Faculties. The rationale for the selection of participants is detailed in the following section.

4.6   Participants: selection and recruitment procedures

4.6.1 Gaining access

Authorisation to conduct my research was sought before planning the fieldwork. A summary of the research project was sent to the *Extensión* Pro-Vice-Chancellery, and they accepted the research through a formal letter. This process was facilitated by the fact that the authorities knew and trusted me, as I was a former student and employee at the University.

Despite this official authorisation, I made sure that in every event I observed, participants were aware of my research and accepted my presence. This implies that when I decided to conduct informal observation at the *Extensión* Pro-Vice-Chancellery, I designed and exhibited a poster with my name, picture, the goals of my research and contact details to inform all employees at the office, and give them the chance to ask me questions or tell me if they did not want me to observe their activities (see Appendix 10).

Before every meeting I observed, I asked the organiser to send via email the information sheet of my project to all participants, asking in advance if they agreed to my presence. In the case of a workshop for blind and short-sighted people that I observed, I made an audio-recording of the information sheet, which was played for them by the organisers at the end of a session, so they could discuss and decide whether they would allow me to observe the following

meeting. This recording was also sent to all of them via email. Finally, at the beginning of every meeting that I observed, I gave each attendee a copy of the participant information sheet and consent form, for them to review and sign before the meeting started.

Regarding the departments, I asked each Senior ELC officer for their authorisation to study the case of their Faculties, and also sought authorisation from the directors of the projects considered. In each case, before observing any activity, I again shared the information sheet and gave attendees the opportunity to either approve or disapprove of my presence.

4.6.2 Selecting and recruiting participants

For the selection of groups and participants I followed a purposive sampling rationale, which implied that my choice was guided by the research questions and evolved during fieldwork, as initial choices of participants or events lead to others (Mason, 2002; Miles et al., 2014). The selection was guided by the principles detailed in section 4.5, following some specific criteria, which will be detailed in this section.

Considering that the axis of this research is the reappraisal process, the data collection focused on the Main Committee and the Leading Team (which includes the Technical Team, the Third Stage Working Team and the Directive Board) of the reappraisal process, which together constitute the Central Group. In order to provide a broader perspective, it also includes the case of three specific Faculties: one in the area of Medical and Health Sciences (D1), one in the area of Arts (D2) and one in the area of Natural and Exact Sciences (D3). The Faculties were selected during the fieldwork according to two criteria: their *Extensión* officers had participated in the activities of the reappraisal process, and/or they had local *extensión* committees in place. It was also considered that the three cases should belong to different subjects, according to the university division of Faculties into seven main areas of knowledge (see Appendix 11). Selecting only three cases implied that it is possible that some Faculties that may have brought a different perspective to the study were not considered.

However, the interviewees from the Main Committee included participants from all different areas of knowledge, which provided a wide range of perspectives.

In terms of the selection of participants, for the Leading Team I selected people with different work positions, including both senior and junior professionals. For the Main Committee the aim was to have at least one person from each area of knowledge. Among the representatives of each area, I contacted the ones that had been more active participants at the meetings of the Main Committee, according to the meeting minutes of the previous year. For the Faculty cases, the first interview was with a Senior ELC officer, and from then on the snowball sampling technique was used for recruiting lecturer and student participants. This consisted on contacting a small number of participants who had certain characteristics, and asking them to refer me to others who shared these characteristics, which is useful for populations of difficult access (Cohen et al., 2000). This was necessary as the group to be contacted was very specific, so I followed the directors' suggestions regarding lecturers and students who were active in ELC projects. Concerning the community, the same technique was used: I asked the lecturers and students about community members who had participated in their ELC activities.

All participants were contacted via email, including an explanation of the research and a participant information sheet. In case that they did not reply within one week, a second attempt was made. If the second email was not replied to within one week I looked for another participant from a similar group. In the case of a group of blind and short-sighted people, I asked them personally at the end of a workshop if they agreed to participate in the focus group, as I knew that not all of them had access to computers. I later confirmed their participation via their preferred contact platform, which was either email or telephone.

Although the first intention was to have exactly the same number of participants for each department, this was not possible in the case of community members. Concerning the individual interviews, the attempt was to have two for each case. Nevertheless, in D3 (N&E Sciences) there were two interviewees who took nearly three weeks to respond to my contact requests. For that reason I

assumed that they were not participating and looked for another two interviewees. But eventually they did reply, and I did not want to miss the opportunity to speak to them. Therefore I ended up interviewing four instead of two community leaders for this department.

Regarding the focus groups, recruitment was very challenging and although I had confirmations, not all confirmed participants always showed up on the day of the focus group. In the case of Health, I had eight people confirmed, seven of whom came to the venue and one of whom only wanted to listen but not speak, so I had six participants. In N&E Sciences, after more than twenty-five emails sent, I managed to confirm four participants, but finally five appeared on the day of the focus group. Finally in Arts, participants were very busy so I gave them a lot of time to plan and we arranged the focus group for one month after the first contact. Nevertheless, although I had five participants confirmed, only three showed up. In all cases, I decided to conduct the focus group despite these differences, in order to respect the time of those who did attend and also because after months of difficulties in putting the people together, I thought it was more valuable having at least three rather than no participants.

Despite the different numbers, the experience of the focus groups resulted in very positive outcomes. In the case of Health, although I had more participants, there were some who spoke more than the rest, and therefore I did not feel there was a big advantage in comparison with the other groups. In Arts, the fact that they were only three allowed a fluent conversation, and the three participants spoke more-or-less the same amount. As a conclusion, although the situation was not ideal, I managed the objective of getting the perspective of different participants and the opportunity for them to discuss and contrast their ideas.

In the following section I offer more detail on the selection of participants for each case.

4.6.3 Central Group

This included the Leading Team of the reappraisal process (which considers the Technical Team, the Third Stage Working Team and the Directive Board), and

the Main Committee integrated by Senior ELC officers or leaders of ELC projects from different Faculties.

The group of interviewees included at least one member of each area of knowledge. In some cases there were more than two interviewees from one area, and this was due to delays in the responses: in some occasions I did not receive a response in two weeks, so I assumed the person was not participating and decided to contact another person from a different Faculty but the same area of knowledge. And after this second contact, the first person responded. In those cases I ended up interviewing two people from the same area, although I avoided interviewing two people from the same Faculty. I also included one member of the Student Union who participated in the Main Committee. Participants had had different levels of participation in the committee, some attended all meetings and others participated only in a few.

Data collection methods	Participants	Amount
Leading Team interviews	Senior manager of the Extensión Pro-Vice-Chancellery (lecturer)	1
	Senior manager of *Extensión* (lecturer)	1
	Senior manager of University Quality Assurance Committee (non-academic staff)	1
	Staff member of the *Extensión* Pro-Vice-Chancellery (non-academic staff)	1
Main Committee interviews	Senior ELC officer, Department in the area of Medical and Health Sciences (lecturer)	1
	Officer of the Research Pro-Vice-Chancellery (non-academic staff)	1
	Senior ELC officer, Faculty in the area of Legal, Political and Economic Sciences (non-academic staff)	1
	Senior ELC officer – Faculty in the area of Engineering and Technology (non-academic staff)	1
	Senior ELC officer, Faculty in the area of Legal, Political and Economic Sciences (lecturer)	1
	Senior ELC officer, Faculty in the area of Forestry, Agricultural, Livestock and Marine Sciences (lecturer)	1
	Representative of the Students Union (student)	1

	Senior ELC officer in the area of Social Sciences and Humanities (non-academic staff)	1
	Total interviewees	**12**
Observation	Weekly meetings of the Third Stage Working Team	15 hours (9 meetings)
	Informal observation while working at the *Extensión* Vice-Chancellery facilities	19 hours
	Total observation	**34 hours**
Documents for analysis	Official documents of the reappraisal project	2
	Document with the vision, mission and main guidelines for the *Extensión* and Communications Pro-Vice-Chancellery	1
	University Institutional Development Plan (IDP)	1
	Student report about *extensión* at University One	1
	Registry of Linkage activities	1
	Total documents	**6**
Engagement interfaces	Exploratory dialogues	3
	Participation in the preparation of a workshop for the *ELC officer*s and/or their teams	4 meetings
	30 minute presentation of my literature review about the concepts of *extensión*, linkage with the context and public engagement	1
	Sharing a journal article with these contents with all participants	1
	Total engagement interfaces:	9

Table 2: Data for Central Group: Main Committee and Leading Team.

4.6.4 Department 1: Faculty in the area of Medical and Health Sciences

The reasons to select this Faculty were, firstly, that the Senior ELC officer had participated in the Main Committee of the reappraisal process. Secondly, that the Faculty had a local *extensión* committee. And thirdly, that they had recently created an *extensión* policy specific for the Faculty, which was approved during my fieldwork.

The interviewees included the Senior ELC officer, an *Extensión* officer from the local Students Union, a lecturer and *extensión* officer from one department, and a lecturer and director of a cinema workshop for blind and short-sighted people.

Regarding the community, I interviewed a leader of a local political group linked to student initiatives, and the director of a project about cinema audio-description made by and for blind and short-sighted people in Mexico, who had worked in partnership with the local project. The focus group was conducted with participants in the cinema workshop.

The document review included the local *extensión* policy, and the observations included one meeting of the local *extensión* committee, one meeting with community members where the *extensión* Direction presented the new local *extensión* policy, and two sessions of the cinema workshop.

Data collection methods	Participants	Amount
University Interviews	Senior ELC officer (lecturer)	1
	Extensión officer of one department (lecturer)	1
	Member of leading team of the film-making workshop for people with blindness or low vision (lecturer)	1
	Extensión officer at the local Students Union (student)	1
	Total university interviewees	**4**
Community interviews	Community leader of the surrounding neighbourhood	1
	Director of a blindness society who worked in partnership with the local project	1
Focus groups	One Focus group with students of the Film-making workshop for blind and short-sighted people	6 participants
	Total community interviewees	**8**
Observation	One meeting of the local *Extensión* Committee	1.5 hours
	One workshop organised by the Senior ELC officer to present its new *Extensión* policy to community members	1 hour
	Two sessions of the Cinema workshop for blind people	4.5 hours
	Total observations	**7 hours**
Documents	New *extensión* policy for the Faculty	1
	Total documents	**1**

Table 3: Data for Department 1 (Medical and Health Sciences).

4.6.5 Department 2: Faculty in the area of Arts

The reasons to select this Faculty were threefold. First, its *Extensión* officers had participated in some meetings of the reappraisal process. Second, the Faculty had a local *extensión* committee. And third, they had recently created *extensión* guidelines specific for the Faculty.

The interviewees were the Senior ELC officer, an *extensión* delegate from the local Students Union, a lecturer and representative of his department at the local *extensión* committee, and a lecturer and director of a project with a community dance group in a city located 300 miles from the University Campus. As regards the community, the interviewees were the director of the community dance project, and an officer from the National Culture and Arts Council. A focus group was conducted with participants in the community dance workshop.

Observation was conducted in one session of the local *extensión* committee. The documents analysed were the local *extensión* guidelines and the Faculty Institutional Development Plan.

Data collection methods	Participants	Amount
University interviews	Senior ELC officer (lecturer)	1
	Director of project with community dance group (lecturer)	1
	Representative of the Faculty Student Union (student)	1
	Extensión delegate of one department (lecturer)	1
	Total university interviewees	**4**
Community interviewees	Officer of the National Commission of Culture and Arts	1
	Director of a community dance group	1
Focus group	Focus group with participants in the community dance workshop	3 participants
	Total community interviewees	**5**
Observation	One meeting of the local *Extensión* Committee	2 hours

	Visit to the venue where the dance workshops take place.	1 hour
	Total observation	**3 hours**
Documents for analysis	Faculty *Extensión* guidelines for the Faculty of Arts	1
	Faculty Institutional Development Plan	1
	Total documents	**2**

Table 4: Data for Department 2 (Arts).

4.6.6 Department 3: Faculty in the area of Natural and Exact Sciences

The reasons to select this Faculty were twofold. First, its Senior ELC officer had a very active participation in the Main Committee of the reappraisal process. And second, this Faculty had big a number of *extensión* initiatives, which were mentioned on different occasions and by different interviewees.

The interviewees were the Senior ELC officer, a student leader of an *extensión* group, and two lecturers who had participated in several ELC projects. From the community, the interviewees were the Education Director of a city council, a teacher at the National Service for Minors, an officer at a textbook editorial company, and an officer from a TV channel. All of them had worked with the Faculty in different ELC initiatives. A focus group was conducted with former school students who had participated in laboratory workshops and a scientific fair organised by the Faculty.

Observation was conducted at the radio station where the Faculty produces a weekly radio programme where school students interview a scientist. It also included watching some recordings of the radio programme and the short science videos that the Faculty produces and are broadcast daily on a national TV channel, where a scientist explains their research.

Data collection methods	Participants	Amount
University interviews	Senior ELC officer (lecturer)	1
	Lecturer who participates in *extensión* activities	1

	Lecturer who participates in *extensión* activities	1
	Student who leads *extensión* group	1
	Total university interviewees	**4**
Community interviews	Education Director of a City Council	1
	Teacher at the National Service for Minors	1
	Officer at TV channel	1
	Officer of a textbooks editorial company	1
Focus group	Focus group with former school students who participated in laboratory workshops	5 participants
	Total community interviewees	**9**
Observation	Science radio program	1. 5 hours
	Total observation	**1.5 hours**
Documents for analysis	Archive of radio programs	4 hours
	Archive of TV microprograms	1 hour
	Total	**5 hours**

Table 5: Data for Department 3 (Natural and Exact Sciences).

4.6.7 Critical reflection on my role as researcher

Despite any efforts made to not influence the settings, a researcher's presence has an inevitable influence, so it is important to acknowledge this situation and include a reflection on how relationships where managed during the research process (Holliday, 2016). In this section I describe the main challenges I faced regarding my positionality as a researcher, and how I managed them.

Insider/outsider perspective: In a research process, an insider is understood as a member of the researched group, while an outsider is a non-member (Merton, 1972). According to Trowler (2016), an insider researcher in higher education is frequently understood as someone who is employed or studies at the university being researched. Nevertheless, he suggests that a researcher may investigate aspects and people of her university that are not previously known to her, and that the way the researcher positions herself in relation to the university is also a determinant of insider-ness.

Considering this, I was in an intermediate position: I could be regarded as an insider due to my previous experience as student and employee at University One, but I also consider myself an outsider because I finished my working relationship with the institution more than five years before the data collection. Furthermore, I did not work for the departments where I based my research and I did not know most participants prior to carrying out the research**.**

This ambivalence contributed to a good balance for my position as a researcher. On the one hand, I had the advantages attributed to an insider researcher, which relate to her familiarity with the site, which places her in a better position due to her knowledge of the patterns of social interaction needed to gain access and make meaning, as well as generating rapport with participants (Shah, 2004; Mercer, 2007). That is how I had access to the site, trust from the management and understanding of the organisational culture. On the other hand, I was able to avoid the disadvantages attached to insider research, by which previous knowledge of the site may blind her to issues taken for granted, and imply that participants have preconceptions about the researcher that limit their responses (Mercer, 2007). I felt that the time spent in British higher education institutions opened my eyes to several issues that I may not have noticed before this experience, which helped me to not take things for granted; and I was not known to most participants, which implies that most of them did not have preconceptions about me.

Being known: For some of the interviewees, I was a familiar person as a previous student and employee at University One. This was positive in terms of access and having their trust, but also proved to be challenging in terms of their expectations, as in cases when I felt they expected me to contribute to their process or give them feedback about they work they were doing. This was managed in terms of making clear that I was not able to give any feedback before the end of the data collection process, and arranging to make a presentation for them at the end of the process.

Researching academics: This situation challenged my ambitions of developing participatory procedures in the research process. As many of my interviewees were experienced academics themselves, I realised that if I asked them for

feedback about issues such as research design and data analysis, they could adopt a position of academic reviewers rather than participants. For example, one senior manager offered to be a co-supervisor of my project. I managed this situation by politely rejecting the offer, and avoid asking for feedback from participants on the subject of the data analysis process.

Being considered an expert: In Chile, having a PhD is still uncommon. Plus, studying in a British University is seen as something valuable, especially in an academic context. Therefore, the sole fact that I was pursuing a PhD in the UK put me in a position of being considered an expert and being expected to contribute. I managed this by committing to offer information only at the end of the data collection process, which was based on my literature review, rather than exposing my own views.

Being considered to be "the university": In some cases, community interviewees were confused about my role and saw me as part of University One. I was very careful, every time this happened, to repeat that although I had worked for the University in the past, this was not the case anymore and I was not in a position to represent their demands or expectations at the University, apart from including their perspectives in my thesis and communicating its results to the institution.

These situations placed me in a position of constantly negotiating my role and preventing myself from exposing my opinions regarding public engagement. The situation was especially challenging at the moment of planning my presentation of my literature review about the engagement concept, as this represented a co-creative process where I worked with part of the Leading Team organising a workshop with several presentations, including mine. This inevitably changed my position and converted me into being part of the team or a participant-observer. As I found this situation confusing, because discussions about contents and interpretations about public engagement was inevitable, I decided to consider the data collection from this group finished at that point and began working with them in the organisation of the presentation.

4.7   Methods of data collection

A wide range of methods and sources of data was used in this research, in order to achieve triangulation, which is a way to support the case study findings through different sources of evidence (Yin, 2014) and in that regard it can be considered to be an essential element of case study research (Thomas, 2011). From an interpretivist approach, I assume that objective reality cannot be captured, and therefore I did not consider triangulation as a way of validating findings, but instead it added rigour, richness and in-depth understanding (Denzin and Lincoln, 2011).

I used both methodological and respondent triangulation. Methodological triangulation consists of the use of different data collection methods to explore the same topic. This is especially relevant in policy-related research, as permits contrasting for example the aims of the policy through document analysis, with its interpretation and consequences through interviews or observation (Briggs et al., 2012). That is why this research included document analysis, individual interviews, focus groups and observation, as a way to provide a perspective of the reappraisal process from different angles. I also used respondent triangulation, consisting of asking similar questions to many different participants (Briggs et al., 2012), in order to consider the perspectives of stakeholders from different departments and including community, students, staff and management. Although each of their perspectives was considered unique and therefore one cannot corroborate the other, triangulating was useful to provide a range of different perspectives about the same events, and therefore a richer account of them.

The fieldwork took place in Chile during three months: March, April and May 2016. A small part of the data was collected after the fieldwork, which will be detailed in this section.

4.7.1   Documentary research

Documents were an important part of this research. Firstly, I included the revision of university official documents that contain references about the

university mission and existing definitions about ELC, *extensión* policies of particular Faculties, and also two reports about the topic resulting from an academic and a student-led project. These documents were used to understand the context and also the reasons for the reappraisal process. Secondly, I included the analysis of the outcomes of the reappraisal process: a form, list of indicators, rubric and definition (see Appendix 1 - 8). With respect to the form, considering that most of its 12 compulsory and 11 optional fields were descriptive (e.g. action's title, year, region), I only included in the analysis of 5 fields that I considered that reflected some decisions regarding the possible scope of ELC: General type of action, Specific type of action; Institutionality; Scope/frequency; and Cost for beneficiaries (See Appendix 2 -3). These documents were later contrasted with the perceptions and expectations expressed by participants.

4.7.2 Individual interviews

Interviews are a method that allow participants to discuss their own interpretations of a context or situation, and to express their points of view (Cohen et al., 2000). As I aimed to know how participants understand and value engagement, interviews were an important part of this research. In the words of Shah (2004 p.552), interviewing is "a participative activity to generate knowledge" where both parties learn and share a meaning-making process. That is why I used semi-structured interviews, which are guided by an interview schedule with a list of topics to be covered, but the researcher has the freedom to ask follow-up questions (Thomas, 2011). The interviewees were a sample of members of the Main Committee and Leading Team of the reappraisal process, as well as members of three specific Faculties; and community leaders linked to ELC projects run by those Faculties (see details in section 4.6).

Although most of the 24 individual interviews were done face-to-face, there were three that I did not manage to carry out when I was in Chile, one from each Faculty. In D3 (N&E Sciences), although I tried with several alternatives, I did not manage to arrange a meeting with a student. In D2 (Arts), I needed to interview the leader of a community dance project located in a city 300 miles

away from the city were I based my fieldwork, and the only opportunity that I had to travel there, she was away. In D1 (Health), I needed to interview the leader of a project of cinema audio-description for blind and short-sighted people who lives in Mexico. That is why I had to conduct these three interviews online via Skype, once I was back in Leeds.

Although this situation was not ideal, the experience was very positive in terms of the outcomes. I did not feel that the Skype interviewing involved any limitations for the conversations. All the interviews I did face-to-face were different: some were in a quiet room, others suffered interruptions from phone calls or people entering the office, so not even face-to-face interviewing guarantees a similar environment. The Skype interviews worked well and I was able to ask all the questions and listen to all the answers. The three participants were in a quiet room during the interview and therefore we had no interruptions, apart from some occasional failures in the audio connection in one of them.

4.7.3 Focus Groups

Although the interviews with community leaders provided a different point of view than those with university members, they made me realise that I was still not addressing the final participants in the engagement activities. In many cases, the interviewees were professional officers of external entities, but were not participants in *extensión* activities themselves. That is why I decided to look for another way to include the perspectives of lay community members.

Considering that community participants in engagement activities may have had few experiences with the university, conducting private interviews with them was not the most suitable method, as this is a topic that they may have not reflected upon before. That is why I considered it more appropriate to conduct focus groups, where a discussion setting would allow participants to reflect on the issue and exchange and develop their opinions. Focus groups are recommended when looking for a range of opinions and ideas, when it is attempted to uncover factors that influence perceptions and opinions, and when ideas are expected to emerge from the group (Krueger and Casey, 2015).

I conducted three community focus groups, one with a group related to each selected Faculty. Considering that the idea of including lay community members came later in the research process, I decided to conduct two of the focus groups online. The reason was twofold: firstly, I did not have enough time to plan and conduct the focus groups onsite. Secondly, it was not possible to get all participants physically together, as they were located in different extremes of the city (in the case of Sciences), and in different cities and even different countries (in the case of Arts). The only exception was done with a group of blind and short-sighted people who participated in a cinema workshop organised by the Faculty in the area of Health. In this case, conducting an online focus group was not possible as not all of them had access to adapted computers. Thus a face-to-face focus group was conducted with this group.

The focus groups for the Faculties in the areas of Arts and Natural and Exact Sciences were conducted online on Skype, without use of cameras, only audio, so they resembled a telephone conversation. Krueger and Casey (2015) recommend telephone focus groups as a way to put together people that are geographically dispersed. According to the authors, this method has the advantage of being less intimidating than face-to-face encounters, and the disadvantage of missing the opportunity of observing nonverbal communication. This second issue, more than a disadvantage, was seen as a way to set equal conditions for the sighted and non-sighted people. This is because the group with disabilities was not able to see each other or me during the conversation, and this situation was replicated in the online focus groups, as we did not have video but only audio.

4.7.4 Observation

Observation represents "a first-hand encounter with the phenomenon" not mediated by a document or the interviewee (Merriam, 2002 p 13). In order to have an idea about the way the reappraisal process was developed, the kind of work included in the duties of the *extensión* offices, and the way engagement projects worked, I conducted two different kinds of observation.

The first was non-participant observation. I observed all the meetings of the Third Stage Working Team that happened during my data collection, without having any participation in them (Creswell, 2013). I also observed a meeting of the local *extensión* committees of the two selected departments that had a committee in place. This gave me an idea of the context, the topics discussed in meetings, and the concepts and assumptions that emerged regarding *extensión*. Finally, I observed some of the *extensión* activities organised by the departments.

The procedure for the observation of meetings included asking all participants if they accepted my presence at the beginning of the meeting. I kept silent and made notes, either directly on my laptop in those meetings where most people were using laptops; or handwritten in a notebook in the cases were most people were not using laptops.

There are a number of issues that can be observed during a meeting, including those related to content (purpose and objectives) and to process (including roles, behaviours and decision making procedures) (Williams, 1994). For the purpose of this research I considered one aspect of each of those categories. Concerning content, I observed which topics were covered, which activities were considered and which arguments were used about their relevance, which were used mainly to respond Research Question 1. Regarding process, I could observe some situations or descriptions the groups had made in relation to the reappraisal process, which were useful mainly to respond to Research Question 2. I followed Creswell's (2013) recommendation of having an observation protocol to be completed in each of the meetings (see appendix 9).

The second type of observation was direct or unstructured, done in a more informal way throughout the fieldwork, in order to know the conditions of the environment (Yin, 2014). This allows the researcher to immerse themselves in a situation in order to have a general understanding of it, rather than looking for specific kinds of behaviour (Thomas, 2011). Accordingly, during the fieldwork I spent time working on my laptop in the *Extensión* Pro-Vice-Chancellery, in order to gain a better understanding of the context and the kind of work developed in this office.

4.7.5 Engagement interfaces

Although I did not do a participatory action research project, I could not conceive a research design where I did not involve my participants to some extent. I was researching engagement because I am convinced that participation and dialogue are beneficial for knowledge development, so I wanted to develop myself as an "engaging researcher", defined by their interest in involving the public with their research (Duncan and Spicer, 2010).

My interest in engaging participants was also linked to my goal of developing research that has some impact (Denicolo, 2014). According to Rickinson et al. (2011) the results of research are much more likely to be considered by policy makers if they have some involvement in the research process and interaction with the researchers. Specifically about developing "user engaged research" with policy makers, Rickinson and colleagues suggest that research-based knowledge can interrupt policy-making processes by suggesting options, challenging assumptions or presenting alternative interpretations; policy-making can also interrupt taken-for-granted aspects of the research process by challenging the research questions, and suggesting alternative interpretations or ways to access data. This is beneficial because it allows both parties to learn from the other, and therefore it is necessary to generate these interruptions (Rickinson et al., 2011).

Following these recommendations, I considered a research process that was "interrupted" at some moments by an interface of dialogue with participants, through the following activities:

4.7.6 Exploratory dialogues

During the exploratory phase of my research, I had conversations via Skype with four different members of the Central Group. These conversations were important to understand the research setting, to know their research needs and to consider this when formulating my research questions.

4.7.7 Presentation of my research project

On my arrival at the research site, I offered a short presentation about my research project to the Leading Team of the reappraisal process. This had three main objectives: generating trust; providing an opportunity for feedback before starting the data collection; and making clear what my role was going to be. In research that engages policy makers, expectations need to be managed, otherwise participants may expect the research to satisfy their immediate needs rather than a longer term purpose (Rickinson et al., 2011). That is why defining my contribution as part of my research design gave me an opportunity to make clear that I could give some inputs from the literature but I was not going to publicise my opinions (Mercer, 2007). On this occasion I received questions and feedback, especially related to suggestions of interviewees and cases that could be of interest for my research.

4.7.8 Presentation of a literature review about the engagement concept

I was researching a process oriented to the creation of a document with indicators and definitions about university public engagement. This presented a challenge for my position as a researcher, because as part of this process, participants had been looking for literature and international experiences. However, most of the research literature about public engagement is written in English and therefore it is not accessible to them, because most of them are not fluent in that language.

In this context, I felt that I could not be just an observer of the process but I should contribute at least by sharing some literature, for three main reasons. First, because it was not ethical: as asserted by Barker (2015), the difficulties experienced by many universities when trying to make engagement a strategic priority start with the lack of conceptual definitions about it. In that context, I considered that my literature review about the concept of engagement could be useful for the reappraisal process. Second, because it was not realistic, given that from the first contact, participants had asked me for information and expected me at least to tell them how public engagement works in England, so I needed to have a formal answer to this within my research design. And third, because I was using the Anglo-Saxon literature as a framework to analyse this

case, and I thought that it was going to be interesting to observe how participants interpreted some of this literature and linked it to their own reality.

That is why after I collected the data of interviews and observations, I offered a presentation for ELC officers at University One, about the history and evolution of the public engagement concept in the English-speaking literature, and the concept of *extensión* in Latin America. This was part of a workshop organised by the *Extensión* Pro-Vice-Chancellery where they made other presentations about the history of *extensión* at University One. A summary of my presentation is included in the University report of Stage Three of the reappraisal process. I also developed the contents of this presentation further into a journal article, which was published in a Chilean peer-reviewed academic journal (Dougnac, 2016). Once published, I sent the article to all participants offering to answer questions or receiving feedback. I only received a few but very positive responses regarding how interesting and useful the article was for them.

The objective of this presentation and publication was twofold. Firstly, it provided participants with some useful information for their process as part of an exchange where they also provided me with material. Following a critical perspective, it can be asserted that having access to this information contributed to participants' own critical reflection about their thinking and practice of public engagement and to empowering them through that knowledge (Lincoln et al., 2011). Secondly, this instance generated an opportunity for my research process to have some impact at University One. I have seen an impact reflected on two official university documents where my article has been quoted: a working document of the *Extensión* Pro-Vice-Chancellery with engagement models used for the discussion of a policy, and a report of the Massive Open Online learning courses at the university, both published in 2017.

4.8   Approaches to data analysis

The process I followed for the analysis is based on two models. One is Creswell's (2005) six steps of data analysis: preparing and organising, exploring and coding, describing findings and forming themes, representing and reporting findings, interpreting findings, and validating the accuracy of the findings. The

other is Braun and Clark's (2006) six steps for thematic analysis: familiarising with the data, generating initial codes, searching for themes, reviewing themes, defining and naming themes, and producing the report. I blended both suggested processes in order to build my own data analysis procedure. I have chosen to represent it in a circle, because analysis and writing are not linear – instead all stages influence the others (Holliday, 2016). Therefore, I took an iterative approach to the analysis (Knight, 2002; Creswell, 2005; Schutt, 2012), which implied that although I mostly followed a step-by-step process, on occasion I went back and forth between stages in order to review or include data.

Figure 2: Data analysis process.

Adapted from Creswell (2005) and Braun & Clark (2006)

4.8.1 Preparing and organising

All data was uploaded to the program NVivo, organised in folders according to cases, and all audio-recordings were transcribed. This process allowed me to familiarise myself with the data and have a good knowledge of it at the time of coding.

4.8.2 Transcription

The interviews were recorded with a digital device, downloaded into my university folder, and imported into the NVivo programme. I listened and transcribed to all interviews within NVivo, which allowed adjustments to be made to the speed of the recording and to easily going back and forward when necessary, as well as keeping record of the time spans of each part of the interview. The transcription of each interview took three-to-four times its length. The same process was followed with focus group recordings.

Additionally, all the observation notes and documents for analysis were uploaded to NVivo and stored in a separate file for each case study, in order to have all the information organised in one place.
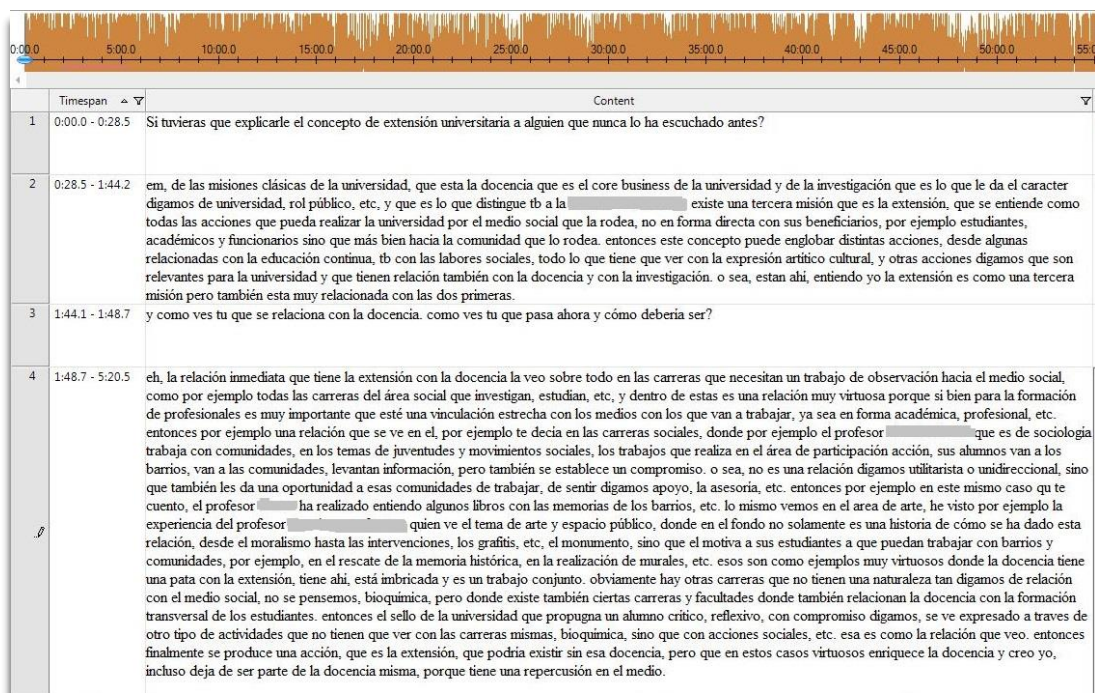
Figure 3: Screenshot of transcription in NVivo.

4.8.3 Translation

As participants live in a Spanish-speaking country, all the interviews were conducted in Spanish and all the documents analysed were written in Spanish. The data analysis was done in Spanish, and only at the moment of finishing the edition of each chapter, the selected quotes were translated into English.

Although I did my best to translate as accurately as possible, it is important to take into account that translation is not a neutral technique that replaces equivalent words from one to another language, but a practice in which the worldview and background of the translator is embedded (Xian, 2008). Assuming that it is not possible to be neutral, being transparent about translation issues is part of research rigour (Wong and Poon, 2010).

Both documents and interviews presented challenges for the translation. Some interviewees used colloquialisms and local expressions that, if literally translated, would not make sense. Some documents used concepts that, if literally translated, would have a different meaning. This is because different frames of reference may signify that apparently identical concepts have different meanings and, therefore, assuming similarities can be misleading for research (Shah, 2004). In order to embrace these challenges, I took a series of steps. Firstly, I included a discussion about the translation of the main concepts within the context chapter. Secondly, I decided to use functional translations when I felt that the linguistic translation was misleading (Peña, 2007), and in this context my knowledge of the Chilean and British higher education sectors helped me to make decisions regarding the most accurate translations possible. Thirdly, in a few cases where I felt that the available translation was not useful, I decided to use the original word in Spanish (such as the concept of *Extensión*), which is explained in the relevant section. Finally, I followed Wong and Poon's (2010) recommendation of not relying on external translators, in order to avoid adding any additional interference to my own interpretation. External translators were only used with the objective of revision (see section 4.8.10, p.98).

4.8.4 Exploring and coding

A thematic analysis was applied to interviews, documents and observation notes. This involved dividing the data into codes, which later evolved into broader themes. The data analysis was not guided by a previously existing framework, but aimed to identify a framework that emerged from this specific case. The decision for this approach had to do with an attempt to decolonise knowledge production and respect the particularities of the context. As most of

the literature about public engagement and most frameworks I found were based on English-speaking contexts, I did not find it appropriate to base my analysis on a framework built according to such literature.

I had a trial of analysis with a first set of data, in order to refine my indexing practice and see what worked best (Mason, 2002). During this stage I felt that although transcription had helped me to become familiar with the data, it was not possible to grasp all its richness in one single reading. At the same time, I observed that I was coding nearly everything, as all the data seemed potentially relevant. So I decided to start again, this time with only one research question in mind. This means that first, I used the first research question as the focus to read all interviews and review all documents. I read each interview one time, tagging the parts that had some relation with the research question with different codes. I repeated the same process with RQ2. In the case of RQ3, I added a fourth reading once I decided to sub-divide the analysis in three major topics. This process allowed me to concentrate in each particular topic and also to double check my own coding, as sometimes I found something that I had not noticed in a first reading during the second or third one. This implies that after having listened and transcribed each interview, I read and analysed each of them at least four times, looking for different things. This also allowed me to be so familiar with the data that I was able to distinguish who said which quote without even reading the participant's name, which I felt that helped to speed the process and feel more secure about my understanding of each of their's perspectives.

I will use the third research question to exemplify the process. This question relates to how the documents were satisfying the needs of stakeholders, so I considered necessary to identify participants' ideas and expectations regarding the function of public engagement. I read the first interview and started tagging each relevant piece with a name that I considered appropriate. I continued with the others, repeating tags or adding new ones. After reading all the data, a general list of codes was generated (see appendix 14).

4.8.5 Forming themes

Once I had carried out the initial coding in NVivo, I reviewed the codes and determined that some of them related to different issues so needed to be regrouped, and I also found several overlaps so some codes were merged. This is how the first set of themes emerged.

Defining which topics are prevalent or key to be counted as codes or themes, does not have to do necessarily with the amount of times that they appear in the data, but with the fact that they capture something important for the research question (Braun and Clarke, 2006). In order to reflect the diversity of perspectives present among participants, the criterion to define a theme was that it represented a perspective related to the research question, although in some cases those views were mentioned only by a limited number of participants.

In the case of RQ3 I reviewed the codes, went back to the interviews and realised that they refered to different issues. I spent a long time trying to work on them and regroup them, finally ending up with the realisation that the themes were related to three separated issues: the goals of engagement, the ways how engagement is developed and the partners in the relationships. So I regrouped the existing themes in these three main issues and I decided to re-read all interviews once again, this time with these three separated issues in mind. This generated a large number of themes for each topic. For example, I ended up with 15 themes related to the goals of engagement (see appendix 15).

4.8.6 Refining themes

In order to have a better perspective of the different themes and contrasting opinions within them, at this stage I decided to move the data from NVivo to an Excel file. This process implied re-reading all the selected quotes and allowed to refine the themes, grouping overlapping issues. The objective was to have a more structured visual perspective of the data that allowed me to see clearly which participants had mentioned each topic and what they had said about it. I found this process very useful, as it gave me a clear picture about which ideas were more prevailing. On some occasions this was different from my original impression of the data, that some ideas were shared by most participants, but

then the table showed me that actually they were mentioned only by a few, or vice versa.

In this phase I started writing a first draft of the report, including introductions and statements that summarised issues identified in the data. This also implied regrouping the subthemes and changing the name of the overarching themes.

Continuing with the example of RQ3, I realised that I had too many themes and some of them were overlapping, so moving them to an Excel table allowed me to compare the different perspectives and group overlapping issues. For example, during this stage I reduced the list of themes related to the goals of engagement from 15 to 10 (see appendix 16).

At the end of this process I still had a long and overlapping list of themes. So I decided to create some tables and mindmaps in order to identify the overlaps and possibilities of regrouping some themes. Appendix 17 shows the diagram of all my themes highlighting those that were overlapping. Appendix 18 shows how I decided to regroup them. A third and final regrouping was done during the thesis writing, which involved moving all the themes related to knowledge exchange (highlighted in appendix 18) from the chapter on goals to the one on processes.

4.8.7 Interpreting findings

This stage happened during the writing process, when I started to make sense of the data in order to organise it within a chapter. This involved revisiting my drafts, including more analysis of the data, cutting the preselected quotes to keep just the key parts, and selecting the extracts that were clearer on capturing the essence of each theme. This revision continued when I wrote the discussion chapter, which involved going back to re-read the findings.

4.8.8 Ensuring trustworthiness and rigour

This final stage considered determining the credibility or accuracy of the findings. Considering that this research followed a qualitative methodology, the concepts of reliability (referring to the replicability of the research results) and

validity (relating to the accuracy and appropriateness of the measurement) are not appropriate to assess its quality (Golafshani, 2003). Therefore, I considered Lincoln and Guba's (1985) concept of trustworthiness, which refers to how a researcher can make the case that her findings are worth taking into account (Lincoln and Guba, 1985). According to the authors, there are four criteria to assess a research's trustworthiness: credibility, transferability, dependability and confirmability. The way I addressed these criteria is summarised in the following table:

Concept	Definition	Application
Dependability	Acknowledgment that contexts are not stable and are always changing.	Explaining clearly the time scope when data was collected and contextual changes during research process.
Transferability	The extent to which research findings can be generalised to other contexts.	Detailed description of the case study institution so readers can evaluate if they can transfer the findings to their own contexts.
Credibility	The extent to which the results of the study are credible from the perspective of participants.	Triangulation of data in order to cross-check each data source at least against another one. Revision to ensure accuracy of analysis. Third-party revision of translation
Confirmability	A research will be more trustworthy if the data has been confirmed by others.	Transparency about my axiological position. Providing quotes to show what I based my claim on. Precision about the amount of mentions that each theme had.

Table 6: Application of Lincoln and Guba's (1985) criteria for trustworthiness.

4.8.9 Ensuring the accuracy of the analysis

According to Holliday (2016), theme definition starts in the mind of the researcher from the moment of data collection and responds to her particular perspective, so it would inevitably vary from what others would do with the same data. That is why I discarded the possibility of asking another person to check my thematic analysis, as I considered that it was not possible to have a unique perspective. Additionally, I considered that doing an accurate review would be an extremely time-consuming process for any other person.

Thus, I made all efforts to check the accuracy of my analysis by myself. This meant that after finishing the first draft of each findings chapter, I tested each of my assertions by reviewing the data, following the recommendation of Bazeley (2013). I also re-counted how many participants referred to each theme and constructed tables with these results to guide my revision (see Table 7). Then I double-checked the consistency between the results of each section, the summary of each chapter, and the overall conclusions in the discussion section.

Group	Mission fulfilment	National debate	Students' influence	Accredit-ation	Lack of valorisation	Scarce funding	Lack of clarity
Main	8	2	6	3	6	7	6
Leading	4	3	2	3	4	2	4
D1 Health	4	3	4	1	3	4	0
D2 Arts	4	1	1	0	0	0	0
D3 Sciences	1	0	2	1	2	2	4
TOTAL	21	9	15	8	15	15	14

Table 7: Number of university participants that mentioned each reason for the reappraisal process.

4.8.10 Validating the translation

In order to consider the particularities of a context, and that the translation is effective, it is recommended to conduct collaborative processes of translation and checking, where a team of people familiar with both cultures and languages collaborates in order to make the best possible translation emerge (Douglas and Craig, 2007). Although I did the translations on my own, I conducted a

process of revision and validation. For this I drew upon three volunteer translators. Translator 1 is a native English speaker, professional translator and fluent in Latin American Spanish. Translator 2 is a native English speaker, fluent in Chilean Spanish and familiar with the local culture. And translator 3 is a Chilean PhD student in the UK, fluent in both English and Spanish.

I took a sample of 50% of the document quotes and 20% of the interview quotes, which were evenly divided among translators 1 and 2 for their revision. The changes they suggested had to do with grammar and style, as they both agreed that my translations respected the meaning intended in the original quotes in Spanish. Once I received their feedback, first I reviewed the sample of quotes and made the necessary adjustments. Second, I used their feedback as an input for me to review the rest of translations and make adjustments. And third, I made a note of all the translations about which I had any doubts, and discussed and improved them with translator 3.

Original in Spanish	First translation	Translation revised by translator 1	Final version
Es por ello que, según sostienen los entrevistados, estudiantes y académicos gestan proyectos de vinculación con el medio sin otro incentivo que su propia voluntad, y sin ningún tipo de reconocimiento.	That is why, according to the interviewees, students and academics generate projects of linkage with the environment without any other incentive than their own will, and without any sort of recognition.	That is why, according to the interviewees, students and academics generate linkage projects without there being any other incentive than their own will, and without any sort of recognition.	That is why, according to the interviewees, students and academics generate linkage with the context projects without there being any other incentive than their own will, and without any sort of recognition.

Table 8: Example of the process of validating translations.

The table above presents an example of the revision process. The second column shows the original translation done by me. The third column shows the version corrected by translator 1, and in the fourth column is the final version decided upon by me. In this example it can be seen that the final version

considers the feedback of translator 1 in two ways: firstly it accepts a change that improves the grammar of one phrase ("without any other incentive" was replaced by "without there being any other incentive"). Secondly, it considers the translator's suggestion of avoiding the concept of "linkage with the environment" as a translation for *vinculación con el medio*, as it may appear to be related to nature. But instead of leaving the word "linkage" on its own, as suggested by translator 1, I decided to change the word "environment" for "context", and therefore generating the concept "linkage with the context". This input was used to correct the same concept in the whole thesis, which serves as an example of how reviewing a sample of translations contributed to the improvement of them all.

4.9   Ethical considerations

The completion of an ethical review form was required to conduct this research, which was approved by the University of Leeds ESSL, Environment and LUBS Faculty Research Ethics Committee, before conducting the fieldwork (Reference AREA 15-048).

Conducting social research in an ethical way implies taking into account the effects of the research on participants, and always acting in a way that preserves their dignity (Cohen et al., 2000). For the design and completion of this research I considered the ethical guidelines of the University of Leeds (2017) and those of the British Educational Research Association (2011). In order to ensure that I respected the local protocols, I also considered the guidelines of the Research Ethics Committee of the Faculty of Social Sciences at University One (2017, no date).

These three sets of guidelines include regulations in four dimensions. The fist dimension is responsibilities towards participants, which are similar in all three regulations. They include processes of informed consent, protection of vulnerable groups, ensuring a favourable relation risk-benefit, protection of confidentiality and data safeguarding, prevision and reparation of possible harm. Following these requirements, informed consent was a requisite for data collection. At the moment of inviting people to participate, I sent them a

participant information sheet containing all the requirements stated in the aforementioned guidelines, including the project details, explaining how the data was going to be managed, stating the right of participants to withdraw from the study and referring to the expected risks of participating (Appendix 12). Before conducting any interview or observation, I provided participants with informed consent forms to complete and sign (Appendix 13). For the interviews done online, the same procedure was followed verbally and audio-recorded. In the case of the focus groups, at the beginning of each of them participants were asked if they had reviewed the information sheet. If anyone said that they had not, or that they did not remember it very well, it was read for them again, and they were asked if they had any questions and whether they accepted to participate in the study. Only after this process were the interviews started.

