



ECONOMIC ENGAGEMENT FRAMEWORK

Assessment Tools

for Examining the Role of Universities
in Economic Development

MAY 2014

KNOW • MEASURE • TELL • ENGAGE

Acknowledgements

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The APLU CICEP Assessment Tools Working Group

The following individuals participated in activities of the Assessment Tools working group at various times from 2007 through 2012, when the bulk of the development work on the Assessment Tools was completed. Institution and organization names reflect individuals' affiliation at the time of their work on the APLU CICEP Assessment Tools working group.

This list of acknowledgements is duplicated on the APLU web site, and we will endeavor to update affiliation information as we receive information. Please send updated affiliations to cicep@aplu.org.

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About APLU

The Association of Public and Land-grant Universities (APLU) is a research, policy, and advocacy organization representing 235 public research universities, land-grant institutions, state university systems, and affiliated organizations. Founded in 1887, APLU is North America's oldest higher education association with member institutions in all 50 states, the District of Columbia, four U.S. territories, Canada, and Mexico. Annually, APLU member campuses enroll 4.7 million undergraduates and 1.3 million graduate students, award 1.1 million degrees, employ 1.3 million faculty and staff, and conduct \$41 billion in university-based research.

APLU's membership includes 204 campuses and 25 university systems, including 75 U.S. land-grant institutions. The association's membership includes 23 historically black colleges and universities (HBCUs), of which 21 are land-grant institutions (19 under the 1890 Morrill Act, 2 under the 1862 Morrill Act). In addition, APLU represents six related higher education organizations, including the American Indian Higher Education Consortium (AIHEC), which serves the interests of the nation's 33 American Indian land-grant colleges.

In 1963, the American Association of Land-Grant Colleges and Universities merged with the National Association of State Universities to form the

Founded in 1887, APLU is North America's oldest higher education association, with member institutions in all 50 states, the District of Columbia, four U.S. territories, Canada, and Mexico.

National Association of State Universities and Land-Grant Colleges. On March 30, 2009, the association adopted the name Association of Public and Land-grant Universities or APLU (the name of each letter is pronounced).

Today, APLU is dedicated to advancing learning, discovery and engagement. The association provides a forum for the discussion and development of policies and programs affecting higher education and the public interest.

Learn more about APLU at www.aplu.org.

About CICEP

APLU's Commission on Innovation, Competitiveness, and Economic Prosperity (CICEP) was created to help leaders of APLU member universities—including presidents and chancellors, senior research officers, provosts, other officers and their staffs—plan, assess, and communicate their institutions' work in local and regional economic development. CICEP's Strategic Framework is built around four areas of work:

ECONOMIC ENGAGEMENT LEADERSHIP.

CICEP leads APLU efforts to promote, facilitate, support, and communicate about university economic engagement.

NATIONAL RESOURCE. CICEP is a nationally recognized resource for sharing best practices in economic engagement among public research universities' officers and their teams. Themes for best practices include leadership engagement, innovation, entrepreneurship, technology transfer, commercialization, education and talent development, and cultivation of place in regions. CICEP also coordinates development of new tools and resources for public research universities to better measure their activities and contributions to the local, state, regional, and national economy.

CONVENER OF PARTNERSHIPS. CICEP acts as a key convener and collaborator to develop strong connections and partnerships among leadership of APLU member universities and with external partners from industry, government, and

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other science, research, and economic development focused organizations.

COMMUNICATION STRATEGIES.

In consultation with university leaders and staff members responsible for economic engagement efforts, CICEP develops communication strategies to bring greater clarity and visibility to university economic development work. Strategies emphasize deepening industry, government, and public commitment to our universities and their role in economic prosperity.

Learn more about CICEP at www.aplu.org/CICEP.