Regarding identity protection, anonymity has been protected in this research. The name of the University was changed and the Faculties were referred to according to their area of knowledge only. The names of the interviewees were kept confidential and they were each given a pseudonym. In terms of data safeguarding, I followed the procedures established by the University of Leeds in terms of storing all the information on password and/or encrypted electronic storage devices until it was transferred to my encrypted folder on the University of Leeds servers (M drive). Any documents or printed material was kept in locked drawers.

Finally in terms of protection of vulnerable groups, I followed a particular procedure for the recruitment and participation of blind and short-sighted people in this study, which included preparing an audio version of the participant information sheet and conducting a face-to-face focus group in a location of easy access for them.

The second dimension refers to responsibilities to the research community, and all BERA, University of Leeds and University One regulations coincide in the importance of ensuring that the research is necessary for the advance of knowledge, the methods selected are appropriate and the researchers have the competencies necessary to undertake the project. These elements have been justified in the context, literature and methodology chapters.

The third dimension is included in the BERA guidelines and refers to a responsibility towards professionals and the general public, related to making available for them the results of the research and communicating them in a clear fashion. In the case of University One, this responsibility is mentioned as a specific right of participants to know the results of the study. This responsibility will be fulfilled through the publication of a research article with the findings of this study in a research journal, and with the preparation of a report in Spanish to be shared with participants.

A fourth dimension is included only in the BERA guidelines and refers to a responsibility towards the sponsors of the research, in terms of fulfilling the obligations acquired with them to the highest possible standards. In relation to this issue, I have fulfilled the obligations defined by the Chilean National Commission of Science and Technology (Conicyt), which funds my studies. This includes the submission of an annual report of my PhD activities and progress, and referencing Conicyt's sponsorship in all my publications and conference presentations. It also includes some responsibilities to be fulfilled once I complete my studies, which are returning to live in Chile no longer than 4 years after my course is completed, and staying in the country for a minimum period of 4 years.

4.10 Summary

This section detailed the methodology of my research project. First, it discussed its theoretical underpinnings, based on a critical perspective and the idea of policy as discourse, and an interpretivist research paradigm. Second, it referred to the design of the research and explained the selection and recruitment procedures and detailed the participants recruited for each case, including management and academic staff, students and community members. Third, it referred to the methods of data collection, which included document analysis, interviews, focus groups and observation, as well as opportunities for engagement with participants. Finally, it explained the process of data analysis,

the ethical considerations of the research and the procedures followed to ensure its trustworthiness.

Chapter 5: Findings:
The Reasons for the Reappraisal Process

5.1 Introduction

This chapter is dedicated to analysing themes that emerged in relation to the reasons for a process of reappraisal of *extensión*, linkage with the context and communications at University One. Considering that the context is crucial to make sense of a policy and the different issues that influence the way it is planned and created (Taylor, 1997), this chapter explores the different issues that characterised the moment when the decision for a process of reappraisal was made, and the environment in which it was developed.

The analysis considers the interviews with 12 members of the teams that organised and led the reappraisal process (Central Group) and also three official documents: the University Institutional Development Plan (IDP); the Project Technical Study (the official document of the reappraisal process); and the University Yearly Report 2015. Additionally, it includes two independent documents about the topic: a Students' Report about *extensión* published in 2016; and a Registry of Linkage initiatives published by a group of university scholars in 2015.

Finally, the data from three specific Faculties was also considered (D1: Medical and Health Sciences; D2: Arts; D3: Natural and Exact Sciences). This includes one Senior ELC officer, two lecturers and one student from each department (12 interviewees in total). Although these lecturers and students were not involved in the decision-making process regarding the reappraisal project, they were considered in this chapter because in many cases they offered insights in relation to the themes included in this section. Furthermore, the three Senior ELC officers of these departments participated in the reappraisal project, with different levels of engagement in it. The data from the community members was considered in the first three themes, which were commented on by them (such as the mission of University One), and not in the last four as they were inherently internal issues, such as the lack of valorisation in the academics' promotion system.

Seven themes emerged, which are grouped in two main issues. The first is the impetus for public engagement, which includes: the aim to fulfil the university's mission in terms of its commitment to the country; the national context of debate about the purpose of higher education; the influence of students; and the inclusion of linkage with the context as a criterion for universities' accreditation and for the allocation of research funds. The second issue has to do with the barriers for public engagement, which are: the lack of valorisation of this area in the academics' promotion system; the scarcity of funding and organisation; and the lack of clarity about the definitions of the concepts of *extensión* and linkage with the context and what they involve.

The last section of the chapter presents a discussion about these themes, interpreting them in conjunction with the relevant literature.

5.2   The impetus for engagement

5.2.1 Fulfilment of the university's mission

The main reason for the reappraisal project to be developed, as stated in the Technical Study – the official document of the project – has to do with the necessity to reappraise ELC in order to give them the relevance that they should have, according to the university's mission statements and the university Institutional Development Plan (IDP). This was confirmed by Alexis, a member of the Leading Team, in relation to the origin of the decision to conduct this process: "We did not decide it. This is in the IDP of the University One" (interview with Alexis, 6th April 2016).

The University IDP was published in 2006 and defines the mission, vision and strategic goals of the University. It declares as one of its objectives "being recognised as the country's university institution that develops more effectively the interaction of knowledge with the social, cultural, educational and productive system" (University IDP, Goal 5). Furthermore, it establishes a plan of action in relation to that objective, which the reappraisal project, according to its Technical Report, is aimed to address: "strengthening the policies and institutional programs of *extensión* and interaction of the University with the

social and productive system" (University IDP, Proposal 7.7). One of the specific actions described in order to fulfil that plan, which is referenced in the Technical Report as something that should be accomplished with the reappraisal project, is "establishing institutional criteria that encourage, validate, promote and assess the linkage…" (University IDP, Proposal 7.7b).The IDP document contains many sentences defining the university as a key actor in the country, highlighting its responsibility to contribute to its social, economic and cultural development. It is important to note that according to the IDP, the main focus of University One is contributing to the country first and foremost, but without abandoning knowledge development of international excellence. One paragraph that encapsulates this perspective is the following:

> It is responsibility of the University to watch over the national cultural heritage and identity, and to promote the improvement of the country's educational system. In fulfilment of its duties, the University responds to the requirements of the Nation, becoming an intellectual reserve characterised by a social, critical and socially responsible awareness, and recognising as part of its mission the attention to the country's problems and needs. (University IDP, 3rd article)

A commitment to the necessities of the country and the importance of research impact was perceived both in the documents and in the interviews as a sort of ethos of this institution. Apart from different perspectives or accents, the idea that the university must make a contribution to the world beyond its walls was out of the question. This ethos is also expressed in the Student *Extensión* Report, which apart from different managerial limitations, identifies:

> … an institutional culture, which endorses and safeguards these initiatives, based on the public role of the university. This means that there would be a "seal" as University One that invites to care about social needs, the national contingency and its development model. This is reflected on the Mission of the University One. (Students' *Extensión* Report, p11)

This perspective was present in all the interviewees from the Central Group. In the Main Committee there was a strong idea about the university mission contributing to society and the country, which has to be fulfilled through the ELC function. It was widely recognised that *extensión* is one of the main missions of the university, and it was emphasised that this specific university has a special commitment to it for its tradition and the fact that it is public. The conviction that the university must be influential, must impact public policy and must be a source of reference for knowledge in different aspects also appeared in all the

interviews. As stated by Mónica, lecturer from the area of Medical and Health Sciences:

> We have to demonstrate that excellent research is being done, focused on the problems of the population and that aims to help public policies [...] so that they know what we are doing, what is the importance of this research for the population's health and what impact it could have. For example, if it has any impact on the economy, whether or not it is helping the country's development. (interview with Mónica, 4th April 2016)

In the case of the Leading Team, two of four participants (Alexis and Yasna) made specific reference to university regulations, but they all highlighted the idea that the university has a mandate and commitment to serve the country. The idea that this role is especially important for this specific university, due to its history and to the fact that it is state-owned, appeared in three interviews (Yasna, Gabriela and Néstor). A good example is this quote from Gabriela, senior manager:

> Even though (private universities) can also claim to be public, it is clear that the University One is more important, is more relevant in terms of what it says, how it interacts, how it relates, and what it contributes. (interview with Gabriela, 11th April 2016)

This idea that the university has a special mission in the country, related to its tradition and its public character, was also present in all the local Faculty cases.

In the case of D1 (Health), their local *extensión* policy document highlights the commitment of the university to its country, as part of its tradition and its public role. This was expressed by all interviewees from the Faculty, for example Oscar, Senior ELC officer:

> The University One (…) has a clear sense and purpose of the public[3], of the national reality. Our university is not a university of the State; it is a university of the nation, which is different. It does not respond to the interest of a particular government or power, but rather responds to the plurality of interests, knowledge, and requirements. (interview with Oscar, 22nd March 2016)

In the case of the two community leaders, Gustavo, from a political group, attached a strong responsibility to University One to contribute to society: "the university must fulfil minimally a role at a national level, according to a project of

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[3] "The public" here is a translation of "*lo público*", which refers to the public domain or the public sphere, in contrast with the private domain.

society, of country, I mean, it cannot be alien to a country" (interview with Gustavo, 11th April 2016). In the case of Iván, he thought that all universities should contribute to their localities, but he acknowledged the importance of University One as a "referent" at a national level. Regarding the focus group, three of the six participants highlighted that University One, as a traditional, public university, had a special responsibility to respond to and address social and cultural problems, specifically in relation to inclusion of disabled people.

In D2 (Arts), the local *extensión* guidelines indicate as one of its goals: "Promoting local and regional decentralisation, fostering the broad knowledge of the *extensión* activity and social inclusion that corresponds to the University as a public entity at the service of the country" (*Extensión* Policy D2 Arts, Goal 3). Accordingly, all interviewees from this Department highlighted that University One has a special responsibility with *extensión*, for example as expressed by Mateo, lecturer: "people are very eager to know what everyone else is doing, what the universities are doing, and that is where there is a responsibility that University One should take on with more prominence" (interview with Mateo, 8th April 2016).

Concerning the community leaders, Andrés, officer from the National Culture and Arts Council, highlighted the special tradition of University One in this arena, saying that it is one of the institutions that does more for the culture in the country and linking this to its history: "as there was no cultural institutional framework, I think that University One was a bit, let's say that it played the role of the Ministry of Culture, especially in terms of *extensión*" (interview with Andrés, 6th May 2016).

D3 (N&E Sciences) did not have a local *extensión* policy. From the four Faculty interviewees, only one lecturer mentioned that as a public university, University One has a special responsibility to do *extensión,* that "is part of our work, as public sector workers" (interview with Osvaldo, 7th April 2016). Regarding the four community leaders, two of them, Renata and Raquel, said that they expected that all universities should link with society. The other two highlighted higher expectations for University One in this respect, due to its prestige (Yasmin) and to its tradition and the fact that it is public (Bernardo). Finally, in

the focus group, three of the five participants said that they expected University One to have a special commitment towards the needs of the country, because of its tradition and the fact that it is public. For example Nelson referred to University One as one of the national education institutions "with an important tradition and a republican sense" (focus group interview with Nelson, 17th August 2016).

In conclusion, the idea that University One has a particular mission to serve the needs of the country was identified by nearly all university interviewees and was also an expectation among community members.

5.2.2 National and local debate about the role of Higher Education

There are several contextual factors, at a national and local level, that should be considered in order to understand the context in which the decision of reappraising ELC was made.

Nationally, the reappraisal process was developed during a time of change in the Chilean higher education system. In 2011, a massive student uprising paralysed Chilean universities and the neoliberal, market-driven model of higher education was questioned. Education became a topic of national debate, where the idea of universities as for-profit institutions was challenged. Free and quality education was the slogan of the campaign, which pushed the government to generate legislation that prevents universities from being for-profit organisations. This students' movement was so influential that education was an obligated topic during the following presidential debate and the new President of the country, elected in 2013, committed to end profit in higher education and provide free education for all those who need it.

Locally, there are several elements that came together in the context that marked the emergence of this topic at University One. Firstly, the ideological position of the current management. In 2016, the Chilean government proposed a reform for higher education, which triggered a deep discussion about the role of universities. In this context, University One reinforced its position of defence of the public purpose of education, with its Vice-Chancellor becoming a

prominent critic of the privatisation of the system and defender of public education, being frequently interviewed in the media about this topic.

Secondly, the effects of the students uprisings. University One's Students Union played a key role in the national uprising of 2011: the president of the Union was one of the leaders of the movement and the university was paralysed for six months. During that time several working groups were formed, including around *extensión*. In 2015, a local student uprising at University One made explicit the demand for a revalorisation of *extensión*, as something that defines the role of the university in society.

Thirdly, both as symptoms of this environment and as further stimulus for it, two independent projects and resulting documents emerged during this time: a Registry of Linkage with the Context activities, done by a group of academics in 2015, and a students' project and resulting report about *Extensión* at the university, published in 2016.

This context is reflected in the Students' Report, which apart from the issues mentioned above, highlights more symptoms of this renewed attention: the fact that the last competitive fund of the *Extensión* Pro-Vice-Chancellery reached an unprecedented volume of applications, expressing a renewed interest in the topic; and the recent creation of new ELC offices in two Faculties that did not have any before.

This broad scenario was mentioned by some of the interviewees, for whom the ELC function has the potential to be a political tool to: define the role of the university in society; or recover its public character; or even influence society from an ideological perspective.

In the Main Committee, two of the eight interviewees (Hugo and Esteban), reflected on how the discussion about *extensión* reflects a deeper debate about the role of the university in society and the model of institution to be pursued. This is well encapsulated by Hugo, non-academic staff member of the Research Pro-Vice-Chancellery:

> The definition of *extensión* has to be political […] in reference to a double
> movement. The first is that, in political terms, it is a definition that is built
> based on the relationship the university has with society […] second, that it
> is also a definition that allows positioning certain general objectives at the

national level. In other words, that supports and guides the generation of other *extensión* hubs in other universities, starting from those state-owned. Because what does this movement permit? That the notion of the public character of the university will be boosted. (interview with Hugo, 16th March 2016)

In the Leading Team, three of the four members reflected on this. Gabriela saw the privatisation of the higher education system as a reason for *extensión* to have been left behind during the last decades, and for the necessity to reappraise it. Similarly, Yasna acknowledged the reappraisal process as an opportunity to re-define the role of the university in society. Néstor, staff member, encapsulates these perspectives in his analysis:

Universities themselves in this transformation of society, in the so-called society of knowledge, information society, blah blah, are required to play a different role [...] so we are at a super powerful crossroads, which complexity is realised only by a few. Because global transformation, plus specific transformation of privatisation in Chile, places a big question for the university. So we have the *extensión* here like in a nebula, that we don't know where to situate it. (interview with Néstor, 18th March 2016)

Regarding D1 (Health), the three lecturers expressed a strong idea that the approach to *extensión* defines a perspective about the model of university to be pursued. Raúl said that *extensión* has to do with the role of the university in society in terms of democratisation and balancing power differences. For Oscar and Ismael, the discussion about *extensión* was ideological. For example, as expressed by Ismael:

There is always a kind of dispute between the Harvard-type university, and the more Latin American university, which is at the service of its community [...] especially in this department, we want the information or knowledge that we generate to be taken by the clinician who works with the community, even by the community itself. We are not interested in publishing in the British Medical Journal, we don't care about that; but the university is interested, you see. There is a tension between the two types of university, as I say in rather simple terms, that some of us want and others also want. (interview with Ismael, 18th May 2016)

Extensión linked to a wider struggle for a model of university was also mentioned by one community leader, Gustavo, leader of a political group:

The university nowadays is not even the public university anymore. It is a university that also has to sustain itself and do a series of trades of all kinds; so it is not fulfilling the role that it is supposed to fulfil and that at some point it did fulfil. (interview with Gustavo, 11th April 2016)

This expectation about a change in the role of the university in society was also mentioned by a participant in the focus group, Roberto, who said that in order to

improve its relations with society, the university should go back to the role that it played in the 1970s, in terms of linking closely with the community.

In D2 (Arts) one lecturer, Bruno, related the reappraisal of *extensión* to a recovery of the national role of the university after the damage it suffered during the military dictatorship:

> An *extensión* policy has to do, firstly, with recovering things that were lost here in Chile during the dictatorship [...] Previously, University One was much more extensive in the country, there was a presence of the public university that was cut and divided after the dictatorship. (interview with Bruno, 23rd March 2016)

An analysis of this type was not mentioned by the community interviewees linked to D2.

Finally in D3 (N&E Sciences), university interviewees focused on a practical approach to the topic, rather than on a reflection about its broader context. Regarding community leaders, only one of the four (Bernardo, senior education officer from a city council) referred to *extensión* linked to a deeper perspective about the current situation of national education and how he considered that University One had lost its traditional role in the context of neoliberalisation. He considered that the university should now redefine its educational project, with an emphasis on orienting the national development. The other community interviewees did not make comments in this respect. In the focus group, Horacio, a former school student, reflected on how the approach to *extensión* reflects a deeper perspective about the public role that the university should play, in a context of privatisation:

> I think that, in order to really bring the university knowledge to the communities; a much more real connection is required. I mean, the university has to be really a central part of the country's education, and a fundamental pillar in society. And currently it is not that way. (focus group interview with Horacio, 17th August 2017)

In conclusion, the context of national debate about the role of higher education can be considered to be part of the environment that drove the decision for the reappraisal project, as *extensión* was considered by some interviewees as a tool to politically define the role of the university.

5.2.3 Students as drivers of change

The data revealed that students have been important actors in the development of the *extensión* function at the University. Some of the students who were involved in a working group about *extensión* in the 2011 uprising, later participated in the Students' *Extensión* Report, in the Linkage Registry and also in the demand to create *extensión* offices in some Faculties.

Thus, although there were no questions specifically about them, students were mentioned by most interviewees of the Central Group (two of the four members of the Leading Team, and six of the eight members of the Main Committee), either as important players in the organisation of ELC activities, or as influential actors in the environment that led to the reappraisal process.

From the Main Committee, six interviewees (all but Hugo and Mónica) noted that students run many ELC projects, are enthusiastic about this area and play an important role in it. They mentioned different projects run by the students, such as pre-university schools, and several *extensión* competitive funds in which they participate, which are run either by the Faculties or by the university centrally. Gastón, Daniela, Esteban and Brenda mentioned that students have been very influential in the process of renewing attention to ELC. For example Daniela, lecturer from the area of Forestry, Agricultural, Livestock and Marine Sciences, highlighted how students influenced the reappraisal process at a university level:

> … in the Central House of course there is an interest, it appeared with the new Pro-Vice-Chancellery and all that, well, but I think that the lads, just like they raised the topic of education, I think they are also raising this. (interview with Daniela, 29th March 2016)

Brenda, Gastón and Esteban also mentioned the cases of two Faculties where the students were important drivers of either the creation of ELC offices or the generation of new local ELC policies. For example, the creation of a Direction of Linkage with the Context at a Faculty in the area of Engineering and Technology had to do with the pressure of the students during the uprising of 2015. It was one of the demands of the students, and one of the agreements they reached with the Faculty management in order to end the uprising. As explained by Brenda, non-academic staff member from that Faculty: "It was the students, when the new Dean started, who applied some pressure as part of the

topics they were addressing on their working group, and on the other hand also the Pro-vice-chancellery" (interview with Brenda, 22nd March 2016).

Another example is the case of a Faculty in the area of Legal, Political and Economic Sciences, which at the time of the data collection was the only Faculty of the university that did not have an ELC office, but had an office of University Social Responsibility (USR) instead. According to its director, although not created by a demand or pressure from the students, it was an answer to a necessity of organising the large amount of student projects happening in the Faculty.

It is important to mention that some of the students who have worked on enhancing this topic at the university – both with the creation of the project Students' *Extensión* Report and with the pressure to create an office of Linkage with the Context in one of the few Faculties that did not have one – are members of a specific national political student movement, that has acted as a booster for initiatives that have been followed by other independent students. As explained by Esteban, member of the Students' Union and also involved in the *Extensión* report: "We see that *extensión* is like the most powerful tool, from our perspective, of transformation of the University" (interview with Esteban, 4th April 2016). He explained that it does not necessarily represent the view of the University Students' Union: "I would say that it is our vision, more personal, and more of the NSU [National Students' Union], which is the organisation that I belong to" (interview with Esteban, 4th April 2016).

In the case of the Leading Team, two of the four interviewees, Yasna and Néstor, highlighted the participation of students in *extensión* projects and their involvement in the process of enhancing ELC. For example Néstor, staff member, explained how this interest was raised during the national student movement:

> In Chile at that time it was achieved like a very interesting social synergy, that ordinary people were interested in education issues, and they were very receptive to working with universities. So, more than just as a personal concern, we saw it as a necessity. That is, academia needs to be linked to ordinary people, because it also allows it to be nurtured and to open up new questions, and to be updated and everything. (interview with Néstor, 18th March 2016)

Regarding the Faculties, D1 (Health) is where the influence of the students was more evident. Students were mentioned by all Faculty interviewees as important actors on the topic, both in developing activities (Raúl, Oscar and Noemi) or participating in the creation of the local *extensión* policy (Oscar, Noemi, Ismael). Students were invited to participate in the creation of this policy and according to Noemi, student, they felt that the students' voice was considered on it. According to Ismael, lecturer, the origins of the idea to create an ELC policy for the Faculty dates back to the student uprising of 2011, where a discussion group about the topic was created in the Faculty, which later influenced the decision and the character of the policy.

The importance of the students in linking the university with the community was confirmed by Gustavo, leader of a local political group:

> In this neighbourhood, the closest that could be said was during 2011, when the rise of the student movement began. Here a territorial assembly was settled, an assembly at the University One. Then they convened the area, in this Faculty. People came from different political, social, etc. sectors and that was when we started to get to know each other, to discuss the students' issues. (interview with Gustavo, 11th April 2016)

The other community leader, Luciano, mentioned student internships as an example of their work with the university. In the case of the focus group, students were not mentioned.

In D2 (Arts), although students were not mentioned by the academic interviewees, it was observed that student representatives participated permanently in the local *extensión* committee, and that the local students' union of each of the departments of the Faculty also had an *extensión* delegate. According to what was expressed by Diego, student, the student *extensión* projects mostly run independently, and the moments of uprising appear as fertile ground for the development of *extensión* projects, not only dedicated to disseminating the arts but also with political implications. As he exemplified: "During last year's mobilisation, there was a lot of movement regarding what was the role of art within the Chilean society", which was expressed through the socialisation of open letters (interview with Diego, 21st March 2016). Finally, the community interviewees did not mention the students.

In D3 (N&E Sciences), the students were mentioned by the Senior ELC officer, but not by the two lecturers, who referred mainly to their own work in this arena. Nevertheless, this does not imply that undergraduate students do not participate in *extensión* activities. In fact Leonardo, the student interviewed, led a student *extensión* group that organises a series of activities independently, also in collaboration with the *extensión* office. The idea of creating this group emerged, again, during a student uprising:

> During this year's strike, together with some friends we decided that we could do some things, and one of those was the idea of making a scientific fair [...] and the thing is that it turned out pretty well, so after a few months we decided to do some other activities… (interview with Leonardo, 10th December 2016)

In the case of community members, two of four mentioned the students. Bernardo, senior education officer at a City Council, said that university students do internships in the local schools; and Raquel, officer at the National Centre for Minors, highlighted the work of students as part of an *extensión* project. In the case of the focus group, former school students referred to PhD students who had led the laboratory workshops where they were invited to participate.

In conclusion, the students appear as important actors in the development of *extensión* activities and also in the pressure for the reappraisal process.

5.2.4 Accreditation and research funds

The introduction of the concept "linkage with the context" as a dimension to be assessed by the National Accreditation Commission implied a pressure on Chilean universities to strengthen this area. The influence of the accreditation process in the decision to reappraise ELC at University One is confirmed by the fact that during the development of the third stage of the reappraisal process - which I observed- part of the team working on it, was at the same time working in an internal process to prepare for the accreditation coming in a few years-time. Therefore, the members of Third Stage Working Team had the accreditation in their perspective and sometimes issues mixed-up during meetings.

In the Central Group, two of the eight interviewees of the Main Committee and two of the four members of the Leading Team mentioned the accreditation process as part of the context that explains the renewed relevance of this area. Nadia, non-academic staff member from the area of Social Sciences and Humanities, said that the accreditation process had influenced the decision of the university to reappraise ELC. Brenda, non-academic staff member from the area of Engineering and Technology, referred more specifically to the case of her own Faculty, where the accreditation has been one of the drivers for the decision to give more attention to this area:

> One of the things about the Faculty accreditation, was that there was not that much linkage with the context and also, a scant relationship with alumni, so those things are very weak because they are not properly clarified. (interview with Brenda, 22nd March 2016)

In the case of the Leading Team, three of four people (Gabriela, Néstor and Yasna) acknowledged that the concept linkage with the context was introduced by the NAC. Néstor and Yasna also recognised the influence of the accreditation system in terms of creating a necessity to generate tools to report the work done in this area.

There is another situation mentioned only by two members of the Main Committee (Daniela and Nadia) and one of the Leading Team (Yasna), but which is also part of the context: the fact that different national research funds had recently started to include linkage with the context as one of the criteria used in order to allocate research funds. As explained by Yasna, senior manager:

> Now in Chile as well, to apply for research funds, each research fund, among the requisites that you have to follow, you also have to produce a plan for *extensión* and linkage with the context (...) so that too, like in structural terms, leaves the university in a good place to have this discussion about strengthening *extensión*, linkage with the context and communications. (interview with Yasna, 15th March 2016)

In the case of the three departments, the issue of accreditation was mentioned only in two occasions. One was Noemi, student from D1 (Health), who commented that she felt that her school only cared about *extensión* because it was part of the accreditation:

> Even last year, in this process of accreditation, many [university] schools were like interested in having *extensión*, they even talked to us to see if

they could help to fund one of our projects. But it was also like, we felt like it was only because of the accreditation process, as they had to comply with *extensión* somewhere. (interview with Noemi, 11th April 2016)

In D3 (N&E Sciences), one lecturer, Carla, mentioned that linkage with the context is now part of the accreditation processes and each institution interprets it in its own way.

Although this was not mentioned by most interviewees, the data from the observations and also the interviews to the leaders of the process show that the inclusion of linkage with the context as a criterion for accreditation, and also the inclusion of this dimension for the allocation of national research funds, were part of the drivers for the reappraisal process.

5.3 Barriers for engagement

5.3.1 Lack of valorisation

The lack of valorisation of ELC in the academics' promotion system was a key issue for the reappraisal process, in fact one of its three main objectives is explicitly oriented to change this situation. In the Central Group, most members highlighted as a problematic situation the fact that *extensión* was scarcely valued in the academics' promotion system, and the necessity to change this, as they saw it as a barrier for its development.

This situation responds to a wider scenario where ELC is considered the "poor relative", as mentioned by some interviewees, that has always been less important than research and teaching. Both independent ELC documents –the Registry and the Students' Report- share the criticism about the lack of incentives for this activity. As expressed in the Registry:

> The position taken by the university regarding pre-existing linkage initiatives, is that they are of limited value, because these efforts are not considered part of the academic career of any stakeholder. That is why, according to the interviewees, students and academics generate linkage projects without there being any other incentive than their own will, and without any sort of recognition. (Registry of Linkage initiatives, p.97)

From their experience, six of the eight members of the Main Committee shared this vision. They agreed that, as *extensión* is not valued in the promotion

system, it is not easy for academics to dedicate time to it. As explained by Mónica, lecturer from the area of Medical and Health Sciences:

> … getting academics to participate in this is super hard. It is super hard because it demands time, effort, which is not recognised and is not remunerated. Ultimately, there is no incentive for the person to dedicate time to this. (interview with Mónica, 4th April 2016)

This was also mentioned by all members of the Leading Team, for example Alexis, senior manager:

> …the conventional wisdom present at the university, is that what is valued is mainly research. And if you do research or creation, within what is appropriate, then you are promoted in the tenured career. Otherwise, the teaching is valued (…) and *extensión*, shines for its absence. (interview with Alexis, 6th April 2016)

This shows a clear mismatch between what is declared in the university mission statements about the importance of the ELC function, and the way in that it is actually valued in the academic's career. Two interviewees from the Central Group (Nadia from the Main Committee and Néstor from the Leading Team) reflected on this contradiction. For example Nadia, non-academic staff member from the area of Social Sciences and Humanities:

> I think there is a tremendous tension between the IDP declaration, the University Institutional Development Project, where I don't know if it says *extensión*, but it's the beacon that guides the country. That is the concept, I mean, here University One illuminates turbulent waters, contributes to public policies […] but the contradiction comes when you step downwards and you start to see the issue of the budgets, the hierarchy, the relevance of the Pro-vice-chancelleries […] then at the level of the academic careers, the non-academic staff careers, where there is none, the issue of extensión is totally absent. (interview with Nadia, 15th March 2016)

Regarding D1 (Health), the topic of scarce valorisation in the academics' promotion system was mentioned by all three academic interviewees, who agreed that this area was less valued than any other. For example Ismael, lecturer:

> Recently when I was doing the academic qualification where your times are valued, of course I have *extensión*, but I do not have enough in research. I have some publications, but there are people who are only dedicated to research and those are the professors, who make it. I will never get there, those of us who are dedicated to this never will. But if it were valued, maybe we could. (interview with Ismael, 18th May 2016)

The case of D2 (Arts) was different in this respect, as none of the interviewees made any comment related to a lack of valorisation of this area. This could be

explained for two reasons. Firstly, because sharing their artwork with the public is key part of the artistic duties and therefore the importance of *extensión* was not questioned. Secondly, because in 2014, there was a process of reappraisal of Artistic Creation at the university, in order to make it valued in terms of academic promotion, as a simile to research productivity. This implied that now the Research Pro-vice-Chancellery of the University has a Direction of Artistic Creation, and that there is a system to assess academics' productivity in this respect. Marcelo, Senior ELC officer, highlighted the process of reappraisal of Artistic Creation as a big step forward in the valorisation of activities different to research at the university, which somehow established a positive precedent for the valorisation of ELC: "Today there is an academic portfolio where academics can upload all of their artistic creation, show it, and so on. So it's gradually changing, and the same is being done with *extensión*" (interview with Marcelo, 10th March 2016).

Finally in D3 (N&E Sciences), two lecturers (Carla and Osvaldo) referred to this issue, saying that there had been progress in this area, but valorisation of ELC was still minimal compared to research and teaching. For example as asserted by Carla, lecturer:

> Nowadays it is much more valued, now it is in the forms, it's an activity that one is asked to do, and sure, if one doesn't do *extensión*, then the department director may say 'hey, your performance in this area is weak, try to collaborate'. But anyway it is minority. (interview with Carla, 14th April 2016)

In conclusion, the lack of valorisation of *extensión* in academics' promotion was, from the perspective of most interviewees, a key driver for the reappraisal process.

5.3.2   Scarcity of funding and structure

An issue mentioned by most interviewees of the Central Group (seven of eight interviewees of the Main Committee, and two of four of the Leading Team), was the absence of an administrative structure that supported the development of ELC. Four main topics emerged regarding this issue: the lack of a consistent organisation of this matter throughout the university, the scarcity of funding, the

overdependence on individual's will to develop *extensión* projects, and the scarcity of data about the ELC activity.

Firstly in terms of organisation, although only one university Faculty did not have an *extensión* office at the moment of the data collection, the level of organisation was very dissimilar among them, with some Faculties that had an ELC Director, a secretary, a local committee and a policy, and others that only had an academic who was part-time director or coordinator.

Although there was a managerial organisation for *extensión* in most Faculties, this is recent. The function of *extensión* has existed in University One at least from the 1930s, but all the administrative structure that supported it was eliminated during the dictatorship and took time to be re-established. The *Extensión* Pro-Vice-Chancellery was only created in 2006, and some *extensión* offices of the Faculties were created during the last few years. Five of the eight interviewees from the Main Committee (Gastón, Daniela, Mónica, Rocío and Brenda), all from different Faculties, mentioned that the ELC office of their own Faculties was recently created or reformed, because there was not much structure in the past for this area. As expressed by Rocío, lecturer recently appointed as Senior ELC officer for a Faculty in the area of Legal, Political and Economic Sciences:

> …there was formally a Senior ELC officer but there was no policy, she was a person that I think that worked part-time and ultimately her role was quite reduced (...) When the new Deanery arrived and I joined the team, there was an important concern to meet the goals of the Faculty Institutional Development Project and taking over this area that was super depressed and that ultimately had always depended on the initiative of lecturers in particular (interview with Rocío, 18th March 2016).

The case of the only Faculty of the university that still did not have an ELC office shows how independent are the departments in the way they decide to organise this area. In the case of this specific Faculty, from the area of Legal, Political and Economic Sciences, they decided to use a concept that is not used anywhere else at the university (University Social Responsibility) to name an office dedicated exclusively to service-learning, but with no relation with research. Additionally, they have a Communications Office.

Nevertheless, It was observed that the reappraisal process influenced the organisation of some Faculties that did not have an *extensión* office or a local

extensión committee*,* which started to create them during the process. In the case of two Faculties (one in the area of Medical and Health Sciences and the other in the area of Forestry, Agricultural, Livestock and Marine Sciences), it was mentioned that the creation of a local *extensión* committee was a result of a requirement from the *Extensión* Pro-Vice-Chancellery, in order to participate in the reappraisal process. At a Faculty in the area of Engineering and Technology, this process appeared as one of the drivers of the creation of the local Office of Linkage with the Context in 2016. According to Brenda, non-academic staff member from that Faculty, the fact that this reappraisal process was being developed and there was no representative of the Faculty on it, was one of the drivers for the decision to create this Office.

Consistently with this, the Students' *Extensión* Report positively highlights the reappraisal project already being developed as an important improvement, as well as the fact that some Faculties that did not have an *extensión* office in the past, had recently created one. Nevertheless, it is highlighted the necessity of a policy for the university in this topic.

> Academics, students and non-academic staff who attended the meetings, acknowledge and appreciate the efforts of the last years to promote *Extensión*, such as the creation of the *Extensión* Pro-Vice-Chancellery (2006), the Competitive *Extensión* Funds [title] (2010), Competitive Funds of Linkage with the Context [title], and the recent institutionalisation process promoted by the Pro-Vice-Chancellery and the Quality Assurance Committee (2015-current). However, it was agreed that these efforts are insufficient and a university policy is needed.(Students' *Extensión* Report, p.9)

In the case of the departments, it was observed that three of them had different organisational structures for ELC. Departments 1 and 2 (Health and Arts) both had a Senior ELC officer, a local *extensión* committee and a recently created ELC policy. The role of the *extensión* office was, more than organising activities by itself, promoting and coordinating the activities done at the Faculty. Whereas in D3 (N&E Sciences), there was a Senior ELC officer but there was not a local committee or a local policy. In this case, the *extensión* office was both coordinator and organiser of most activities. Apart from this, it was observed that in all the three cases there was a coexistence of activities organised by the Faculty, or by specific scholars, or by the students, which in the case of Health and Arts, were not part of coordinated program.

Just like in the Central Group, most interviewees from the departments expressed positive comments about recent progress in terms of organisation of ELC at the university. At D2 (Arts), the three academics referred positively to the work of the new *extensión* offices either at Faculty or department level. At D1(Health), three of the four interviewees made positive comments regarding the progress represented by the recent creation of a new local *extensión* policy for the Faculty. At D3 (N&E Sciences), all the three lecturers highlighted the improvements in terms of organisation brought either by the work of the local *extensión* office, or the renewed importance of the *Extensión* Pro-vice-chancellery. As expressed by Carla, lecturer:

> This position didn't exist before, I mean, there was no such position in the Faculty, so we did it for example through Conicyt (…) But that was an activity that happened once a year, so you would go to a school I don't know, once I went to Melipilla, to give a talk. But that is, let's say, a grain of sand in a desert. It helps, but… so now it is a bit more organised. (interview with Carla, 14th April 2016)

Secondly, concerning funding, the scarcity of permanent funding for this area, which relies mainly on specific, short-term competitive funds, self-funding or limited budgets from the Faculties, was mentioned by five members of the Main Committee (Gastón, Daniela, Mónica, Esteban and Nadia) and one from the Leading Team (Néstor). For example Mónica, lecturer from the area of Medical and Health Sciences, expressed how precarious is the way that her *extensión* office works, in terms of scarcity of funding and staff:

> Here we have a tremendous problem, that is, we get funds for the dissemination activities of what we do in the institute, but we have to pay an overhead (…) There is one single journalist hired for this, but that person cannot cope with everything. Apart from that, everything works because of the efforts of each participant from the *extensión* secretariat" (interview with Mónica, 4th April 2016)

Both independent ELC documents, the Registry and the Students' Report, highlight the insufficiency of funding for ELC activities as well as the necessity to stop relying on competitive funds, as these are only temporary and promote competition rather than collaboration between projects:

> Funding is one of the main problems of *extensión* at this institution. For this, it is necessary to have greater resources: permanent and non-competitive (without necessarily eliminating the competitive funds), opening new funds for macro projects promoted by the university. These should be complementary in an *extensión* policy that has exclusive resources from the university budget. (Students' Report, p.20)

In the case of the departments, all the staff and students from D1 (Health) mentioned the scarcity of funding as a permanent challenge for the development of ELC activities. This was not mentioned in D2 (Arts). In D3 (N&E Sciences), two interviewees referred to the scarcity of funding: Leonardo, the student, mentioned the necessity of more funding, whereas Inés, Senior ELC officer, explained that all the activities they organise are done with funding gathered from different partners, such as a laboratory and an editorial company. She mentioned that in 2016 she received stable funding for her office for the first time in seven years, but she positively highlighted that the Faculty has always provided economic support when there is a gap in the funding fundraised from different sources: "It was always backed by the Faculty, but external resources were always sought, and the backing of the Faculty was always in the intervals, because otherwise it could not have been maintained during all these years" (interview with Inés, 30th March 2016).

Thirdly, the overdependence on individuals' will was highlighted by three members of the Main Committee (Daniela, Esteban and Rocío) and one of the Leading Team (Néstor). It was also mentioned in the Students' Report. Interviewees indicated that many initiatives are developed only by the individual effort of some people, and therefore, there is no connection between the projects, there is not a system or guidelines in place to guide them, and there is no continuity as many initiatives last only for the time that some specific individuals are able to continue doing them. As expressed by Esteban, member of the Students' Union: "How is *extensión* materialised nowadays at University One? In individual or collective initiatives but sporadically, from the students, academics or non-academic staff as well, but very fragmented, and they don't have an institutional continuity either" (interview with Esteban 4th April 2016).

In the case of the departments, the overdependence on individual's initiative was mentioned in D1 (Health) by the student, Noemi. Also one community member, Luciano, expressed his feeling that the activity where he was involved was mostly a result of the motivation of "exceptional" individual academics than a university policy. In D2 (Arts), this was not mentioned by university interviewees but one community member, Olivia, highlighted the importance of the motivation and commitment of the academic in charge for the success of the

project. Finally in D3 (N&E Sciences) the university interviewees did not mention this issue, but one community member, Yasmín, attributed part of the success of her project to the commitment and enthusiasm of the academic in charge. Also Raquel, officer from the National Service of Minors, expressed that she saw the *ELC officer* as the main motor of the project, rather than the university:

> One of the things that I think would help a lot to favour this project, is like a bit more institutional support with the issue of the initiative. Because sometimes I feel like it's just her [the ELC officer], to be honest. (interview with Raquel, 7th April 2016)

Finally, a fourth topic was the scarcity of data about the *extensión* activities done at the university, and about the criteria and indicators necessary to gather this data. That is how the first objective stated in the reappraisal project is defining criteria in order to distinguish which kind of activities can be considered ELC, as a necessary step to start registering those activities.

The two independent ELC documents – Registry and Students' Report - highlight the scarcity of data available regarding the *extensión* activities done at the university, which hinders a diagnosis, organisation or dialogue among them. In fact, this is the main argument stated in the Registry document for the necessity of creating it:

> There is no consolidated record of existing initiatives, rather each competent unit does or does not register its activities related to this field, which makes difficult to recognise the current reality of the linkage between the University and the context. (Registry of linkage with the context activities, p10)

This was also mentioned by one member from the Main Committee (Gastón) and two from the Leading Team (Alexis and Yasna). Scarcity of data about this topic was not mentioned in the departments.

In conclusion, the lack of a standard organisational structure for ELC was evident, and the scarcity of funding was a problem widely acknowledged.

5.3.3 Lack of clarity about concepts

The lack of clarity about the definition of the concepts *extensión* and linkage with the context and what they involve, was clearly an important driver for the

decision of the reappraisal process. The confusion is so big, that the Technical Study, which is the main document of the reappraisal project, presents its third objective, definitions, as the most complex of all.

The university official documents reflect this lack of clarity. On the one hand, the Yearly Report 2015 does not make a difference among them. Under the title "*Extensión* and linkage with the context", it offers one single definition, which starts, "the university *extensión* is…", without mentioning linkage with the context anymore, apart from the title. On the other hand, the IDP refers in its objectives to the "relation with the external context", rather than defining a clear option for *extensión* or linkage with the context. Nevertheless, in one of its sections it mentions "linkage" as a concept that includes cultural *extensión* and other activities such as services, adult education and patenting.

Regarding the independent documents, the Students' Report does not refer to this issue, and although it mostly uses the concept of *extensión*, sometimes it uses the one of linkage with the context as a synonym. The only document that offers a differentiation is the Registry, which proposes that linkage or link is a wider concept: *extensión* is one of the three university functions, whereas linkage is something that crosses those three functions. At the end of the document they provide a definition for each concept, where the main difference between them seems to be the stability of the relationship.

> *Extensión*: "the activities carried out by the university community to disseminate the cultural, research, publication and teaching activities done by the university, as well as the relationship created with society through diverse initiatives" (Registry of Linkage initiatives, p.106)

> Link with the context: "refers to the stable nexus established between a university actor, and another one from the external environment (belonging to the civil society, State, or privates), through a university practice, this is to say, teaching, research or *extensión*…" (Registry of Linkage initiatives, p.107)

The Registry adopted the concept linkage or link for its analysis, rather than *extensión*.

The data from the Central Group echoes this situation: six of the eight interviewees from the Main Committee and all the four participants from the Leading Team, agreed that there was not a clear definition of *extensión* at the university, and/ or that the difference between linkage with the context and

extensión was blurred. Some of them made interpretations about why this is unclear and different interpretations coexist. For Gabriela, from the Leading Team, this is a symptom of the lack of valorisation and interest that the topic has for the university in general: "There is no clarity on the subject and there is no interest to clarify it either" (interview with Gabriela, 11th April 2016). For Néstor, also from the Leading Team, the lack of clarity reflects the existence of "a false consensus" about what *extensión* is, because everyone understands it differently.

That is how no interviewee, neither from the Main Committee nor from the Leading Team, was able to elaborate a concrete differentiation among both concepts, apart from expressing their personal preference for one or the other. Three interviewees from the Main Committee (Mónica, Hugo and Gastón) and none from the Leading Team declared to prefer the concept linkage with the context rather than *extensión*, as they considered it to be more accurate in describing a two-way relationship rather than a process of giving something. In this sense, they understood it as a concept that could replace *extensión*. The strongest opinion in this regard was the one of Gastón, staff member from the area of Legal, Political and Economic Sciences, which was very different from most of the interviewees:

> *Extensión*, it really bothers me that it is said that the university extends and stretches itself and radiates to others, and finally there is no relationship. The linkage is now a word that accommodates much more to what it truly is. If I spoke about *extensión* in service learning, in what role do I place the entrepreneur, or the community partner, if he is the one who gave to me, he is training the students for me. (interview with Gastón, 23rd March 2016)

In the other hand, one member of the Main Committee and three from the Leading Team expressed a clear preference for the concept *extensión*, not accepting it to be replaced by the one of linkage with the context. From the Main Committee, the student Esteban thought that the new concept of linkage with the context does not have any meaning, as it can relate to any kind of relation of the university with the environment, including the sale of services, whereas the concept of *extensión* is more specific to the role of the university in society and keeps a special focus on its contribution to the public sphere. From the Leading Team, Néstor (staff member) coincided with that idea and is the one who

offered the most critical perspective about the new concept, relating it to the process of marketization of higher education in Chile:

> The concept "linkage with the context" comes from the National Accreditation Commission, and the National Accreditation Commission comes from a whole process of transformation of universities in Chile in the last few years, attempt at modernisation, some say privatisation, that universities work with business logic (...). What is making a good linkage with the context? They don't give you any definition of what kind of university you want to build. (interview with Néstor, 18th March 2016)

For Yasna and Gabriela (senior managers) their preference has to do with the tradition of the university, that had used the concept of *extensión* during a long time, although they did not express a clear idea about a difference between them rather than the preference for one instead of the other.

The remaining four interviewees from the Main Committee and one from the Leading Team, either tried to build a differentiation but ended up recognising that it was very difficult to do it, or just recognised that they use both concepts interchangeably or both together, as the difference was unclear. Daniela, lecturer from the area of the area of Forestry, Agricultural, Livestock and Marine Sciences, commented about the complexity of the differentiation:

> *Extensión*, as it is a very broad word, the same thing has happened to us when we start any working committee, they say, let's postpone the discussion because we could be debating for two years and we aren't going to get anywhere. (interview with Daniela, 29th March 2016)

Regardless preferences, it is very clear that the concept *extensión* was the most widely used. Even the interviewees who said to prefer the concept of linkage with the context, used the one of *extensión* during the interview much more than the other, with only one exception. This also has to do with the fact that *extensión* is the official concept used at the university at a management level, so most offices are called *extensión* offices, with only two exceptions (one called Linkage with the Context, and one Faculty that has an office of University Social Responsibility).

Linked to this lack of clarity about concepts, is the idea that ELC is somehow invisibilised, that many academics do activities that could be classified under its umbrella but they do not report them as they do not even know that what they do could be considered as ELC. This lack of awareness about what ELC is and what kind of activities it involves, is related to the lack of a definition and was

mentioned by three members of the Main Committee, such as Rocío: "I think there are lecturers who do *extensión* but they don't even realise that they do *extensión*" (interview with Rocío, 18th March 2016). This idea was shared by three members of the Leading Team, for example Alexis: "Some still consider that *extensión* is what others do, not them. I think some people are unaware of the fact that the work they are doing is actually called *extensión*" (interview with Alexis, 6th April 2016).

In the case of the departments, the approach to the definitions varied from one to the other. Departments 1 and 2 (Health and Arts) had recently worked on an *extensión* policy for those specific Faculties, and therefore they had already arrived to definitions and conclusions about the difference between both concepts. Interestingly, the differentiation made was dissimilar in both cases.

At D1 (Health), all interviewees used the concept of *extensión*, although not necessarily expressed an explicit preference for it. The local *extensión* policy makes a differentiation between the concepts, where *extensión* is one of the three main missions of the university and has a special focus on social inclusion, whereas linkage with the context is a wider concept that crosses all the three university missions (research, teaching and *extensión*) and can refer to any kind of relationship with the outside world, including business, services, industry, etc. That is how Oscar, Senior ELC officer, undervalued the concept of linkage with the context:

> According to this policy, not necessarily the contact with the community, whatever this is, means doing *extensión*,. Undoubtedly it is linkage with the context, but it is not necessarily *extensión*. What determines whether it is *extensión* or not, is the purpose of the activity (interview with Oscar, 22nd March 2016).

Apart from expressing a preference, the rest of the interviewees from D1 did not provide a clear differentiation between both concepts.

At D2, Arts, all interviewees used the concept of *extensión* and somehow expressed a preference for that concept. According to Marcelo, Senior ELC officer, the way that the Faculty had decided to approach these concepts – which is expressed in the Faculty *extensión* policy and IDP- is that linkage with the context is just the step of the process where the community partner is contacted in order to make the *extensión* activity possible:

> The linkage with the context is how the university generates, let's say, ties and networks, in the sense of generating collaboration agreements, doing things together, agreements at the teaching level, artistic creation in our case, or research. And in the case of *extensión* as I say it is more complex, because it takes this, which is the linkage with the context, and develops it in a more complex apparatus that is how the university takes charge of extending the knowledge to the community. (interview with Marcelo, 10th March 2016)

Apart from expressing their preference for the concept *extensión*, the other interviewees from the Faculty did not provide a differentiation of the concepts.

The case of D3 (N&E Sciences) was different from the other two. It was observed a very practical approach, where most interviewees did not attempt to make a differentiation between the concepts, but mostly used them interchangeably, as synonyms. This is well encapsulated by the Senior ELC officer, Inés, who although attempted a differentiation, it was inconsistent with the rest of her discourse: although she proposed that linkage with the context could refer to activities that are two-way, whereas *extensión* is one way; she said that the activities organised at her Faculty are aimed to build two-way relationships, but the office is called *extensión*.

> *Extensión* is the linkage with the context. I don't like the discussion of concepts because it makes it more confusing. But *extensión* is a one-way relationship, the concept at least, however linkage is two-way. We always understand that it has to be a reciprocal relationship, where both of us receive something. (interview with Inés, 30th March 2016)

What this shows, that was also reflected in all the other interviewees from this Faculty, is that there was no clarity about the difference between both concepts and they were used interchangeably.

In conclusion, there was a generalised lack of clarity regarding the definitions, scope and differences between the concepts *extensión* and linkage with the context; and the few participants that had a clear idea about the difference presented dissimilar interpretations.

5.4   Implications

The themes that emerged in the analysis show, on the one hand, how the case of University One incarnates the particularities of a Latin American institution,

representing a specific model of university, focused on its contribution to its country. On the other hand, it confirms several issues detected in the literature based on the English-speaking context, concerning topics such as the scarce valorisation of the public engagement activities, and the confusion about the concepts used to refer to it. In this section, a discussion about the themes that emerged will be presented, divided into the two main topics described at the beginning of the chapter: the impetus for public engagement; and the barriers for public engagement.

5.4.1 The impetus for public engagement

The first two themes, related to the fulfilment of the university's mission and the discussion about the purpose of universities as institutions, invites a reflection about what we are talking about when the concept of "university" is mentioned.

The commitment of University One towards the needs of the country appeared both in the University mission statement and in the University IDP, and was also identified in most interviews as a matter of common sense regarding the role of the university. This is rooted in the very origins of the institution, as most Latin American public universities were created with the explicit mission to contribute to the development of its country (Gómez, 2011) and were assigned a practical utility in terms of serving social needs (Jaksic and Serrano, 1990). The position of this institution – which is committed to influencing public policy and observing and criticising the government's measures – responds to what Marginson describes as a particular feature of Latin American public higher education, where "the university is positioned as both a holistic container of society and a constructive critic of the state" (Marginson, 2016 p 120). This traditional protagonist role of the university in the wider society is expressed in the assumption that ELC is and should be an important part of the university's work. This may be different to what happens in other national contexts, for example in the UK it has been said that "public engagement remains counter-cultural to the ethos of most public and educational institutions, scientific research and the civil service", which is explained by an expert-led culture where engagement appears as a distraction (Science for All Expert Group, 2010).

From a critical perspective, which was detected in some of the interviewees' analyses of the situation, it can be observed that this university was affected by the privatisation of the higher education system as part of the neoliberal economic model, installed in Chile since the military dictatorship (1973-1990), and which is in permanent struggle to defend its position and legitimacy as a public institution.

As explained by De Sousa Santos (2007), Latin American universities are intimately linked to the creation of their independent nations, and therefore they have faced a disorientation regarding their social functions due to the explosion of neoliberalism, which implies the reduction of the state and the national project. According to Giroux (2010b), this situation also happens internationally, as universities are being pushed to behave as corporations, so they have lost their commitment to addressing social problems, in a context where neoliberalism devalues all aspects of public good.

This is precisely the scenario described by some of the interviewees, in relation to the current situation of the university and their perspective that reappraising the *extensión* function may be a way to recover its original public role. This is in tune with the perspective of critical education scholars, such as Giroux, De Sousa-Santos and Freire, who call for an active engagement of universities in the defence of their public role. According to Giroux (2010), a market-based neoliberal perspective of universities disdains publically-engaged research and teaching, and in this sense he calls for a retake of the university, taking a stand about its meaning and purpose, as a democratic public sphere. Similarly, De Sousa-Santos indicates that strengthening the *extensión* function is one of the measures needed in order to recover the original role of the public university and make it viable in the 21st century (De Sousa Santos, 2007). The idea of the university taking a political stand, as interpreted by some of the interviewees, is also in tune with Freire's idea that intellectuals should make the pedagogical more political, in order to promote social change (Freire, 1970).

The fact that this critical perspective was identified by three of the four members of the Leading Team, specifically those who work for the *Extensión* Pro-Vice-Chancellery, can be related to the ideology of the current management of the

university, characterised by the defence of the public role of education and the resistance to privatisation.

The theme about the influence of the students can also be understood in a Latin American context, where students have historically had an influential role in the development of education policies and administrative structures, specifically through uprisings and through the work of students' unions.

Student movements have been a historical feature of this region (Solari, 1967), characterised by having not only unionistic goals but also by exerting influence in national politics (Archila, 2012). The Córdoba Reform of 1918, where the Latin American concept of *extensión* originated, started from a student revolution (Tcach, 2012). In Chile, the influence of the students is reflected in the 2011 national student uprising, which caused two major education reforms (one for Primary and Secondary Education, already in place, and one for Higher Education, discussed in parliament at the time of data collection).

In relation to how the internal process of the university relates to a national context of change, this also resonates with what has been found in historical and sociological analyses of Latin American student movements, which link them to wider societal problems and in that sense they can be considered not just student but social movements, an expression of discontent in society (Tcach, 2012; Núñez, 2012). In this context, it is possible to understand how the students' demand for a university more engaged with the needs of the country is in tune with a wider social demand in Chile for a more socially just country, expressed in the movement for a new constitution and in the immense popular support received by the students' uprisings. This helps to explain how the students have been powerful enough to influence the decision of the university to pursue a process of reappraisal of *extensión* and linkage with the context.

The theme about accreditation and research funds shows that although this particular university may have its own perspective regarding its social role, it is immersed in a national and global system that follows certain trends of accountability and where research impact has become a key issue. This matches with an international situation described in the literature, where the higher education system is being pushed toward deeper public

engagement (Ward et al., 2013). A good example is the recent inclusion of "impact" as one of the criteria used by the Research Excellence Framework (REF) to assess the quality of research by UK universities since 2014. In the case of Chile, the inclusion of linkage with the context has been a criterion to assess universities' quality since early 2000s (Comisión Nacional de Acreditación, 2007). This topic is currently included, with different names, in the different accreditation systems around the Latin American region (see Chapter 2, p.15).

5.4.2   The barriers for public engagement

The second section of themes, related to how *extensión* and linkage with the context are undervalued and are not part of academics' promotion systems, confirms an international trend, described in the literature both from the Latin American and the English-speaking contexts.

In the Latin American literature, in general there is a diagnosis that *extensión* is a function that is not valued sufficiently (Mato, 2013; Moreno de Tovar, 2005; Ortiz-Riaga and Morales-Rubiano, 2011) and for which there are few institutional incentives (Boscán et al., 2010).

In the case of the literature in English, it has been found that the majority of academics do not consider the public situated outside of academia to be the main beneficiary of their research (Goddard et al., 2012) and that they frequently identify the concept of engagement merely with dissemination activities (Grand et al., 2015). Institutional incentives for academics are not focused on engagement activities (Marrero et al., 2013) and activities with the public usually depend on a small number of professionals and very limited budgets, which hinders the sustainability of the projects (Marquez Kiyama et al., 2012).

Finally, concerning the lack of clarity about the concepts, the case of University One confirms what has been identified in the Latin American literature about *extensión*, and is very similar to what happens in the English-speaking context with concepts such as public engagement, community engagement and outreach. The data showed that there was no clarity regarding the meaning of

extensión and what it does and does not include, which is also described in the literature (Moreno de Tovar, 2005; Cedeño Ferrín, 2012).

The new concept of Linkage with the Context, whose difference with the concept of *extensión* is unclear, finds an antecedent in the almost non-existent literature about this concept available at the time of data collection. The available definitions, provided by the National Accreditation Commission, did not make clear the difference (Comisión Nacional de Acreditación, 2013).

The situation is very similar to what happens with the concepts used in English to refer to this topic. In the literature there is widespread recognition about the lack of a consistent definition of concepts such as public and community engagement, as there are various approaches and overlapping terms to refer to them and they are used differently according to the context (Barker, 2015; Hart and Northmore, 2011; Mahony, 2015; Mason O'Connor et al., 2011b; Humphrey, 2013) (see Chapter 3, p.44).

There is also a lack of clarity about whether engagement replaces or adds to the older functions of service or outreach. For some authors it should be embedded in the functions of teaching and research (Public Engagement NE Beacon, 2013; Williams and Cochrane, 2013) and for others it should impact teaching, research, and service (Morrell et al., 2015; OECD, 2007) (see Chapter 3, p.45).

In general, the reappraisal process undertaken by University One addresses a worldwide problem about lack of clarity regarding the concepts related to public engagement and what it involves. In this respect, the process may be of interest for other institutions, as it addresses the need detected by Smith, Else and Crookes (2014), related to developing internal processes to construct definitions of engagement, define performance expectations and articulate processes for recognition and reward.

5.5   Summary

This chapter offered a perspective on the context in which the decision to start a reappraisal process of ELC was taken at University One.

With respect to the impetus for public engagement, the idea that University One has a particular mission to serve the needs of the country, due to its tradition and its role as a public university, was almost a consensus at a university level. This vision was shared by most community members, who expressed an expectation that University One should have a particular role in contributing to society. The process happened at a time marked by a national debate about education, which acted as a promotor of the discussion about *extensión* as an expression of the university's public role. Another driver for this change was the influence of the students, who were seen as important players both demanding improvements in the relationship with the community and leading ELC projects. Finally, the inclusion of linkage with the context as a criterion for accreditation, and the allocation of research funds, appeared to be part of the context for the decision.

It was also possible to identify some existing barriers for public engagement that justify the need for a change. The lack of valorisation of *extensión* in academics' promotion appeared as a key driver for this project, and the scarcity of funding or structure was a problem mentioned by many university interviewees. Finally the lack of clarity about concepts was evidently a problem that contributed to the confusion about this topic and motivated one of the main objectives of the reappraisal project, which was to build definitions.

Chapter 6: Findings:
The Development of the Reappraisal Process

6.1 Introduction

This chapter is aimed at analysing the themes that emerged in relation to how the reappraisal process was organised and developed. The timeframe of this research did not allow me to review the development of the whole reappraisal process, but it provided insights regarding a large part of it. The data collection, including interviews and observation of meetings, took place in March, April and May 2016, so interviewees gave their opinions in relation to stages one and two of the process (see Chapter 2, p.28). Their views were complemented by insights drawn from key documents and observation notes.

The analysis considers data related to the Central Group that organised and led the reappraisal process, including interviews, observation of six meetings and analysis of the Technical Study of the reappraisal project. Data from the Departments was also considered (D1: Medical and Health Sciences; D2: Arts; D3: Natural and Exact Sciences), although the interviews with lecturers and students were only included in the two themes that referred to their participation. This is because most of them did not participate in, and in some cases were not aware, of the reappraisal process. The data also includes the observation notes of two local committee meetings of the Faculties that had local *extensión* committees in place at the time of data collection (Health and Arts).

Nine themes were identified, which were grouped into three main topics. The first topic relates to expectations about the reappraisal process, including the expectations for concrete results and the idea that the process may influence the rest of the Chilean higher education system. The second is related to engagement with the process, including individual participation, committee participation and management of diversity. The third topic refers to the evaluation of the process, including positive opinions, criticism and scepticism.

The end of the chapter offers a discussion of the findings in relation to the literature, followed by a summary.

6.2   Expectations

6.2.1 Concrete changes to policy and qualification and assessment systems

There were contradictory expectations regarding the scope of the reappraisal process, even in the Leading Team. The main point of confusion related to whether the reappraisal process involved the creation of an ELC policy for University One. When consulted about the objectives of the reappraisal project, Yasna, senior member of the Leading Team, said:

> Apart from not existing, measurable data, and a way to measure *extensión*, linkage with the context and communications, the idea was […] to enhance it, as well. The idea was, is, to be able to start generating a University *extensión* policy (interview with Yasna, 15th March 2016).

In three of the six Third Stage Working Team meetings observed, the concept of "policy" was used to refer to the result of the reappraisal process, and the third phase of the process was also acknowledged as more "political" than the previous stages. For example: "The meeting is introduced, and it is explained that during these meetings both the accreditation and the policy will be discussed" (observation notes from Leading Team 2 meeting, 8th April 2016).

Nevertheless in his interview, Alexis, another senior manager and member of the Leading Team, was very emphatic on making a difference between the technical process being developed, and a policy-making process that the Pro-Vice-Chancellery was going to conduct afterwards, and in which the Quality Assurance Committee was not going to be involved:

> It has to be made clear what the objective three will be about. Because in no case our vision was to define the policy, it was to define the concept, which is different. So if the idea is to define policy, I think we are making a mistake. I mean, you have to do it, but it's not the place and it's not us who have to participate in that process. I would love to, but I prefer, for human capacity and everything, I prefer that simply when policies are defined, the principles that we have proposed are taken into account. (interview with Alexis, 6th April 2016)

Finally the issue was clarified as reflected in the Technical Study, which does not mention the word "policy". In a meeting celebrated in January 2017, the reappraisal process was officially closed and the Pro-Vice-Chancellery launched a policy-making process, in which the Quality Assurance Committee was not involved.

If the differentiation was not clear in the Leading Team, it is not surprising that the interviewees did not have clarity about the difference either. They had heard about the perspective of a policy-making process, so it was difficult to separate things and understand that stage three of the reappraisal project was different from a policy-making process that would come later. That is why, when interviewees were asked about their expectations for the following stages, it was not possible to separate the expectations for stage three referred to building definitions, and for the policy-making process. Rather, the expectations expressed will be grouped broadly in relation to what was coming after completing stages one and two.

The most repeated expectation was related to the materialisation of the reappraisal project into changes of practice. Seven of the eight members of the Main Committee (all but Esteban) expressed that the most important result they were expecting, was seeing the process translated into the valorisation of ELC in the academic qualification and assessment systems, and the availability of performance indicators and guidelines for the ELC work. For example, Nadia (non-academic staff member from the area of Social Sciences and Humanities) highlighted that the results should be more than just "a decalogue of beautiful words" (interview with Nadia, 15th March 2016). Daniela, lecturer from the area of Forestry, Agronomics, Livestock and Marine Sciences, referred to the importance of assessment:

> More than a policy, because we have policies maybe about so many things; it is a system […]. Because in the speech, you see the University IDP, *extensión* is important, you see, it's written there. But who cares? So, there should be proper system where that statement takes effect in your daily work. And that can only be achieved with qualification and evaluation. (interview with Daniela, 29th March 2016)

Among the four members of the Leading Team, three of them (Gabriela, Alexis and Yasna) expressed a desire to see the project translated into practice in order to generate changes, mainly related to enhancing the valorisation of *extensión* in the academics' qualification and assessment system. As expressed by Gabriela, senior manager: "I hope that this finishes and that it effectively materialises as soon as possible" (interview with Gabriela, 11th April 2016).

From the Departments, the three Senior ELC officers referred to the importance of seeing this process translated into concrete changes related to the valorisation of *extensión* in the academic career. This is well encapsulated by Oscar, from D1 (Health): "The policy is only going to make sense, or a definition taken by the university, as long as it is accompanied by an according qualification process. If not, it will be mere statements of good intentions" (interview with Oscar, 22nd March 2016).

Thus the data shows that although there was confusion regarding whether the reappraisal process was a policy-making process or not, there was a consensus around the idea that what was needed was concrete changes reflected in the valorisation of *extensión* in academics' performance indicators and the existence of definitions and guidelines for the ELC work.

6.2.2 Influencing the Chilean Higher Education system

Three interviewees from the Main Committee, and two from the Leading Team, suggested that the reappraisal process and its results could or should become a model to be followed by other higher education institutions in the country.

From the Main Committee, Nadia and Hugo expected the reappraisal process to influence other universities with respect to the definitions and valorisation of ELC and linkage with the context. As asserted by Hugo, non-academic staff from the Research Pro-Vice-Chancellery:

> It seems to me that this is an opportunity for this administration to put a political definition of what *extensión* is, that allows, on the one hand, to boost the *extensión* activity at the University [...] and secondly, to establish a definition that also allows supporting the development of this activity in other universities (interview with Hugo, 23rd March 2016).

From a different point of view, Gastón shared the perspective that University One should influence the rest of the Chilean higher education system regarding ELC, but he was critical about what has been done in this respect so far:

> University One today isn't leading and it doesn't have the lead in *extensión* policy because it's already a very old-fashioned word. The linkage with the context, unfortunately it's not taking the lead either, although for our public duty, we must lead. (interview with Gastón, 23rd March 2016)

From the Leading Team, two members (Yasna and Néstor) highlighted that the reappraisal process and its conclusions could be a model for other universities. As asserted by Néstor, staff member:

> If you have an *extensión* policy with the characteristics that are being roughly outlined here, from University One, it is likely to also have a national impact. The other universities will start to see that, and they will be updated in that discussion, and then you will have a big impact (interview with Néstor, 18th March 2016).

In the interviews with the Senior ELC officers from the Departments, there was no mention of potential impact in other contexts.

This theme shows the presence, in some of the interviews, of an idea of the university as a model institution, whose decisions and policies can or should influence the national education system.

6.3   Engagement with the process

The Technical Study of the reappraisal project defines it as a participatory process. The possibilities of participation offered to the university community varied throughout the project.

Stage One (January – July 2015): Three Main Committees were in place – a Technical Team formed by six members of the Pro-Vice-Chancellery and the Quality Assurance Committee; a Main Committee constituted by *extensión* officers of eight different units; and a Directive Board aiming to act as a supervisory body. The process included a consultation, responded to by 312 people across the university, of whom 72% were academics, 14% non-academic staff and 9% students. The result of stage one was a form.

Stage Two (August 2015 – January 2016): The same committees were in place. The Main Committee was extended to include all the different units of the university. Additionally, the Faculties were required to create their own local *extensión* committees to participate in the process. At the end of this stage, a workshop was organised, where 44 people from 17 academic units participated. The outcomes of stage two are the indicators and the rubric.

Stage Three (March 2016 – January 2017): The Pro-Vice-Chancellery assumed the leadership of the process, and the Quality Assurance Committee only acted as an advisor. The three committees did not meet again. A new smaller team was created (Third Stage Working Team), integrated only by members of the Pro-Vice-Chancellery. This group met initially once a week, but with time this regularity was interrupted and the meetings became more occasional. This stage included two workshops with the *extensión* officers of the different units; the presentation of the project to the different Faculty councils and to the university senate; and a request for feedback on the proposal to all Faculties. The result of this process was the creation of a new, agreed definition for the concept of *extensión*.

The creation of all these committees, and the presentation of the project to different groups, has to do with its aim to be a participatory process, as stated in the Technical Study. It can also be explained as a political strategy to validate the process, as expressed during a meeting: "Maite said that it is needed a balance of validation towards the authority and towards the university community" (observation notes from Third Stage Working Team meeting, 1st April 2016).

The following themes review to what extent these opportunities for participation were actually taken and the ways in which the diversity of opinions were managed.

6.3.1   Personal participation

Both the interviews and the meeting minutes contained in the Technical Study of the reappraisal project reveal that there were very different levels of engagement and participation in the process.

The Technical Study includes the minutes of 12 meetings held once a month by the Main Committee, between January 2015 and January 2016. They show that the attendance varied through the year. In a first stage, representatives from eight departments participated consistently in most of the seven meetings reported. In a second stage, when the Committee was extended to include 15 additional departments, the attendance was very varied, with five units that

attended four or all of the five meetings reported, and 13 that attended only once or twice.

From the eight interviewees of the Main Committee, four participated in the process from the beginning (Hugo, Brenda, Nadia and Daniela), three were incorporated in stage two (Gastón, Rocío and Mónica) and one in stage three (Esteban). Regarding their own participation, interviewees had varied comments. The ones who participated from the beginning reported themselves as active members, attending all or most meetings and feeling involved in the process, as well as showing a deep knowledge about it. This was explained by Brenda, non-academic staff member from Engineering and Technology:

> I would say that there is a core group that is the first group that started, that is super orderly and constant [...] I would say that, I don't know, one third of the people is always constant, and probably it's more than half of the initial group. And meetings are once a month. Anyway I would say that everyone works, because we are given many tasks, such as read such thing, look for who has the polls, correct, etc. (interview with Brenda, 22nd March 2016).

Conversely, the other four participants (Laura, Gastón, Rocío and Esteban) did not show the same level of engagement, expressing some distance with the process or partial knowledge about it. A good example is this quote from Rocío, lecturer from the area of Legal, Political and Economic Sciences, who observed that participation in meetings decreased with time: "I went to the first meetings, then I got a little bored because it was like, in the end I came to feel that it was a bit of a waste of time" (interview with Rocío, 18th March 2016).

In the case of the Leading Team, two interviewees (Yasna and Alexis) made comments regarding participation and they both had a positive perspective about it. Alexis, senior manager, recognised that the levels of attendance decreased with time, but was happy with the overall participation achieved:

> At the end we had less and less, I mean it was clear that we were getting to the end of the year; but there was a moment when practically all the *Extensión* Directors were discussing the topic, or all the *Extensión* Directors answered, or several people responded the surveys … (interview with Alexis, 6th April 2016)

Concerning the three Departments, all their Senior ELC officers participated in the process. The *ELC officer* of D3 (N&E Sciences) participated from the first stage, whereas officers from D2 (Arts) and D1 (Health) were involved from stage two. According to the minutes, representatives from both Health and

Sciences attended most of the meetings to which they were invited (three of five in the case of Health, and ten of twelve in the case of Sciences). Both of them showed deep knowledge about the process during the interviews and were perceived as active participants in the process.

Conversely in the case of D2 (Arts), according to the minutes, a representative of this Faculty attended only one of the five meetings to which they were summoned. In the interview some distance with the process was observed from the perspective of Marcelo, Senior ELC officer:

> I will not be able to give you so much news in the sense that our participation so far has not been so, how can I say it, I don't know if relevant is the word, but so far what has been done is a big survey [...] Then based on that, a preliminary report or study has been done. But this is in absolute process, no conclusion has been reached yet (interview with Marcelo, 10th March 2016).

That is how the process offered opportunities of participation to all university departments through their *ELC officer*s from stage two, but they showed different levels of engagement and participation in it. Those interviewees who were involved from the beginning appear to be, in most cases, the ones who were more engaged with the project.

6.3.2   Committee participation

From August 2015, the Leading Team sent a request to all Faculties for them to create local *extensión* committees. The idea was that these committees would discuss the issues proposed by the Leading Team, and then the *ELC officer*s of each Faculty would act as representatives of their views in the Main Committee. According to the Technical Study, this was a way of expanding participation in the process.

Nevertheless, at the moment of data collection starting in March 2016 there were very different states of advance with respect to this issue. The Leading Team did not have a clear account about which Faculties had local committees in place and which did not, and the actual existence of local committees is not reported in the Technical Study. The doubts regarding this were acknowledged in two meetings of the Third Stage Working Team, as reflected in these notes: "Maite mentioned that there are Faculties that have an *extensión* committee

constituted and working permanently. But there are others that have not created it" (observation notes from Third Stage Working Team meeting, 1st April 2016).

From the interviews it was possible to conclude that some Faculties had created an *extensión* committee specifically to discuss the reappraisal project; others did have a committee working on local issues which occasionally discussed the reappraisal process; and others did not have a committee at all. It was also observed that in some cases, committee members did not have much idea about the reappraisal project, as the local committees were focused mainly on local issues.

From the eight interviewees of the Main Committee, three of them did not represent a Faculty (they were from the Students Union, the Research Pro-Vice-Chancellery and a cross-Faculty project), and therefore they were not entitled to create a local group. Out of the other five interviewees, only two had local Committees in place in their departments, and both of them were created responding the requirement of the Pro-Vice-Chancellery.

One of them was Daniela from the area of Forestry, Agricultural, Livestock and Marine Sciences, who explained that they had formed a joint group for the three Faculties in her campus, involving the Senior ELC officers and two lecturers of each Faculty; and they had met specifically when there were issues to discuss related to the reappraisal process. The other was Mónica from the area of Medical and Health Sciences, where the local committee included lecturers and students. Although they created the committee following the request of the Pro-Vice-Chancellery, its focus had been mostly on local issues. This was the case in a meeting I observed on 5th April 2016, where the reappraisal process was not mentioned. According to Mónica, the tendency to discuss local issues was a characteristic of this group: "We are seeing local issues, because the truth is that […] I sent them all the documents sent by the Pro-Vice-Chancellery. Now, I am not sure if it has been read" (interview with Mónica, 4th April 2016).

In the case of the three people whose Departments did not have a local committee in place, two of them were not Senior ELC officers, so they were not in a position to create a local committee either (Gastón and Brenda). The other person, Rocío, from a Faculty in the area of Legal, Political and Economic

Sciences, expressed the reasons why a local committee had not been created in her Faculty:

> It didn't really work to set up another committee in this Faculty, because when I consulted it, it was like a committee, really? And at the end, the process also continued a bit in parallel with the survey, which was the relevant thing. So I don't know, in the one hand it didn't motivate me that much, it didn't motivate the people, perhaps as a result of lack of control, because I was so new, maybe I didn't take the bull by the horns, but I don't know, I didn't push it much and didn't spark much, to be super honest. (interview with Rocío, 18th March 2016)

In the case of the Departments, there were differences among them. In D1 (Health) the local *extensión* committee was constituted by a staff representative of each unit of the Faculty. The Senior ELC officer and one of the lecturers, Ismael, commented that the committee had worked on the reappraisal process when required, for example reviewing and validating the ELC questionnaire. However, its focus had been mainly on local issues, especially the creation of a local *extensión* policy. This was observed by me during a meeting, which was entirely dedicated to refining the proposal for the local *extensión* policy:

> The meeting was dedicated to do a final revision of the local *extensión* policy, prior to its presentation to the Faculty council. They discussed different observations, and also talked about how it would be reflected on more valorisation in academics' promotion, and about the relationship between *extensión* and communications. The reappraisal process was mentioned briefly as a reference but not as a topic for discussion (Observation notes from Health local committee meeting, 29th March 2016).

In D2 (Arts), the local committee existed before the request of the Pro-Vice-Chancellery. The group was consulted about the reappraisal project, but its main focus was on local issues. This was observed by me in a meeting on 16th March 2016, where the reappraisal process was not mentioned. Regarding the lecturers and student interviewed, all of them were members of the local committee. Nevertheless, one of the lecturers (Mateo) and the student (Diego) had recently joined it, which might be a reason why they had very limited knowledge about the reappraisal process, as they said that it had not been discussed at least in the last few meetings. The other lecturer, Bruno, who had been on the committee for longer, mentioned that the indicators had been discussed in the local meetings, but he felt that there had not been a deeper discussion about the meaning and implications of *extensión*:

> … indicators have been discussed, but […] it's like an order that arrives and that those indicators will be created, but the discussion about the intentionalities of those indicators is not clear […] and there is where I have the question, what are the indicators for. And I have not participated in a discussion about that yet. (interview with Bruno, 23rd March 2016)

Finally, in D3 (N&E Sciences), although the Senior ELC officer was actively involved in the Main Committee, they had not created a local committee. Therefore, the lecturers and student interviewed from this Faculty had not participated in the reappraisal process and did not express an opinion about it.

Thus the data from the interviews shows that although the plan attempted to include all of the university community in the process through local committees, this was not achieved, as not all the Faculties created local committees, and of those that created committees, in some cases these were more focused on discussing local issues than the reappraisal project. This is confirmed when reviewing what happened after the interviews, when in July 2016 a draft of stage three of the Technical Study, containing proposals of definitions for the concepts of *extensión* and communications, was sent to all 18 university Faculties in order to be reviewed by the local committees. The final version of the Technical Study shows that only seven Faculties sent any feedback (Architecture, Arts, Sciences, Agronomy, Forestry, Philosophy and Dentistry), whereas the rest did not participate.

6.3.3 Management of diversity

The analysis of the outcomes of the reappraisal process (form, indicators, rubric and definitions) show that they tended to include everything that could be considered as ELC according to different perspectives, rather than privileging one perspective over the other. That is how the types of action and lists of indicators include a varied range of activities, from community work to paid services (see Appendix 1-5). The rubric does attach more value to those activities that fulfil certain characteristics (for example, a free activity is better valued than a paid one), but this does not mean that the others are not included (see Appendix 7). According to what was explained during a Third Stage Working Team meeting, being inclusive was part of a strategy to make the process succeed:

> Maite explained that there was an attempt to make the indicators as wide as possible. Saying that services were not part, would have implied becoming politically trapped, because many units consider that they are *extensión*. But free activities will be more valued than the others at the moment of valorisation (observation notes from Third Stage Working Team meeting, 18th March 2016).

As a first-time effort to build a university-wide approach to *extensión* and linkage with the context, the process was a novel experience to put together different perspectives and experiences about it. The interviewees commented on how they experienced the diversity of perspectives during stages one and two, specifically regarding the discussions that happened during the meetings, as well as the resulting documents.

Six of the eight members of the Main Committee referred to the diversity of perspectives that emerged during the process, and all of them valued it as something constructive rather than problematic. Gastón appreciated the opportunity to learn how others see ELC and Mónica said that she realised that it is important for everyone, despite the different meanings attached to it. The other four interviewees (Hugo, Daniela, Nadia and Brenda) considered that the climate of the dialogue was cooperative and tended to include all different perspectives. For example, Nadia, staff member from the area of Social Sciences and Humanities, highlighted: "I thought it was going to be more complex but no, there are always places where they converge" (interview with Nadia, 15th March 2016). She even recognised how the process made her widen her perspective about what *extensión* is:

> Some years ago, I had like a little more idealistic vision about *extensión*, more with an idea of gratuity, or fair trade, I don't know, something like that. But that vision changed a lot by listening to the political positions of those [paid] programs. Where at the end, they problematize the needs of society and of the educational market, and at the end they also create in tune with that (interview with Nadia, March 15th 2016).

From the same group of six people who highlighted the value of diversity, there were two (Daniela and Brenda) who mentioned some difficulties or disagreements. Both agreed that during stage one, where few people participated, everyone tried to reach agreements, but during stage two some new people brought divergent positions. As explained by Brenda, non-academic staff member from Engineering and Technology:

> You worked eight months, six months, I don't know; where you discussed a lot of issues, then the new people who arrive is like no, I don't agree and it's like, if we all had already agreed on this issue! (interview with Brenda, 22nd March 2016).

From the Leading Team, all members made some reference to the diversity of perspectives encountered during stages one and two, but only Alexis and Yasna referred specifically to how it was managed. They said that more than a difficulty, it was something that enriched the process and was taken into account. Alexis, senior manager, gave an example about how the process attempted to value diversity and include all different visions:

> We have a list of products […] and someone told us, hey, but you don't have projects. How? *Extensión* projects? Yes, there are *extensión* projects. Oh. He explained it to us, we included it, period. So, projects is now an *extensión* product (interview with Alexis, 6th April 2016).

This idea that the process respected and included all different perspectives is evidenced in the fact that a senior member of the Leading Team, Gabriela, thought that paid activities should not be included, as she expressed on different occasions, including her interview: "for me it is not, specifically any paid training course is not *extensión*, and for the Faculties it is *extensión*" (interview with Gabriela, 11th April 2016). Despite her position, the final list of indicators does include paid activities (see Appendix 4 and 5).

Regarding the three Senior ELC officers of the Departments, who were also members of the Main Committee, they all mentioned diversity but with different accents. Oscar, from D1 (Health), just referred to the existence of varied perspectives without expressing further opinion on the subject. Mauricio, from D2 (Arts), and Inés from D3 (N&E Sciences), said that it was positive to learn from different perspectives and experiences. Inés' comments on her own participation reflect an attitude of collaboration as well as valorisation of diversity: "In general there haven't been any difficulties, everything as a cup of milk. I didn't want to express my fears either, to not be mean, because I appreciate the tremendous work that has been done" (interview with Inés, 22nd March 2016).

The interviews reflect that the challenge of creating a unified set of indicators in a university where different perspectives about *extensión* coexist, did not result in being as hard as could be expected because the strategy included every

perspective. This means that the university did not take a strong position regarding the kind of link with the context that it should have, but acknowledged all the different kinds of existing relationships and just provided some accents about which kind of activities are more valuable (see more analysis of the documents in Chapters 7 - 9).

This inclusive strategy continued during the third stage of the reappraisal process, evidenced in the way how a definition of ELC was constructed. The report of this stage, generated after the data collection, shows how Faculties had opportunities to have a say in the construction of a definition. In April 2016 there was a workshop where the existing definitions were discussed and amendments were proposed. These changes were put together in a proposal that was sent to the Faculties on July 2016, for them to send their feedback. It included a new definition for *extensión* and communications, and proposed to use the definition of the National Accreditation Commission for the concept of linkage with the context.

According to the report, only seven units responded. They all expressed their approval of the proposal in general, although they proposed slight changes. Five of them made observations to the concept of *extensión*, five to communications and three to linkage with the context.

The argument expressed in the document regarding how the comments were processed says that they considered significant those comments that build on the foundations of the accumulated work, and especially on the conclusions of the workshop. Therefore, suggestions that were opposed to the agreements previously achieved, and which were not criticised by most feedback, were not considered. An attempt was made to include at least one of the observations of each of the six Faculties that commented on the report.

Thus it was resolved to stick to the decision of not generating their own definition of linkage with the context. Additionally, it was decided to not create a definition for communications, as this should be the duty of the communications secretary and communication officers of the university. That is how the whole process, that lasted one year, ended up agreeing only one broad definition for the concept of *extensión*.

The following is the original definition of *extensión*, given during the first workshop on April 2016, as a starting point for the discussion:

> A process that, through the dialogical relationship between the different units that form the institution, promotes the presence of the University in society, accredits its public character, validates its knowledge and legitimises its academic and social relevance.
>
> An essential function of the University, advocated to the creation, production and dissemination of the university endeavour in its most diverse manifestations. It aims to create, promote and develop permanent processes of integration, feedback and communication between the University and the extra- and intra-university community, in order to contribute to the socio-cultural development of the country and, through this, to its own development.
>
> A strategic objective that has a correlate in activities programmed and developed by the institution through its specialised agencies, present at all levels of its structure, and according to the institutional policies determined by the higher collegiate bodies and the Vice-Chancellery, which through its ad-hoc Pro-Vice-chancellery, is responsible for determining its fields and modes of action (Report Objective 3 of the Reappraisal Process, p.20).

The following is the final definition of *extensión*, agreed as a result of stage three:

> An essential, transversal function of the University, which allows it to fulfil its non-transferable public and social commitment and critical vocation, involving all its strata and units, in a transdisciplinary way. Its objective is creating, promoting and developing permanent processes of interaction, integration, feedback and communication, attentive to the cultural relevance, between the University and the intra- and extra-university community , in order to influence the social and cultural development of the country and, through this, its own development (Report Objective 3 of the Reappraisal Process, p.35).

A deeper analysis of the contents of this definition will be part of Chapters 7, 8 and 9. For the purpose of this chapter, it is important to notice the broadness of the agreed definition. It eliminates the first paragraph related to the presence and legitimisation of the university in society, only keeping the ideas of public commitment and social relevance, which were transferred to the second paragraph. The second paragraph was mostly maintained, eliminating some elements that specified to which activities *extensión* applies (which were creation, production and dissemination). The idea that *extensión* is transversal was added, as it involves the different units of the university; has a critical vocation; includes all the university strata; and takes a transdisciplinary form. Finally, the word "contributing" to the national development was changed for "influencing", which could be interpreted as a slightly less patronising concept.

This shows that the new definition is a bit more specific than before concerning guiding values – including a critical perspective, transversality and transdisciplinarity – but less specific regarding actions, as it does not mention what kind of activities are included nor the kind of relationships that are to be pursued. In conclusion, the process of concept definition ended up with a definition that included some specific values (inclusiveness of university actors, transdisciplinary, public commitment, critical vocation and cultural relevance). However, it avoided any specification of kinds of actions or relationships, and it is therefore a very wide definition that can include different kinds of activities and allow different interpretations.

6.4   Evaluation of the process

6.4.1 Positive opinions

In general a positive appreciation of the two first stages of the reappraisal process was identified among those who participated in it. This cannot be extended to the opinion of the whole process, which is out of the scope of the available data.

All interviewees from the Central Group made some positive comments about the process, regardless of some specific criticisms or doubts about the actual outcomes it might result in. Concerning its achievements, five of the eight interviewees from the Main Committee (Hugo, Gastón, Daniela, Mónica and Esteban) highlighted its importance in terms of creating parameters for the *extensión* activity – including guidelines and definitions for it – as a way to provide an orientation for the development of this activity and its valorisation. For example as asserted by Hugo, non-academic staff member from the Research Pro-Vice-Chancellery:

> It seems to me that the *extensión* project has made progress on that, by making a pan and an overview of what activities are carried out per unit. I feel that, in that sense, it has advanced and now it is possible to identify which are the different types of linkage that can be done (interview with Hugo, 23rd March 2016).

With respect to how the process had been organised, three interviewees (Gastón, Daniela and Brenda) emphasised its rigour and seriousness. One of them was Gastón, staff member from the area of Legal, Political and Economic Sciences: "I think that it has been a super serious working process, I think that the Quality Assurance Committee with the Pro-Vice-Chancellery have taken it seriously, also academically, the job they are doing is like hard" (interview with Gastón, 23rd March 2016).

Six people also celebrated the diversity involved in the process. For example Nadia highlighted the achievements of the process in terms of including every perspective: "One of the main merits of this process is that it has been able to summon the heterogeneity" (interview with Nadia, 15th March 2016).

In the Leading Team, there was also a positive valorisation of the project, for different reasons, from all four interviewees. Gabriela and Néstor highlighted the importance of this process in terms of clarifying and enhancing the area of *extensión*. Gabriela, senior manager, also considered that the indicators allowed a broader picture of what *extensión* is:

> I think this work that we are doing with the Quality Assurance Committee is so important, it's fundamental. Because it is being quantified, it's being cleared, it's being put through these indicators, it's being drawn a much wider scenario than the one they have imagined for years, not only the academics but the authorities who have lead these universities. (interview with Gabriela, 11th April 2016)

Alexis and Yasna emphasised that the Technical Study was able to include different perspectives. Alexis also referred to the advantages of working together, the Quality Assurance Committee and the *Extensión* Pro-Vice-Chancellery, as this facilitated the project having a real impact.

Regarding the interviewees from the Departments, all three Senior ELC officers made some positive comments about the process. Oscar from D1 (Health) did not go into much detail apart from saying that the process was an important step in the valorisation of the *extensión* function. Marcelo agreed and added the value of learning from other perspectives. Inés from D3 (N&E Sciences) valued the rigour of the process and also the attention to all different perspectives, reflecting on what she interprets as the "patience" of those who lead the

meetings: "The work that has been done for the reappraisal has been very good, tremendously rigorous" (interview with Inés, 22nd March 2016).

Thus the interviewees who participated in the reappraisal process all showed a positive opinion about stages one and two of the reappraisal project, in terms of their objective of valorising and systematising the *extensión* activity, as well as in the way it was conducted. However, the valorisation of stage three, which used a different methodology and therefore may have generated different opinions, is out of the scope of the available data.

6.4.2 Criticism of the process

In terms of criticism about stages one and two of the reappraisal process, there was not a strong trend identified. The observations had to do mainly with the length of the process; the fact that it started "upside-down", leaving the definitions to the end; the length of the documents and forms created; and the exclusion of students.

From the Main Committee, only three of the eight interviewees (Rocío, Nadia and Gastón) made some criticism of the process. Rocío and Gastón mentioned that it was too slow. Rocío, lecturer from the area of Legal, Political and Economic Sciences also mentioned that there were too many meetings and they were excessively long.

Meanwhile, Nadia, non-academic staff member from Social Sciences and Humanities, referred to the difficulties caused by the way in which the process was organised, leaving the definitions to the end, which appeared illogical to her. She mentioned this had been widely criticised due to the difficulty of defining instruments when the definition of *extensión* was still not clear. This issue was also commented on during a Third Stage Working Team meeting:

> Maite said that leaving the definitions to the end was a methodological strategy, because if they started with the concepts definition, there was no agreement. Anyway, this methodology has been super questioned, so this decision will need to be explained and defended again in the Faculties and local committees when the project is presented. (observation notes from Third Stage Working Team meeting, 18th March 2016)

Nadia and Rocío also made some criticism regarding participation in the process. Nadia criticised the fact that students were not included. For Rocío the problem with participation was the opposite, as she felt that too many people were included and this made the process slower and more complex.

Finally, Gastón, staff member from the area of Legal, Political and Economic Sciences, expressed a unique point of criticism, which was not mentioned by any other interviewee. Although he valued the fact that the discussion about concepts was happening, he criticised the fact that the use of the concept "*extensión*" was out of the question:

> There is no questioning regarding that *extensión* is outmoded. In all what we are talking about, it's university social responsibility, linkage with the context or sustainability or social innovation. And *extensión*, there is none national *extensión* network anywhere and it's not an issue. *Extensión* is like from the nineteenth century, it's like, we are in another position (interview with Gastón, 23rd March 2016).

In the Leading Team, apart from some recognition that the process was improvable, only one participant, Néstor, made a specific criticism, about the absence of students: "I think that a question about to what extent the students have participated in this remains open, and all their discussion and contribution. Because […] what I want of *extensión* also involves the participation of the students…" (interview with Néstor, 18th March 2016).

Among the Senior ELC officers from the Departments, two had some criticism of the process and its outcomes. Oscar from D1 (Health) criticised that it was organised upside-down (leaving the discussion of definitions to the end) and also said that the documents should be made simpler, as they were very long and complex to understand. He was also the only person who mentioned that he expected the community to be included in stage three, as was done during the policy-making process in its own Faculty. He did not mention it as a criticism at this point, but as an expectation for the process, which later went unfulfilled:

> I think it would be interesting to use a bit the method that we used here, that is the dialogue not only within the university but open to the community. There are a lot of ideas and expectations towards the university and we have to consider them at the moment of thinking how we work together. (interview with Oscar, 22nd March 2016)

Inés from D3 (N&E Sciences) referred to the difficulties of making the academics fill in more forms than the ones they currently have to complete.

Thus criticisms of the process were scarce and varied. According to the comments of some interviewees, the way it was organised, leaving the definitions to the end, was the most criticised issue. Apart from that, it was not possible to identify a topic that caused widespread criticism.

6.4.3 Scepticism about the implications of the process

Some interviewees expressed scepticism about the future of the reappraisal process after stages one and two. Their doubts related to three main issues: the complexity of agreeing a definition for *extensión*, the fear of a narrow definition that could restrict their work, and the possibility that bureaucratic and technological barriers imply that the proposed changes may not be implemented.

Two of the eight interviewees from the Main Committee (Hugo and Esteban) referred to the existence of different perspectives regarding ELC as something that was going to be difficult in the process of agreeing a definition, although they did not consider it to be impossible. As expressed by Hugo, non-academic staff member from the Research Pro-Vice-Chancellery:

> ... I see it with more, no doubt but caution or apprehension, because I feel that the definition of *extensión* won't be an easy job, because what I told you, because of this conceptual polysemy between linkage, *extensión*; and secondly because each unit understands *extensión* differently, I mean, each unit performs *extensión* differently. However, at least in the definitions of the activities so far, I think they mark a roadmap that can help a lot to that process (interview with Hugo, 23rd March 2016).