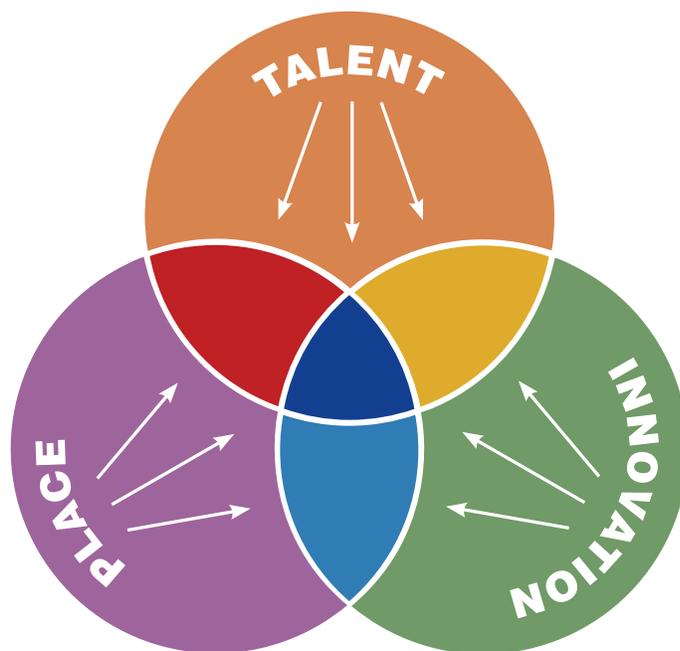
University Contributions to the Economy

TOWARD A TAXONOMY

APLU's Commission on Innovation, Competitiveness, and Economic Prosperity (CICEP) views university contributions to the economy across a spectrum of activity—from educating students and creating the talent necessary for the 21st century workforce to developing innovation ecosystems and entrepreneurship, to enhancing social, cultural and community development. University contributions across this spectrum are summarized in the diagram below as Talent, Innovation, and Place. Note the arrows in the diagram, meant to communicate our belief that working toward the areas of overlap leads to a higher scale of impact of university economic engagement activity.

CICEP is interested in developing a taxonomy to describe the array of university economic engagement efforts. The top-level categories for this taxonomy would be the three circles in the diagram. Four additional categories would be named for each of the areas of overlap (talent + innovation, innovation + place, place + talent, and talent + innovation + place). We hope to include a complete version of the taxonomy in a future version of this publication. Meanwhile, we welcome your ideas and input on this taxonomy.

Visit www.aplu.org/CICEPtaxonomy to review drafts of the taxonomy as we develop it, and to provide input on the taxonomy through a brief web-based survey.



The CICEP Economic Engagement Framework

The assessment tools make up one part of a wider set of tools that has been developed by CICEP. Some of these tools are available now and others are still under development. As the Commission disseminates these tools and receives feedback, we will continue to re-design and develop as appropriate.

Please be sure to visit the CICEP Economic Engagement Framework web page at www.aplu.org/CICEPframework to provide us your feedback on the assessment tools and the other Economic Engagement Framework tools.