Esteban, Hugo and Brenda referred to bureaucratic and technical barriers for the process to succeed. Hugo and Brenda mentioned as a challenging issue the actual operationalisation of a system where academics commit to report their *extensión* work, in the complex existing online platforms. Esteban, student leader, referred to a wider issue about the priorities of the university as an institution as a possible barrier: "For me, the pitch is always going to be unfavourable, because the other initiatives earn money, and then it automatically becomes difficult to say why to push this" (interview with Esteban, 4th April 2016).

Furthermore, Daniela and Brenda highlighted the efficiency and systematic work of the Quality Assurance Committee as a factor that determined the progress during the first stages of the project. Considering that it was not going to be in charge of stage three of the process, they had some doubts regarding how this was going to affect its progress. As expressed by Daniela, lecturer from the area of Forestry, Agricultural, Livestock and Marine Sciences: "I fear that now that they have left this a little, it may not advance so fast" (interview with Daniela, 29th March 2016).

Finally, one interviewee, lecturer Rocío from the area of Legal, Political and Economic Sciences, expressed some fear about the possibility that the university could build a too rigid, narrow concept of *extensión*, although she was optimistic that this was probably not going to happen:

> I think it would be super good as long as it's not a, but I don't think it will, as long as it's not a very rigid corset. As long as there are guidelines, certain definitions, certain patterns, I believe that it is a contribution (interview with Rocío, 18th March 2016).

In the Leading Team, Gabriela and Néstor thought that it was going to be difficult to reach a definition that satisfied everyone. The perspective that the future steps of the project could be complex in terms of reaching agreements, was also mentioned during a meeting: "It is mentioned and agreed that the upcoming process is political in its aim to privilege the relationship with the public sphere, and therefore is going to be conflictive as many people can oppose to it" (observation notes from Third Stage Working Team meeting, 18th March 2016). Alexis, senior manager, referred to bureaucratic limitations that could hinder the possibilities for the changes to be implemented:

> For example, the concrete case of the form becoming part of the portfolio, I see it's complicated because today it's being reviewed if the portfolio is going to continue or not. I mean, I think there is a greater discussion […] But we are pushing through different places for this to be unlocked for everyone, and I think that's going to happen sooner than later (interview with Alexis, 6th April 2016).

In the case of the Departments, the Senior ELC officers expressed the same fears identified in the Main Committee, related to the complexity of definitions, the bureaucratic and technological barriers and the fear of a restrictive definition.

Oscar, from D1 (Health), feared that the policy may not end up being translated into a change to the academics' assessment system:

> That is very difficult, because a university with self-funding logics […] is not necessarily thinking about how we can respond to more public needs. Then, *extensión* runs the great risk of being relegated to the same space, due to the interests that are at stake. With fine, precise, precious indicators. But without a modification to the assessment system in the specific weighing of each of the three dimensions that we have, it will be only a declaration of intentions (interview with Oscar, 22nd March 2016).

Marcelo, from D2 (Arts), thought that building a definition was going to be a complex discussion. Finally Inés, from D3 (N&E Sciences) reflected on the difficulty of convincing the lecturers to dedicate time to fill in one more form. She also expressed some apprehensions regarding the possibility of creating restrictive measures or making *extensión* something compulsory:

> I'm a little afraid of the questionnaire they developed, that they want to put it all under the same umbrella, and I'm not so sure that it's such a good thing [...] I think it's okay to organise it, and it's good for the university to have an umbrella. But I believe that at the university we always work a lot for personal creativity and that everyone has good disposition. I don't think that people has to be forced at all. One has to look for ways and to give support (interview with Inés, 22nd March 2016).

As can be seen, most interviewees expressed some level of scepticism regarding the results that the process could have, but not to a level that hindered their participation.

6.5   Implications

The themes in this chapter make it possible to understand how the reappraisal process was developed and how it was perceived by the interviewees. They also reveal the existence of different levels of engagement with it, notwithstanding the possibilities of participation offered. This section will discuss the themes identified, grouped under the three main topics: expectations, engagement and evaluation of the process.

6.5.1   Expectations of the process

The first set of themes was related to the confusion regarding whether the reappraisal process was a policy-making process or not, and the expectation for it to imply concrete changes in the academics' assessment system, perceived as the only way that the process could have an impact.

The confusion is not surprising, as the concept of policy is used in different ways and does not have a single meaning (Colebatch, 2009). It can be defined as a course of action (Shorter Oxford English Dictionary on Historical Principles, 2007), a decision or orientation (Hill, 2013), or an indication of normal practice, specific commitment or statement or values (Colebatch, 2009).

The issue is even more confusing in the Spanish-speaking context, because there is no different word for policy and politics. There is only one word, *política*, that can be used either to refer to a policy or to politics, and the meaning is only understood according to the context. For Thereborn (2001) there is a clear difference between both of them because politics precedes policy, as politics defines the general values and rules and policies are more applied and specific. Whereas for Jenkins (2007) politics and policy are implicated and difficult to distinguish, as policy processes imply negotiation and deal-making and are defined by values and ideology. The blurred differentiation between policy and politics may explain the concern of one of the interviewees from the leading team in order to clarify that the reappraisal project was not a policy-making process: this participant wanted to make clear that it was a technical work, not related to politics.

Considering the varied definitions available, it can be said that the process observed during this research was not exactly a policy-making process, as it did not attempt to establish a set of rules or guidance to follow, but it was mostly about providing a list of activities and tools for their assessment. As explained previously, the tendency was including everything rather than privileging some activities over others. Although the rubric set some preferences, they are still very general and do not exclude anything. The last stage, dedicated to creating a definition, may have some elements of policy-making, as a definition somehow sets a perspective to be followed. This may explain the decision of the Quality Assurance Committee to not lead this stage of the process.

The different perspectives of the Quality Assurance Committee and the *Extensión* Pro-Vice-Chancellery regarding this issue can also be seen as a reflection of two agendas that came into the process: a technical one, aiming to develop a practical tool to include ELC in the academics' qualification and assessment systems; and a political one, aiming to enhance the importance of ELC at the university, as a way to reaffirm its public role.

In the long run, the effects of this lack of clarity may not have had a big effect on the process, for two main reasons. The first is that after the reappraisal process, a policy-making process was started, so all the work of the reappraisal project was actually a basis for the policy-making process and in that sense, the two aims were satisfied: having a set of tools for the assessment of ELC and having a policy. The second is that what most interviewees wanted was practical changes related to the valorisation of this activity in the academics' qualification and assessment systems, which was covered by the reappraisal project; and guidelines for work, which was to be covered later by the policy.

The second point related to the concern of interviewees in that the outcomes of the reappraisal process should imply concrete changes and not just more declarations and "beautiful worlds". This can be explained by the fact that the university already had a declaration about the importance of *extensión* in its mission statement from at least 2006, but this had not been echoed with a valorisation of this function in practice. Besides, the urgency of translating the process into practical changes to academics' assessment is connected with a problem described in the international literature, about the lack of valorisation of these activities in the academics' assessment systems (Boscán et al., 2010; Marquez Kiyama et al., 2012; Smith et al., 2014).

The second theme was about the expectation that five interviewees expressed whereby the reappraisal process may influence the rest of the Chilean higher education system in terms of the definitions and valorisation of *extensión* and linkage with the context. This perspective coincides with what was identified in the first findings chapter, regarding the relevance and national influence that University One attaches to itself, expressed both in its mission statements and in the opinions of the interviewees. The interviewees expressed an idea that

University One is especially important in Chile and somehow has the responsibility to be a model for the rest of the education system. The reappraisal process shows that the University is not waiting for guidance from the Ministry of Education or from any other institution: it sees as its own responsibility and capacity, the creation of its own approach to ELC, and trusts that it will be good enough to influence the rest of the system.

This perspective can be explained in relation to the mission and history of University One, which is part of the first Latin American public universities, which were conceived not only as teaching institutions, but were meant to influence the whole national education system (Arocena and Sutz, 2000). For example, Universidad de Chile was created as an academic and supervisory body that not only provided teaching but also had to control the development of professional fields and monitoring examinations, curriculum development and degree granting at national level (Jaksic and Serrano, 1990). Similarly, University Mayor de la República in Uruguay, according to its first ruling in 1849, was in charge of leading all public education in the country, including primary, secondary and higher education (Universidad de la República, no date-b). The responsibility attached to University One in terms of influencing the rest of the education system is also expressed in its mission statement, which declares "it is responsibility of the University to watch the cultural heritage and national identity, and boost the improvement of the educational system of the country" (University Development Plan, p.3). This explains why, as an old institution in the country, some interviewees attach to University One a responsibility that has to do with its historical role of influencing the rest of the national education system, in this case, through its approach to *extensión*.

6.5.2 Engagement with the process

The second set of themes reflects the different levels of participation in the reappraisal process and how diversity of opinion was managed and agreements were reached. This section will offer, firstly, a brief discussion about each theme in specific terms; and secondly, a discussion about the strategic approach that defines them all.

In terms of participation, the data shows that it was very varied. The process achieved legitimacy in the sense that no department of the university could say that they did not have the opportunity to have a say in the process. But this opportunity was not taken by everyone.

Regarding personal participation, there were different levels: from those who showed a deep knowledge and engagement; to others who expressed some distance and just completed the minimum requirements. At a group level, it was observed that only some Faculties created local committees. Furthermore, in many cases the local committees were more focused on discussing local issues rather than the reappraisal project, which was evidenced not only in the three local committee meetings observed by me, but also in the fact that most interviewees from the local commissions showed little awareness about the reappraisal project.

The data does not provide explicit explanations for the different levels of engagement. Furthermore, it only includes people who did participate at least in one meeting, so those who decided not to participate are not represented. Only one interviewee expressed reasons for her low levels of participation or for not creating a local *extensión* committee in her Faculty, but the reasons expressed may be an indicator of what could have also happened in other cases. Referring to her own participation, Rocío expressed a feeling that the meetings were too many, too long and too demanding for her already busy schedule. Regarding the decision to not create a local committee in her Faculty, she said that there were already too many working committees, which generates resistance to creating a new one. This may have also been the case for other units, already overwhelmed by their workload, to have avoided being involved in a demanding process.

It is also interesting to observe the case of Gastón, who was the most critical of the interviewees in relation to the university approach to public engagement. It can be observed that instead of trying to influence the process from within, he preferred to limit his participation. This is evidenced in the fact that his Faculty did not send any feedback for stage three of the process, related to definitions, and also in his rare participation in the meetings. It is worth wondering if this

may have been the case for other people or other Faculties, who may have been critical or sceptical about the process but preferred to keep working on their own projects rather than trying to influence it.

With regards to the management of diverse opinions, it can be observed from the outcomes of the project that it did not intend to privilege a particular position, but to include all different perspectives. Although some interviewees were very clear on their perspectives about issues that should or should not be considered *extensión*, the indicators tend to include every perspective rather than choosing one over the other. The rubric does set some priorities, in tune with the results of a workshop and also with the university mission, but acknowledges all of them (see Appendix 7).

Thus the final definition agreed for the concept of *extensión* is very broad and gives space for different interpretations. It does not put an accent on a special public or a specific way to conduct the relationships. It sets some priorities but mostly as preferred ways and not as the only ways.

All the themes included in this section reveal a way of conducting the process based on the participation of all university units and the inclusion of all different perspectives. This can be seen as a political strategy that proved to be successful in order to reach a final agreement and avoid resistance. But at the same time, it can be questioned to what extent the process actually managed to build a particular, clear approach to ELC for this university, as the indicators and definition are so broad that at the end of the day, nearly everything is included.

This inclusive approach was recognised during meetings as a political strategy to legitimate the process and to make it viable. In this sense, the organisers took into account what is known as the management of corporate politics during a change process, which includes considering the interests of the different groups involved (Carnall, 2003). In fact, the process proved to be successful in this extent, as it finally achieved the completion of all its expected outcomes, with general approval. The scepticisms expressed by participants, and the different perspectives about the topic, were not translated into resistance to the process. An explanation for this could be found in the fact that the reappraisal

process followed the four action steps proposed by Nadler (1993) in order to avoid resistance to a change process.

The first step is identifying and highlighting dissatisfaction with the current state. In this point, a widespread conviction was observed that the lack of valorisation of engagement was a problem, and therefore there was a consensus about the need for a change. The second is building participation in the change. In this sense, it can be seen that the process attempted to involve all the university units, providing several opportunities for participation. The third step is building rewards for the desired behaviour, and this process was precisely about it: participants would be rewarded with valorisation of their work in their promotion system. The last step proposed by Nadler is providing time to disengage from the current state. It may not have been done on purpose, but the length of the process, which lasted two years, gave time for people to prepare for it.

Nevertheless, the process did not attempt to define a clear orientation or guiding values for the ELC function, apart from certain priorities set in the rubric. There is no doubt that the process made a contribution in terms of providing a tool for engagement activities to be considered in the institutional assessment and promotion system, which is something that did not exist before. But the ideological position expressed by most interviewees – that *extensión* should tend to two-way relationships, contribute to the public sphere and not focus on services and paid activities – is not clearly reflected in the indicators or the definition of *extensión*. More specific values and guidelines in this respect were later included in the proposal for an ELC policy for the University, but that goes beyond the scope of this research.

6.5.3 Evaluation of the process

A mostly positive perspective about the way the process was conducted and its goals was identified, although it is important to note that these perceptions refer specifically to stages one and two, as stage three was only starting when the interviews were conducted. That is why in terms of evaluation, it is only possible to contrast some of the expectations and scepticism regarding stage three with what happened with the process after the interviews.

The first theme shows that the opinions about the reappraisal process were mostly positive, based on two main aspects. One has to do with the aims of the project, in terms of generating standards and guidelines for work, and aiming to value public engagement as part of the academics' qualification and assessment systems. The other one is related to the way the process was conducted, including its rigour and seriousness, and the perception that it included all different perspectives.

In relation to the first point, the high valorisation of a process aimed to value public engagement is explained by the scarcity of measures to assess the academics' work in the area of engagement, not only at University One but in universities around the world (Smith et al., 2014). There is also a lack of clarity about the definition and limits of this area and what it implies, which has been described both for the Latin American (Moreno de Tovar, 2005; Cedeño Ferrín, 2012) and the English-speaking context (Charles, 2007; Barker, 2015). In this scenario, it is not surprising that participants valued this process and its aims, especially considering that they all do ELC work, and therefore they should be directly benefited by these changes.

In relation to the second point, regarding the way the process was conducted, its perceived rigour was attached mainly to the Quality Assurance Committee, which led stages one and two with a clear methodology and working plan. It produced a very detailed Technical Document for these stages, including 56 pages of report and 446 pages of appendix. The perception that it managed to include the different perspectives is based on the fact that the process, as explained in previous sections, tended to include all perspectives rather than privileging one over the other.

In terms of criticism, the most repeated issue was the fact that the process was organised 'upside-down', leaving the definitions stage to the end. Other observations had to do with the length of the process and the complexity of the documents and forms created, as well as the exclusion of students.

The length of the process and the documents was criticised by three people. Nevertheless, it could be said that this was also a source for positive opinions. This is because the inclusion of different perspectives was considered by most

interviewees as something positive, and it could be argued that the long discussions and long process were necessary in order to provide these opportunities for participation. The process was also perceived as rigorous and serious, and the level of detail of the documents may be part of that perception. Therefore, it is something that may have triggered both positive and negative opinions.

The decision to leave definitions to the end appears to have been an open flank for criticism of the project. According to the Technical Study, it was a strategic decision methodologically based on grounded theory, in terms of starting from gathering what was being done in the field, and building indicators and definitions based on that information. According to what was expressed in one of the Third Stage Working Team meetings, it was also part of a political decision to make the process advance and not get stuck in an endless discussion. It appears to have been a practical approach in order to make viable a discussion that had failed on previous occasions. Although the methodology created some confusion and criticism, it was well-received by those who thought that the discussion of concepts was too difficult and misleading. There were two interviewees who explicitly recognised avoiding this discussion in their departments because it was complicated and seemingly never-ending. This is similar to what was found by a report about attitudes towards public engagement in the UK, where it was found that although academics understood public engagement-related concepts in very different ways and did not have clarity on how they differ, there was reluctance to start a discussion to clarify definitions, because it could either distract from or restrict public engagement work (Science and Technology Facilities Council, 2016). This is therefore also an issue that may have triggered both positive and negative opinions.

Regarding participation, the exclusion of students from the process was perceived by two interviewees as something to be criticised, which was also commented on by another two participants in two meetings. There was a possibility for students to participate from stage two, as the recommendation given to the Faculties was to create local committees that included students. Nevertheless, this did not happen in all cases and, from the committees that included them, some worked on local issues rather than on the reappraisal

project. In stage three, although the Students Union was invited participate, they had scarce attendance (during the meetings recorded between March and May 2016, they attended two of six meetings) and they did not send feedback on the final document. Furthermore, the students' report about *extensión* is not quoted in the official reports of the reappraisal process, which shows a lack of acknowledgement of their proposals. This leaves some doubts about whether the process did not include them, or if they did not feel compelled to have more active participation in it, considering that it mostly referred to the assessment of academics.

Concerning the total exclusion of community partners from the reappraisal process, there was only one interviewee, Oscar, who mentioned that he expected the community to be included in stage three. Although many interviewees spoke about co-learning and mutual benefit, none of them even discussed the option of including the community in the process. The exclusion of the community from the reappraisal process can be explained because it was dedicated specifically to enhancing the valorisation of ELC in academics' and institutional assessments. Nevertheless, it can be argued that community members could have been consulted regarding what they value in a relationship with the university, or during the phase of concept definitions. From that perspective, the exclusion of the community reveals a patronising way of thinking at the university, in the sense that many interviewees and official documents express a commitment to serve the country, from a respectful and mutually beneficial perspective, but the idea to include the perspectives of the community in this process was not even discussed. Furthermore, in several interviews and documents the word *triestamentalidad* appeared, referring to the commitment to include the three segments of university (academic staff, non-academic staff and students) in most activities and decision-making processes. This appears repeatedly as a goal, which can be seen as an example of how the university mainly looks to itself and works on inclusion within its internal publics, rather than attempting to give a voice to the external community.

The third theme reveals the existence of some scepticism regarding the implications of the process, even from those who actively participated in it. The doubts expressed had to do mainly with the possibilities for the project to not be

implemented, rather than with its implementation, which was seen as something positive by most participants. It is worth making some observations with respect to the extent to which these fears have become real, according to the information available at the time of this analysis.

Concerning the expected complexity of stage three, which aimed to achieve an agreed definition of *extensión*, this fear was contradicted by the way the process developed. Some interviewees expected a difficult discussion process that did not happen. The process started with a workshop, the results were sent for feedback, the feedback was processed and incorporated, and the definition was validated in a final workshop. In none of these moments can the emergence of deeply contradictory opinions be observed. Nevertheless, the definition that was constructed is very broad and does not take a particular stance about conflictive issues, such as whether *extensión* should include paid services or not. This may be a reason that the concept reached general approval.

In terms of the doubts regarding whether the project was going to be translated into practice or not, at the time of finishing this report – two years after the interviews were completed – there has been progress in the implementation of the proposed changes. The ELC form has not been included in the portfolio where academics upload all their activities, but the university academic qualification form was updated including actions and fields contained in the ELC form. Part of the indicators are being applied to internal assessment processes. The rubric has not had an official application yet, but is available to be used as a tool by the local assessment commissions. Furthermore, the Pro-Vice-Chancellery has been working on the creation of an ELC policy for the university, which was in process of approval at the moment of closing this report. This shows that although it has taken time and has not worked exactly as planned, the reappraisal process has resulted in practical changes, contrary to what some participants feared.

6.6   Summary

This chapter examined how the process of reappraisal of *extensión*, linkage with the context and communications has been developed at University One.

Regarding expectations of the process, notwithstanding a confusion over whether the reappraisal process was a policy-making process or not, the main interest of participants was in achieving concrete changes in the recognition of ELC work, and having some guidelines for their job in this area. Therefore, the main results expected from the project were actually part of it. Some interviewees also expressed an expectation that the process may influence the rest of the Chilean higher education system.

In terms of engagement with the process, the analysis shows that it offered opportunities for participation to all Faculties and to different stakeholders within the university, which ensured legitimacy for the project, but these opportunities were not taken up equally everyone – community members were not invited to participate in the process. Diversity of opinions was managed through the inclusion of all different perspectives rather than privileging some over others. This made it possible to reach consensus and approval from different parties, but at the same time this implied that the agreed definition of *extensión* is broad and not much more specific than the one that existed before the process.

With respect to the evaluation that participants' made of the process, a general positive opinion was identified related to its purposes and its rigour and seriousness, although this can only be attached to stages one and two, which were completed at the time of data collection. The most repeated criticism was related to the fact that the process left the definitions to the end. In terms of scepticism about the project, interviewees expressed some doubts related to the possibility that it could not be translated into practice, rather than resisting the idea of change.

In conclusion, the reappraisal process generated mostly positive impressions among interviewees, and managed to achieve general approval of its outcomes, through a strategy that included all perspectives. This strategy proved to be successful in terms of completing the project, but also implied that the process did not narrow down the scope of the ELC field or defined a very clear focus or orientation.

Chapter 7: Findings:
The ELC priorities and choice of partnerships

7.1   Introduction

This chapter focuses on the analysis of the outcomes of the process of reappraisal of ELC at University One: a form to report activities; a list of general and specific indicators; a rubric; and the agreed definition of *extensión* (see Appendix 1-8), in terms of to what extent they reflect the needs and expectations of university participants regarding which groups or institutions should be prioritised for ELC activities. In order to do this, it was necessary to first explore the perspectives and experiences of university participants with regards to the partners they choose for their ELC projects. These perspectives were later contrasted with the contents of the documents of the reappraisal process.

The data considered only the interviews with university members because the community interviewees represented members of the public themselves and therefore they did not express opinions regarding this issue. Six publics were identified: the civil society; public sector; the disadvantaged; the media; schools; and the private sector. The themes are expressed in Figure 4.
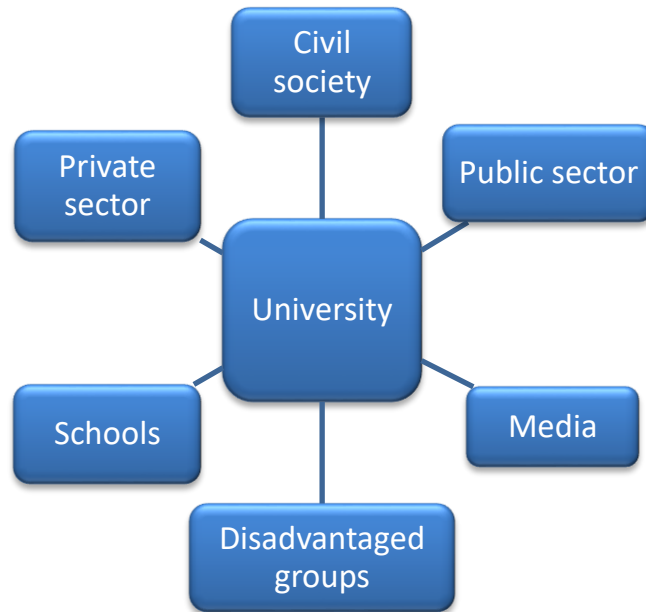
Figure 4: Types of public.

Source: Created by the author.

7.2   Civil society

The priority public for ELC activities was the same for most interviewees, who mentioned the civil society or the general public as the focus of their work. This implies that in most of their engagement activities they do not attempt to reach a specific public, but society as a whole. This involves both relations with civil society organisations, and with what Pusser (2012) defines as the "populace", which is basically the common people, not linked to any civil association. This means that most Faculties developed activities oriented to any kind of public rather to a specific audience, such as open science fairs in public spaces, or radio programmes.

In the Central Group, the general public was mentioned by all interviewees from the Main Committee. For most of them, it was the main focus of *extensión* activities, although this relationship could be mediated by other organisations such as public institutions or the media.

For six of the eight interviewees (Hugo, Mónica, Nadia, Esteban, Rocío and Brenda) civil society appeared as the primary focus of *extensión*, in order to share university knowledge with the general public. For example Rocío, lecturer from the area of Legal, Political and Economic Sciences, defined *extensión* as follows: "What we do in *extensión* is to make available for the civil society the knowledge created. Because if all those ideas and those concepts are kept locked within four walls, in the end they are useless" (interview with Rocío, 18th March 2016).

The other two interviewees from this group also highlighted the importance of the civil society but with different emphases. For Gastón, staff member from the area of Legal, Political and Economic Sciences, his department was not doing enough to target the civil society. And Daniela, lecturer from Forestry, Agronomics, Livestock and Marine Sciences, said that due to the character of her discipline, the relation with the civil society was secondary, as their priority was the productive sector.

In the case of the Leading Team, civil society appeared as a key focus for Yasna and Gabriela, either reaching them directly or through influencing public policy. As stated by Yasna, senior manager: "One can relate to actors who have to do with organisations, with other State agents, with other areas; but the community is the main focus where the University mission is embodied" (interview with Yasna, 15th March 2016).

The other two interviewees, Néstor and Alexis, were wider in their definition of the public for ELC, referring to society in general, including all different actors, even businesses.

Regarding D1 (Health) three of the four interviewees (the two lecturers and the student) mentioned the civil society as the focus of *extensión*, although from their descriptions it was observed that most of their work related to the disadvantaged. An example of the civil society as a partner was given by Noemi, student, who had experience working with local neighbourhood associations: "[*extensión*] is to connect the university, in this case the Faculty, with the closest population initially" (interview with 11th Noemi, April 2016).

In D2 (Arts) all university interviewees referred to the community, the citizenry or the civil society as the main focus of their *extensión* activities. Most of the initiatives they described were public events, such as concerts, exhibitions or open workshops, where anybody could participate.

Finally, in D3 (N&E Sciences) all the Faculty interviewees mentioned society in general as the main public of *extensión*. All referred to open science fairs as an important experience where lay people have access to science. Inés, the Senior ELC officer, and the two lecturers mentioned the TV short science videos developed by the Faculty as important elements of their *extensión* activity, aimed to reach the general public.

Thus in most interviews, civil society appeared as a key partner to be considered, which is in tune with what is expressed in the documents of the reappraisal process. The form includes in its types of action a number of activities open for the general public, such as interviews and other publications in the media, exhibitions and performances, although the item institutionality includes both private and public institutions but not NGOs. The indicators include few issues that specify a public, although many of the activities mentioned may be open to society in general. The specific indicators do include a dimension of agreements with NGOs for the area of Social Sciences, Humanities and Communications. In the rubric, the dimension of "theme" values higher those initiatives that have social relevance or impact public policies rather than others related to the goals of the university or the individual interests of the academics, which can be related to an effect in the society in general. With respect to the final definition of *extensión*, it does not mention any specific public but just refers to society in general, describing *extensión* as a function that fulfils the university's "public and social commitment".

7.3 Public sector

The public sector, including ministries, city councils, governments or any public organisation that may allow the university to influence public policy, was also regarded as an important focus for most interviewees. This implies activities

such as participation of university researchers in policy-making groups at ministries, agreements with city councils or collaboration with public hospitals.

From the Central Group, seven of the eight members of the Main Committee mentioned relationships with this kind of stakeholder. Four interviewees described ELC activities where their Faculty links with public institutions, such as providing training for the Ministry of Education (Nadia), making agreements with the Ministries of Agriculture (Daniela) or Health (Mónica), and co-organising a service-learning program with city councils (Brenda). Three interviewees referred to occasions when academics have actively participated in state processes, such as participating in working groups for the creation of national legislation (Mónica), organising a national official survey (Gastón), or going back and forth between a position in a ministry and another at the university (Esteban).

In the Leading Committee, all interviewees mentioned the public sector as an important interlocutor for ELC activities. Alexis and Néstor considered it to be one of many possible partners, whereas Yasna and Gabriela were emphatic in that it was a priority. For example, as expressed by Yasna, senior manager:

> We are privileging mainly the public context. That's it. Mainly State-owned and public. That is like the mission, at least of this Vice-Chancellery […] and then, far below those two scopes, is the relationship with the private business world for example. (interview with Yasna, 15th March 2016)

Regarding D1 (Health), all lecturers mentioned the public sector as part of their partners for ELC activities. However, in this case the link was not aimed at influencing public policy-making, but instead led to specific projects. For example, Ismael's work on *extensión* was linked to a big public hospital that serves as a university clinical field, where he worked with the local community on a project funded by the Ministry of Education. And Raúl mentioned the Culture and Arts Council and the Ministry of Health not as partners, but as key sources of funding for his *extensión* project.

In D2 (Arts), all three lecturers mentioned the public sector as an important partner in their relationships, especially the National Culture and Arts Council, with which they work on several partnerships. The Council appeared both as a funder and a co-organiser of projects.

Finally, in D3 (N&E Sciences), the focus of ELC activities was on the civil society and schools. Only the Senior ELC officer, Inés, mentioned the public sector within the range of alliances that she has built up over time, including agreements with different city councils in order to engage with public schools or develop activities in public spaces.

In conclusion, the public sector appeared as an important partner for ELC in most interviews. It represented a key public in the Central Group, as a pathway to influence public policy. In the Faculties of Health and Arts, it was also mentioned by most interviewees but mainly as a source of funding or as a partner on specific projects. In Sciences it was only mentioned by the Senior ELC officer, as a partner for specific projects.

The importance that interviewees attach to the public sector is reflected in the outcomes of the reappraisal process. The dimension of institutionality in the form includes public institutions as one of the possibilities. The list of general indicators includes participation in national commissions and agreements with public institutions, as well as joint activities with other State-owned universities. The importance of the public sector is reflected in the rubric, while the dimension of "dependence" values higher those activities linked to the public rather than the private sector. This is also expressed in the definition of *extensión*, when it says that this function allows the university "to fulfil its non-transferable public and social commitment", and its goal is influencing "the social and cultural development of the country".

7.4   The disadvantaged

The disadvantaged or marginalised, including people from deprived socioeconomic backgrounds or those with a disability, were widely assumed as a priority public. This implies that many activities oriented to disadvantaged groups were carried out, for example service-learning programs in small businesses, lectures for children from disadvantaged schools, or intervention projects within socially deprived neighbourhoods. This was especially important in some Faculties.

From the Central Group, three of eight interviewees of the Main Committee referred to this group as an important focus of ELC activities, which was either expressed explicitly or though the description of the publics that they work with. Brenda and Rocío highlighted as particularly important those activities directed to people from disadvantaged socioeconomic backgrounds as a way of making a contribution to them. For example Rocío, lecturer from the area of Legal, Political and Economic Sciences:

> We are like putting together a policy of whether going to more vulnerable schools, or making a distinction. If someone wants to visit us, we welcome them all. But if we have scarce resources to visit schools, we will rather go to those that we consider the most vulnerable ones. (interview with Rocío, 18th March 2016)

In the case of Gastón, the focus was working with small businesses rather than big companies, in order to make a contribution to them. Daniela mentioned some projects oriented to help small businesses to improve their productive processes. In the Leading Team, the definitions of the public did not include specifications of this type, although both Yasna and Néstor described some projects developed with communities from deprived backgrounds.

In D1 (Health), the local ELC *extensión* policy specifically defines social inclusion as a focus of *extensión*, and all interviewees from this Faculty reflected that perspective. For Oscar, Senior ELC officer, the key public are those marginalised either for social, economic, health or gender reasons: "for the founding principles of our work as university, *extensión* is oriented, the *extensión* task, to make research and teaching dialogue in order to respond to those sectors that have been excluded from society" (interview with Oscar, 22nd March 2016). Regarding the other interviewees, although Raúl (lecturer) did not define the disadvantaged as the focus of *extensión*, all his work was done with disabled people. Similarly, all the work described by Ismael (lecturer) and the student, Noemi, was done with the communities that live next to the hospitals, which are mostly socially deprived.

In D2 (Arts) the disadvantaged did not receive a direct mention, although both the Senior ELC officer and the student referred to specific projects done with disabled people and in a deprived neighbourhood. The lecturers Bruno and Mateo expressed a special interest in establishing relationships with

communities outside the capital city, considering that they have less possibilities of accessing cultural activities. For example, as stated by Mateo, lecturer:

> There is very little dance theory in Chile. Can you imagine how it is outside of the capital? There is nothing. So lecturers went with their articles, they shared their articles, they delivered them, they dialogued, they went to the body, so these are very important changes for a person who doesn't have access to that. (interview with Mateo, 8th April 2016)

Finally, in D3 (N&E Sciences), although most activities were oriented to the general public, there was also a focus on the disadvantaged, specifically public schools from deprived areas. All lecturers mentioned this work and their intention to favour schools in need, and the student referred to the importance of sharing science knowledge with those who do not have the privilege to access it. The Senior ELC officer, Inés, dedicated an important part of the interview to talking about a project with the National Service for Minors, oriented to young people who had committed crime and were in process of rehabilitation.

Thus the disadvantaged or marginalised appeared as a repeated partner for ELC activities, not necessarily as the main focus in all cases, but as an important one in most of them. In the Central Group, they were mentioned by five of the eight members of the Main Committee, and half of the members of the Leading Team. In Health, they were a key focus for all interviewees. In Arts, there were experiences related to those marginalised in terms of socioeconomic background, disability or access to culture. Finally, in Sciences, children from disadvantaged background appeared as an important focus for all interviewees.

Although not explicitly, the importance of this group can be also recognised in the analysis of the outcomes of the reappraisal process. The form includes some elements that may be related to this group in the list of activities, for example medical care, although this is not specified. With respect to the indicators, there is one general and two specific indicators related to community interventions and one referred to health or psychologic attentions, which could also be related to disadvantaged communities, but it is not specified. Regarding the rubric, it reflects an emphasis on disadvantaged groups in the dimension "equity", which values higher those activities that benefit people from some kind of disadvantaged background and/or from varied backgrounds. Finally the definition of *extensión* does not include specific remarks about disadvantaged

groups. Nevertheless, it makes some mentions that do not contradict this inclination: it says that *extensión* has a "social commitment" and aims to contribute to the "social and cultural development of the country".

7.5   The media

ELC and communications are closely linked at University One. In many Faculties, the corporate communications office is part of the *Extensión* department. The Pro-Vice Chancellery also administrates both matters. This may explain why both issues become entangled, and the process of reappraisal included both, although at the last stage it was decided to exclude definitions for communications. Nevertheless, the media was mentioned as an important public of the ELC activities in many interviews. This implies activities where media outlets are used to broadcast or advertise ELC activities, such as short science videos broadcast on TV, educational radio programmes, or interviews with researchers in the media.

In the Central Group, seven of the eight members of the Main Committee (all except Hugo) mentioned the relation with the media as something that uses to be related to ELC, although they did not always agreed with that. Esteban and Gastón made a differentiation saying that communications has to do just with showing rather than with doing or exchanging. Nadia expressed some doubts about whether this should be considered part of *extensión*. Daniela said that communications was part of her job but did not mention the media, just internal communications. Only Rocío, Brenda and Mónica were clear in defining any participation in the media as part of ELC. The most emphatic about this was Mónica, lecturer from the area of Medical and Health Sciences: from her description it seemed that linking with the media was the core business of her *Extensión* Department, as the main activities she described were an educational radio programme, interviews with researchers in the media, and media training for lecturers.

In the Leading Team, Alexis, senior manager, referred to how during the reappraisal process participants agreed to include media hits as indicators of

ELC. Néstor thought this was part of a perception that *extensión* has to do with projecting an image to the external world. In the case of Yasna and Gabriela, they highlighted the recent fusion of *extensión* and communications departments in one Pro-Vice-Chancellery as a positive step. As stated by Gabriela, senior manager:

> In my opinion it is fundamental for *extensión* to have a correlate with communications, as it did at some point, because they are legs of the same sense […] What does one communicate ultimately? One communicates a perspective, a university, a task, an imprint, an ethos, a mission. And in my opinion, that mission is basically focused on the public[4]. (interview with Gabriela, 11th April 2016)

In the case of the Faculties, there were different approaches. In D1 (Health) the relation with the media was not considered part of *extensión*, as the communications office works separately from the *Extensión* Direction. Oscar, Senior ELC officer, referred to articles in magazines as something that could be part of linkage with the context but not *extensión*. Communications was also disregarded as part of *extensión* by Ismael (lecturer) and was not mentioned by the student, Noemi. Only Raúl (lecturer) mentioned the university radio station, but just as a platform to recruit participants for his *extensión* project.

In D2 (Arts) the communications office depends on the *Extensión* Department, which was highlighted as a positive thing by the Senior ELC officer. Nevertheless, he did not mention the media in any of his descriptions of activities. From the other three university interviewees, only one, Mateo, made a brief mention of a newspaper as a collaborator on his *extensión* project, in terms of publishing information about its activities.

Finally, D3 (N&E Sciences) differs from the other two cases, as the relation with the media was central. The three academics mentioned the Faculty TV short science videos and radio programme as part of their *extensión* work. The Senior ELC officer, Inés, considered the relation with the media not only a way of dissemination but also a tool for participation and learning, part of a whole program of activities:

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[4] "The public" here is a translation of "*lo público*", which refers to the public domain or the public sphere, in contrast with the private domain.

> The radio program where school students are the ones who participate and make the questions, has to do with having experiences that they can re-signify […] We went with the radio, we were making the short science videos, the TV program […], the schools came to visit and at the same time they received the materials we already had, and on the other hand they went to the radio program to interview scientists and the scientist went to the school. (interview with Inés, 22nd March 2016)

Thus the media was present as an important interlocutor in some cases, and questioned as a part of *extensión* in others. From the Main Committee, less than half of its members considered it as an important part of their work, but most members of the Leading Team did. In the Faculties, it was a key public for the Faculty of Sciences, scarcely mentioned in Arts and disregarded as a possible public in Health.

Regarding the outcomes of the reappraisal process, the media occupy an important place. The form includes a general type of action titled distance dissemination which includes different types of media publications. The general indicators include four of 31 items referring to news stories, columns and letters of academics in the newspapers, and followers on social networks. In terms of the rubric, a relationship between the dimension of "impact" and the publication in the media might be established, as this allows reaching a big number of public. In the case of the definition, there is no specific mention of the media, although communication is described as a feature of *extensión*.

7.6 Schools

The relation with schools is usually considered to be part of the duties of *extensión* at University One, although in some Faculties it is part of the work of other offices, such as marketing or recruitment. This includes activities that involve a learning objective for school students, such as visits to university laboratories or lectures offered to them by university lecturers.

In the Central Group, schools were mentioned by half of the members of the Main Committee. Rocío, lecturer from the area of Legal, Political and Economic Sciences, indicated that although schools were part of her work, the focus was not on recruitment, as the Faculty was never short of applicants. And Brenda,

non-academic staff member from the area of Engineering and Technology, referred to a specific programme aimed at providing courses for high school students, but explained that the objective was not recruiting but preparing them for university life. Both Rocío and Brenda highlighted that they focused on disadvantaged schools rather than attracting high-achieving schools. Mónica, lecturer from Medical and Health Sciences, mentioned schools but only as one of the recipients of the Faculty educational magazine. Finally, the only interviewee who offered a critical vision about this issue was Nadia, non-academic staff member from Social Sciences and Humanities, who suggested that school outreach should be considered a marketing rather than an *extensión* duty:

> The school lectures, and school visits are activities generally run by the *Extensión* Directions. Of course, they are interesting because the university is open, there is someone who learns, who has an experience, but they are super oriented to improve student recruitment […] I think that this is a duty that can be demarcated from *extensión.* (interview with Nadia, 15th March 2016).

In the Leading Team, most members did not mention schools. This reflects the fact that the *Extensión* Pro-Vice-Chancellery does not deal with schools, which is the duty of the recruitment department of the university. Only Néstor, staff member, mentioned them: he thought that schools can be considered as part of *extensión*, as long as they are not the priority or the only public.

Regarding the Faculties, in D1 (Health) no interviewee made reference to any relation with schools. The Senior ELC officer, Oscar, explained that this was a duty of the marketing office.

Similarly, in D2 (Arts) no interviewee mentioned any relation with schools. Only one lecturer, Mateo, mentioned a partnership with a private school that provides sponsorship for his *extensión* project.

Conversely, in D3 (N&E Sciences) schools appeared as a very important public for *extensión* activities. The three lecturers and also the student mentioned activities with schools among their *extensión* experience. The Faculty receives permanent visits of school groups, produces a weekly radio programme where school students interview a scientist, and has created different forms of

collaboration with schools. For example Carla, lecturer, described how she and a colleague provided free workshops for school teachers:

> We had an agreement with School X, so I was participating last year with other colleagues, with science teachers from School X, who came here once a week and we reinforced them, we taught them and reinforced concepts and we updated them (interview with Carla, 14th April 2016).

Thus schools appeared as a contested public, and those related with schools tried to highlight that their focus was not on recruitment but in knowledge dissemination. From the Main Committee, only three people mentioned them as valid partners. In the Leading Team this was not a key public, as it was only mentioned by one person. In both Health and Arts, the schools were not considered, except for one lecturer who mentioned one as a sponsor. The case that marks a difference is the Faculty of Sciences, which focuses an important part of its work on schools.

The outcomes of the reappraisal process reflect this tendency as schools are not excluded but are scarcely mentioned. The types of action include activities that could be oriented to schools, such as talks or guided tours, but this is not explicit. The indicators also refer to activities rather than specific publics, although there is one item referring to activities directed to educational communities from non-university entities. However, the rubric does not include any specific mention of schools or children as a partner for ELC, and in the definition there is no mention of them either.

7.7   Private sector

The discussion regarding whether the private sector is a valid partner for ELC activities or not, was described by participants as part of the main debates of the reappraisal process. The interviews reflect the differences of opinion. Some Faculties considered training courses for private companies or knowledge transfer to the industry as part of their *extensión* duties, others had private organisations as sponsors of some of their activities, and others criticised any possible relation with companies.

From the Central Group, only two members of the Main Committee did not make any specific mention of private companies or business (Hugo and Rocío). All the others considered private entities as possible partners, although with different perspectives. Brenda and Gastón mentioned work with private entities, although their examples were not paid activities but service-learning, and their focus was specifically on small business and entrepreneurs, rather than big companies. For Nadia and Esteban, the links with the private sector can also be considered part of *extensión*, although for Nadia they did not appear as a priority, and for Esteban, from the Students' Union, they have a lower value than relationships with the public sector or civil society.

Only for Mónica and Daniela was the relation with the industry or businesses as important as any other, and they criticised those who consider that ELC should favour only links with the public sector. As stated by Daniela, lecturer from the area of Forestry, Agricultural, Livestock and Marine Sciences:

> A lecturer from here was very angry with the vision so […] the sense that University One has to work only with public institutions and with no private one […]. Our work cannot be, it cannot be as biased as we are University One, we are public and only, if we really want to have an impact on society, it has to be broader than that. (interview with Daniela, 29th March 2016)

In the case of the Leading Team, there were also varied perspectives. For Gabriela, *extensión* should not include relations with the private sector, and for Yasna the relation with business was a possibility, but not the priority. Conversely for Alexis and Néstor, the private sector was a valid partner that is part of *extensión*.

In the case of D1 (Health), all interviewees considered that business or companies should not be part of the *extensión* work. For Ismael, lecturer, and Oscar, Senior ELC officer, the link with the private sector has to do mainly with communications or money-making. In a similar line, Raúl, lecturer, thought that *extensión* is precisely a way to overcome power differences that normally benefit the private sector, through a focus on the community:

> Knowledge finally remains in certain circles, in the pharmaceutical companies, and it's like it doesn't come out of there. And also knowledge involves a power, so I feel that also [*extensión*] is to democratize all that. It's like the bridge between the university and the community. (interview with April 19th Raúl, 2016)

In D2 (Arts) two lecturers mentioned private companies as sources they have used to gather funding for their *extensión* projects, without attaching any negative connotation to it. For example, Bruno said that they had received sponsorship of a big local company for their community dance workshop. The Senior ELC officer, Marcelo, said that their partnerships are mostly with public entities, and "with private companies, when possible" (interview with Marcelo, 18th March 2016).

Finally, in D3 (N&E Sciences), the private sector was acknowledged as a perfectly acceptable partner. The Senior ELC officer, Inés, had reached agreements with entities such as a laboratory that sponsored the scientific TV short science videos, and an editorial company that distributed CDs containing these videos along with its school science textbooks. For the lecturers, the relation with business was not present but was a possibility. For example Carla criticised the lack of alliances with the private sector:

> In general, the link between science and business is an absolutely deficient area, because there are no interlocutors. […] I mean, they are two worlds that see very different things, and therefore scientists struggle to make companies participate in these projects. (interview with Carla, 14th April 2016)

Finally, the student, Leonardo, spoke very positively about a student initiative to organise a science fair in a shopping mall, which ended up with a collaboration agreement between the *Extensión* Direction and the shopping mall chain.

In conclusion, the private sector appeared not as a priority, but as an acceptable partner for many interviewees. In the Central Group, it was a key partner for two interviewees and important for another two, although specifically small businesses. In the Leading Team, it was a valid partner for two members, less valuable for one and not acceptable for another one. Regarding the Faculties, it was not an acceptable partner in the case of Health, whereas in Arts it appeared as a valid source of funding, and in Sciences it was seen as a desirable and necessary partner by all interviewees.

The documents of the reappraisal process reflect this tendency, as it is not a partner to be encouraged in the valorisation system, but it is included as one of the possibilities. The form includes in its types of action a dimension of services comprising activities such as consultancy and professional assistance, but it

does not specify to which kind of institutions they are directed. Also the field of institutionality includes both private and public institutions as possibilities. With respect to the general indicators, they include a dimension of service that considers consultancies, but there is no reference about if they are directed to the private sector. Nevertheless, a specific indicator for the areas of Engineering and Technology, and Agricultural, Livestock, Forestry and Marine Sciences does include agreements with private institutions. In the rubric, the dimension of "dependence" includes the relation with the private sector, but attaches a lower value to it than to the relations with the public sector. Finally the definition of *extensión* does not make explicit the relation with private organisations, as it does not include any remark about them.

7.8   Implications

7.8.1 The partners and what they reveal

The findings allow for observations about what extent the outcomes of the reappraisal process reflect the perspectives of participants regarding who the priority partners are for ELC activities. Six main types of publics were identified from the perspectives of participants (see Figure 4), which were used to analyse the form, indicators, rubric and definition emerged from the reappraisal process. Although these documents do not make specific reference to types of publics, they allow identifying some possibilities and priorities. This section offers a discussion about these six themes, in relation to the literature.

The findings show that the civil society was the main partner for ELC at University One, as it was mentioned by nearly all interviewees. This is reflected in the documents of the reappraisal process, where many of the activities considered can be open to the general public and the impact and social relevance of ELC activities is highly valued. The reasons for targeting civil society were linked to the objective of having a broad impact of ELC, in terms of making academic knowledge available to a large number of people, influencing public opinion and participating in the public debate.

The public sector was also key in the Central Group, and appeared with importance in Arts and Health. Activities related to the public sector are considered in the indicators and valued higher in the rubric. The reasons to target the public sector have to do with the aim of exerting influence at a national level, in terms of participating in the creation of public policies or projects that affect large groups of the population.

The pre-eminence of both groups can be related to the importance of the goal of influencing public policy and contributing to the country's development (which will be mentioned in Chapter 8) and respond to the responsibility attached to University One in terms of being an influential actor in the country, a referent for society in general. The priority publics allow targeting this goal on two levels: a direct influence, when reaching the civil society for example through massive platforms of communication; and an indirect influence through relationships with entities from the public sector, which allow influencing public policies or interventions with wide impact in society.

The disadvantaged or marginalised, including people from deprived socioeconomic backgrounds or those with a disability, received few mentions in the Central Group, but were central in Health and very important also in Arts and Sciences. Although it did not always appear as a priority, it seemed to be widely assumed as an important public, which relates to the goals of transforming society and providing help, identified in the next chapter, and can also be linked to the Latin American tradition of *extensión* as a function related to addressing social problems (Serna Alcántara, 2007; Cedeño Ferrín, 2012). However, the disadvantaged did not receive explicit mentions in the outcomes of the reappraisal process, although the rubric places greater value on activities that have a dimension of equity.

The main differences were perceived with respect to schools and the media: opinions were divided in the Central Group, they were considered key partners in Sciences, and were scarcely mentioned in the other cases. In the reappraisal documents, the media have a strong presence but schools are scarcely mentioned. The relation with schools had to do mainly with knowledge dissemination and on occasions was also linked to the social imprint of

extensión as the focus tended to be schools from socially disadvantaged areas. But it was also entangled with the purpose of recruiting university students. The reasons to target the media have to do with reaching a large number of people, making the university knowledge available to the widest population, as well as influencing public opinion and participating in the debate about topics of national relevance. On some occasions it also has a function of publicising and attracting people to the ELC activities.

Finally, although in Health the relation with the private sector was not regarded as part of *extensión*, for many participants it was an acceptable partner, although it tended to be considered of lower value or only as a source of funding. The documents of the reappraisal do not consider it as a partner to be encouraged in the valorisation system, but it is included as a possibility.

The relation with the private sector appears motivated by the aim of influencing the productive sector, for example with technological knowledge, or having a platform for impact in the case of the editorial, or having a sponsor or funding for ELC activities. The pursuit of an economic gain was not mentioned by any interviewee, but many referred to cases of other Faculties that make money through the sale of services to private entities.

7.8.2 Comparison with existing models

The concept of "public" or "community" is not clear in the literature, where the community is not merely called different names, but is also understood in dissimilar ways. The OECD has developed an exclusively local focus for community engagement, oriented towards the region (OECD, 2007). However, the NCCPE in the UK uses "public engagement" to define relationships with the local and national community (NCCPE, 2010). Meanwhile, the USA-based Carnegie Foundation considers that community engagement includes the international arena (Carnegie Foundation, no date).

Considering the confusion about the meaning of "public", it seems necessary to develop some models or classifications that allow institutions to clarify who to engage with. In this analysis, six different publics were identified. The priority partners for ELC activities were: civil society; the public sector; and the

marginalised – a view that was shared by most participants and that was also reflected in the outcomes of the reappraisal process.

This is in tune with the predominant perspective about the goals and significance of ELC identified in the following chapter, which is the idea that the university has a key role in influencing the country. Even the private sector, which generated contrasting opinions, was justified on the grounds of being part of influencing society, and not for the possibility of receiving money. It also responds to a tradition of *extensión* as a university function with a social purpose (Serna Alcántara, 2007).

There are few models available to compare with the types of public identified in this analysis. Existing measurements or benchmarks for engagement tend to list all possible publics rather than classifying them in broader types. The NCCPE indicates that "the 'public' is everyone" (NCCPE, no date-c), and recommends classifying it in types according to categories such as age, gender, location, ethnicity and interest, in order to target each intervention.

In the case of the USA-based Campus Compact, based on a member survey, it identifies seven different types of community partner organisations: non-profit; community-based organisation; K-12 school; faith based organisation; government agency; international community or organisation; other higher education institution; and for-profit business (Campus Compact, 2014). This model, contrasted to the one that has emerged from this analysis, highlights the necessity of building frameworks that are context relevant. This is because the Campus Compact model includes one group that was not mentioned by any participant at University One (faith-based organisations), one that was mentioned by only one participant (international organisations), and one only mentioned by two (other universities). Conversely, two groups that were very relevant for a big part of the interviewees (civil society and the disadvantaged) do not appear in the USA model.

In Chile, a recently published report commissioned by the NAC, based on a literature review and the reports of the institutional accreditation process, refers to six types of publics, related to six dimensions of linkage: particular publics (related to cultural activities); industry, business or commercial entities (link with

the productive sector); social actors and community, social and neighbourhood associations (link with the social context); public organisations and political authorities (link with the politic-administrative world); student and workers (life-long learning); students and lecturers (international mobility) (Fleet et al., 2017). Although this model includes categories emerged in present study (public sector, productive sector and civil society), it is problematic because it also includes publics that cannot be considered external (students and lecturers), and the reference to particular publics is very generalist.

In contrast, the list of six types of public identified in this analysis, emerged from the perspectives of participants in this study, offers a comprehensive framework to classify the different publics of ELC. Although based on a Chilean context, it can be useful for other similar contexts in order to classify its publics and prioritise them (see Figure 4).

7.9   Summary

This chapter has presented an analysis of the outcomes of the reappraisal process and to what extent they reflect the needs and expectations of participants regarding who the main partners are for ELC.

From the perspective of participants, the partner that was referenced most frequently was civil society, which appeared as a key public in nearly all interviews. The public sector was also key in the Central Group, and appeared with importance in Arts and Health. The marginalised received some mention in the Central Group, but were central in Health and Sciences. The main differences were perceived with respect to schools and the media, as opinions were divided in the Central Group; they were considered key partners in Sciences; and were scarcely mentioned in the other cases. Finally, although in Health the relation with the private sector was not regarded as part of *extensión*, for most participants it was an acceptable partner, although it tended to be considered of lower value or only as a source of funding.

Although the priority partners were similar throughout the departments, there are specificities relating to each of them. In the Central Group the civil society

and the public sector were a clear priority. In D1 (Health) the preferred partners were the disadvantaged, reflecting the focus of this Faculty on social inclusion. In D2 (Arts), the civil society appeared as a key focus of ELC, in an attempt to have a wide reach for their artistic work. Finally, D3 (N&E Sciences) marks a difference with the other cases, as schools, the disadvantaged and civil society appeared as the main focus.

Even though they do not list specific partners for ELC activities, the documents of the reappraisal process reflect the main tendencies identified, as the public sector is highly valued in the rubric and many of the activities included can be oriented to the civil society in general. No publics are excluded as possible partners, and therefore all the other groups mentioned by interviewees can be considered possible partners according to the documents.

Chapter 8: Findings:
Achieving the ELC goals

8.1   Introduction

This chapter aims to analyse the outcomes of the process of reappraisal of ELC at University One: a form to report activities; a list of general and specific indicators; a rubric; and the agreed definition of *extensión* (see Appendix 1-8), in terms of how they reflect the goals that participants attach to ELC. In order to do this, it was necessary to first explore the perspectives of participants with regards to the goals and perceived significance of this function. These perspectives were contrasted with the documents of the reappraisal process.

The data analysed included the interviews and focus groups with all participants, including both university and community members. Five themes were identified, which were grouped into two main topics: community impact and utilitarian purpose of community relations. The goals are expressed in Figure 5.

Figure 5: Goals of Public Engagement.

Source: Created by the author.

8.2 Community impact

8.2.1 Influencing public policy and contributing to the country's development

Being influential in the country, through contributing to public policy and providing solutions for social problems, appeared as a key goal of ELC in most interviews with university members, as well as something expected by community members. Many interviewees attached a special role to University One in this respect. This goal has to do with the importance attached to the University as an actor that should influence the country. It is reflected in activities such as participation in public policy-making and generating research that provides solutions for national problems.

This goal was unanimous in the Central Group. This might be related to the fact that most participants in this group were in senior positions regarding *extensión*, and therefore they held a more strategic rather than merely practical approach to it. All interviewees from the Main Committee mentioned that ELC is linked with a responsibility of the university to be influential in the country and provide solutions to its problems. Five of them (Daniela, Mónica, Esteban, Nadia and Rocío) explicitly referred to the importance of influencing public policy, productive systems or decision-making processes at a national level. Mónica and Daniela spoke about the impact of their research as a must. As stated by Daniela, lecturer from the area of Forestry, Agricultural, Livestock and Marine Sciences: "we must impact the productive sector in Chile" (interview with Daniela, 29th March 2016).

Five interviewees (Nadia, Gastón, Esteban, Rocío and Brenda) also referred to how ELC should contribute to providing solutions for social problems. For example Brenda, non-academic staff member from Engineering and Technology, highlighted the importance of the university educating the national population on how to react to earthquakes – very common in Chile – and Rocío referred to how the university should transfer knowledge about human rights.

In the case of the Leading Team, the importance of influencing the public debate and providing solutions for social problems was mentioned by all

interviewees. They also referred specifically to influencing public policy. This is well encapsulated in this quote by Gabriela, senior manager:

> I think that the dimension of the contribution to public policies is […] happens to be something very important, I mean an incidence as university in the country. I think that University One holds a duty towards the country; its mission is to think Chile, contribute to that country; which also marks the limits of its own *extensión*… (interview with Gabriela, 11ᵗʰ April 2016).

Regarding D1 (Health), all interviewees made some mention about *extensión* being linked to a duty of the university to influence national processes or tackling national problems, although none of them referred specifically to public policy-making. The Senior ELC officer, Oscar, had a strong discourse about the responsibility of this university towards the nation. The lecturers Ismael and Raúl referred to its link with "the people" and the generation of solutions to social problems, specifically in the area of health. This is also expressed in the following quote by the student, Noemi:

> If it is the University One, it's like we have to go in pursuit of the needs of the people. At a country level we should be like the pioneers in helping large populations, covering different parts of their needs, of their problems. (interview with Noemi, 11ᵗʰ April 2016)

In the case of the community leaders, both suggested that universities should play an important role in society. Luciano, leader of a community project, thought that all universities should be relevant and respond primarily to their immediate environment. Conversely, Gustavo, leader of a political group, thought that University One had a particular mission to influence the country through a particular perspective and national project, although he felt this was not being accomplished. The responsibility of University One towards the country was also mentioned by three participants in the focus group, in relation to contributing to educating society about disabilities and also to enhance knowledge development in different fields.

In D2 (Arts), the two lecturers and the student made some mention about a special role of this particular university and/or considered *extensión* to be a platform to influence the nation, specifically in relation to arts and education. This was expressed by Bruno, lecturer:

> The physical body is crossed by ideologies, whatever they may be: good, bad. It is crossed, intervened. But that intervention is veiled. And what we have to do is unveiling that, and being able to get to the point of asking

which are the public policies related to the body. (interview with Bruno, 23rd March 2016)

One of the community leaders, Andrés, officer at the National Culture and Arts Council, highlighted an important role of University One on the Chilean artistic and cultural spectrum, both in terms of his expectations and what happens in reality. According to him, the Culture Council and University One "are the two institutions that I think that contribute most to the culture in Chile" (interview with Andrés, 6th May 2016).

In the focus group, the interviewees did not attach a special role to University One, but agreed that all universities should contribute to the cultural development of their cities. It is important to mention that most of these participants do not live in the city where University One is located, and that may have influenced their perspectives.

Finally, in D3 (N&E Sciences) the commitment to influence the country or tackling national problems was present in half of the university interviewees. Although they did not refer directly to public policy, they spoke about the significance of their role at a national level. Carla, lecturer, said that scholars had the duty to transmit the importance of science and influence decision-making about scientific institutions and research funding. Inés, Senior ELC officer, explained that she had recently started to introduce the discussion of contingent topics in her scientific radio programme: "That emerged from the students who, when they did their strike, demanded that also the scientists should give opinions about contingent issues" (interview with Inés, 22nd March 2016).

In the case of the community leaders, all expressed high expectations regarding the university contributing to the country in different fields. Three of them (Bernardo, Yasmin and Raquel) were critical that the University was not influencing enough. Bernardo, senior manager at a city council, was the most emphatic critic, when he said that in order to improve its relations with the community, the university should first "mythically re-write its educational project. And in that educational project, the emphasis should be on how this University One guides the development of the country" (interview with Bernardo, 29th April 2016).

In the focus group, three of the five participants, all former school students, said that University One, as a traditional, public university, had a special mission to participate in the public sphere (Nelson), help the citizenry (Reinaldo) and create knowledge to serve national needs (Horacio). One of them, Horacio, was critical as he thought that the university was not accomplishing that mission.

The outcomes of the reappraisal process reflect this tendency to value projects that can influence national processes. The form includes in its types of action opinion columns, participation in councils commissions, or committees, working networks, all which could be related to platforms of influence. The indicators include activities about topics of national relevance, columns and letters published in national media, academic researchers participating in national commissions, and agreements with public institutions. This is also expressed in the rubric: the dimension of "theme" values higher those activities that are socially relevant or influence public policy, compared to those that follow the University Development Plan or the personal interest of academics. The dimension of "scope" values the national more than the regional or local context, which reflects the tendency of the university to see itself as an actor that should not only influence its region or immediate environment, but the country as a whole. Finally, the dimension of "impact" also reflects the aim for the *extensión* activities to have high social relevance and ample reach. Concerning the definition of *extensión*, it also expresses this tendency, when declaring that *extensión* allows the university "to fulfil its non-transferable public and social commitment". At the same time, it says that *extensión* activities should have "cultural relevance", and explicitly sets as the goal of *extensión*: "to influence the social and cultural development of the country".

This shows that the goal of influencing public policy and contributing to national development, despite some differences of focus among cases, was a widely shared goal for ELC, both for university and community participants. The outcomes of the reappraisal process reflect this tendency.

8.2.2 Transforming society

Transformation, understood as a long-term effect in the communities in terms of conscientisation, broadening perspectives or building capacities, was expressed as a clear goal of *extensión* for some interviewees, whereas others did not say it explicitly but implied it. This relates to a purpose of generating activities that have an effect beyond the activity itself, and includes for example community training programs where participants acquire a skill and build capacities or networks that may continue once the intervention ends.

In the Central Group, this perspective was identified in two interviewees from the Main Committee, Nadia and Esteban. Both highlighted as exemplary some initiatives aiming to build capacities within communities. For example Nadia, non-academic staff member from Social Sciences and Humanities, referred to an intervention of the School of Psychology:

> They are creating training programs for mental monitors, in this idea of de-institutionalising psychological help. This means that it doesn't need to be solely a psychologist, but there can also be monitors working in communities. And for example, that initiative is researched and in the course of those projects, capacities are installed in the communities. (interview with Nadia, 15th March 2016)

In the case of the Leading Team, Néstor and Yasna also highlighted activities aiming to empower and build long-term capacities. According to Néstor, staff member, a transformative perspective has been gaining space during the last few years, specifically among students: "During the 2011 strike nobody said *extensión* to change society, no. But now there are groups that are understanding it" (interview with Néstor, 18th March 2016).

In D1 (Health) the idea of transformation appeared in all university interviews. The belief that *extensión* interventions should allow long-term changes, empowering people or generating new capacities, was expressed by all lecturers. The student Noemi also said that the goal of the activities was not just providing help but "providing tools for the person to become empowered of their own health" (interview with Noemi, 11th April 2016). Raúl, lecturer, referred to how his cinema workshop for blind and short-sighted people empowered and gave a voice to a group of people previously isolated from the cinema experience.

The community leaders also had a perspective about how transformative these experiences could be. They reflected on a transformation not only for themselves, but mainly for the rest of the community and for the university students. Luciano said that receiving university students for internships in his community organisation gives him the opportunity to create awareness about disabilities and inclusion among young professionals. Gustavo expected that the work of the university with the community could contribute to "awakening the students, raising their awareness [so that] the student realises that they have a power" (interview with Gustavo, 11th April 2016).

In the focus group there was one person, Miguel, who reflected on how the cinema workshop gave him a voice and allowed him to raise awareness in society about inclusion:

> I think it's an opportunity to show to those who see, that we can do things and that we can do things for them. And that cinema is not only for entertainment but is to show things, to touch sensibilities, so that they realize in which world they are living and who we are; and that there is no difference between a blind person, a deaf person, and a person who sees well. (focus group interview with Miguel, 9th May 2016)

In D2 (Arts) the idea of transformation was identified by two of the lecturers, Bruno and Mateo, and the student, Diego. He spoke about the transformative effects that artistic ELC activities should have: "a goal of generating some reflection in the receiver; so that art generates a certain social awareness. And generates certain change in peoples' thinking once received" (interview with Diego, 21st March 2016). Bruno explained a methodology for his dance workshops that seemed to be inspired by Freirean pedagogy, guided by the discussion of "generative topics" and "a dialogue with them about fundamental problems of the discipline" (interview with Bruno, 23rd March 2016).

In the case of the community leaders, Olivia from the community dance project confirmed what was described by Bruno, regarding how the intervention provided tools for the students to develop their own ideas, rather than merely transmitting knowledge to them. The description that the participants in the focus group made of the workshop was also about acquiring tools and stimulating reflection in order to develop their own creative processes.

In D3 (N&E Sciences) although the concept of transformation was not used, two university interviewees said that *extensión* activities could have a long-term effect in terms of "opening minds" to new perspectives of those participating. Carla had this idea in relation to her work with science school teachers, whereas student Leonardo referred to the potential impact of dissemination of science for the community in general, which allows them "to understand the reality in other ways" (interview with Leonardo, 10th December 2016).

Two of the community leaders, Bernardo and Raquel, both of them working with deprived communities; related good *extensión* activities to long-term changes in awareness of participants. For example Raquel referred to the programme with the National Service for Minors, where she works:

> Ultimately with little details, small opening of possibilities, of space; the possibility of conversation, dialogue, listening; can generate changes in the behaviour of the human being, in the realities, in the conception of society, of reality. (interview with Renata, 26th April 2016)

In the case of the focus group, this was a matter of criticism for two participants, Ramón and Horacio, who questioned the lack of real, long-term impact of one-time activities such as scientific fairs. Nevertheless, all participants acknowledged that long-term activities, such as the series of visits to the university laboratories where they participated, gave them tools to make an informed decision about their future career, to understand how scientists work and/or helped to prepare them for university life.

Regarding the outcomes of the reappraisal process, the form and lists of indicators are not adequate to identify a perspective in this respect, and the rubric does not include elements related to this topic. In the definition there are some hints, such as defining *extensión* as a function that permits the university to fulfil its "critical vocation". Nevertheless, it defines as a goal to "influence the social and cultural development" of the country, which appears more normative than transformative. A transformative accent would have needed to mention something along the lines of influencing cultural or social change, emancipation, consciousness or organisation, rather than just development.

That is how in the Main Committee the idea of transformation was marginal, and it was considered as such by half of the members of the Leading Team, but had a strong presence throughout the Departments. In this sense it can be said that this is a perspective that comes mainly from the grassroots, the lecturers

working on *extensión* and the community members, rather than the organising committee. The outcomes of the reappraisal process do not include elements that value or stimulate this perspective.

8.2.3 Helping specific communities

An altruistic perspective of *extensión* – understood as the idea of helping or giving something to those in need – had a strong presence in some cases but was either absent or criticised in others. It had to do with the philanthropic purpose of *extensión*, and was reflected in activities such as open lectures or workshops for children from deprived backgrounds.

In the Central Group, six of the eight interviewees from the Main Committee mentioned the idea of helping communities or working with disadvantaged groups. Mónica and Daniela literally spoke about providing "help". Brenda and Gastón referred to their relation with small businesses as a way to make a contribution to them, although they highlighted the learning experience that this involves for the students.

Nadia, Rocío and Brenda mentioned as exemplary some projects or lines of work where the priority was working with vulnerable groups. For example Brenda, non-academic staff member from the area of Engineering and Technology, described a service-learning programme at her Faculty, where undergraduate students had a learning experience through the completion of an altruistic challenge:

> … each one sets a different challenge to work also with the community, so a group identifies a vulnerable school where the children have never been to the beach. Then they have to gather resources [...] and they have to reach the objective of taking them to the beach. (interview with Brenda, 22nd March 2016)

Only the student leader Esteban expressed a critical perspective about what he called "assistentialism" as a typical approach to working with deprived communities in *extensión*.

Conversely, in the case of the Leading Team, altruism did not appear as a predominant characteristic of ELC. Gabriela and Alexis (senior managers) did not make any specific mention of deprived communities or providing help,

whereas Yasna (senior manager) and Néstor (staff member) mentioned some specific projects with disadvantaged communities, but as one of the possible activities and not the main one.

In D1 (Health), all university interviewees expressed a personal commitment to contribute to disadvantaged communities. Nevertheless, their approach was critical to assistentialism and they offered deep reflections regarding the importance of empowering rather than helping. For Oscar, Senior ELC officer, the focus of *extensión* was social inclusion, in order to provide opportunities. Noemi, student, mentioned "assistentialist" activities as something to be avoided, and for Raúl, lecturer, these activities were sometimes necessary, although they were less valuable:

> There are those who believe in *extensión* but continue to understand *extensión* as assistentialism, which is also ok, in very precarious realities it still is a contribution. It's like ok, they will go to check the ladies' blood pressure at the market, and they are going to tell them. Ultimately the students practice, they learn how to check blood pressure, and they can tell the lady. Then if she is ill, the lady will probably go to her surgery or she will receive an education. But I think those are less developed levels of *extensión.* (interview with Raúl, 19th April 2016)

In the case of the community leaders, they had different perspectives. Luciano highlighted the idea of "helping" groups in need as a positive thing, and thought that having a deep personal motivation to tackle a social problem was key for the success of any project. Whereas Gustavo, leader of a political group, criticised patronising perspectives: "The poor also have to take responsibility for their lives; it cannot be the case that others fight for them, that others, no. Instead, you can also have awareness that you have a role" (interview with Gustavo, 11th April 2016).

This perspective was also identified in the focus group, where participants were part of the cinema workshop for blind and short-sighted people. Diana referred critically to assistentialism as what happens when projects are designed without considering the perspectives of disabled people. Miguel said that he wanted to be considered an equal rather than the organisers thinking that they are "the good ones who are trying to train us, to include us; if we are the same!" (focus group interview with Miguel, 9th May 2016).

In D2 (Arts) the idea of helping did not appear as a key feature of ELC, as the approach identified by most university interviewees highlighted the importance of seeing the other as an equal. There was no specific mention of deprived or disadvantaged communities, apart from examples of two activities given by the Senior ELC officer and the student: one of a programme for disabled people, and the other about a concert in a deprived neighbourhood. No remarks in this aspect were made by the community leaders or in the focus group.

Conversely, in D3 (N&E Sciences) an altruistic perspective relating to helping those in need appeared as an important goal of ELC for all academic interviewees. Osvaldo referred to the importance of working preferably with vulnerable schools. The Senior ELC officer, Inés, was very proud of a project developed with the National Service for Minors. It consisted of a programme of activities run at the university, for youngsters who were in rehabilitation after being involved in crime. She was emotionally moved, even to the point of tears, when describing it. In the case of Carla, lecturer, she did not refer specifically to deprived sectors, but highlighted the importance of making a contribution to those who were not as privileged as herself:

> I firmly believe that education is the great problem of Chile. […] So I feel that, to be honest, in whatever I can make a contribution, I contribute. I believe that it is a commitment of all of us, who were fortunate to be educated at the university. (interview with Carla, 14th April 2016)

In the case of community members, an idea of "solidarity" was only mentioned by Bernardo to describe one of the multiple kinds of relationships that his city council has established with University One, relating to receiving university interns in local public schools. In the focus group, this perspective was identified by one participant, Reinaldo, who said that the university had the mission to "help" the citizens.

Regarding the documents of the reappraisal process, there are no elements that can be directly related to an altruistic perspective, although there are some that may have a relation. The general indicators include health care and community intervention, and the specific indicators also include two items on community intervention for some Faculties, but the character of these activities is not determined so it may or may not be of an altruistic character. In the rubric, the dimension of "equity" could have some relation to this topic, as it favours

relations with people from certain social backgrounds. Finally the dimension of "cost" also shows a clear preference for free rather than paid activities, which could somehow be linked to an altruistic perspective, although not necessarily. In terms of the definition of *extensión*, it does not use a language of assistance or help, it just highlights the university's "social commitment".

In conclusion, an altruistic perspective relating to helping the community was present in the Main Committee and the D3 (N&E Sciences), and absent or criticised in the other cases. Among community members, this perspective had very few mentions throughout the cases. The outcomes of the reappraisal process do not express a position in this respect, as they include activities that may or may not be developed as assistance. The definition expresses a social commitment, but highlights the importance of dialogue and therefore the idea of "help" is not expressed.

8.3   Utilitarian purpose of community relations

8.3.1   Selling a service

Considering paid services as part of *extensión* was a matter of debate during the reappraisal process. This is reflected by the interviewees, who expressed divided perspectives. The sale of services appears linked to the need to generate funds for the departments, but also as a way to make practical use of academic knowledge through its application, for example in productive systems. Paid services include activities such as consultancies, life-long learning courses and certification of products.

In the Central Group, five participants from the Main Committee thought that paid services could be considered part of *extensión*. Rocío (lecturer) and Brenda (non-academic staff) said that paid training courses are part of their work on *extensión*. Mónica and Daniela (lecturers) were the most emphatic about this, highlighting the social relevance of some of these paid activities. For example Mónica, lecturer from the area of Medical and Health Sciences, referred to a training course offered to companies:

> Somehow someone has to inform companies about the scientific advances in order to modify behaviours and improve products, improve working conditions. For example in the case of this program [title], that will benefit the productivity, the country's economy, the population's health. (interview with Mónica, 4th April 2016)

Nadia, non-academic staff member from the area of Social Sciences and Humanities, offered a reflection about how certain paid services can have an important impact and therefore be considered part of *extensión*, exemplified by a training course offered by the University to school teachers all over the country, paid for by the Ministry of Education. Finally the only participant who was totally critical of the relationship with companies and the sale of services was the student leader, Esteban, who referred to a university unit that provides services to companies as a "precarious" approach to *extensión*, part of the neoliberalisation of the university.

In the case of the Leading Team, Gabriela and Néstor said that paid services were part of the privatisation of the university and the need for self-funding; and Gabriela though they should not be considered part of *extensión*. Yasna did not rule them out completely but said that any relation with companies was not primary. Finally Alexis did not express a personal opinion about the issue.

In D1 (Health) all university interviewees expressed a strong position against considering the provision of paid services to be part of *extensión*. Oscar was very clear in differentiating between the positions: link with the environment could involve any kind of relationship, even sale of services; but *extensión* should encompass an exchange of knowledge, have a focus on social inclusion and not involve any kind of payment. A similar perspective was expressed by the student Noemi and the two lecturers, Raúl and Ismael. The latter saw this as a key element of the approach to *extensión* taken in his Faculty, and was critical of the openness of the university to include paid services as *extensión*:

> There is a discourse within the university itself in terms of, sure, we are public, of the state; but at the moment of what we have to do, we continue operating just as a market university […] It has to come a clear definition from above, because then it will no longer be discussed for the umpteenth time whether service provision is *extensión* or not. It is not *extensión*, it is service provision (interview with Ismael, 18th May 2016).

The provision of paid services was not mentioned by the community members.

In D2 (Arts) provision of paid services was neither mentioned by a university interviewee, nor by the community leaders. Regarding the focus group, participants only brought up that they had to pay to participate in the dance workshop once they were asked about it. Two of them said that there were scholarships available; and also two said that the price was very reasonable. Their discourses showed that they saw the experience as a mutual learning process, rather than a service.

In D3 (N&E Sciences) provision of paid services was not mentioned by any of the university interviewees, and all the activities they described were free. It is worth mentioning that this Faculty provides a series of paid life-long learning courses that are part of the *extensión* office, but this was not mentioned by any interviewee, so it was clearly not their main focus. In the case of the community members, two of them mentioned paid activities, with no criticism of this. Yasmin, from an editorial company that distributes the Faculty short science videos, described some training and book reviews provided by university scholars as a natural part of their relationship. Bernardo, who works for a city council, observed how every time they open a public tender in the area of education, he expected University One to participate. Nevertheless, he described different experiences with several Faculties. In some, he felt that the university only "comes to agree a business with me", with no listening and with a "neoliberal" perspective. In others, he had a very good opinion, for example with a consultancy where they planned a diploma "under our principles, under our language, under our view" (interview with Bernardo, 29th April 2016). This issue was not mentioned in the focus group.

With respect to the outcomes of the reappraisal process, the form includes in its types of action some activities that could involve a payment, such as consultancy and professional assistance, and there is a field about costs, which includes two options: paid and free activities. The list of general indicators does not mention any kind of payment, but there are items that could eventually involve a payment, such as courses, workshops and diplomas, consultancies and health attention. The specific list of indicators includes agreements with private institutions for two areas of knowledge, and the types of action include a dimension of assistance and services. The rubric comprises paid activities as

part of ELC, but considers them to have less value than free activities. Regarding the definition of *extensión*, it totally excludes any reference to paid services and it says that its goal is influencing "the social and cultural development of the country", with no mention of economic or productive development. A mismatch can be seen here, where the definition frames a character of *extensión* that does not include any element that could be related to paid services, although the form, rubric, and indicators do include them.

In conclusion, although most interviewees from the Main Committee considered that paid services are part of *extensión*, they were either not mentioned or criticised in all three Faculties. It is important to mention that the case of these departments is not necessarily representative of all the different university Faculties. For example, those interviewees from the Main Committee who belong to areas related to technology were emphatic in considering services as part of their work, so including one of those departments in the specific departments might have changed the results. Perhaps these differences explain why the outcomes of the reappraisal process are contradictory. On the one hand, the types of action and indicators include services such as consultancies, the form considers paid activities and the rubric also mentions paid activities although gives them a lower value compared to free ones. On the other hand, the definition excludes any mention of paid services. It can be said that the definition marks a preference or keeps a politically correct stance by not referring to paid services, although they are considered in the appraisal system, only with a lower valorisation than free activities.

8.3.2 Positioning the university brand

Sometimes, *extensión* duties can become intertwined with a marketing effort, in terms of positioning the university brand, enhancing the university image and attracting prospective students. This was mentioned by several interviewees, but did not appear as a key goal of ELC in most cases. It tended to appear as a secondary effect of public activities, and is related to actions such as publicising university activities and research in the media and organising events for schools.

In the Central Group, only Mónica, lecturer from the area of Medical and Health Sciences, highlighted the importance of *extensión* as a way of positioning the university:

> It is important for us, as *extensión*, to do what we have to do in order to highlight the Faculty's activity, to disseminate everything that is being done, to communicate the institute's scientific activity, the publications and so on. I mean, ultimately emphasising, putting the accent, visualising the Faculty's' work (interview with Mónica, 4th April 2016).

Rocío, Brenda and Nadia referred to the relation with schools, but not from the perspective of marketing the university. Brenda (non-academic staff) referred to the importance of directing activities to a diverse universe of schools in order to attract talent from all socioeconomic backgrounds. But referring to her specific job, she said that recruiting students was not her focus but just a possibility, after students got to know the university. For Rocío (lecturer) the work with schools is a valid dimension of *extensión* as long as it privileges schools from disadvantaged backgrounds, and highlighted that student recruitment was not something in which her department works, as they are never short of applicants. Finally Nadia (non-academic staff) said that on many occasions the relation with schools is undertaken by *extensión* departments, although she thought that it could be part of another department such as marketing.

In the case of the Leading Team, positioning the university brand or marketing the university was not mentioned as a goal of ELC. The work with schools is not a duty of the *Extensión* Pro-Vice-Chancellery but of the university recruitment department – this may explain why schools were not mentioned. Only Néstor (staff member) referred to them, indicating that the issue had been discussed in meetings. His perspective was that school outreach should not be excluded from ELC, because at the end of the day, any public activity may be accused of attempting to improve the image of the university. It just should not be a priority.

In D1 (Health) the idea of positioning the university image or using *extensión* to show what it does did not appear in any interview with university members. From the community leaders, Luciano, leader of a community group that develops cinema audio-description for blind people in Mexico, and who collaborated in a project with the Faculty, made a criticism in this respect – not

specifically about University One but in relation to experiences he had with other universities:

> Also sometimes it is, as university we are supporting this project, and they raise their necks as we say here in Mexico, that sometimes they only show off that they are working on one of these projects, when they really don't weigh the university's capacity. (interview with Luciano, 13th June 2017)

This topic was not mentioned in the focus group.

In D2 (Arts) the Senior ELC officer, Marcelo, said that: "*extensión* in all its parameters and aspects […] is finally the visible face of what is done, ultimately the core of the university" (interview with Marcelo, 10th March 2016). Nevertheless, he also emphasised that it was not only about showing but also receiving inputs from the community, as without *extensión* the work of the Faculty would be "encapsulated".

This idea was not mentioned by the community leaders interviewed. In the focus group with participants of a dance workshop, there was a discussion about this topic. Samuel thought that the initiative of inviting participants of the community dance workshop to present their work at the university was part of promoting the idea of studying at University One. However, the other two participants, who actually participated in the activity, said they did not feel that way. Regardless, all three agreed that marketing the institution was a valid and natural part of any institutional activity, and not something to be criticised.

In D3 (N&E Sciences) the idea of positioning the university through ELC had scarce presence. The student Leonardo and two lecturers mentioned that "showing" the research done at the Faculty was an important objective of ELC, but referred to the objective of disseminating knowledge rather than promoting the university or attracting students. This was exemplified in the case of the TV short science videos (Inés) and scientific fairs (Leonardo). Carla, lecturer, did not highlight promoting the university, but promoting science itself: "we have to convince the people, the ordinary people, and of course the politicians and decision makers; that science is important" (interview with Carla, 14th April 2016). All the academic interviewees mentioned the relation with schools as part of their *extensión* work. However, in none of the interviews did this appear to be linked to a marketing effort in terms of attracting new students, and most

stories were related to schools from disadvantaged backgrounds. Only one lecturer, Osvaldo, made a comment about a possible impact on recruitment, but as a secondary goal, as the priority was working with schools from disadvantaged backgrounds.

In the case of community members, two interviewees expressed their impression that the university was conducting a marketing effort on some occasions. Yasmín, from the editorial company, said that in her first meeting with university representatives her feeling was that the university was looking for a platform to showcase itself, rather than collaborating. She also said that being linked to each other's prestigious brands was positive for both the editorial company and the university. Conversely, Bernardo, from a City Council, was very critical about activities where he felt that some universities only wanted marketing:

> They sell this, students from [district name] visit university X. And it is just for this, it is for the poor to help make money for those who have more, you see, for the facade only. And that annoys us deeply. (interview with Bernardo, 29th April 2016)

At the focus group with former school students there was an interesting discussion regarding this issue. Jorge and Ramón thought that the main motivation for the university to link with schools was attracting prospective students. Alternatively, Nelson said that although that could be part of the objective of the activities in which he participated, the main goal was disseminating scientific knowledge. For Horacio, what the university tries to do is tick a box and show off that it has a public role; but in reality it is not doing a meaningful intervention. Notwithstanding these different perspectives, all participants but Horacio thought that even marketing activities such as open days were valuable, as they helped them to choose their career and their university.

With respect to the outcomes of the reappraisal process, there are no elements that can be directly linked to this goal. The form includes some types of action that might be oriented to school recruitment, such as guided tours and brochures, and also includes media hits, which could be seen as a way to position the university brand, but not necessarily. The general indicators also include news stories and a dimension of activities directed to educational

communities from non-university entities, which again could be linked to a branding effort but not necessarily. In the rubric there is no dimension that can be directly linked to the idea of brand positioning or marketing. The definition of *extensión* does not include any remark that could be related to this goal either.

In conclusion, the goal of positioning the university brand or attracting new students was mentioned by very few university interviewees, as it was not a core goal of *extensión* from the perspective of most. The idea of showcasing their work had some presence in Arts, and promoting science itself was present in Science, but not explicitly the idea of promoting the university. Nevertheless, this topic was present from the perspective of some community members. In three interviews with community leaders and also in two focus groups, they expressed that they have perceived or suspected marketing attempts in their previous activities with this or other universities. Nevertheless, it is important to mention that in many occasions they did not know whether the activities in which they participated were organised either by an *extensión* or a recruitment department. Regarding the outcomes of the reappraisal process, they do not include elements that could be directly related to a goal of positioning the university brand.

8.4 Implications

8.4.1 The goals of engagement and what they reveal

The findings make possible to observe to what extent the outcomes of the reappraisal process reflect the perspectives of participants regarding the goals attached to ELC. From the analysis of the interviews I identified five main goals attached by stakeholders to this function (see Figure 5), which were used to analyse the form, indicators, rubric and definition of *extensión* that emerged from the reappraisal process. This section offers a discussion about these five themes, in relation to the literature.

The goal of influencing public policy and contributing to the country's development was mentioned by most interviewees. At the same time this was identified as a key goal in the outcomes of the reappraisal process. Therefore, it

can be defined as the main goal of ELC at University One. This confirms the perspective of this university regarding its key role in society, in tune with its Latin American tradition. The idea that the university must be influential was omnipresent, there was no discussion about it. It was surprising to see an agreement from community members in this aspect, who also expressed high expectations about how the university should contribute to society. The feeling was not being thankful for what the university offered, but thinking that it was merely fulfilling its obligation.

This responds to the tradition and identity of University One as a Latin American public university, created with the mission to contribute to the development of its country (Gómez, 2011) and the creation of the national project (De Sousa Santos, 2007); and which from its origins was assigned a role to influence the national education system (Arocena and Sutz, 2000). Despite the existence of many more education institutions in the country, university interviewees and community members still attach an influential role to the university, either as a fact or as a duty it should fulfil.

A second goal was transformation, in terms of reaching long-term effects regarding consciousness, empowerment and building capacities. Although this is not part of the normative definitions of engagement, the idea of transformation had a strong presence among interviewees, mainly throughout the Faculty cases. However, the documents of the reappraisal process do not include elements that can be directly related to this goal. The goal of transformation responds to a critical perspective of engagement, which understands it as "opportunities to share our knowledge and learn with those who struggle for social justice; and to collaborate with them respectfully and responsibly for the purpose of improving life" (Fear et al., 2006 p xiii).

A critical perspective of engagement does not focus on solving isolated problems through instrumental means, but on collective learning to transform ways of living (Fear et al., 2006). In this line, university community partnerships may allow participants to become aware of their oppression and be empowered to take collective action to overcome it (Balcazar et al., 2012). They should also address power relationships through attention to local structures and needs, as

well as negotiation (Sandmann and Kliewer, 2012). In a critical perspective of service-learning, students should see themselves as agents for social change (Mitchell, 2008).

All of this resonates with the ideas expressed in the interviews, in terms of the importance of providing the community with tools for reflection and decision-making, giving them a voice and empowering them; and also with the perspectives expressed by participants in terms of sharing power and aiming for social change.

Specifically in the area of Health, Ahmed and Palermo (2010) assert that public engagement may enhance the abilities of a community to address their own health needs and disparities, as well as enabling researchers to understand the priorities of the community. This is consistent with the perspectives identified in D2 (Health), related to empowering people about their own health, and creating awareness among students regarding social needs and inclusion.

The significance of this perspective among interviewees may be related to a Freirean, transformative idea of the university, which permeated the *extensión* function in Latin America before the military dictatorships (Unión de Universidades de América Latina, 1972), and which in fact was remembered by at least two community members as a model the university should return to.

The third goal is helping the community, which was present in the Main Committee, but not in the Leading Team, neither in the Faculties of Health and Arts. Alternatively, in Sciences the idea of helping was identified by all university interviewees, but only by one community member. In the documents of the reappraisal process an altruistic perspective is not directly expressed.

This theme offers interesting insights about the ideology behind the ELC work. The idea of helping those in need through knowledge transfer appears as something valuable in Science, whereas it is a matter of criticism in Health. Behind both positions a concern to contribute to deprived communities can be identified, but this concern is interpreted differently: embracing the possibility of assistance in Sciences, or advocating for transformation in the case of Health. The Leading Team appears to acknowledge these complexities, neither advocating for help nor assistentialism.

The predominance of an assistentialism perspective has been criticised in the literature, especially in the area of service-learning, which has been traditionally conceptualised as a charity action where the students provide a service, excluding the perspectives of the communities and even reinforcing unequal power relationships (Ginwright and Cammarota, 2002; Kinloch et al., 2015). This is the kind of criticism expressed by some participants and apparently acknowledged in the Leading Team, which may explain the distance taken from this kind of approach. Also, the idea of tackling specific problems rather than systemic problems like poverty and exclusion, has been described as a shortcoming of many university community partnerships (Morrell et al., 2015). That was precisely what was criticised in the case of Health, with the example of the students checking a passer-by's blood pressure as a poor way of engagement.

Finally there were two themes that had few advocates: provision of paid services and positioning the university brand. The sale of services was a matter of debate, as some interviewees considered it acceptable, whereas for others it was a deplorable sign of the neoliberalisation of the university.

In the Latin American context, the inclusion of the relation with companies and the provision of paid services as part of *extensión* began in the 1980s (Serna Alcántara, 2007), in a context of neoliberal reforms (Gómez, 2011), where cuts in state funding generated the need for universities to sell services as a means of self-financing (Lemaitre, 2004). In this context, previous approaches to *extensión* were replaced by a more pragmatic perspective, with a heavy emphasis on life-long learning and artistic-cultural activities (Donoso, 2001; Bernasconi, 2005). Many participants expressed an acknowledgement of this situation and a criticism of it, and therefore resisted including services as part of ELC. In the Main Committee and despite different valorisations, most participants considered that services should be included as part of ELC, whereas its presence was either marginal or criticised in all the other cases.

Despite these differences – and notwithstanding the strong criticism of two members of the Leading Team – services are explicitly included in the form and indicators, and paid actions are included in the form. Paid activities are also

included in the rubric but with a lower value than free events; and the definition of *extensión* does not include any mention of services. This may reveal a political strategy to solve the difference of opinions, acknowledging all types of possible understandings and existing activities of ELC in the indicators, but setting an ideal guideline in the definition, and a preference in the rubric. It also reflects the reality in terms of the actual pressures for self-funding faced by the university, which implies that many Faculties actually develop paid services as part of ELC, although participants may not like it.

Finally, the goal that received fewer mentions among university interviewees was positioning the university brand, which relates to using ELC activities as a way of positioning the public image of the university, promoting its work or attracting prospective students. This is clearly a complex matter, because the same activity can serve different purposes; and as stated by one participant, any university activity may have an effect on its external image. In total, promotional activities and student recruitment were considered part of ELC by only three university participants. Nevertheless, three community interviewees and two focus groups expressed a feeling that ELC activities do involve a marketing purpose. The documents of the reappraisal process do not include any element that can be directly related to this issue.

This topic can be linked to the marketization and privatisation of universities, as criticised by some participants. In two focus groups, people suspected marketing intentions from the University, although they did not have any specific examples or evidence. But at the same time, they find this to be something reasonable, not a matter for criticism. Somehow, the community expressed an assumption – that might be related to the neoliberal system predominant in Chile – that any institutional activity naturally has a marketing purpose.

Including marketing goals in *extensión* activities can be confusing. For Saltmarsh and colleagues (2009), understanding mutuality as the main benefit of engagement runs the risk of reducing this function to public relations, which happens when the activities are designed just to show what the university is doing for the community. In these cases, although the university can be just looking for a marketing benefit, we could still talk about mutuality in the

relationship, if mutuality is understood as any kind of benefit. That is why it is important to define clearly how mutuality is understood, as discussed in the following chapter.

8.4.2 Comparison with existing models

The analysis generated a model of five goals for public engagement, based on the perspectives of university and community interviewees, which were contrasted with the outputs of the reappraisal process. This section offers a review of existing models and a comparison with the model that has emerged from this study.

Although there are different stances concerning the objectives or motivations for public or community engagement, they tend to be either very general, or too detailed to be used as a tool for planning. Besides, they are only based on the experiences of developed, English-speaking countries.

The British Science for All Expert Group identifies at least 39 different purposes of engagement, grouped in eight motivations: inspire learning; develop researchers' skills; be ethical, accountable and transparent; make the world a better place; create a more efficient, dynamic and sustainable economy; enhance social cohesion and democratic participation; increase the quality and impact of research; and win support for science (Science for All Expert Group, 2010). Because there are so many, the 39 purposes do not offer a useful framework to work with in terms of planning. The motivations run at a very personal level, which again does not appear to be a useful guide for an institutional policy. The aforementioned framework has been applied to other contexts, specifically in a study with Chinese scientists, and it was found that although the motivations were similar, there were some that did not appear in the UK context: the need to raise scientific literacy; and a strong sense that it was the right thing to do (Duncan and Oliver, 2017). This exemplifies the importance of developing a model that is context-related, like the one offered in this study, as the application of an external model may not necessarily apply to a different context. Just as an example, creating a better economy, which is part of the motivations identified in the Science for All model, is not something that could be expected to be part of the motivations of participants in this study, as

economic impact was not mentioned by most interviewees, neither was it included in the documents of the process.

McNall and colleagues (2009) identify six different purposes for partnerships in community/university engagement: programme evaluation; system development/change; capacity building; institution of evidence-based practice; community mobilisation; and intervention research. These purposes appear to have a different focus than the ones identified in this study, maybe because they are oriented to the evaluation of specific projects rather than a general approach to engagement. At least the ideas of programme evaluation, and the institution of evidence-based practice, could not be linked to any of the themes identified in this research.

Featherstone et al. (2009) developed a map identifying the main reasons for Public Engagement in 29 British institutions, through a review of their mission statements and interviews. In the case of academia, the main reasons were related to contributing to the development of career path and to economic development. In second place appeared democratic and cultural reasons, related to enabling society or sharing science. Only in fourth place does influencing policy-making appear, which was present in only two of thirteen universities. This also marks a big difference with what was identified in the case of University One, where influencing policy-making was a key issue, whereas contribution to economic development was marginal. This can also be related to the kind of institution studied, and how being a Latin American public university may be different in its approach to institutions located in other contexts, and how this may influence the difference of perspectives regarding public engagement.

That is why it seems relevant to create a model of engagement goals based on the particular Chilean context, which could also be applied or adapted to other contexts.

8.5 Summary

This chapter presented an analysis of the outcomes of the reappraisal process in terms of how they match the perspectives of university and community interviewees regarding the goals attached to ELC.

The goal mentioned most often by interviewees was influencing public policy and the country's development. The goal of transforming society was marginal in the Main Committee and was considered by half of the members of the Leading Team, but had a strong presence throughout the Departments among both university and community members. The idea of helping the community, in an altruistic perspective of *extensión,* was present in the Main Committee and D3 (N&E Sciences), but was mostly absent or criticised in the other cases and had few mentions among community interviewees from all groups. Finally there were two goals that had less predominance but were also present. Using ELC as a way to position the university brand or attract prospective students was considered as a possibility for some interviewees, but not as a core business. Regarding the sale of services, most interviewees from the Main Committee considered that services could be considered part of *extensión*, but this was either not mentioned or criticised in all three Faculties, and scarcely mentioned by community members.

Regarding the specificities of each case, the only theme where all groups converged was influencing public policy and the country's development, whereas most of the others differ from one case to the other. The Central Group was the one that showed more diversity; only the Leading Team showed more consistency, and there the idea of influencing the country was the most repeated one. In D1 (Health) and D2 (Arts), influencing public policy and the country's development and transforming society were the main goals attached to ELC. In the case of D3 (N&E Sciences) the idea of help appeared as a key goal.

The documents of the reappraisal process coincide with the interviewees in expressing that influencing public policy and contributing to the country's development is a key goal of ELC. The other theme that had a strong presence among interviewees, transformation, is not valued within the documents of the reappraisal process. Although it is not contradicted, they are not recognised and

therefore there are no incentives for these kinds of activities, despite the importance they had for many participants. The third topic in importance, help, is not directly endorsed. Finally, regarding those identified as the utilitarian goals of ELC, which had less presence, it is possible to observe some inconsistencies within the documents of the reappraisal process. For example, the form includes services and paid activities, but this is not acknowledged in the definition of *extensión*.

Chapter 9: Findings:
Contrasting perspectives on the ways to engage

9.1   Introduction

The present chapter aims to analyse the outcomes of the process of reappraisal of ELC at University One: a form to report activities; a list of general and specific indicators; a rubric; and the agreed definition of *extensión* (see Appendix 1-8), in terms of how they do or do not reflect the perspectives of participants regarding how relationships should develop in ELC activities. In order to do this, it was necessary to first explore the perspectives of university and community participants with regards to how they think relationships should be developed in ELC projects. These were contrasted with the documents resulting from the reappraisal process.

Two main themes were identified: length of relationships; and mutuality of relationships. The second theme was divided into six subthemes: the first is one-way relationships or knowledge transfer, and the following five are different interpretations of two-way relationships: considering needs; two-way planning; two-way benefit; two-way learning; and knowledge co-creation. This chapter presents a review of each theme, a section on analysis and a final summary of the main findings.

9.2   Short or long-term relations

An issue that appeared as a determinant of the quality of ELC projects from the perspective of interviewees was whether they were long-term rather than one-time interventions. Short-term initiatives include activities such as scientific fairs, open lectures, visits from schools to the university, or artistic presentations. Long-term initiatives include collaboration agreements, service-learning programmes and intervention projects within communities.

In the Central Group, only three of eight interviewees from the Main Team (Hugo, Gastón and Esteban) mentioned the importance of *extensión* activities

being long-term rather than sporadic projects, in order to be meaningful. Gastón, staff member from the area of Legal, Political and Economic Sciences, was the most emphatic:

> You take the students, you take them for two weeks, they work with a community and then they go home and live their lives fully. But they had, it's like going to the jungle for two weeks and that was their lifetime experience. So it seems to me, I will not be in favour of that, I cannot be (interview with Gastón, 23rd March 2016).

In the case of the Leading Team, two members commented on the length of the processes. Néstor mentioned that he had previously worked for a project where only permanent relationships were classified as linkage with the context. Yasna commented that the *Extensión* Pro-Vice Chancellery stimulates the creation of long-term relationships as a result of their competitive funds, although these funds are limited to one year.

Regarding D1 (Health), both lecturers, Raúl and Ismael, and also the student, Noemi, highlighted the importance of making the activities permanent to achieve a real contribution. In the case of community leaders, both of them highlighted the necessity of building long-term relationships. Luciano, leader of a community project that makes cinema audio-description for blind people, referred to the importance of staying in contact and continuing to work together, which was actually happening in his project. Gustavo, leader of a community political group, referred to his experience of activities with the students and criticised that, contrary to his expectations, they did not persist over time. Meanwhile, in the focus group, Diana, participant in the cinema workshop for blind and short-sighted people, expressed a criticism of short-term interventions, which was shared by the other participants:

> Chile is a country that works through projects, everything lasts six months or one year. When the project is finished, there is no follow-up, there is nothing, and we go project by project. So what would be fantastic to achieve? for this workshop to be permanent (focus group interview with Diana, 9th May 2017).

In D2 (Arts) the importance of the continuity of the interventions was mentioned by the lecturers Bruno and Mateo. Mateo highlighted his ambition to turn his community dance project into a permanent relationship. Bruno went further to talk about *extensión* as an area from which he expects long-term results:

> For us and for our project, in the long term it is about being able to install these concerns […] there is a way to approach the body, there is a way to create and learn with the body from the dance and from the performing arts that can contribute to other disciplines and contribute to knowledge generation, to teaching and learning processes. So for us, *extensión* is that as well. (interview with Bruno, 23rd March 2016)

In the case of community leaders, both mentioned the importance of long-term relationships. Olivia, leader of the community dance project, referred to the intention of making it permanent. Whereas Andrés, staff member from the National Arts and Culture Council, criticised that every project with University One was particular and not part of a general policy. This was not mentioned in the focus group.

Finally, in D3 two university members, Senior ELC officer Inés and lecturer Carla, mentioned the importance of continuity in *extensión* activities. Carla said that one-time activities are "a grain of sand in a desert" (interview with Carla, 14th April 2016) and Inés narrated her efforts and struggles to continue with her programme for six years in a row, despite not having permanent funding.

All community leaders linked to this Faculty highlighted the importance of building long-term relationships rather than pursuing specific, short-term activities. Raquel and Bernardo manifested their expectation for the relation with the university to become permanent. Yasmín and Renata said that key to the success of their relationship with University One was that they were able to maintain the activity over time, which was different to most of their experiences with other institutions. This is encapsulated in a quote by Renata, manager at TV channel, who referred to the short science videos they broadcast: "I think that the great attribute of University One, is that it somehow has achieved stability in the frequency. I mean, they are here all year long" (interview with Renata, 21st April 2016).

In the case of the focus group, two people, both participants in laboratory workshops for school students, referred to the importance of long-term activities. Ramón said that he found a two month weekly workshop that he attended much more valuable than a one-day scientific fair, and Horacio thought that all initiatives should be part of a long-term plan.

Concerning the outcomes of the reappraisal process, only the form includes a field related to this issue, which refers to the frequency of activities. It includes categories that go from daily to yearly and also activities done only once. The indicators include both activities that can be unique (such as talks or news published) or involve long-term relations (such as collaboration agreements). The definition describes *extensión* as the development of "permanent" processes of interaction, excluding anything that is not permanent, as continuity appears as a key characteristic of *extensión*. Nevertheless, the rubric does not echo this aspect, as it does not include a dimension related to the frequency of activities, and therefore there is no element to value long over short-time relations or vice-versa. Thus an element of key importance for nearly all community interviewees and for most department participants was not included in the official system to value ELC at University One.

In conclusion, building long rather than short-term relationships appeared as a topic of key importance for most community interviewees, although in the case of the university interviewees it was not always considered. From the Main Committee, only three of eight participants mentioned this issue, and it was considered by half of university participants in most of the other groups. This shows some disconnection, especially between the Central Group and the perspective of community members. The outcomes of the reappraisal process acknowledge the possibility of activities that can involve either long or short-term relationships, but the importance of permanent relations is only expressed in the definition and not included as a dimension to be valued in the rubric.

9.3   Mutuality of relationships

The concept of "bi-directionality", which is dictated by the National Accreditation Commission as a feature of "linkage with the context", appeared in a large part of the data. In the interviews it was mentioned mostly as a wish, as the way things should be done, in general with a recognition that this is not what happens most of the time.

Although most interviewees mentioned bi-directionality as a feature of *extensión*, different ways of understanding it were identified. In some cases, the same interviewee expressed more than one interpretation. Figure 6 expresses the different levels of mutuality identified in the data, from one-way relationships (knowledge transfer) to five different levels of two-way relationships: considering the community needs; involvement in design; mutual benefit; knowledge exchange; and knowledge co-creation.
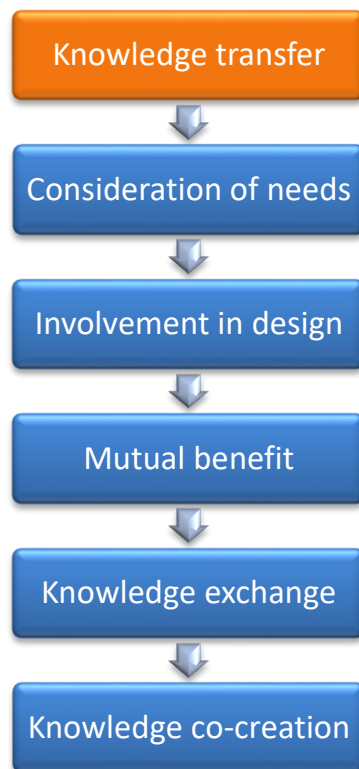
Figure 6: Levels of mutuality.
Source: Created by the author.

The following sections offer an analysis of all these themes, followed by a final conclusion.

9.3.1 Knowledge transfer

Although two-way benefit was commonly presented as an ideal goal, it was recognised by most interviewees that one-way activities were the most

common. These were related to the objective of making university knowledge available for the public, and include dissemination activities such as open lectures, scientific fairs, or the publication of scientific information in the media.

In the Central Group, all interviewees from the Main Committee mentioned one-way activities, although five of them expressed some criticism or low valorisation of these activities.

Daniela and Mónica saw absolutely no question about the idea that *extensión* has to do with transferring knowledge from the university to the community. For example Mónica, lecturer from the area of Medical and Health Sciences, defined *extensión* as follows:

> It is the way that the Faculty has to show what it's doing, for the community to find out what the Faculty does, to lower down to the population the concepts of nutrition and healthy lifestyle that are being developed in the Faculty, what we are researching. (interview with Mónica, 4th April 2016)

Brenda and Rocío also defined *extensión* as a one-way transfer, although during the interviews they also mentioned the idea of mutuality in relation to service-learning. Rocío was critical of this concept as she reflected on the risk of privileging learning rather than service. Gastón and Nadia mentioned some "dissemination" or "irradiation" activities as part of the *extensión* work, but they differentiated them from two-way activities, which they considered to be their core business as well as the most valuable.

Finally, there were two interviewees, Hugo and Esteban, who criticised the way most activities had a one-way perspective, thinking that it should not be that way. For example Esteban, from the Students' Union observed: "It usually is […] the *extensión* about showing only, the one that disseminates. Almost having a channel where a lecturer speaks, that would be ideal for University One […] but finally there is no feedback from that" (interview with Esteban, 4th April 2016).

In the case of the Leading Team, the perspectives were dissimilar. Only Alexis mentioned knowledge transfer as a key feature of ELC, when defining *extensión* as "the process through which the knowledge generated from research is extended to the rest of society. That is how I see it: it is transferred" (interview with Alexis, 6th April 2016). In the case of Néstor, he acknowledged that there

were many perspectives of *extensión*, where knowledge transfer was one of them, although for him it was not the most valuable. Finally Gabriela and Yasna had a strong discourse in terms of defining *extensión* not as a transfer but as a dialogue between parties.

In D1 (Health), the vocabulary of knowledge transfer was not used. The four interviewees from this Faculty criticised the pre-eminence of one-way activities and referred to the importance of sharing or exchanging knowledge instead. For example, Raúl described his cinema workshop for blind and short-sighted people not in terms of transferring knowledge, but creating capacities and giving a voice. Ismael spoke about a training course for community members that aimed to enable them to participate in discussions about health issues. The student, Noemi, also made clear that *extensión* should be: "not only as I mentioned, teaching or showing something or educating; but also generating a linkage" (interview with Noemi, 11th April 2016).

In the case of the community interviewees, both had an expectation that the university could share its knowledge with the community, but they also noted that the community had valuable knowledge to exchange. In the focus group, the idea of knowledge transfer did not appear.

In D2 (Arts), from the university interviewees only one person, student Diego, defined *extensión* primarily as a one-way activity: "[*extensión*] is the way how we show, we expose, we express what we do inside the university to the outside; how we relate to the different actors within this society" (interview with Diego, 21st March 2016). Regarding the three academics, they all defined *extensión* in terms of an exchange where both parts listen to each other. Marcelo, the Senior ELC officer, said that one-way tends to be the most frequent approach because it is the easiest thing to do, but they are working on changing this. Bruno and Mateo highlighted the risk of trying to impose university knowledge on communities as something to be avoided. As indicated by Mateo: "it is fundamental in the sense if that reflection goes or extends itself to really dialogue and listen and share, because also *extensión* can be super colonising, both of knowledge and ways of thinking" (interview with Mateo, 8th April 2016).

This possibility of a one-way patronising relationship was also criticised by one of the community leaders, Olivia from the dance project, although she was not reflecting on her experience with University One but in general. In the case of the focus group, although participants expected to learn from academics, they all said that the aim of the dance workshop was giving them tools to reflect and develop their own creative processes, rather than just technical training.

Conversely in D3 (N&E Sciences), for all interviewees *extensión* was understood as a way to transfer knowledge to the community. All of them made some reference to this and included the idea of transfer or education in both their definitions and their description of activities. Leonardo's definition of *extensión* summarises these perspectives: "trying for the people who is inside the university to transmit their things to the people that is outside the university" (interview with Leonardo, 10th December 2016).

In the case of community leaders, the four interviewees observed that the university should transmit its knowledge and make it available for the community. For example Renata, from a TV channel that broadcasts the Faculty short science videos:

> Chile is not a country where scientific topics are widely disseminated, and I think that in all these years the short science videos have had an evolution, in which it is noticeable that scientists have made an effort to speak a little easier. And a bit to make people understand their work and what is the application, that basically is useful for all of us. (interview with Renata, 26th April 2016)

At the focus group, dissemination of knowledge was identified as the main goal of the workshop and the scientific fair where participants were engaged. However, some questioning about the extent to which these activities had a real impact emerged. All students, apart from Horacio, valued what they learnt at the workshops in terms of acquiring scientific knowledge, learning how the university works, and even helping them to choose their career. But there were two, Horacio and Ramón, who questioned the impact of the scientific fair, considering it to be superficial.

Regarding the outcomes of the reappraisal process, a contradiction can be seen. On the one hand, the idea of education or knowledge transfer is expressed in the list of general indicators, which mention activities such as

talks, dissemination publications, news stories and health attentions. Also the types of action include face-to-face dissemination, assistance and services, news about academics, and distance dissemination. On the other hand, the rubric does not include any dimension that could be related to this issue; and the definition of *extensión* does not favour the idea of knowledge transfer, but relates *extensión* to "permanent processes of interaction, integration, feedback and communication".

That is how one-way relationships, understood as knowledge transfer, was a goal that generated very different perspectives. It was predominant in the Main Committee and the Faculty of Sciences, but either absent or criticised in Health and Arts. The documents of the reappraisal process include transfer activities in the indicators, but exclude them from the definition. This can be an expression of the lack of agreement about this topic, and the fact that – despite the wishes of many participants – the reality is that an important part of the activities done as part of *extensión* are oriented to knowledge transfer.

9.3.2 Considering the community's needs

The first interpretation of the bi-directionality mandate was related to the importance of considering the community's needs before designing an activity. This includes either asking them directly, or gathering information from the context in order to decide which interventions are necessary.

From the Main Committee, three interviewees (Brenda, Mónica and Gastón) referred to the importance of discussions with the community and considering their needs before defining an intervention, although Mónica did not mention the concept of bi-directionality. In the Leading Team, half of participants (Gabriela and Alexis) referred to bi-directionality in a similar way. For example Alexis, senior manager:

> Every university task has to be developed back and forth with society, that is, the university doesn't have to tell society or transfer what it wants or what the university knows, but it must be attentive to society to see what does society need and try to generate that type of transfer or *extensión*. (interview with Alexis, 6th April 2016)

In D1 (Health), Senior ELC officer Oscar and student Noemi referred to the importance of considering the needs of the community before designing any activity. In relation to this issue, Oscar explained that the local *extensión* policy for this Faculty includes the principle of "de-privatising knowledge", referring to the importance of generating knowledge according to the interest of the wider society and not those particular to the university:

> There cannot be a property of knowledge, as a slogan, responding to an interest, but it should respond to all interests. That is why he posed that it was necessary to pluralise or make public the knowledge generated, not only democratise it, not just share it. Then the concept of de-privatisation of knowledge was created (interview with Oscar, 22nd March 2016).

This perspective was not identified among community members, where the focus was not just considering their opinion but involving them in planning.

In D2 (Arts) this perspective was expressed only by one university interviewee, the Senior ELC officer Marcelo, who said that *extensión* involves receiving the needs of the context. This was not mentioned by community leaders. In the focus group one interviewee, Susana, referred to the importance of considering the community interests, as she said that sometimes she was not interested in the topic presented by the lecturers in her dance workshop, which undermined her engagement.

Finally, in D3 (N&E Sciences) this idea was mentioned only by Carla, lecturer, who described how one of her projects, consisting of a knowledge-transfer to school science teachers, was designed responding to specific needs expressed by them. In the case of community leaders, this perspective was not identified. In the focus group, there were two people who considered this to be very important, as they criticised that many times the university organised *extensión* activities that did not consider the interests or needs of the public. Horacio, participant in a laboratory workshop for school students, was the most critical about a science open fair that, according to him, disregarded the interests of the community:

> There were topics at the fair that we organised, which have nothing to do, that nobody was going to care about. I mean, who in this city would care about the topic of a bacteria that grows in I don't know which city in the extreme south of the country […] Then, more than seeing how we show people what we are doing, it is doing what the people need. (focus group interview with Horacio, 17th August 2017)

In conclusion, considering the needs of the community before designing any project or intervention was considered by less than half of participants. It was mentioned by two people from the Main Committee and two from the Leading Team. In D2 (Health), this was identified by two university interviewees; it was mentioned by one university participant and one focus group interviewee in the case of Arts; and in Sciences it was mentioned by one university interviewee and also during the focus group. Regarding the outcomes of the reappraisal process, the indicators include some activities that can be considered two-way (such as collaboration agreements), but they do not contain elements that specify the level of mutuality of the relationships.

9.3.3 Two-way planning

The second way to understand bi-directionality relates to involving the community partner in the process of designing or planning an activity. This involves presenting a proposal to a community group and receiving their inputs in order to improve or adapt it, or receiving a proposal from a community group and refining it together.

This perspective did not appear in the Main Committee but was mentioned by Néstor and Yasna from the Leading Team. For example Yasna, senior manager:

> The idea is to create programmes that make sense to the region, that also work with the communities […] where there was always - that was the ideal, it didn't happen in all cases - an actor from the region and an actor from University One who built a common programme. (interview with Yasna, 15th March 2016)

In D1 (Health) the importance of involving the community in the design of activities appeared in all interviews with university members. For example Naomi said that they were working with a community group in order to create a project together. The importance of co-designing the interventions was also mentioned by both community leaders interviewed. Gustavo, from a political group, presented it as a wish for how things should be done, in terms of co-designing projects rather than being offered something by the university. Luciano, from the cinema audio-description project, highlighted this as a positive characteristic of his experience with University One. He explained that

the university first offered a proposal, but it was discussed and adjusted according to his organisation's inputs.

In the focus group, there was a strong criticism from Diana and Miguel, participants in the cinema workshop for blind people, which was not related to their experience with University One but referred generally to inclusion projects that do not actually include the disabled community. This is expressed in a quote from Diana:

> Projects are done to invent something and to create another thing, so that the product goes to people with disabilities. And sometimes, because of the lack of knowledge of those who did the project, that product already existed. Then a lot of time and resources are wasted, but if there were people with disabilities inside the team, it would be more focused on the real needs of people with disabilities. (focus group interview with Diana, 9th May 2017)

In D2 (Arts) this was mentioned by the lecturer Mateo in terms of listening to each other when planning an activity, and was highlighted by both community interviewees. Olivia explained how her community dance project was the one that proposed the idea and structure of the agreement to the university. Andrés, staff member at the Culture and Arts Council, described how he was involved in organising an activity with the university, although he felt he did not really act as a partner but mainly as a monitor: "We assumed a role like monitoring […] there is no background of a real linkage between both institutions" (interview with Andrés, 6th May 2016).

In the community focus group, there were two participants who had participated in an activity where they presented their dance performance along with students at the university. Although they valued the experience, Susana and Gerardo felt they were in a situation of disadvantage, because they were not involved in the planning and therefore they were not aware about the requirements of the university theatre, which implied that they had to adapt their performances at the last minute. According to Gerardo, this was "not very encouraging with my process" (focus group interview with Gerardo, 27th September 2017).

In D3 (N&E Sciences), Senior ELC officer Inés and student Leonardo described activities where school students were actively involved in the design and organisation of activities. Leonardo said that some schools ran stalls and showed their own experiments during the Faculty scientific fair. And Inés

described a radio programme and TV short science videos where school students were part of the programme, in charge of designing the questions and interviewing a scientist.

In the case of all community leaders, being involved in planning the activity was very important. For example, for Raquel, teacher at the National Service of Minors, this participation was key for the success of the activities:

> A real participation, in planning, in making agreements; I think that's ultimately the key. Because one who see it in the everyday life; one know effectively what is being good for them, what doesn't make them any good, what is useful for them, what leaves them something, what is meaningful or makes sense to them. Besides, ultimately as a professional, it also makes you feel incorporated... (interview with Raquel, 7th April 2016).

In the case of the focus group, all former school students mentioned how they were involved in the organisation and development of a scientific fair; Nelson and Reinaldo highlighted it as a positive and participatory experience, and Reinaldo explained that his job was adapting scientific texts to a common language and promoting the fair to the public through playful presentations. Ramón and Horacio felt that the activity was not well prepared and they did not feel really involved with it.

In conclusion, the importance of collaborating in designing and planning the activities was present in all community interviewees and most Faculty interviewees, but absent from the Main Committee. Regarding the outcomes of the reappraisal process, the documents do not contain elements that can be directly related to this issue.

9.3.4 Two-way benefit

A third way to understand bi-directionality implied that both parties could gain something or learn from the interaction experience, although not necessarily from the other's knowledge.

This involves, for example, considering that participating in an ELC activity implies an enriching experience for lecturers in terms of feeling motivated and valued, and for students in terms of acquiring public speaking skills or building professional networks. Therefore, this perspective assumes that the university

receives a benefit from the interaction, but does not involve the idea of learning from the community's knowledge.

From the Central Group, five interviewees of the Main Committee (Brenda, Gastón, Rocío, Nadia and Daniela) associated bi-directionality with service-learning or other activities in which students participate. They related it to the opportunity of both the community receiving a service, and the university students learning from the experience of working in a real-life setting. Nevertheless, Rocío, lecturer from Legal, Political and Economic Sciences, criticised that service-learning could become one-way when it ends up just benefiting the university: "ultimately you can end up instrumentalising the people. I mean, what predominates, service or learning" (interview with Rocío, 18th March 2016).

There was also one person, student leader Esteban, who referred to two-way relationships in terms of the community receiving a service, and the university gathering research data or research ideas.

In the case of the Leading Team, Yasna and Néstor referred to experiences where students work with communities as part of their learning process in terms of having an experience in a real-world setting.

Regarding D1 (Health), this perspective was mentioned by the two lecturers, Ismael and Raúl, and by student Noemi. Ismael and Noemi referred to how the students can learn from their community work. Raúl described how he had experienced some unexpected outcomes of his cinema workshop for blind and short-sighted people. He told the story of how one participant told him about a project for blind people being developed by researchers at a different Faculty at University One, and made the contact between them. Thanks to that contact, the two Faculties started working on a project together.

In the case of community members, both community leaders considered that university students could have a valuable experience working with the community, in terms of conscientisation about social problems and also working experience. Luciano, from the community cinema project for blind people, commented that a risk in linking with universities in general was that sometimes these relationships were more focused on the benefit of the university than the

community, which happens when they receive first year students for internships, who still do not have knowledge to contribute to the organisation and therefore the only benefit is for themselves in terms of learning. This perspective did not appear in the focus group.

In D2 (Arts) the idea that both parties could gain something from the experience was expressed by one lecturer, Mateo, who highlighted how their community work gave motivation and inspiration to lecturers. And the student, Diego, referred to his own learning about the university administrative systems, as *extensión* delegate for the local Students' Union.

This perspective was not identified among the community leaders. One participant from the focus group, Gerardo, said that working on the community dance workshop was motivating for lecturers because of the enthusiastic reception of the students. One participant, Susana, felt that it was sometimes more focused on the gains of the lecturer than the participants:

> I felt that in each module we had many stimuli from the lecturers' researches, but perhaps little opportunity to put our research into practice […] and maybe it was more interesting for the development of the lecturers' research than for the participants' research. (focus group interview with Susana, 27th September 2017)

Finally, in D3 (N&E Sciences) this idea was mentioned in different ways by all interviewees. For example the student, Leonardo, spoke about how his *extensión* work had allowed him to build networks with postgraduates and lecturers that may be useful for his future career. And Osvaldo, lecturer, said that, although his ELC experiences have not contributed to his research, they have enhanced his motivation:

> Sometimes the environment says that you are a lecturer and not a citizen. […] So having these spaces allows us to remember that. It allows us to value how far or not we are from the people who are not in the academic world and who want to learn, and I think that it invites us to do more things. (interview with Osvaldo, 7th April 2016)

Regarding community leaders, Raquel from the National Service of Minors thought that the university also learnt something from the experience, although she did not specify what. And Yasmín observed that linking with her prestigious editorial company was beneficial for the university. Yasmín and Bernardo also criticised that some activities may just benefit the university in terms of

marketing, and not make a real contribution to the community. These perspectives were not mentioned in the focus group.

In conclusion, the idea of two-way benefit is the one that had the strongest presence among university interviewees, and it was mentioned by some community interviewees. From the Central Group, six people of the Main Committee and half of the Leading Team expressed this idea. In Health, this was mentioned by three of the four Faculty interviewees and was also highlighted by both community interviewees, but not mentioned during the focus group. In Arts, this was expressed by half of the university interviewees, and was not identified by the community leaders. Finally, in Sciences, this was mentioned in different ways by all university members and three community leaders. Regarding the outcomes of the reappraisal process, the documents do not contain elements related to this issue.

9.3.5   Two-way learning: knowledge exchange

The fourth way to understand two-way relationships was the idea that both parties could learn from each other's knowledge. Although knowledge exchange is a key feature of community engagement according to mainstream definitions (such as the US Carnegie Classification), it appeared in only a few interviews.

In the Main Committee only one person, Gastón, staff member from the area of Legal, Political and Economic Sciences, said that community partners have valuable knowledge to share. For him, the community partner "is the one who provided me, he is training the students" (interview with Gastón, 23rd March 2016). In the Leading Team only one person, Yasna, referred to bi-directionality in terms of knowledge exchange, as a desired but difficult aim.

In D1 (Health), all university interviewees reflected on how *extensión* activities do or should allow an exchange of knowledge, rather than be just the university giving something or learning from the experience. On many occasions, these reflections were not done theoretically but describing their specific experiences. For example in the case of the lecturers, Raúl highlighted how his experience leading the workshop for blind people has made him rethink his perspectives about the biomedical model of rehabilitation and learn about the importance of

the knowledge and advice shared during community rehabilitation processes. In the case of the student, Noemi, she also reported a rich experience of learning from the community perspectives:

> It was opening our perspective even in health, because one tends to say sure, the headache, the back pain. But they told us about the green area, the security, that sometimes they felt unprotected, and that impacts on their health. (interview with Noemi, 11th April 2016)

Both community leaders also showed awareness that in the process they had valuable knowledge to share. Leonardo described his experience in terms of knowledge exchange between his community group, who had expertise in cinema audio-description for blind people, and the university, that had experience producing documentaries with blind and short-sighted people. And Gustavo, from a political group, presented this perspective as a goal: "maybe in the concrete reality the university would learn a lot more than in the classrooms, which many times is merely the theoretical thing. So we both have to contribute to each other" (interview with Gustavo, 11th April 2016). In the focus group the idea that participants have things to teach society with respect to the concept of disability was highlighted.

Regarding D2 (Arts), this perspective was shared by two lecturers (Mateo and Bruno), both as a general aim and describing concrete experiences. For example Mateo described his experience in the community dance project:

> In order to generate this encounter we have to listen to our needs, and from there see and say oh yes, look, maybe we could grow together […] I really do realise that I learn a lot from the others, because they show me things that I don't think about. (interview with Mateo, 8th April 2016)

In the case of community leaders, Olivia, from the community dance project, confirmed this description and valued not only the knowledge brought by the university, but also how the community helped to widen the academics' perspectives. This was also acknowledged in the focus group, where all participants thought that the lecturers learnt from the inputs and reflections offered by participants.

Finally in D3 (N&E Sciences), no interviewee from the university mentioned the idea of learning from the others' knowledge. According to one of the lecturers, Osvaldo, this has to do with the character of the discipline (hard science), different to what could happen in social sciences or humanities. In the case of

the community, two leaders said that they also have valuable knowledge to share with the university. Bernardo, education officer from a City Council, was happy with the case of another university that invited him to speak about the council's education policies, rather than just lecturing him with academic knowledge. Renata mentioned how her TV channel contributes with its audio-visual knowledge to improve the Faculty short science videos:

> If an accent was missing […] if the audio is poor, I mean in audio-visual terms it is checked. In terms that, or if what is being said is not understandable, etc. In that sense the university has been super perceptive to our comments. (interview with Renata, 21st April 2016)

This perspective was not identified in the focus group.

Thus the perspective of learning from each other's knowledge was dominant in the case of Health for both university and community participants, had a strong presence in Arts, but was marginal in the Central Group and in Sciences. The outcomes of the reappraisal process do not contain elements referred to this issue.

9.3.6 Knowledge co-creation

A fifth possible interpretation of the two-way mandate is knowledge co-creation, which appears as the best practice in the literature about public engagement. It relates to a perspective that considers the community as a source of valuable knowledge, and includes activities where a final work is created jointly with participants.

In the Central Group, only one member of the Main Committee, Gastón, mentioned co-creation as a possibility of ELC activities, where "society understands that it also has a role in the formation of this knowledge" (interview with Gastón, 23rd March 2016). In the Leading Team, two people mentioned this idea. Néstor described participatory action research as part of his *extensión* work. And Yasna pointed to co-creation as a goal of *extensión* and exemplified with one of her projects:

> There is a construction with the other. Because they contribute with something that one doesn't know from here; that maybe you know from theory, but they know it from the experience or from theory as well […] We also did some workshops about identity histories of the region, so local

> people finally wrote about their region and now we are going to publish a digital book. (interview with Yasna, 15th March 2016)

In D1 (Health) all university participants made some mention of the possibility of co-creation, in most occasions not just theoretically but describing their own experiences. For example Senior ELC officer Oscar explained how the community participated in the creation of the new Faculty ELC policy:

> Usually, unfortunately our function is unidirectional: those of us who know versus those who do not. So there were some, mostly students, who posed bi-directionality. And others suggested that it should be circular. And we had that discussion there with the neighbours, and a school teacher said no, this has to be in a spiral. That means, not reaching the same starting point but a superior space, and continue growing and advancing again. And it was very reasonable, the vision convinced us all and is included in the policy. (interview with Oscar, 22nd March 2016)

In the case of the community, in both interviews and the focus group, the idea of co-creation appeared strongly. Luciano described co-creation as a characteristic of the work done with the project for blind and short-sighted people; where both the university and the community group contributed with their knowledge and skills to create a series of documentaries. Gustavo saw co-creation as an expectation for his relations with the university, where through such dialogue it would be possible to create "a product" useful for both parties. In the focus group, two participants referred to this idea. Diana highlighted the importance of including disabled people in the creation of any product or intervention directed to disabled people, and Roberto manifested his wish for the University to go back to what it was in the 1970s when, according to him, it included the community in the research processes.

In D2 (Arts) the three academic interviewees referred to co-creation as either a real or desired objective of *extensión* activities. For example Bruno described the community dance project as follows:

> Starting from this dialogue with them, we carried out formative, experiential and transversal activities; exchanges of experiences rather than a colonisation positioning […] We simply pose a point of view, and we dialogue that point of view with the context, and we see the things that emerge from that dialogue. (interview with Bruno, 23rd March 2016)

In the case of the community members, co-creation was not mentioned. Regarding the focus group, participants explained that each of them ended up

with an artistic creation, but described it as an individual piece, rather than part of a co-creative process.

In D3 (N&E Sciences) co-creation of knowledge was not mentioned, although there was an account of the participation of community members in the creation of *extensión* projects and activities, such as participation of school students as interviewers in the radio programme.

As regards the outcomes of the reappraisal process, the indicators do not offer elements that could be linked to the idea of co-creation. In the specific indicators there are mentions of joint activities with non-university entities and collaboration agreements with local entities, which could eventually imply a co-creative process, but not necessarily. In the rubric, there is no dimension that refers to this issue. The definition describes *extensión* as a two-way activity, in terms of developing "processes of interaction, integration, feedback and communication" between the University and the community, "in order to influence the social and cultural development of the country and, through this, its own development". This makes explicit the expectation of a reciprocal relationship, where both parties benefit. However, there is no mention of the possibility of creating something together.

In conclusion, co-creation had scarce presence in the Central Group, was very important in Health and was present in Arts. In Sciences the idea was important but related to the creation of *extensión* activities rather than the creation of new knowledge. Concerning the outcomes of the reappraisal process, although there are indicators referring to reciprocal relations (such as collaboration agreements), there is neither mention of the possibility of co-creation, nor a dimension to encourage these kinds of activities in the rubric.

9.3.7   Conclusions on the levels of mutuality

Summarising the six subthemes, it is possible to observe that the idea of one-way relationships – understood as knowledge transfer – was present as an accepted way to practice ELC, but most interviewees acknowledged it as less

valuable than two-way relationships. The idea that ELC activities should attempt to favour two-way relationships was present in most interviews. However, there were several different interpretations for it. The idea of two-way benefit, in terms of achieving any kind of benefit from the *extensión* experience rather than learning from the other's knowledge, was predominant among university interviewees, whereas the perspective of being considered in planning the activities was the most repeated among community members.

Regarding one or two-way relationships, the documents of the reappraisal process do not set a preference but mention both kinds of activities. The indicators include a dimension of *extensión*, dissemination and services, which considers talks, courses, news stories and consultancies, all of which could be defined as one-way. But it also has a dimension of linkage, which includes joint activities with other universities and participation in commissions and agreements, which can be considered as two-way. Therefore, both kinds of activities are included. The types of action include one-way activities such as face-to-face dissemination, and two-way ones such as participation in meetings and commissions. Regarding the rubric, no dimension considers the way the relationships are pursued and therefore there is no incentive for two-way relationships. Additionally one of its dimensions is called "cost for beneficiaries": the community is not defined as partner but beneficiary, assuming a one-way relationship. Finally the definition of *extensión* is contradictory. On the one hand, it defines *extensión* as "interaction, integration, feedback and communication" in order to influence both the community and the university. On the other hand, it says that through its *extensión* work, the university influences "the social and cultural development of the country and, through this, its own development", but does not say that the community can influence the university. Thus the indicators acknowledge both one and two-way activities, the definition says that *extensión* is two-way but does not acknowledge an input from the community, and the rubric does not put in place any incentives to pursue two-way activities. The two-way commitment remains as a declaration only.

Regarding the different interpretations of the two-way mandate, the documents of the reappraisal process do not offer any definition. The wording of the definition, which refers to "interaction, integration, feedback and

communication", is based on reciprocity, although very broadly, which does not allow for further interpretation. The definition mentions that through *extensión*, the university influences its own development, which implies an assumption that the work on *extensión* will have an impact on the university and not just in the community, but does not attach any agency to the community in the process. In other words, it could be assumed that the university will learn from the interaction process, which could be located in the third interpretation of bi-directionality (two-way benefit), but there is no mention of the possibility of knowledge co-creation or exchange. It also says that it is attentive to "cultural relevance", which could be associated with the perspective of considering the needs of the community.

That is how two-way relationships, an issue that was important for most participants and also is a key dimension of public engagement according to the international literature and to the National Accreditation Commission, was only touched on lightly in the definition of *extensión*, without providing any clarity on its meaning, and was excluded from the rubric of valorisation.

9.4   Implications

9.4.1 The ways to engage and what they reveal

The findings reveal to what extent the outcomes of the reappraisal process reflect the expectations of participants regarding the way how ELC relationships should work. From the analysis of the interviews I identified two main issues (length of relationships, and one and two-way relationships), which were used to analyse the form, indicators, rubric and definition that emerged from the reappraisal process. This section offers a discussion of these themes, in relation to the literature.

The first issue had to do with the importance of building long rather than short-term relationships. Although most community and university interviewees attached importance to the permanence of the relationships as a determinant of the quality of ELC projects, it was scarcely mentioned in the Main Committee and Leading Team. Regarding the outcomes of the reappraisal process, the

definition of extensión acknowledges the importance of building permanent relationships, but this is not included as a dimension to be valued in the rubric.

The importance of establishing long-term relationships has been described as a key part of a systemic approach to engagement (Barnes et al., 2009). Short-term projects are identified as a barrier for the trust of the community and for the achievement of transformative goals (Wilson et al., 2014; Morrell et al., 2015). Thus an issue described in the literature as a determinant for true partnerships and also acknowledged as an important feature for nearly all community interviewees, was not mentioned by many university interviewees and is not part of the dimensions valued in the rubric.

The second issue relates to the form that engagement takes, in terms of pursuing one or two-way relationships, and the different understandings of the two-way mandate. One-way relationships refer mainly to transferring knowledge, and relate to an idea of *extensión* linked to dissemination. In many cases there was a recognition that most activities tend to be one-way, but participants did not see this as the best practice to be highlighted. In Sciences knowledge transfer appeared as a natural way to practice ELC for most interviewees, but it was absent in Health and Arts and had scarce presence in the Central Group. Regarding the outcomes of the reappraisal process, although extensión is defined in terms of communication and feedback, the form and indicators include both one and two-way activities, and the rubric does not include a dimension that attaches more value to one or the other.

In the Latin American context, there has been criticism that many universities limit *extensión* to one-way relationships oriented to the provision of services and outreach activities, without considering social needs (Rofman and Vázquez Blanco, 2006) and often based on a purely philanthropic perspective (Boscán et al., 2010). For Vallaeys (2008), critic of the concept of *extensión* and advocate of "University Social Responsibility", *extensión* has been an unilateral and just declaratory commitment of solidarity. Participants, especially at the Faculty of Health, acknowledged this complexity and were concerned about avoiding assistentialism.

With regards to two-way benefit, it is part of the main normative definition of public engagement in the UK (NCCPE, no date-b), community engagement in the US (Carnegie Foundation, no date) and linkage with the context in Chile (Comisión Nacional de Acreditación, 2013). This issue was also a matter of interest at University One. Although most interviewees acknowledged the predominance of one-way relationships, they also tended to attach more value to two-way relationships. This matches with a tendency widely identified in the literature both in the UK/US and the Latin American contexts.

In Latin America it has been emphasised that *extensión* should go far beyond the literal interpretation of the concept, to be a two-way and dialectical activity in which university and society give each other feedback (Ortiz-Riaga and Morales-Rubiano, 2011; Rofman and Vázquez Blanco, 2006) and generate mutual improvement (Cedeño Ferrín, 2012).

Mutuality is also a key characteristic in most of the definitions of public engagement in the English-speaking context, as an element that differentiates it from service (Carnegie Foundation, no date; Kellogg Commission, 1999; NCCPE, no date-b). The basic idea of mutuality is that in a university-community relationship, both parties benefit (Hart and Aumann, 2013). Nevertheless, when listing the activities covered, most institutions tend to include all kinds of relationships with the public, even artistic presentations, open lectures and publications in the media (Chikoore et al., 2016; NCCPE, no date-a). Similarly, it has been found that the majority of academics identify the concept of engagement with dissemination events (Grand et al., 2015) and their engagement work is predominantly about telling and sharing rather than involving or consulting (Featherstone et al., 2009).

In this case, most university members aimed for two-way relationships, but at the same time saw this as a difficult task and interpreted it in different ways. The most repeated interpretation among university members was two-way benefit of any kind, whereas in the case of the community the importance of being involved in planning the activities was highlighted. In the Central Group mutual benefit was the most prevalent idea. In Health, involvement in planning, mutual learning and co-creation were very important – a view shared by both university

and community interviewees. In Arts, the theme with more presence among university interviewees was co-creation, and for community was two-way planning. Finally, in Sciences, two-way benefit was the most important for university interviewees, but being considered in planning was key for the community.

A reason for this normalisation of the two-way mandate as a must among interviewees can be found in the fact that the National Accreditation Commission includes mutual benefit as a characteristic of linkage with the context (Comisión Nacional de Acreditación, 2013), although it does not clarify what kind of benefit. This is actually risky. Ultimately, as stated by one of the interviewees, any kind of activity that the university does in public may have an impact on its image, or have collateral benefits in terms of personal development for those participating. But does this make the relationships two-way? This was questioned by Saltmarsh and colleagues in their Engagement White Paper, where they differentiate mutuality from reciprocity. The authors question the concept of mutuality because it still implies the dominance of an expert-centred framework, and make a call for reciprocity instead, defined by co-creative knowledge construction (Saltmarsh et al., 2009). This is precisely what happens with the predominance of the idea of two-way benefit from the perspective of university interviewees, understood as any kind of benefit. It is interesting to note that two lecturers and four community members reflected on the risk of generating activities that, with the aim of benefiting both parties, in the end only involve a benefit for the university in terms of learning for its students or lecturers, or even marketing.

Following this criticism, in the literature about community engagement, co-creation appears as the highest level of reciprocity, assuming that engagement is not about the university transferring knowledge to the community, but is a mutual relationship where both parties co-create new knowledge (Hart and Aumann, 2013). For this to be reached, it is necessary to understand communities as venues for knowledge production and exchange and sites to gather information (Humphrey, 2013). Although co-creation is presented as an ideal goal in the literature, its scarce implementation has been described (Grand et al., 2015; Moore, 2014; Saltmarsh et al., 2009). In this sense the case of

University One is part of the same trend, which can be explained for the practical difficulties to generate co-creative activities, compared to the quite straight-forward possibility of organising dissemination events.

9.4.2 Comparison with existing models

In order to contribute to the discussion about the meaning of the two-way mandate, the analysis in this chapter identified five different ways to understand it: considering community needs; engaging in planning; mutual benefit; mutual learning; and co-creation. These five levels, plus the idea of one-way relationships, have some similarities with those identified in the literature.

Rowe and Frewer (2005) define three types of public engagement of different institutions: public communication (one-way); consultation (the public gives information to the sponsor); or participation (information exchange and dialogue). Compared to that model, that identified in this analysis provides more detailed differentiation about the options for participation.

Featherstone et al. (2009) identify four forms of public engagement: telling; sharing; involving; and consulting – but they do not clearly specify the differences among them.

A model extensively used, although not in the field of university public engagement but in institutions that work with communities, divides levels of participation into five types: inform; consult; involve; collaborate; and empower (International Association for Public Participation, 2014). Although the model is very informative, it is more oriented to community interventions – such as a refurbishment of a city council building – where different levels of community participation in the decision-making process are described. That is why it seems useful for institutions with a pure mission to serve, rather than learning organisations like universities. At the same time, the definition of empowerment has to do with giving the people decision-making possibilities within the intervention. During the interviews for this project, empowering appeared as a long-term goal, aimed at building capacities and awareness among participants.

Based on a literature review, Benneworth (2009) identifies two sets of four models of engagement. The first is defined by their intensity, and built from the perspective of scientists and policy-makers: dissemination; conversation; co-enquiry; and co-governance. The second is defined by levels of involvement, and built from the perspective of communities: interested public audience; critical users; supportive implementers; and key societal pillars. In comparison, the present study offers a simpler model that includes both the perspective of university and community members and is based on empirical research rather than on a literature review.

9.5   Summary

This chapter presented an analysis of the outcomes of the reappraisal process, in terms of how they do or not satisfy the needs and expectations of participants with respect to how relationships should be conducted in ELC projects.

Building long-term relationships appeared as an important issue from the perspective of communities, although it was mentioned only by half of university interviewees and less than half from the Central Group. Regarding the documents of the reappraisal process, although the definition of *extensión* defines it as a permanent activity, the rubric does not provide any incentive for long-term relationships, excluding an aspect highly valued by community members.

Concerning the kind of interactions, although one-way activities were identified by participants as the most common, the idea of bi-directionality was mentioned by nearly all interviewees as either an actual or a desirable way to perform *extensión.* Nevertheless, there were five different perspectives for understanding two-way relationships. The most predominant among university interviewees was assuming that both parties would gain some benefit or learning from the interaction experience, but not necessarily considering the community as a source of valuable knowledge. Whereas for the community interviewees, the most repeated perspective had to do with being involved in the process of designing and planning the activities.

There were some differences between cases. In the Central Group there were no strong tendencies, but the most predominant perspective was mutual benefit. In Health, the ideas of involving the community in planning the activities and exchanging and co-creating knowledge were predominant among both university and community interviewees. In Arts, the idea of co-creation was the one with more presence among university interviewees, whereas for the community the most repeated idea was related to considering them in the design of the projects. Finally, in Sciences, the perspective of mutual benefit was predominant, expressed by all university interviewees. In the case of community members, they all highlighted the importance of being considered in planning the projects, which was only mentioned by one university interviewee.

None of these perspectives is reflected in the rubric of the project, which does not include any dimension about one or two-way relationships. Although the definition of *extensión* defines it in terms of reciprocity, this is not translated into a valorisation in the institutional assessment systems, ruling out an issue that appeared strongly among participants.

In conclusion, the documents of the reappraisal process do not refer to the ways in which relationships between university and community are established and maintained, and therefore they neither reflect nor contradict the perspectives of stakeholders in this respect.

Chapter 10:
Discussion

10.1 Introduction and structure

This chapter presents an overall discussion of the main research findings, in relation to the literature. Rather than discussing the issues related to each research question separately, this chapter is organised around topics that can be identified across findings, and therefore contributes to making sense of them all. The first section discusses the main differences in the approaches to ELC detected in the different departments. Section 2 offers a comparison of university and community perspectives. Sections 3, 4 and 5 refer to the themes that had more prevalence across departments and groups and that were identified in the outcomes of the reappraisal process, thus allowing an overall perspective of the priorities regarding ELC at University One. Section 3 discusses how the findings permit identifying the perspective of a public, developmental university, with a focus on contributing to the public good. Section 4 discusses the idea that ELC can be a way to resist current neoliberal trends in higher education. Section 5 reviews the shortcomings of engagement, specifically those issues that emerged from the data that are not consistent with the perspective of a public university committed to the public good, including an elitist perspective of the public sphere. A final section summarises the main issues of the chapter.

10.2 The particular approach to ELC at the different departments

This section offers a discussion about the particularities of each group of participants in relation to their perspectives regarding the goals of ELC, the ways it should be put into practice and the priority partners for engagement activities.

The different approaches to the form that engagement relationships should take tend to be consistent with the preferred publics and goals in each case, and

permit building a picture of the different approaches to ELC in the different departments. At the same time, it can be seen how the same publics are approached in different ways. This allows some observations regarding the perspective that predominated in each group of participants. In the literature review (Chapter 3) three main perspectives of public engagement were identified: outreach, democracy and transformation. These three perspectives can be identified in the different cases.

The Central Group was the one that showed most diversity of perspectives, but it was still possible to identify some tendencies. With regards to the goals attached to engagement by participants, the idea of influencing public policy and the country's development was mentioned by all of them. Concerning the partners for engagement, there was a clear priority of the public sector, as a pathway to influence public policy, and also in civil society. Finally, regarding the ways to engage, assuming that both parties can gain some benefit from the relationship was the most prevalent idea.

In D1 (Health) there was a critical perspective of *extensión*, expressed in the pre-eminence of the goal of transforming society and influencing the country. At the same time, there was a criticism of assistentialism, and the idea of empowering communities was present, in both the university and the community interviews. The disadvantaged appeared as a primary focus of *extensión*, which was reflected in the activities and the discourses of participants, who appeared to be personally committed to social justice. With respect to schools, the media and the private sector, they were not considered the focus of the ELC work by most interviewees and the link with the private sector was openly criticised. Finally, with regards to the process of engagement, the ideas of involving the community in the design of the activities, exchange and co-create knowledge with them, were predominant and shared by all participants. This coincides with the views of the related community, where the three perspectives were present in all interviews.

The perspectives identified at D1 (Health) match with a critical perspective of engagement which, as described in Chapter 3, is characterised by a focus on collaboration, knowledge sharing and co-learning with those who struggle for

social justice (Fear et al., 2006). Participants from this group criticised power differences, in line with critical scholars in the area of service-learning who have argued that this practice may even reinforce unequal power relationships (Ginwright and Cammarota, 2002; Kinloch et al., 2015). They showed a political perspective of *extensión*, in terms of overcoming power differences, respecting the community and learning from each other. This is aligned with Rhoads' idea that a critical perspective of service-learning should be driven by the aim to develop a critical consciousness both in the students and the community, transforming their understanding of the social order and leading to a commitment to improve social conditions (Rhoads 1997 in Rosenberger, 2012).

In D2 (Arts), the perspective of ELC can be described as mainly democratic, in the sense of favouring an equal relationship between participants and avoiding colonising activities. In terms of the goals of engagement, although not unanimous as in the case of Health, influencing public policy and country's development were the ideas with more presence, mentioned by most interviewees. Regarding partners, the civil society appeared as a key focus for ELC, whereas the media and the schools had scarce or no mentions. The private sector was considered as a valid partner but mainly in terms of obtaining sponsorships. The media received only one mention, and the schools where not considered. Finally, the importance of pursuing two-way respectful activities, rather than one-way colonising ones, was an important and previously discussed topic among academics. The two most repeated interpretation of the two-way mandate among university interviewees was co-creation, although it was not mentioned by all of them. In the case of the community it was different: the most repeated expectation among community leaders was being considered in the design of the projects.

Thus in D2 the perspective of participants tended to favour an equal relationship between participants and avoiding colonising activities. More than acknowledging oppression and looking to overcome it from a critical perspective, what predominated was as a democratic perspective that assumes that all people have the same position and same rights. According to Saltmarsh and colleagues (2009), "democratic engagement" pursues reciprocity, where both academic and local knowledge are valued in identifying, understanding

and solving problems. In this perspective, community members are not considered as knowledge consumers but as participants in the culture of democracy, and learning is a shared process rather than something based only on academic knowledge. This resonates with the focus of this Faculty, with no strong standpoints against relation with companies or sale of services, but mainly an interest in mutual learning and respecting the community. It is similar to the perspective of the community members linked to this Faculty, who expected participatory relations, and although they acknowledged marketing efforts from the university, they accepted this as something natural rather than criticising it.

D3 (N&E Sciences) represents a practical approach to ELC, where help was a key goal. In this sense, it is possible to locate this Faculty in the traditional, outreach perspective of *extensión*, where the university transfers knowledge or provides some benefit to the community, from an altruistic perspective. Regarding the partners for ELC activities, the schools, the disadvantaged and civil society appeared as the main focus, and the media also had important presence. This is different to the other two Faculty cases, where schools and the media were not considered. The public sector was mentioned only by one person, which also differs from the tendency of the other three cases. The socio-economically disadvantaged received an important mention, and the private sector was acknowledged as a valid and desirable interlocutor. This reveals a very practical and inclusive approach to ELC, in terms of reaching the highest number of publics possible. Finally, although the pursuit of two-way relationships was not problematized by most university members, there was a feeling that the activities involved some benefit for them in terms of personal development. One-way activities were valid for all university and community interviewees. Thus the perspective of one-way relationships, and also two-way relationships from the perspective of mutual benefit, were predominant, expressed by all university interviewees. However, all community members highlighted the importance of being considered in the design of the projects, which was only mentioned by one university interviewee.

Thus D3 (N&E Sciences) expressed a more practical and traditional approach to ELC, where one-way knowledge transfer is an accepted way and help is a

key goal. There were no reflections about the philosophical or political implications of this approach among university interviewees, which marks a difference with the other departments. University interviewees from this Faculty did not question the nature and meaning of public engagement, which may be explained because these kinds of ontological reflections are not part of their day-to-day work, as positivistic researchers. Conversely, in D2 (Arts) philosophical reflections are part of their job as interpretivist researchers. In Health, although their research is more mixed, there was a strong political approach from participants, which also explains their ideological interpretations of the matter. This may be explained because of the particular team that manages ELC at the Faculty, which had recently gone through a process of deep discussions regarding the role and purpose of this function, and this was reflected in the data.

Regardless of the specific differences among departments, there were some clear tendencies found in most of the data. The themes related to the reasons for the reappraisal process show that nearly all interviewees shared the idea that ELC is inherent to the university mission, which has a duty to contribute to its country. In relation to the goals attached to ELC, influencing public policy and contributing to the country's development was the most important goal, and the public sector and the civil society were identified as the primary partners. At the same time, the development of the reappraisal process shows the efforts made to achieve an internally inclusive process, but also show a lack of attention regarding the inclusion of community's perspectives. These main tendencies, identified across groups and also reflected on the outcomes of the reappraisal process, permit framing of the three issues that will be analysed in the following sections: the commitment to the public good; the resistance to neoliberal tendencies; and the remains of unequal power relationships between university and community.

10.3   Comparing university and community perspectives

In terms of comparing the position of the community with that of the university interviewees, there were consistencies in relation to the meanings attached to ELC, its goals and the role that participants expect the university to play in

society. The main differences relate to the expectations of stakeholders regarding the way that engagement relationships should develop. It is important to note that in some cases, community interviewees had varied experiences with different Faculties and sometimes with different universities, and these were mixed in their responses, as they normally referred to the university in general rather than to a Faculty in specific terms. At the same time, on some occasions they did not know whether the activity that they attended was organised by an ELC office or another such as communications or recruitment. Therefore, their opinions cannot always be linked to their experience with a specific department.

With regards to the reasons for the reappraisal process, although the community was not involved, their perspectives confirm some contextual issues mentioned by university participants. The theme mentioned by nearly all university interviewees was the fulfilment of the university's mission. There was a shared idea that ELC was an inherent part of the mission of University One as a public institution, and that it had a particular responsibility to contribute to the country due to its tradition and the fact that it is state-owned. This perspective is also expressed strongly in different university documents, such as the Institutional Development Plan. This perspective was shared by an important part of the external community. Half of community leaders interviewed expressed that University One had a particular responsibility towards the country, which was also mentioned in two of the three community focus groups. All the other community interviewees also expected a contribution from the university to society, but did not make any remarks regarding a particular responsibility of University One. This reveals a shared view among community members relating to universities having a responsibility to contribute to their communities.

In relation to the main goals attached to ELC, both university and community participants coincide in considering that influencing public policy and the country's development is a crucial goal for engagement. Among university members this goal was mentioned by 21 of the 24 interviewees, referring either to influencing public policy or tackling specific social issues. This is consistent with what is expressed in the university documents, including those of the

reappraisal process, where issues such as participation in national working groups and activities of national relevance are valued. In the case of community members, the idea that the university should influence the country and provide solutions for its problems was mentioned by seven of eight community leaders and in all focus groups. The community expected big things from the university; they did not feel its interaction with social actors was something to be grateful for, but something that the university should be expected to do. Therefore the idea of the public role of the institution, in terms of contributing to the country, was a shared perspective of university and community.

The themes related to the ways that engagement relationships take are the ones that reflected some differences between university and community stakeholders. Although for both groups two-way relationships were more valued than one-way interactions, the most repeated interpretation of the two-way mandate was different for community and university participants. Among university interviewees, the most repeated interpretation was the idea of mutual benefit of any kind, including learning from the interaction or having a motivating experience, rather than activities where both university and community could learn from each other's knowledge. The idea of mutual benefit was mentioned by 17 of 24 university interviewees and by five of eight community leaders, and just one person in one focus group. In contrast, among community members the most repeated interpretation of the two-way mandate was involving the community in the design of the project, mentioned by all community leaders and in all focus groups. Nevertheless, this was only considered by one third of the university interviewees, none of them from the Main Committee. With respect to the possibility of exchanging knowledge, it was only mentioned by 8 of 24 university interviewees. Although it was not predominant, the presence of this idea was stronger within the community, where it was mentioned by more than half of participants: five of the eight community leaders, and discussed in two of the three focus groups. Regarding the documents of the reappraisal process, they do not offer a valorisation of one-way over two-way activities, neither a definition of them.

In relation to the same issue, the importance of building long-term relationships is not valued in the rubric of the reappraisal process and was mentioned by only

half of university interviewees, whereas it was highlighted as a key definition of the quality of interactions by all community leaders and in two of the three focus groups. This shows a disconnection between what the university prioritises and what is valued by the community. This can be explained because of the nature of university work and interventions, which tend to be specific projects, whereas the experience of the community and its problems and needs are naturally continuous.

In conclusion, the perceptions of community and university participants in that University One has a particular commitment to contribute to the country, and the importance attached to ELC as a path to influence public policy and national development, were very similar. This can be explained because of the positioning of University One as a traditional institution with a historic role Chile. Furthermore, University staff and students have a continuous presence in the national media, demanding improvements to university funding and highlighting the duty of the state with its public universities. In this context, it is not surprising that stakeholders have expectations regarding the contribution from the university to the country as a whole. Nevertheless, the scarce consideration of the possibility of involving community in the design of projects or exchanging knowledge with them, as well as the lack of awareness regarding the importance of sustaining long-term relationships, reflects the remains of an enlightening perspective from the perspective of the university. These issues will be further discussed in the following sections.

10.4 The university and the commitment to the public good

Regarding the reasons for the reappraisal process, the most repeated theme in terms of the impetus for public engagement was the fulfilment of the university's mission. This implies that ELC was not seen as a new, add-on function, but as something inherent to the university role. With respect to the outcomes of the reappraisal process, they reflect the domineering perspective among participants whereby a key goal of engagement is influencing public policy and the country's development, which also responds to a commitment to contribute

to the country and the public good. Similarly, the outcomes of the process permit distinguishing the public sector and the civil society as priority partners in ELC, rather than private entities, which also matches with the perspective of participants. The links with the private sector were a minority across departments, either because it was ruled out as an acceptable partner for ELC, or simply because of the difficulties in approaching private entities. This makes clear that the role attached to public engagement by most participants is far from Etzkowitz and colleague's (2000) interpretation of the Third Mission as the link with the industry with the pursuit of economic gains, but has a clear focus on civil society and the public sector with a perspective of the public good.

In this section, I will discuss these issues in relation to four aspects covered in the literature: the Latin American model of a public university; the idea of the developmental university; the commitment to the public good; and the concept of the public sphere.

10.4.1 The tradition of the Latin American public university

The commitment of University One towards the needs of the country, identified in documents and interviews, is rooted in the very origins of the institution. As with most Latin American public universities, it was created with the explicit mission to contribute to the development of its newly independent country and the creation of the national project (De Sousa Santos, 2007; Gómez, 2011). This responsibility is still expressed in University One's mission statement, which declares "it is responsibility of the University to watch the cultural heritage and national identity, and boost the improvement of the educational system of the country" (University Development Plan, p.3). Thus the identity of this institution responds to what Marginson describes as a particular feature of Latin American higher education, whereby "the leading universities are publicly positioned as autonomous arms of government" (Marginson, 2016 p 120). It also coincides with what Watson and colleagues describe as a particular perspective of civic engagement that characterises universities from the global south, which is driven by the priorities of solidarity and transformation (Watson et al., 2012).

In this context, *extensión* is understood as an inherent part of the university and one of its three main missions, idea that dates back to the Cordoba reform in 1918 (see chapter 2, p. 11). This differs from other contexts where public engagement can be perceived as an add-on function, rather than something embedded in the universities' missions. For example, in the UK it has been described that "public engagement remains counter-cultural to the ethos of most public and educational institutions, scientific research and the civil service" (Science for All Expert Group, 2010 p 39). According to Marginson (2007), in English-speaking developed countries, the main emphasis of higher education is assumed to be on private benefits rather than public goods, which differs to other contexts such as Western Europe and Asia – and I might add, Latin America.

Thus the particular responsibility that participants attach to University One in terms of influencing the country can be explained by its historical role in this respect.

10.4.2 The model of a developmental university

In order to understand the perspectives of participants regarding public engagement, it is important to discuss what is the model of university present at University One. McCowan's (2016) division of five types of universities contributes to configure the perspectives emerged from the data. McCowan refers to five types of university (Medieval, Humbodtian, Developmental, Multiversity and Enterprise) which can be distinguished by three dimensions: value of knowledge, type of function and porosity of interactions (see table 1, p 54).

Regarding value of knowledge, the instrumental value of being useful for society was present in most of the data. In terms of function, the university assumed multiple roles, including teaching, research and engagement, but the importance of the applicability of the knowledge created was important for all interviewees. Finally, concerning interaction, it can be said that the data reveals a medium porosity. In the one hand, there are several instances of relations with the society expressed for example in the existence of several public units

attached to the university, such as museums and hospitals. On the other hand, there is some elements of distance with the community related to the character of the university as an elite institution –further developed in section 10.6 – and to the reluctance to link with the private sector in many interviewees. All these dimensions match with the description of the developmental university, term introduced by Coleman (1986) to define universities in the Third World, particularly Africa, which are focused on contributing to their countries' development, and therefore priviledge applied research. These universities were created at the moment when their countries became independent , they had an explicit orientation to contribute to the national economic and social development, and therefore community engagement was an important part of their mission (McCowan, 2016). All these characteristics are present in the case of University One. Furthermore, the importance attached by participants and the valorisation done in the documents of the reappraisal process to the influence in public policy is precisely a distinguishable characteristic of how the developmental university understands its third mission (Coleman, 1986).

10.4.3 Being a public university and contributing to the public good

An issue that was evident from the interviews and documents as a determinant of University One was its character of a "public" institution. This was based on the fact that it is state-owned, which seemed to determine the responsibility of the university towards the country. However, the meaning of "public" university requires discussion, considering that most of University One's funding comes from tuition fees and sale of goods and services (University Budget Decree, 2018), rather than from public funds. Three concepts will be used to analyse the publicness of the university: the public/private divide; the idea of the public sphere; and the concept of the public good.

In a current context where public funding has decreased and universities have introduced tuition fees, the distinction between private and public institutions has become unclear (Enders and Jongbloed, 2007). In the specific case of Latin America, the law assigns similar functions to both private and public universities, which hinders a differentiation (Bernasconi, 2011).

For Marginson (2007), the economic notion of differentiating universities according to wether they produce public or private goods is not useful in definining their publicness, because both private and public institutions can produce both. Similarly, the statist notion that assumes that the ownership of a university determines its public character is not useful either, because both state and non-state owned institutions can produce both private and public goods. In this context, according to Marginson, the only thing that determines if a university is public or private is the way how it prioritises its purposes, and in that sense it is a policy choice.

Participants in this research used the statist argument as a basis for the public character of the university and assumed that it had a particular mission, which can be seen as an invalid argument according to Marginson. Nevertheless, the fact that this commitment to the public good is expressed in the university mission statement and is part of the main motivations for the reappraisal process, shows that at a policy level University One was trying to fulfil a public mission. In this sense, the policy choice of the university is to be a public institution.

Another framework to asess the publicness of universities is the one proposed by Enders and Jongbloed (2007), which considers four dimensions. The first is ownership, which for them does not necessarily make a difference, as many state-owned institutions generate self-funding, and many private universities produce relevant knowledge. The second is governance, where they suggest that even state-owned universities are introducing marketised governance systems. The third dimension is funding, but they say that the origin of research funding will not necessarily determine wether it contributes to the public good or not. The last dimension is who has benefited, considering that limitations to access knowledge and to enter universities due to high tuition fees and competitive exams may hamper both public and private institutions' contribution to the public good.

Applying these four dimensions to University One raises a discussion about its position as a public institution. In terms of ownership, it is owned by the state, which does not imply big differences in terms of funding but generates a

constant demand for the state to contribute and improve conditions, as well as a sense of responsibility in terms of contributing to the country, which was expressed by interviewees. There is a close link by this University with the state, constant participation of ministers in University events and of academics in state commissions, which may be part of a tradition, but still implies a strong link. In terms of governance, this may be the most clear difference with private providers: University One has a complex democratic governance system, with a Vice-Chancellor chosen by the university scholars in a general election; a University Council formed by all Faculty Deans, who are also elected by their colleagues; and a University Senate that has academic, students and non-academic staff members, all elected by their peers. Funding is probably the most blurred aspect, as the university relies heavily on self-funding. Nevertheless, given the size of the university and intensity of research, it is one of the Chilean universities that receive most public funding for research. Finally, in terms of benefit, according to Enders and Jongbloed (2007), the public benefit of universities is limited by access issues. Regarding students, University One has recently introduced a special admission system for students from deprived backgrounds. This shows that it is acknowledging and doing something to be more public in terms of access, differentiating itself from other providers. In terms of circulation of knowledge, this issue relates directly to public engagement. If knowledge is inherently a public good, but this character can be diminished by lack of access, public engagement appears as the right tool to make the university remain as a public institution. This matches with what was expressed by some interviewees about the relevance of ELC.

In conclusion, based on its policy orientation, style of governance and public benefit, it is possible to define University One as a public institution,

10.4.4 The university and the public sphere

Habermas (1974 p 49) defines the public sphere as a space open for all citizens, where private individuals exchange opinions about topics of general interest and the public opinion can be formed. In that way, the public sphere mediates between the state and the society.

The concept of the public sphere can be linked to the perspectives of stakeholders regarding the role of the university in the society. Among the reasons for the reappraisal process, the most repeated theme with regard to the impetus for public engagement was the fulfilment of the university's mission. This mission had to do with a protagonist role of University One in national affairs, participating in the public debate and shaping the nation. Concerning the goals and significance of engagement, influencing public policy was the most repeated goal, which has to do with the idea of the university participating in the national debate and policy-making. This also aligns with the fact that the main partners in engagement were civil society and the public sector, which places the university in a position of dialogue in the public sphere.

According to Pusser and colleagues, universities have an essential role to play as public spheres as they are independent spaces for debate, knowledge exchange and critique of the state (Pusser et al., 2012). This matches with the perspectives of participants, who expected the university to be a space of encounter with the community, and also to be an actor able to influence public policy.

Giroux (2010a) argues that universities have a historical role as public spheres as they promote critical enquiry and common deliberation, and therefore they are essential for democracy. For Marginson (2012), a university can be a public sphere as long as it generates an evironment for challenge and criticism, which has happened historically with university movements that have propelled social transformations. Following this line of thought, University One can define itself as a public sphere, as it has historically and also recently been a base for social movements that have challenged neoliberal trends, such as the national student revolution of 2011, which resulted in a series of educational reforms at a national level.

For Pusser (2012), another requisite for the university to be a public sphere is a balance of authority and power relations. This poses a key point at University One, where official documents and policies attach big importance to "*triestamentalidad*", a concept that refers to the inclusion of the three segments of the university (lecturers, students and non-academic staff) in all activities and

decision-making processes. This implies that there are possibilities for democratic participation within the university, which contributes to defining it as a public sphere, although it does not determine its participation in a broader, national public sphere.

The perspective that appeared in the data was not necessarily for the university to be a public sphere itself but to participate in the national public sphere, understood as having a participation in the national debate about socially relevant issues. This is close to what is expressed by Misiaszek and colleagues (2012), about the duty of universities to contribute to the public sphere through the generation of knowledge aside from market influences and the encouragement of democratic participation. From this perspective, the focus of ELC in influencing the country and the national debate matches with this perspective of the university not just acting as a public sphere, but being a participant in a broader public sphere.

10.5 Public engagement as a way of resistance

In the national and institutional context, as well as in documents and interviews, it was possible to perceive a critical perspective with respect to current trends of neoliberalisation of higher education. University One was involved in a struggle to recover its public character, to get rid of the needs of generating self-funding and being able to focus on the public good. There were constant, critical references to privatisation of the higher education system, and positive views about a past when the University was a relevant public actor.

Regarding the reasons for the reappraisal process, the importance attached to fulfilling the university's mission in terms of contributing to the country, the active political role of students demanding an institution committed with social needs, and a context of national debate about the public role of higher education are all reflections of a perspective contrary to neoliberal trends. At the same time, the outcomes of the reappraisal process and the perspectives of participants regarding the goals of engagement highlight the importance of

influencing public policy and the country's development, which can also be related to a perspective that is contrary to a privatised university.

This section discusses the aforementioned issues and the idea that ELC, understood as the reflection of the public role of the university, committed to the public good and participating in the public sphere, can be seen as a way of resistance to current trends of privatisation of higher education.

10.5.1 University One in the context of neoliberalisation

In the context of neoliberalism, universities have faced the reduction of public funding and the advancement of a perspective of learning as a path for economic gains rather than social enlighment and transformation, and therefore they are pushed to link with private entities in order to generate revenues (Misiaszek et al., 2012). That is how neoliberalisation has diminished the focus on the public good and promoted a perspective of universities as producers of private benefits, with sudents becoming consumers and universities becoming competitors (Pusser, 2012). Universities have gone through a process of marketization, where resources are allocated according to competitive asessments of productivity (Rodríguez-Gómez and Ordorika, 2012). In this context, even state-owned universities have been privatised: due to the reduction of public funding, they have had to increase tuition fees, generate services and outsourcing, which implies prioritising the production of private rather than public goods (Rodríguez-Gómez and Ordorika, 2012).

University One has been subject to these trends. The perspectives of interviewees, expressing a struggle between a traditional mission of contribution to the country and the current pressures of self-funding, assessment and competition in international rankings, respond to what De Sousa Santos (2007), describe as state of disorientation of Latin American universities in the context of neoliberalisation, where the reduction of the state and the national project has left universities in a confusing situation with respect to their social functions. By the end of last decade, Bernasconi (2007) asserts that there was little left of the Latin American model of university. According to him, the model shaped by the Córdoba Reform and characterised by things like democratic governance,

orientation to the solution of national problems and the importance of *extensión*, remained present to some extent in just a select group of the oldest public Latin American institutions. And from his perspective, all Chilean universities have distanced themselves from the traditional model. Nevertheless, the data in this research shows that there has been an attempt to recover the Latin American model in the last few years at University One. Several things have changed since Bernasconi's paper: democratic governance with a university senate has been established, a policy of free tuition fees for students from disadvantaged background has been introduced, and a new special admission system for students from deprived background has been established. Additionally, the current administration has favoured the link with other state-owned universities and has been actively working on promoting a national legislation that protects the character of public universities. This impetus is expressed in the views of participants, who identify the institution with a public ethos, explicitly described by some as the way the university was before the military dictatorship, that is, before neoliberalism.

10.5.2 The University as a political institution and *extensión* as a way of resistance

Several authors refer to universities as political institutions. Pusser (2012) highlihghts that they develop public and politically-mediated decision making processes, which determine the allocation of important costs and benefits. According to Marginson (2012), politics shapes the production of public and private goods at universities. In specific reference to state-owned institutions, Ordorika and Lloyd (2014). define them as spaces of dispute for the hegemony, where any reform is defined by the contraposition of different ideologies.

The idea of the university as a political institution is incarnated in the case of University One in different ways. Firslty, it relates to the perspectives expressed by several interviewees, about the political implications of a definition of *extensión* in terms of defining a model of university. As detailed in the previous section, most participants thought that the partners for engagement activities should be civil society and the public sector, and the main goal is influencing

public policy and the country's development. There were some participants who considered that engaging with the public and staying in tune with social needs was a way to resist the privatisation of the university and recover its original mission. Some also considered ELC as a way to democratise knowledge in terms of production and access, and ultimately as a way to transform communities, society, and the university itself. In this context, reappraising the ELC function is politically framed. This resonates with the perspective of critical education scholars, such as Giroux and De Sousa Santos, who consider that public engagement is a way for universities to defend and recover their public role (Giroux, 2010b; De Sousa Santos, 2007). For Marginson (2012), a model of a communicative university, that allows democratic collaboration and reward engaged scholars, is necessary for it to maintain a public character and contribute to the public good. Similarly, Pusser (2012) highlights that engagement with the civil society is essential for the university to act as a public sphere. All these perspectives support the idea of participants, especially those in the Leading Team, in terms of considering that ELC is crucially linked to the participation of the university in the public sphere, and that the reappraisal process was an opportunity for the university to recover its public character. Ordorika and Lloyd (2014) identify a Latin American tendency to contest the hegemony of the globalised model of higher education, through international rankings that impose a foreign model that undermines the national focus that is characteristic of the Latin American tradition. This resistance is an example of the attitude of many local academics regarding the imposition of international standards that may undermine the local commitment of institutions, and can be linked to the perspectives of some interviewees who value ELC as a way to recover the public role of the university in terms of its commitment to contribute to the country.

A second issue that can be linked to this perspective is the influence of students as drivers of change, which appeared as one of the contextual reasons for the reappraisal process. Students were acknowledged as important actors in ELC by 15 of the 24 university interviewees, by half of the community leaders, and were mentioned in one focus group, and there was evidence of their participation in different projects and ELC committees and working groups. The

students' prominence can be seen as an expression of political resistance to neoliberalism, as it shows an active political role of students at the university, which differs from an individualistic perspective of the university experience oriented only to a personal benefit. All the students interviewed linked their work on ELC to political movements, as all their projects had emerged during times of uprising. This relates also to the Latin American tradition of influential student movements (Solari, 1967; Archila, 2012; Tcach, 2012), and confirms the connection of ELC with a political perspective of the university. It happens in a moment where despite the dominant neoliberal framework, recent student protests against tuition fees and debt in different parts of the world show a repolitisation of higher education (Ordorika and Lloyd, 2014) and indicate that there is still space of contest regarding the purposes of universities and the creation of a public sphere through them (Pusser, 2012). This is clearly the case in Chile, where students' resistance has recently resulted in policy changes that counteract the neoliberal tendency for the first time in decades.

Thirdly, the widespread idea that the university has a commitment to contribute to its country, regarded as common sense by participants, can be considered as a counter-perspective to the dominant neoliberal model, based on private rather than public benefits of higher education. The position in this respect was similar from the perspective of university and community interviewees, and in both groups there were participants who explicitly referred critically to the neoliberal model. A political perspective of ELC as a way to define the role of the university was present to a similar extent in both university and community groups. In some cases it was explicit – for university participants such as Hugo and community participants like Bernardo, who expected a political definition of *extensión* – and in others it can be concluded from the way this function was understood. The similarities can be explained because of the historic positioning of University One and may also be related to the public relevance that the discussion about the purpose of education achieved after the 2011 national strike, when the purpose of higher education and the discussion about the privatisation of the system became a topic of national interest.

10.6 Unequal power relations and knowledge production

Although there was an important presence of the perspective of ELC as a way of contributing to the public good, participating in the public sphere and even resisting the dominant neoliberal model, the data also revealed tendencies that contradict these views.

With reference to how the reappraisal process was developed, it was observed that the external community was not included or consulted in the process. The importance of *triestamentalidad*, referring to the inclusion of the three segments of the university (lecturers, students and non-academic staff), received special attention in order to include all internal stakeholders in the reappraisal process. However, this appears to reflect the university just caring for inclusion within its walls, whereas at the same time there was no attempt to consult the community in the process.

In respect of the outcomes of the reappraisal process, they reflect the main goal attached to engagement by participants which is contributing to society in terms of influence. Although there is coherence among university and community perspectives in this respect, this issue reflects a deep contradiction: at the same time that it is committed to the country, the university is perceived to be in a superior position, responsible for shedding light on national issues, being more than just a participant in a network of relationships.

Within the themes related to the ways to engage, the rubric of the reappraisal process does not attach more value to reciprocal relationships. Among university members, the two-way mandate was understood mainly in terms of bringing any kind of mutual benefit, but the idea that the community had valuable knowledge to share or the possibility of co-creating knowledge with them was scarcely considered, especially in the Central Group. Thus, despite a discourse of respect and mutuality, the mind-set remained mostly on a patronising perspective of the university enlightening and guiding the community. This can also be explained because this is the simplest way to interpret and execute the two-way mandate, as it does not necessarily imply changing the way things have always been done: almost any activity can have some kind of benefit for all those involved. Finally, the importance of

establishing long rather than short-term relationships, which was vital for most community interviewees, was not valued in the rubric and was mentioned only by half of university participants, threatening the quality of the relationships.

These issues reveal some contradictions regarding the idea of being a public institution and participating in the public sphere on the one hand, and being a selective institution that sees itself as a depository of all valuable knowledge on the other. The discussion in this section will review this contradiction.

10.6.1 The emptiness of the bi-directionality mandate

Mutuality is a key characteristic in most definitions of public engagement, as an element that differentiates it from service (Carnegie Foundation, n.d.; Kellogg Commission, 1999; NCCPE, n.d.-b). The basic idea of mutuality is that in university/community relationships, both parties benefit (Hart & Aumann, 2013). Bi-directionality is also a requirement for linkage with the context in Chilean universities, according to the National Accreditation Commission (Comisión Nacional de Acreditación, 2013). However, there is no clarity about what this implies.

The existing criticism of the mutuality concept contributes to discussing the problems of this interpretation. According to Saltmarsh and colleagues (2009), the mutuality mandate can equalize engagement to public relations, generating activities focused on showing that the university is doing something for the community. It also risks creating activities that are only beneficial for the university through the provision of a learning experience for its students, and do not necessarily imply a benefit for the community.

Another problem is that mutuality does not necessarily address unequal power relations. According to Rosenberg (2012), typical service-learning is based on a perspective that all citizens are equals, neglecting a reality where not everyone has the same possibilities. Similarly, Morrell and colleagues (2015) criticise the idea that usually community partners are objects of the studies rather than partners in them, when universities start the relationship with a previously defined research agenda, which makes community members feel apathetic or exploited.

Both issues can be detected in the interpretations of the two-way mandate present at University One. In terms of benefiting the university more than the community, this is reflected in the fact that many *extensión* offices were in charge of the relations with the schools, which blurs the goal of the activities between knowledge dissemination and recruitment. This was perceived by community participants, some of which assumed that all university activities had marketing intentions. There were also experiences of community members, although not necessarily with this university, where they felt that university students came to learn in their institutions but did not make any contribution to them, or perceived that the university was just trying to build a positive image for itself.

Thus, the exclusion of a higher valorisation of two-way relationships in the rubric or a definition of mutuality in the documents of the reappraisal process; and the dominance of the interpretation of the two-way mandate in terms of mutual benefit among university participants, threaten the possibility of a truly reciprocal relationship. This is because an unclear definition of bi-directionality allows ticking a box in terms of being able to argue that the relationship is two-way, as demanded by the National Accreditation System. But at the same time it can imply that university projects could tend to follow a charity perspective, in terms of giving something and being satisfied with the personal experience of doing it; and/or an enlightening perspective, in terms of deciding unilaterally what the community needs rather than asking for their opinion or considering that there is something to learn from them. In this situation, and despite an attempt to develop respectful relations and pay attention to community needs, the university tends to position itself at a different level. In many occasions, it does not see the other as an equal interlocutor able to co-create knowledge or from whom it can learn, but keeps a patronising perspective where it possesses all valuable knowledge.

10.6.2 The undervaluation of long-term relationships

The data showed that for community members, establishing long-lasting relations rather than one-time projects was key to defining the quality of their

engagement with the university. Nevertheless, this topic had scarce mentions in the Main Committee, was considered by half of university participants and is not valued in the rubric. This can be seen as an obstacle to develop meaningful relationships with the community.

The importance of establishing long-term relationships has been described as a crucial part of a systemic approach to engagement (Barnes et al., 2009). Short-term projects become a barrier for the trust of the community and for the achievement of transformative goals (Wilson et al., 2014; Morrell et al., 2015). Conversely, long-term relationships have been associated with higher levels of community voice in the processes and higher perception of benefit for the community (Miron and Moely, 2006). The community linked to University One was aware of this, and strongly criticised short-term interventions in terms of their effects, agreeing that long-term relationships were necessary to generate some results, greater from just positive experiences. Ignoring this issue in the rubric rules out an issue that according to the community and to the literature is essential to make relationships meaningful, and therefore appears as a potential limitation for the goals set for ELC.

10.6.3 Status and an elitist perspective of the public sphere

It was clear that for many participants, especially in the Leading Team and in the Faculties of Arts and Health, the approach to engagement was accompanied by deep reflections regarding its meaning and implications. The concepts of mutual respect, avoiding colonising approaches and assistentialism, and aiming for transformation and empowerment, were present in the reflections and permeated many of the activities described. However, a difficulty to pursue mutually beneficial relationships was also acknowledged. The vagueness of the mutuality mandate, the scarcity of a co-creation perspective, and the lack of measures to ensure long-term relationships, are all elements that contradict critical perspectives.

The concept of the public sphere, understood in bourgeois terms as proposed by Habermas (1974), helps to explain this contradiction. Habermas' concept is based on a bourgeois public sphere in Europe, which implies an elitist

assumption of the public. According to Fraser (1990), the concept neglects the existence of informal access limitations to the public sphere, such as social and cultural inequalities. This links with the weaknesses of the mutuality concept in terms of not embracing power differences that impede relationships to be equalitarian. At University One the assumption that the university is open to everyone prevailed. But in reality, in order to participate you need a certain educational level to allow you to enter the conversation, either as a student or as a community member. This elitist perspective of the public sphere explains University One's notion of the public as a restricted rather than a communal entity.

At the roots of these contradictions is the fact that, at the same time as being a public Latin American institution, University One can be described as an elite institution. Elite universities are highly selective and, through their research reputation, attract good students and produce graduates with opportunities for higher income and social status (Marginson, 2007). University One is one of the most selective universities in the country, always in the top league tables in national and Latin American rankings, and has educated an important part of the country's ruling class. This has implications regarding status position on three levels.

First, in terms of its students, being an elite institution implies that only the best students are accepted. In an unequal country like Chile, this means that, due to the quality differences between private and public schools, the university tends to recruit mostly students from the upper socio-economical levels. That is how, despite its critical spirit, the university contributes to reproducing class structures (Ordorika and Lloyd, 2014). At the same time, this implies that the community has a perception of distance with the university, as it is not a place anyone can access – although it may try to be "for" the community, it is not "of" the community, it is still for the elite. This begins to explain why, despite its commitment to contribute to the country, the university does not portray an idea of communal creation or learning.

Second, in terms of its reputation and status in the national and Latin American rankings, the university is also in an elite position. Status competition on

rankings has been defined as the main enemy of the public good, as it makes universities focus on their own interests rather than on collaboration (Marginson, 2012) and therefore it places institutions in conflict with community demands (Ordorika and Lloyd, 2014). Thus a university that prides itself on being always among the best in the rankings certainly has this contradiction. This was clearly expressed by one of the interviewees, Hernán, who described the conflict between the Latin American and the Harvard model of university as a conundrum between a mission to contribute to the country and the goal to be competitive in the international research leagues.

Third, being an elite university confers the institution some levels of influence on the state and policy-making, but this may imply that its engagement is mainly related to elite people, rather than to lay community. According to Pusser (2012), universities tend to link with the organised civil society but are not very effective in linking with the populace, which are the less privileged social actors, distant from political and economic power. This implies that the public and private benefits that universities produce are concentrated on certain sectors of the civil society, those linked to institutions and power, and are scarcely acknowledged by the common citizens. This can also be the case at University One. The relevance attached by participants to influencing public policy implies linking with influential social actors rather than with lay community members. As in Fraser's critique of the Habermasian public sphere, the university generates spaces of interaction that do not have explicit barriers, but somehow the existent social and power differences affect participation. For example, in the cinema workshop for short-sighted and blind people, most participants were professionals educated at universities. Without wanting or planning to, the University manages to attract the elite. And although this elitist perspective of the public sphere is certainly useful for the goal of influencing the country, it can restrain aims of community participation, mutual learning, co-creation and transformation.

10.7   Summary

This chapter has presented a discussion of the overarching findings of this research, in relation to the relevant literature.

Section 1 discussed the particularities of the approaches to ELC of the different departments: from a critical perspective at the Faculty of Health, questioning assistentialism and aiming for empowerment and transformation; to a practical approach at the Faculty of Sciences, that attempted mostly to expose knowledge and learn something from that experience. Nevertheless, all cases converged in a main issue: a commitment to contribute to society. Section 2 compared university and community perspectives with regards to the main trends identified in the analysis, identifying a convergence in the topics related to the goals of engagement and the mission of the university in the society, but some difference related to the way ELC relationships should develop.

Section 3 discussed how the most predominant themes reflect a perspective based on a public, Latin American, developmental model of university, committed to the public good, which is expressed in the perspectives regarding the significance of ELC. Section 4 focused on how this idea can be framed as a resistant perspective to the dominant neoliberal paradigm in higher education, which favours privatised institutions focused on the production of private goods; and how *extensión* can be seen as an opportunity for this resistance.

Section 5 noted the limitation of these perspectives, reviewing aspects that contradict the predominant ideas of ELC. For example, the scarcity of a perspective of knowledge co-creation and the under-valorisation of long-term over short-term relationships, reveal that a patronising perspective of knowledge production and an elitist perspective of the public sphere still prevails at University One.

Chapter 11:
Conclusions

11.1 Introduction

This concluding chapter contains two main sections. The first section presents: a brief summary of the key findings; refers to how the research questions were answered; details the contributions of this study to public engagement research; discusses its potential impact for practitioners; and offers a discussion of the limitations of this study. The second section presents recommendations for further research and suggestions on how to fulfil the university commitment to the public good through ELC. It also includes suggestions on how to improve the outcomes in the process of reappraisal of ELC at University One, and presents some lessons for similar processes in other institutions. Finally a summary condenses the main points of the chapter.

11.2 Research outcomes

This section offers a review of the main outcomes of this research, in terms of contributions, limitations and recommendations for further studies.

11.2.1 Summary of key findings

This study explored a process of reappraisal of *extensión*, linkage with the context and communications at University One. An overall analysis of its findings showed participants' perceptions regarding this university function, and explained how this reflects a particular perspective about the role of the university in society.

The findings showed that, regardless of some differences, there was a shared perspective among community and university interviewees and across departments with respect to the importance of University One as an actor that must contribute to its country, and an idea that this mission can be fulfilled

through the ELC function. The reappraisal process was seen as an opportunity to recover its importance, which can be linked to the model of a Latin American university, committed to the development of its nation and where *extensión* has a strong social character. It also has to do with the identity of this institution as a public university, in terms of its purpose of generating benefits for the society as a whole, and with the expectations that its character as a state-owned institution generates in the community.

The results indicate a perspective shared by most participants of an ELC function that is contrary to a neoliberal model of higher education. The importance attached to the public role of the university in contributing to the country, as well as influencing public policy in the service of the community, challenges the narrow conception of the university as benefiting only its students and/or those who pay for its services. At the same time, it takes distance from a perspective of the third mission as the relation of the university with the industry and the model of the entrepreneurial institution.

However, this perspective does not imply that university stakeholders see the external community as equals in a relationship. Participants cared about respecting community partners, but their views reflect that most of them tend to consider the university as the depository of the most valuable form of knowledge and therefore they feel the duty to enlighten the rest. In this context, although all participants mentioned the idea of mutuality in the relationships, most of them interpreted this idea in terms of achieving any kind of mutual benefit from the interaction, rather than considering the possibility of exchanging or co-creating knowledge with the community.

11.2.2 How the research questions were answered

The first research question on the reasons for the reappraisal process (p 5) made possible an exploration of the context for the decision of undertaking a process of reappraisal of ELC at University One. The data lead to a satisfactory answer for this question, as it provided a rich account of a variety of contextual factors related to the decision. Four themes relate to the impetus for engagement: the urge to fulfil the university mission; a context of national and

local debate about the role of higher education; the pressure of students as drivers of change; and the pressure of the accreditation process and research funds. The other three themes relate to the existing barriers for engagement, which created the necessity for a change: lack of valorisation in the academic promotion system; scarcity of funding and managerial structure for *extensión* activities; and lack of clarity about the meaning of the concepts involved. The analysis also revealed a set of assumptions regarding the significance attached to ELC, contrasted to the low valorisation that it officially had.

The second research question, on how the reappraisal process was developed (p 5) permitted an analysis of the organisation of the project, considering not only its description in the official documents but also the experiences of those involved and the observation of part of the process. The question was responded to with some limitations due to the time restrictions of this research, which did not permit analysing the whole process. It was answered from three dimensions. The first related to the expectations that participants had of the process, which included the solidification of practical changes and the idea of influencing the rest of the Chilean higher education system. The second was how participants engaged with the process, and the themes showed different levels of personal and committee participation, how diversity of opinion was managed and how an agreed definition was constructed. Finally the third topic was the evaluation of the process, and it showed the positive and critical opinions about it, and the presence of some scepticism about its implications. The themes permitted the conclusion that the process generated mostly positive opinions among its participants. In terms of participation, the reappraisal process attempted to include all possible internal stakeholders, but different departments engaged in dissimilar levels, and the external community was excluded. Besides, it was observed that the strategy to ensure the completion of the process attempted to include all possible interpretations of the ELC function, rather than making a strict delimitation of its scope.

Finally the third research question, on the extent to which the outcomes of the reappraisal process satisfied the stakeholders (p.5) faced some challenges as it was not possible to obtain the participants' perspectives about the documents as they were not finished at the time of data collection. Nevertheless, the

question was satisfactorily answered through the identification of the main features attached to ELC by stakeholders in terms of goals, partners and ways to engage, and the comparison of these priorities with what is expressed in the outcomes of the reappraisal process (form, indicators, rubric and definition). The goals identified were divided into two areas. The first was community impact, which included influencing public policy and contributing to the country's development, helping specific communities and transforming society. The second was related to a utilitarian purpose of community relations, including selling a service and positioning the university. With respect to the partners for engagement, they included civil society, the public sector, the disadvantaged, the media, schools and the private sector. Finally the ways to engage included long and short-term relationships, and one-way and two-way interactions, where the latter was interpreted in five different ways. These themes, based on the perspective of participants, were contrasted with the outcomes of the reappraisal process, allowing me to respond to the research question. It was found that, regarding goals and partners, the documents do represent the views of most participants, as they prioritise the goal of influencing public policy and the country's development, and the partners in the public sector and the civil society. However, concerning the process of engagement, the rubric does not include any dimension, which implies that the perspective of mutuality expressed by interviewees as a key element of ELC, as well as the importance of building long-term relationships, which was mentioned by most community members, are not reflected in the documents of the reappraisal process.

11.2.3 Contributions to public engagement research

This research contributes to knowledge by addressing the gaps identified in the literature review in a number of significant ways.

Firstly, it addresses the confusion arising from a lack of clear definitions, and agreement with respect to the scope, of public engagement. The analysis in this thesis generated frameworks of goals, processes and partners for engagement (see p.191,221,170), which have the particularity of being based in a case from the global south including the perspectives of the community. These

frameworks are a contribution to the field that can be suitably adjusted to take account of specific contexts and applied to other cases. Attempts of classification of ways to engage or clarification of what public engagement does and does not imply, can be found in specific assessment frameworks and benchmarking tools, but standardisation of evaluation systems is still in an emergent state in the UK and USA and there is no well-defined framework applicable to all institutions (Hannover Research, 2014). Moreover, the existing frameworks do not include the perspectives of the community (Hart 2011). That is why the frameworks of goals, partners and of engagement have attempted to fill that gap, identifying the different perceptions regarding ELC expressed by University One's stakeholders, in order to reveal the variety of understandings about it.

Secondly, in terms of focus, most existing research has focused on particular project cases rather than discussing the rationale and aims of public engagement. This research has contributed to the reflection about the deep meaning and purpose of this university function.

Thirdly, there is a scarcity of literature about *extensión* and linkage with the context in Latin America, especially Chile. Furthermore, the literature in English about public engagement has mostly neglected the Latin American experience. Analysing a Chilean case through the framework of the literature in English has contributed to filling this gap in two ways. On the one hand, a review of the different concepts used (*extensión*, linkage with the context, public engagement, community engagement) and the history behind them addressed the particularities of each concept and the differences and similarities across contexts. This analysis, based on the literature review, has already been published (Dougnac, 2016), in order to set the grounds for further comparative studies. On the other hand, this research has shown how ELC is understood and practised at a Chilean public university, which contributes to enriching the scarce literature about this topic in the Latin American context.

Fourthly, in relation specifically to the Latin American literature, this research makes a contribution through empirical research evidence that enriches a field that mostly consists of historical reviews and documentary-based evidence.

The research has also contributed to other two aspects. The first has been to add significantly to the scarcity of literature related to policy-making processes regarding public engagement. This is especially relevant in times where different institutions are aiming to establish systems to assess this function. That is why the findings related to the second research question on how the process was developed are a contribution to the field and also serve as an example for institutions aiming to develop similar processes.

Finally the discussion of the findings made possible the observation of how public engagement reflects ideological perspectives about the role of universities in society, which can be related to a perspective of ELC as a platform to resist neoliberal tendencies. This makes a contribution to the field of public engagement that goes beyond the analysis of particular projects, and links community policy and practice with deeper philosophical reflections concerning the underlying meaning and purpose of higher education. It can also contribute to link the area of public engagement with the emergent field of philosophy of higher education.

11.2.4 Potential impact for practitioners

Looking at the value of the research findings for participants and practitioners, this research contributes, firstly, by providing them with a theoretical framework about the history and evolution of *extensión* and similar concepts in different contexts, which can be useful for study and comparison. During my fieldwork in Chile, several practitioners asked me what the concepts used for *extensión* in the English-speaking context were, as the inexistence of equivalent concepts left them without the tools to seek similar experiences. This contribution was already solidified through the presentation I made during the data collection, along with the publication of a journal article in Spanish.

Additionally, the generation of a framework of goals, partners and ways to engage is a useful tool for practitioners in order to plan and set goals for engagement activities as well as critically analyse their own work.

11.2.5 Research dissemination and engagement with key stakeholders

During my PhD studies, I presented different aspects of my research and findings at twelve national and international conferences. In most cases, I was the only person presenting about Latin America. This implies that, apart from the inputs I gained from these interactions, I managed to share my research and a Chilean experience at a number of academic events where it would otherwise have gone unnoticed.

I also had a paper published (Dougnac, 2016), which has already had some impact, which is a factor of growing significance in the evaluation of research, reflected for example in its inclusion in the British Research Excellence Framework since 2014. Apart from informal reports about its use by *extensión* officers at University One, the paper has been referenced in official documents at the institution: a working document of the *Extensión* Pro-Vice-Chancellery with engagement models used for the discussion of a policy (2017), and a report of the Massive Open Online learning courses at the university (2017). It is also referenced in a recent report commissioned by the Chilean Ministry of Education to the United Nations Development Programme about Linkage with the Context in Chilean universities (UNDP, 2018). Furthermore, two other Chilean universities have contacted me in relation to the paper, which they were using as a reference for their own policy-making processes about linkage with the context.

After finishing the thesis, my plan is producing a journal article with its conclusions for a specialised public engagement journal, as well as a report of the key findings in Spanish to be shared with participants.

11.2.6 Limitations of this research

As with any research project, not everything worked out as planned. In this section I reflect on the limitations of this research, and I explain how problems were resolved and what opportunities emerge from these issues.

The first three limitations have to do with the timespan of the project. The first was the impossibility to observe the whole reappraisal process conducted by

University One. This is because it started one year before data collection, and finished nearly one year after. Nevertheless, as the focus of this research was not just on the process itself but on how it could reveal meanings and understandings of public engagement, this was not an impediment for the development of the project. The documents and interviews provided an overview of the context and the different perspectives about the process. The time spent in the field allowed observing a sample of meetings and events that contributed to this overview.

A second limitation was the impossibility of including all university Faculties. The interviews for the Main Committee included people from all different areas of knowledge, but there were only three Faculties considered in-depth as part of the study. Although they provided a variety of perspectives, it is possible that results may have been different if the perspectives of other Faculties had been included. For example, some interviewees commented on other departments of the university being in a relationship with the private sector in pursuit of economic gains through linkage projects, which was not the case with any of the departments included. In order to address this issue, the frameworks of goals, partners and ways of engagement emerged from this PhD research (see p.191,221,170) acknowledge all the possible goals and publics identified, regardless of the size of their representation within the data. Therefore, they are useful for any group and still reflect the diversity of perspectives present within the university.

A third limitation was the difficulty to complete all the interviews and focus groups face-to-face during the data collection period, so some of them had to be done online. Nevertheless, online interviewing provided the opportunity to contact people who were geographically dispersed and to generate similar interviewing conditions for disabled and non-disabled participants in the case of the focus groups (see Chapter 4, p.85).

Finally there was a limitation related to participants' bias in terms of their valorisation of the *extensión* function. As the focus was on the process of reappraisal of ELC, all interviewees were people who work for this area and therefore have an interest in it. This implies that it did not include people who

may not have any interest or valorisation of this function. Consequently, a question about the importance that academics not directly involved in *extensión* projects attach to this function remains unanswered and may be an object of further research.

11.3   The way forward

This section starts by providing recommendations for further research. Subsequently, considering that the idea of contributing to the public good appeared as key to participants' understanding about the role of the university in society, it offers some recommendations about which goals, partners and ways of engagement should be prioritised, if the contribution to the public good is to be fulfilled. Finally it presents some lessons for similar institutional processes tending to appraise public engagement as a university function.

11.3.1 Recommendations for further research

This research opens different possibilities for further studies, both in terms of replication or through the use of alternative research methods.

As explained by Yin (2014), the replication logic consists of developing multiple case studies in order to observe whether the findings are duplicated. The cases selected must be either as similar as possible, which predicts similar results (literal replication) or have some specific differences, which predict contrasting results (theoretical replication). If the cases turn out as predicted, they will support the initial propositions, otherwise, these should be revised. According to this, the methodology of this research, or more directly the frameworks of goals, partners and ways of engagement that emerged from the analysis, could be applied to other case study institutions in order to compare results, and also to continue checking the frameworks and possibly include some variations according to different contexts. There are a number of possible cases for comparison, both within the same case study institution, and beyond it.

Firstly, the study could be replicated within University One in at least two ways. One option is applying the framework to study the case of all different university

Faculties, in order to compare the priorities and different approaches present in each of them, and explore the reasons for these differences. This would contribute more evidence to review for example whether the character of each discipline has an influence on the approach of different departments to public engagement, as suggested in the discussion chapter. Another option would be extending the study to include the perspective of university stakeholders who are not part of ELC departments or projects, in order to compare their perspectives with the one of those involved, and have an idea of how this function is understood and valued by those who are not directly involved in it. This would contribute to understanding the reasons behind the limited valorisation of this function and also for understanding possible resistance and difficulties in putting reappraisal into practice.

Secondly, this research can be replicated in other Chilean or Latin American institutions, in order to facilitate comparison and possibly identifying some trends, which may be related to the perspective about the perceived role of each institution from the view of participants. One option is applying the study to a private university in order to compare it with a public one, which could eventually generate different results that would reinforce the conclusions about how the model of university is reflected on the engagement function. Another option is comparing the cases of state-owned and religious universities, such as the case of the Pontifical universities in Latin America. This would allow an exploration of the ethos behind ELC and determine whether a Christian orientation of the university has some influence on the way the relation with the public is embraced, for instance in terms of solidarity, outreach and transformation.

Thirdly, the study could be replicated in universities from different regions of the world. For example, comparing a British with a Chilean institution, would allow an exploration of the differences and similarities related to each context and how they relate to their own perspective and tradition in terms of the role of the university. Another option would be comparing the case of universities from other national contexts where the model of the developmental university is present, for example Africa, where universities have a strong link with their communities (Coleman, 1986; McCowan, 2016). Nevertheless, the African case

is not considered in most of the engagement literature, and to the best of my knowledge there are no comparative studies of public engagement in the Latin American and African contexts. Pursuing these kinds of studies would contribute to deepening the analysis regarding the model of university present in these contexts and how they interpret the public engagement function according to it, as well as enriching the international literature from a different perspective to the one that has dominated the field so far (from English-speaking, developed countries).

Further research could adopt a different perspective and alternative methodology to my research. One possibility would be conducting quantitative research that explores the goals, partners and ways of developing relationships in ELC through a survey at the case study institution. Drawing on Dewey's perspective of "false dualism", referred to the dichotomy between research traditions, Pring (2010) argues that qualitative and quantitative methods are not opposite but can be complementary, so using both of them can provide a better understanding. Accordingly, I consider that a quantitative study would complement the results of this research, as the possibility of reaching a bigger number of participants and a different kind of data collection method may lead to the emergence of issues that were not visible during the qualitative research, and vice-versa.

Another possibility would be using a mixed method approach, combining qualitative and quantitative approaches in the logic of facilitation, which refers to using different approaches or methods sequentially, in a way that one facilitates the other (Hantrais, 2009). This could be implemented by using the frameworks of goals, partners and ways of ELC that emerged from this qualitative study as a guide to design and analyse a survey to be applied to a large sample of participants. This would allow an identification of which have more presence among stakeholders, and would make it possible to obtain findings that are generalizable to the whole institution. Applying the survey to different groups within the institution, or to different institutions, would also facilitate comparison. Subsequently, a new qualitative study consisting of individual interviews or focus groups could be conducted in order to explore the reasons behind the tendencies identified in the survey.

Finally the topic of public engagement in University One or in other Chilean universities could be approached from different lenses. For example, an option would be examining how the interest on contributing to local needs conflicts with the current state of globalisation of higher education and the push for universities to appear in league tables and being part of an international research community. In fact, one of the interviewees explicity refered to what he saw as a Latin American perspective of university linked with the community, as the opposite to what he called a "Harvard model" of research-intensive, international institution. Further research could explore this dichotomy, in order to see if both agendas, the national and the international, are necessarily conflicting or there is possibility for them to converge through public engagement. The fact that the National Accreditation System has recently included linkage with the context as a compulsory area of evaluation for all universities, along with research, teaching and management, may add extra pressure for institutions to fulfil both goals, but at the same time could imply an incentive for creative ways to harmonise them. Therefore the current scenario offers interesting possibilities for this type of research. At the same time, conducting international comparative research of local engagement projects in different countries could be a way to contribute to balance both priorities.

11.3.2 Suggestions on how to fulfil the university's commitment to the public good through ELC

The outcomes of the reappraisal process permit identifying the importance attached by University One to the goal of influencing public policy and contributing to the country's development, which was also the main goal attached to ELC by most interviewees. This is consistent with the idea of a university that contributes to the public good. In order to fulfil that commitment, it would be recommendable to also stimulate the goal of transformation in order to overcome the patronising, enlightening perspective of the university telling the citizens what to do. Having these dual goals in mind and affording them similar levels of importance should help the university to move beyond colonialist

perspectives of knowledge and develop a truly communicative and equal relationship.

The outcomes of the process also show the relevance of the public sector and the civil society as important partners in ELC, which coincides with the perspective of most university participants who prioritised these groups in their engagement activities. This is in harmony with the aim of contributing to the public good. Nevertheless, it would be recommended to also pay special attention to the disadvantaged – who were important in the departments but had few mentions in the Central Group – not in terms of assistentialism but in empowerment. It was seen that some initiatives, although involuntarily, ended up attracting people who were also educated at the university and had high levels of cultural capital (Bourdieu, 1974). This entails an elitist development of engagement and a bourgeois perspective of the public sphere, where only those privileged can participate.

Finally, the documents resulting from the reappraisal process include very little in relation to how ELC relationships are developed. This implies that although the ideal of two-way relationships was predominant among interviewees, it was not valued in the rubric. Furthermore, the predominant interpretation of this two-way mandate among university interviewees was a mutual benefit of any kind, rather than considering the possibility of knowledge exchange or co-creation, which entails the risk of a utilitarian perspective of relationships. In the case of the community, their interpretation was focused on being involved in the planning and design of interventions, which was not considered by most university interviewees. Therefore, a deep discussion about the meaning of bi-directionality is necessary, and the recommendation is focusing on a perspective of two-way relationships in terms of involving in design – which implies giving a voice to communities in the process – knowledge exchange and co-creation, which means that both parties have valuable knowledge to share or are capable of creating new knowledge together. Regarding the sustainability of relationships, there was a mismatch between community perspectives and what was expressed by the university interviewees and included on outcomes of the reappraisal project. The community valued highly those relationships that are long rather than short-term, which was mentioned only by some university

interviewees and not included in the indicators, rubric or definition. The recommendation here is favouring the construction of long-term relationships with the community, in order to be able to generate interventions that make a contribution to the public good and are not just a one-time entertaining experience. This appears as an important issue to be considered in order to generate the ambitious goals expected for ELC by both university and community stakeholders.

11.3.3 Suggestions on how to improve the outcomes of the reappraisal process

The analysis showed that although the documents of the reappraisal process mostly reflect the perspectives of interviewees, there are some issues that were not considered. On occasions these issues represent a distance with the perspective of the community, and in others involve a position that is contradictory with the aim of contributing to the public good. These elements will be highlighted in this section, with recommendations for improvement.

With respect to the goals of engagement, the goal of transforming society was present in several interviews but not included in the outcomes of the process. The university's definition of *extensión* mentions a "critical vocation", but the main goal is influencing, not transforming. If the university situates itself in a position of making a change in society, then it would need to include not just the idea of influencing, but also transforming and empowering people to make their own informed decisions.

Regarding the process of engagement, an element that was very important for all community members, and mentioned as well by several university participants, was that the interactions should be long rather than short-term in order to be meaningful. Nevertheless, this aspect receives little attention in the outcomes of the reappraisal process. The definition of *extensión* describes it as a "permanent" process of interaction, but this is contradicted in the rubric as there are no dimensions that value long-term relationships more than one-time interactions. The recommendation is including in the rubric a dimension about

the time-scope of interactions, valuing higher those that are long rather than short-term.

Also with respect to processes, the ideas of knowledge exchange and co-creation are not considered in any way in the indicators or types of action, not valued in the rubric, and are not mentioned as a goal in the definition of *extensión*, which only refers to "interaction, integration, feedback and communication" but does not imply the idea of creating something together. This implies that the documents of the reappraisal process do not include any stimulus for this kind of interaction. Therefore a suggestion is including these elements, for example adding a dimension of goals and one of processes to the rubric, where social transformation is valued higher than help, and knowledge exchange and co-creation have more value than knowledge transfer or mutual benefit.

Finally, another element that was very important for both university and community members was the pursuit of two-way rather than one-way interactions. Nevertheless, the rubric does not include any dimension related to this, and the definition refers to *extensión* in terms of interaction and communication but it does not directly acknowledge that the community can influence the university. The recommendation here is twofold: in the definition, including a recognition about the possible influence of the community in the university; in the rubric, including a dimension related to the flow of the relationship, attaching more value to two rather than one-way relationships. At the same time, the reappraisal document should include a clear definition of the two-way mandate, or a clarification of the different ways to understand it, in order to avoid overgeneralising and therefore having a meaningless concept. Having said that, it is recommended to not exclude from definitions and valorisation those activities that are not two-way, as this would mean that traditional *extensión* activities of the university that imply a wide social reach may end up being abandoned. The two-way mandate can be a priority but not the only way to engage.

It is important to mention that after the data collection process, University One has continued working in the creation of a policy including guiding principles for

their ELC work and further criteria and follow-up tools. The analysis of these documents and their impact should be a subject of further research.

11.3.4 Lessons for similar policy-making processes about university public engagement

From the analysis it is possible to generate some recommendations that value the strong aspects of the reappraisal process:

- **Aiming for concrete changes:** something that was highly valued by participants, and moved them to engage with the reappraisal process, was the perspective that it was going to generate concrete changes in terms of valuing ELC as part of the academics' promotion system. This involved not only attempting to construct a definition or a policy, but generating a set of tools, including a form, indicators and a rubric, to make this valorisation possible. This was highly valued by participants who praised the work of the technical team and saw valorisation in the academic career as the only way to increase the importance of ELC at University One. Therefore a lesson for similar processes would be focusing on the generation of concrete changes to the academics' assessment systems, for the process to be perceived as worthy by participants.

- **Handling disagreements:** as analysed in Chapter 6, despite differences regarding issues such as the relation with private entities, University One managed to generate a set of outcomes approved by all Faculties. The strategy to do this was an inclusive approach, which acknowledged all the possible interpretations of ELC, and marked some tendencies that are more valuable than others in the rubric. Although this implied not taking a clear position on some issues, it has the merit of respecting all different viewpoints and acknowledging all different activities. In this way, the process managed diversity and accomplished the goal of completing the project. This approach may therefore be a good example for other cases.

- **Being inclusive internally:** the reappraisal process took two years to complete basically because it offered possibilities of participation to its different internal stakeholders, inviting representatives from all Faculties, including students and non-academic staff, conducting surveys and asking for validation of results in several occasions. Although this made the process slow and complex, it ensured its success whereby no one could say that did not have the opportunity to participate. Especially in complex organisations used to high levels of internal democracy such as University One, this may be a crucial point to ensure the success and lack of resistance to a change project.

The process also provided some lessons from its shortcomings that may be useful for other institutions:

- **The need to be inclusive externally:** the exclusion of the community from the reappraisal process does not match with the attempt for an inclusive, reciprocal ELC. Although the process was directed to change the academics' promotion system, which is an internal issue, the opinions of the community are valuable to assess which kind of interventions are worth being valued. This would have given more richness and validity to the process. It may also have highlighted the importance of issues that were excluded from the outcomes of the process, such as the importance of long rather than short-term relationships. Therefore, including the perspectives of the community in policy-making processes concerning public engagement is a recommendation.

- **The need to consider the different interpretations of the two-way mandate:** although there was some level of agreement that two-way relationships should define the ELC activity, it was possible to observe that this was interpreted in several different ways. Therefore the two-way mandate can become an empty concept, meaning different things to different people. That is why a recommendation is to embrace the complexity of the two-way mandate and define how it will be interpreted by each institution, as part of any policy-making process.

11.4   Afterword

The area of *Extensión* and Linkage with the Context is in a moment of intense activity and change. New discussions, policies and measuring instruments have being created during the course of my research and will continue after it finishes, not only at University One but across Chilean institutions and also internationally. This study reflects a particular moment in time in terms of the process it focused on, but reveals a set of assumptions regarding the meaning of ELC and the role of the university in society that are deeply embedded in the perspectives of participants and are relevant to what happens beyond that specific project. I have attempted to make a contribution to this vibrant moment of advancement of public engagement through this research, and aim to continue being part of the enhancement of this university function both as a practice and as a research field.

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Appendix 1: *Extensión* and linkage with the context form

Compulsory fields

Field		Field's reference name	Type of answer
1	a	General type of action	Closed list of informative categories
	b	Specific type of action	Closed list of informative categories
2	a	Action's title	Open
3	a	Action's authorship	Open
	b	Role of person involved in the action	Closed list of qualitative categories
4	a	Name of event/platform	Open
	b	General type of event/platform	Closed list of informative categories
5	a	Year of action in event/platform	Closed list of informative categories (years)
6	a	State of action in event/platform	Closed list of qualitative categories
7	a	Institution/Entity	Open
	b	Institutionality	Closed list of qualitative categories
	c	Area of institution/entity	Closed list of qualitative categories

Source: Adapted from Technical Study of the Reappraisal project, Table 6, p.38.

Optional fields

Field		Field's reference name	Type of answer
8	a	Action's field of knowledge	Closed list of informative categories
9	a	Start of action	Open
	b	End of action	Open
	c	Scope/Frequency	Closed list of informative categories
10	a	Organism of person involved	Closed list of informative categories
11	a	Type of participation of person involved in action	Closed list of informative categories
13	a	Type of funding of action in entity/base	Closed list of qualitative categories (year)
	b	Costs of action for beneficiaries	Closed list of informative categories
14	a	Country of event/platform	Closed list of informative categories (list of countries)
	b	Region of event/platform	Closed list of informative categories (list of Chilean regions)
	c	Counties of event/platform	Closed list of informative categories (list of counties per region)

Source: Adapted from Technical Study of the Reappraisal project, Table 7, p.39.

Appendix 2: General and Specific types of action included in the ELC form

1a) General type of action	1b) Specific type of action
Face-to-face dissemination	Performance
	Talk
	Conference
	Interview
	Discourse
	Exhibition
	Other (indicate)
Distance dissemination	Article
	Opinion column
	Interview
	News story
	Journalistic report
	Brochure
	Outline
Participation, organisation and planning	Councils, commissions or committees
	Meetings
	Working networks
	Workshop
	Other (indicate)
***Extensión* courses and workshops**	*Extensión* courses
	Practical activities and workshops
	Guided tours

	Modules linked to the context
	Other (indicate)
Extensión projects	
Services	Professional assistance
	Advisory
	Project assessment
	Consultancy
	Academic activities in other university
	Medical care
	Technical report
National heritage conservation	Restoration
	Conservation
	Other (indicate)
News about academics	News stories
	Journalistic reports
	Other (indicate)

Source: Adapted from Technical Study of the Reappraisal project Appendix, Tables 2-8, p.11-20.

Appendix 3: Categories of scope, frequency, costs and institutionality included in the ELC form

7b) Institutionality
Public institution or body
Private institution or body
Central bodies
Local bodies
Department

9c) Scope / Frequency
Daily
Weekly
Fortnightly
Monthly
Bimonthly
Quarterly
Six-monthly
Yearly
Unique
Other (indicate)

13b) Costs of action for beneficiaries
Paid
Free

Source: Adapted from Technical Study of the Reappraisal project Appendix, Tables 2-8., p.11-20.

Appendix 4: Indicators of *Extensión* and linkage with the context

Scope	Dimension	N	Sequence	Indicator
Institutionality	University community	1	Resources	University academics (Full-time) who participate as extensionists in programs and activities of extensión, linkage and communications (ELCC) per total of academics (Full-time)
		2	Resources	University managers (full-time) who participate as extentionists in ELCC programmes and activities, per total of managers
		3	Resources	University students who participate as extentionists in ELCC programmes and activities, per total of students
	Institutional Resources	4	Processes	Centres, units and established ensembles linked to ELCC per academic (full time)
		5	Resources	Resources destined to ELCC from the total budget
	Activities and Projects	6	Processes	ELCC programmes per academic (Full-time)
		7	Results	ELCC projects per academic (Full-time)
		8	Results	ELCC activities in comparison to previous year
		9	Results	ELCC activities about topics of national relevance per academic (full-time)
		10	Results	ELCC activities in regions per academic in comparison to previous year (full-time)
		11	Results	ELCC activities at the university in comparison to previous years
University *extensión*	Disseminating *extensión*	12	Results	Talks and sessions per academic (full-time)
		13	Results	Dissemination books published per academic (full-time)
		14	Results	Other dissemination publications per academic (full-time)
		15	Impact	Attendees to *extensión* activities in comparison to previous year

	Teaching *extensión*	16	Results	Normalised ELCC courses, workshops and diplomas per academic (full-time)
		17	Impact	Students in ELCC courses and workshops in comparison to previous year
Dissemination	Diffusion and Communications	18	Results	News published by the university per academic (full-time)
		19	Results	Columns and letters published in national press media per academic (full-time)
		20	Impact	Visits to university web pages in comparison to previous year
		21	Impact	External news stories about the university in comparison with previous year
		22	Impact	Followers in social networks in comparison to previous year
Services	Consultancies	23	Results	Consultancies per academic (full-time)
	Services	24	Results	Attentions (health, dentistry, psychologic) per academic (full-time)
Linkage	Linkage with universities	25	Results	Joint ELCC activities with State-owned universities in comparison to previous year
		26	Processes	Joint ELCC programmes with State-owned universities regarding the total of joint programmes with State-owned universities
	Linkage with other institutions	27	Resources	Academics (full-time) in national commissions per academic (full-time)
		28	Resources	Academics (full-time) in international commissions per academic (full-time)
		29	Processes	Agreements with public institutions in comparison to previous year
		30	Results	ELCC activities directed to educational communities from non-university entities in comparison to previous year
	Community linkage	31	Results	Community intervention activities in comparison to previous year.

Source: Technical Study of the Reappraisal project, Table 8, p. 42-43.

Appendix 5: Specific indicators per area

Scope	Dimension	N	Indicator	Arts	Social Sciences, Humanities and Communications	Juridical, Political and Economic Sciences	Engineering and Technology	Medical and Health Sciences	Natural and Exact Sciences	Agricultural, Livestock, Forestry and Marine sciences
Institutionality	Activities and projects	32	ELCC activities abroad in comparison to previous year	✓	✓		✓	✓		✓
Linkage	Linkage with universities	33	Mobility agreements with foreign universities in comparison with previous year	✓			✓			
		34	Visits of researchers in comparison with previous year	✓	✓		✓			
	Linkage with other institutions	35	Joint ELCC activities with national non-university entities in comparison with previous year[1]		✓	✓				

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[1] In this case, National includes regional, local/county, and immediate environment.

Category	No.	Indicator							
Community linkage	36	Agreements with private institutions in comparison with previous year[2]				✓			✓
	37	Agreements with non-government organisations in comparison with previous year		✓					
	38	Amount invested on community intervention in comparison to the total of resources destined to ELCC		✓	✓		✓		
	39	Collaboration agreements with local entities per academic	✓	✓	✓	✓	✓		
	41	Community intervention activities in the local surroundings in comparison with previous year		✓	✓	✓	✓		

Source: Technical Study of the Reappraisal project, Table 10, p.45.

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[2] Includes private companies.

Appendix 6: Definition of dimensions for the rubric

Dimension	Definition
Role	Kind of participation of the academic in the product
Disciplinarity	Disciplines involved in the development of the product
Strata	Position of the university community involved in the development of the action or product *(Academic, non-academic staff, student)*
Dependence	Public or private character of the actors with whom the ELCC actions or products are developed
Equity	Social specificity of the beneficiaries
Theme	Content to be developed in the actions and products
Geographic Scope	Property that reports the territorial scope of an action or product
Impact	Social relevance and project reach
Cost	Economic value of the action or product for the beneficiaries

Source: Technical Study of the Reappraisal project, Table 11, p.46.

Appendix 7: Rubric of appraisal criteria

Dimension	Professor	Reader	Senior Lecturer	Lecturer	Assistant Lecturer
Role	(Co) Responsible Main / Unique		Secondary (co) responsible		Collaborator
Disciplinarity	Interdisciplinary / Multidisciplinary		Monodisciplinary		
Strata	Multi-strata		Uni-strata		
Dependence	Public		Private		
Equity	High		Medium		Low
Theme	Of social relevance or Public Policies		Institutional Development Project (IDP)		Own interest
Scope		National	Regional	Local/ county	Immediate environment
Impact	High		Medium		Low
Cost for beneficiaries	Free		Paid		

Source: Technical Study of the Reappraisal project, Table 12, p.46.

The rubric indicates the minimum expected for each academic hierarchy. Those academics in lower hierarchies who accomplish activities demanded of the higher hierarchies, can expect to be highly qualified in this area (Technical Study, p.12). The decision on what was going to be valued higher was based on a consultation and workshop organised by the Leading Team with the academic community.

Appendix 8: Definition of *extensión*

An essential, transversal function of the University, which allows it to fulfil its non-transferable public and social commitment and critical vocation, involving all its strata and units, in a transdisciplinary way. Its objective is creating, promoting and developing permanent processes of interaction, integration, feedback and communication, attentive to the cultural relevance, between the University and the intra- and extra-university community, in order to influence the social and cultural development of the country and, through this, its own development.

Source: Document of the 3rd Goal of the Reappraisal Process, p.35.

Appendix 9: Meeting Observation Record

Title	
Date	
Place	
Time	
Attendees	
Context info	

Notes
About the setting
Organisation of the meeting, who led, key speakers
Activities mentioned (considered *extensión* or VM)
Assumptions about the *extensión* function
Perceptions regarding its meaning, importance or how it should be done
General comments

Appendix 10: Informative poster for non-participants

Poster informativo para no participantes

UNIVERSITY OF LEEDS

¿Quién es ella?

Es Paulette Dougnac, xxxx xxx y estudiante de doctorado en la Escuela de Educación de la Universidad de Leeds, Reino Unido.

¿Qué está haciendo aquí?

Está realizando el trabajo de campo y recolección de datos para su proyecto de investigación titulado: Compromiso público universitario: La perspectiva de una institución chilena en un proceso de Actualización de la Valoración de la Extensión, la Vinculación con el Medio y la Comunicación.

¿Qué significa esto?

Paulette va a realizar una serie de entrevistas a personas relacionadas con el proceso de actualización. En algunos casos, asistirá como observadora a reuniones de trabajo vinculadas con dicho proceso y a actividades de Extensión y Vinculación con el Medio.

¿Qué pasa conmigo?

Si Paulette no se ha acercado a ti para explicarte su proyecto de investigación, significa que tus actividades dentro de la xxx no se relacionan directamente con él. Esto implica que ella no está autorizada para recolectar datos sobre ti o tus actividades.

¿Qué pasa si ella cambia de opinión y quiere que yo participe?

Paulette no puede recolectar datos sobre ti o tus actividades sin contar con tu autorización formal y por escrito. Por lo tanto, si ella cambia de opinión y desea incluirte a ti y tus actividades en su investigación, deberá entregarte una hoja informativa para participantes en la que se incluyen los detalles del proyecto. Además deberá entregarte un formulario de consentimiento informado para que leas y lo firmes. Si lo prefieres, puedes negarte a participar sin explicar tu decisión.

¿Quién autorizó su presencia aquí?

La presencia de Paulette en la xxx fue autorizada por la Dirección de xxxxxxxx. De todas maneras, si ella está entorpeciendo tu trabajo, no dudes en hacérselo saber y ella deberá seguir tus instrucciones. Si tienes alguna duda o necesitas información adicional, no dudes en acercarte a Paulette o contactarla a través del correo edpadq@leeds.ac.uk

Appendix 11: Areas of Knowledge at University One

Area	Field
I. Arts	Arts
II. Social Sciences and Humanities	Anthropology and Archaeology, Communication Sciences, Education Sciences, Behavioural Sciences, Social Sciences, Philosophy and Humanities, History, and Language and Literature
III. Legal, Political and Economic Sciences	Economics and Administration, Legal Sciences and Political Sciences
IV. Engineering and Technology	Architecture and Urbanism, Engineering Sciences, and Computer Science and Information Technology
V. Natural and Exact Sciences	Biological Sciences, Earth Sciences, Space Sciences, Physical Science, Chemical Sciences, and Mathematics and Statistics
VI. Medical and Health Sciences	Pharmacological Sciences, Medical Sciences, and Dental Sciences
VII. Forestry, Agricultural, Livestock and Marine Sciences	Agricultural Sciences, Forestry and Environmental Sciences, Veterinary Sciences and Marine Sciences

Source: Technical Study 23, Quality Assurance Committee, University One.

Appendix 12: Participant information sheet

Faculty of ESSL - School of Education

UNIVERSITY OF LEEDS

Participant Information Sheet

University public engagement: the perspective of a Chilean institution in a process of reappraisal of *extensión*, linkage with the context and communications

You are being invited to take part in a research project. Before you decide it is important for you to understand why the research is being done and what it will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask me if there is anything that is not clear or if you would like more information. Take time to decide whether or not you wish to take part.

Who is the researcher?
Paulette Dougnac, PhD student at the School of Education, University of Leeds, UK.

What is the purpose of the project?
The main purpose of this qualitative research project is understanding how the members of University xxx perceive the function of *Extensión* and Linkage with the Context. This is an area that has received little attention in the research literature and therefore this study should contribute to the academic discussion about this topic. The data collection process will be done during the first semester of 2016.
The research questions are as follows:
   1) What are the reasons for a process of reappraisal of *extensión*, linkage with the context and communications at University xxx?
   2) How is this process being developed?
   3) To what extent the documents generated are meeting the needs and expectations of key stakeholders?
   4) How do stakeholders interpret the international literature, after the presentations offered as part of this study?

Why have I been chosen?
You have been chosen because you participate in extensión or linkage with the context activities in your Faculty. Other participants from similar groups at the University will be recruited.

What do I have to do?
Interviews: You will be asked to have one interview with the researcher. This interview will consist of open-ended questions and will develop as a conversation. It will be arranged in a convenient time for you, and it will be audio-recorded with your permission.
Observations: You will be asked to allow the researcher observing some meetings of the Extension and Linkage with the context committee where you participate, held between March and May 2016. For this to be done the researcher will seek approval of all the participants in the meeting. During these meetings the researcher will make written notes and may do audio-recordings with the participants' permission.

Project title	Document type	Version #	Date
University public engagement: the perspective of a Chilean institution in a process of reappraisal of extensión, linkage with the context and communications	Participant information sheet	V.01	04/03/16

UNIVERSITY OF LEEDS

Will I be recorded, and how will the recorded media be used?
The audio recordings made during this research will be transcribed. The transcriptions will be used only for analysis, and some pieces of them may be used for illustration in conference presentations, articles and the final thesis.

What are the possible risks and benefits of taking part?
There are not expected risks of participating in this research. Whilst there are no immediate benefits either, it is hoped that this work will contribute to your own reflection about the role of the Extension and Linkage with the Context function. Furthermore, the researcher will share the results of her work with participants once the project is finished.

How will the data be used?
The findings will be part of my thesis to pursue the degree of PhD in Education. They can also be part of conference presentations and academic publications.

Do I have to take part?
It is up to you to decide whether or not to take part. If you do decide to take part you will be given this information sheet to keep and be asked to sign a consent form. You can still withdraw at any time (up until publication of results) without giving a reason.

Will my taking part in this project be kept confidential?/ What will happen to the results of the research project?
Confidentiality of the data is very important in this research. The information collected will be safeguarded in a password protected file. Participants' names will be anonymised using pseudonyms, and this will be done in any publication resulting from this research. Nevertheless, it should be considered that people who are familiar with the institution and read the final thesis, could eventually figure out which person is being cited regardless the absence of his/her real name, as a result of the description of his/her role.

Who is funding this research?
The researcher has funding from the Chilean National Commission of Science and Technology (Conicyt) to pursue her PhD, through the Becas Chile program.

Further questions
If you have further questions related to this research project, please contact Paulette Dougnac at the email edpadq@leeds.ac.uk

This study has been reviewed and given a favourable opinion by the School of Education Research Ethics Committee on December 10th 2015, ethics reference AREA 15-048.
You can keep a copy of this information sheet and of the consent form if appropriate.

Thank you very much for your time and cooperation.

Project title	Document type	Version #	Date
University public engagement: the perspective of a Chilean institution in a process of reappraisal of extensión, linkage with the context and communications	Participant information sheet	V.01	04/03/16

Appendix 13: Participant Consent Form

Faculty of ESSL - School of Education

UNIVERSITY OF LEEDS

Consent to take part in

University public engagement: the perspective of a Chilean institution in a process of reappraisal of *extensión*, linkage with the context and communications

	Add your initials next to the statements you agree with
I confirm that I have read and understand the information sheet/ letter dated 04/03/16 explaining the above research project and I have had the opportunity to ask questions about the project.	
I agree for the data collected from me to be stored and used in relevant future research in an anonymised form.	
I understand that relevant sections of the data collected during the study, may be looked at by individuals from the University of Leeds or from regulatory authorities where it is relevant to my taking part in this research. I give permission for these individuals to have access to my records.	
I agree to take part in the above research project and will inform the lead researcher should my contact details change.	

Name of participant	
Participant's signature	
Date	
Name of lead researcher	Paulette Dougnac
Signature	
Date*	

*To be signed and dated in the presence of the participant.

Once this has been signed by all parties the participant should receive a copy of the signed and dated participant consent form, the letter/ pre-written script/ information sheet and any other written information provided to the participants. A copy of the signed and dated consent form should be kept with the project's main documents which must be kept in a secure location.

Project title	Document type	Version #	Date
University public engagement: the perspective of a Chilean institution in a process of reappraisal of extensión, linkage with the context and communications	Consent form	V.01	04/03/16

Appendix 14: Example of initial coding: RQ3

3,1) How are concepts understood-interpreted	0
Solidary or social sense	7
Irradiate - knowledge transfer - education	5
Difference with Linkage	14
Marketing- student recruitment	6
Different types of activities	5
Influir opinion publica - politicas publicas - aportar al pais - the public sphere	13
Extensión and teaching - research	10
Comunications	9
Extensión as something political - role of the university	10
Bidirectionality- unidirectionality	11
Sale of services - companies	6
Definition	10
Transformtion	1
3.3) How is the process evaluated	0
Expectations	15
Evaluation of the process-importance	14
3,2) Comparison with the document - definitions with the perspectives presented	1

Appendix 15: Example of first list of themes: RQ3

Name	Sources	References
III Are the documents satisfying the needs and expectations of stakeholder	0	0
Expectations for the products	7	13
Expected results	5	8
The counterpart for public engagement - Who	0	0
Disadvantaged-excluded	5	9
General public - Civil society	18	32
International	4	4
Other unis or faculties	1	1
Personal contacts - academics advising public sector	11	18
Productive - private sector	18	44
Public sector - ministries	13	28
Regions	2	3
Schools	6	9
The goals of public engagement - What for	0	0
Alliances	9	18
Altruism - asistencialism - help - solutions	13	18
Being important in the country or locally - improving it	17	35
co-creation - dialogue	9	39
democratizing knowledge	4	6
Influencing public policy - technology - impact	11	14
Kinds of activities	26	95
Knowledge transfer - education	16	52
Marketing - student recruitment	7	19
Participating in public sphere	16	30
Politics	13	38
Relation with teaching and research	20	43
service	2	3
Show - exhibit - positioning-legitimation	11	25
Transformation - concientization - empowerment	14	31
The means for public engagement - How	0	0
Engage in the design process only	12	18
Long term - short term	19	40
One-way	22	45
Two-way learning or benefit	31	131

Appendix 16: Example of refining themes: RQ3

Altruism-asistencialism-help-	12 Hugo	13 Gastón	14 Daniela	17 Monica	18 Esteban	2 Nadia	5 Rocío	9 Brenda
2 Altruism- help		agradecidos y alegres, y les encanta que la universidad	ayudar mucho en la parte técnica de cómo hacen	en el fondo tenemos que demostrar que se está	trabajos voluntarios. los trabajos voluntarios yo	ejemplo una relación que se ve en el, por ejemplo te decía	pero eso es algo que o sea, para mi es imperativo un poco hincarle	en distintos ambitos, o sea se da desde
3 Being influencial - takling national problems	reo que hace muy poco se ha entendido extensión como	la vinculacion con el medio hay una cocreación	y si nosotros queremos decir que vamos a ser	para que cuenten sus investigaciones en una forma	que es un tema que convoca mucho a un sector de la	como que tenia hace algunos anios una visión un poco más	o sea a largo plazo lo que sentimos es que en la medida en	entonces yo creo qeu esa esa la extensión,
4 Influencing public policy			pero debería estar mucho más ligado a cómo	como que en el fondo tenemos que demostrar que se está	a la política, a las cuestiones nacionales. o sea cuando hay,	si, no pero en gral yo creo que la gente que esta investigando en	.también tenemos iniciativas que tienen que ver	
5 Participating in public sphere		agradecidos y alegres, y les		temas que tocamos son	entrar en diálogo con la realidad a			
6 Politics- ideology	la definicion de extensión tiene que ser política. no puede ser				por que nos interesa principalmente, porque nosotros		y tu dices bueno en realidad, esa no es la única forma de	
7 Desprivatize-democratize knowledge			ahora, a muchos de esos proyectos de investigación					
8 Knowledge transfer-education			desde la perspectiva de una facultad como la	para mi es fundamental porque es la forma que tiene	esta muy metido el tema más como de difundir, más que de	hay distintos. yo he visto también eso, o sea, y yo creo que aquí	yo mas que explicarlo como la extensión universitaria, yo	en terminos de universidad, la, cada
9 Positioning				que está haciendo, de que la comunidad se				
10 Marketing						hay distintos. yo he visto también eso, o sea, y yo creo que aquí	las dos cosas, pero eso es algo que o sea, para mi es imperativo	yo diria que recién la universidad tiene una
11 Service			perspectiva de una facultad como la	manda a colegios, municipalidades,	extensión actualmente en qué se	hace algunos anios una visión un poco más	continua tiene que ser un eje, no puede ser solo	discutiendo también en la comisión de

Appendix 17: Regrouping themes

RQ1: What are the reasons for a process of reappraisal of public engagement at University One?

Impetus for Public Engagement
The university mission's fulfilment
National and local debate about the role of Higher Education
Students as drivers of change
Accreditation and research funds

Barriers for public engagement
Lack of valorisation
Scarcity of funding and structure
Lack of clarity about concepts

RQ.3: To what extent are the outcomes of the reappraisal process satisfying the needs and expectations of stakeholders?

Goals and perceived significance of engagement
Influencing, helping and transforming society
Defining the role of the university
Knowledge exchange
Utilitarian purpose of community relations

Influence public policy
Helping community
Transformation

Knowledge transfer
Knowledge co-creation

Marketing
Paid services

Partners in engagement
Civil society
Public sector
Disadvantaged
Media
Schools
Private sector

Process of engagement
One-way
Two-way
Long-term
Short-term

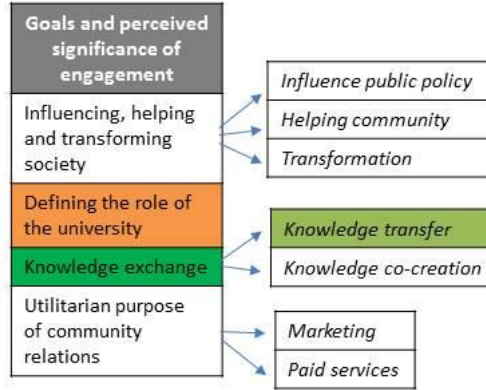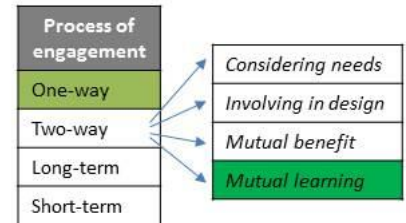| |
| --- |
| Considering needs |
| Involving in design |
| Mutual benefit |
| Mutual learning |

Appendix 18: Regrouping themes

RQ1: What are the reasons for a process of reappraisal of public engagement at University One?

Impetus for Public Engagement

- The university mission's fulfilment
- National and local debate about the role of Higher Education
- Students as drivers of change
- Accreditation and research funds

Barriers for public engagement

- Lack of valorisation
- Scarcity of funding and structure
- Lack of clarity about concepts

RQ.3: To what extent are the outcomes of the reappraisal process satisfying the needs and expectations of stakeholders?

Goals and perceived significance of engagement

Influencing, helping and transforming society
- *Influence public policy*
- *Helping community*
- *Transformation*

Knowledge exchange
- *Knowledge transfer*
- *Mutual learning*
- *Knowledge co-creation*

Utilitarian purpose of community relations
- *Marketing*
- *Paid services*

Partners in engagement

- Civil society
- Public sector
- Disadvantaged
- Media
- Schools
- Private sector

Process of engagement

- One-way
- Two-way
- Long-term
- Short-term

- *Considering needs*
- *Involving in design*
- *Mutual benefit*
- *Mutual learning*
- *Co-creation*