Know, Measure, Tell, Engage

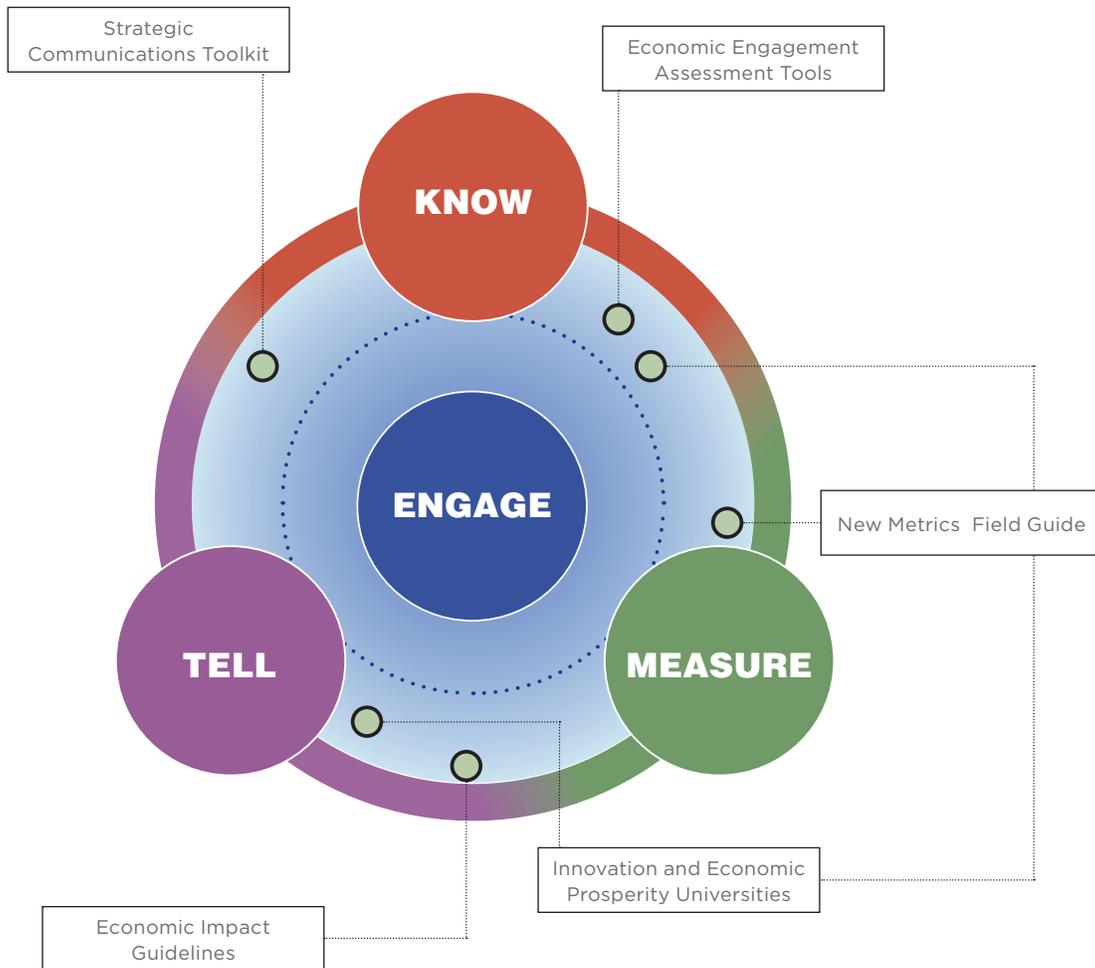
APLU's member institutions are increasingly being asked to demonstrate their economic value and relevance. Among those APLU members participating in CICEP, we frequently hear that we simply do not do a good enough job in telling our story. We are so focused on carrying out the learning, discovery, and engagement missions of our institutions that we do not take the time to frame our contributions in terms of the economy and a larger socioeconomic context.

CICEP has been working for the last number of years on developing several tools in an attempt to help universities focus efforts not only on telling their economic engagement story well, but also growing, improving, and advancing their economic engagement enterprise and thereby accelerating economic development in their regions, nationally,

Universities focus their efforts not only on telling their economic engagement story well, but also growing, improving, and advancing their economic engagement enterprise.

and globally. The framework has at its core four simple ideas:

- 1) institutions should **KNOW** what they're doing well and what they need to improve with regard to economic engagement;
- 2) institutions should be able to **MEASURE** the extent to which they are engaged;
- 3) institutions should be able to **TELL** the story of their contributions to economic development, and
- 4) institutions must **ENGAGE** with external stakeholders throughout the processes of knowing, measuring, and telling in order for their contributions to have meaningful impact.



The suite of tools in the CICEP Economic Engagement framework helps each of these aspects—Know, Measure, Tell, and Engage. Examples:

- The Assessment Tools (www.aplu.org/CICEPAssessmentTools), for example, help leaders understand (**KNOW**) their university’s strengths across a set of about 40 characteristics of economically engaged universities, and where improvements can be made. University leaders can build on this knowledge by setting priorities and planning further engagement.
- The CICEP New Metrics Field Guide (www.aplu.org/CICEPNewMetrics) can help leaders identify the right measures and indicators to gauge the success of their economic engagement (**MEASURE**) and also helps them communicate (**TELL**) their story.

More information about each of the tools, and where they fit in the framework, is included below.

- As mentioned above, the Economic Engagement Assessment Tools (www.aplu.org/CICEPAssessmentTools), comprising about 40 characteristics, help universities assess their own performance, and also provide opportunities for external stakeholders to provide input, regarding the university's economic engagement.
- The CICEP New Metrics Field Guide (www.aplu.org/CICEPNewMetrics) helps economic engagement leaders identify the right measures and indicators to use in evaluating the success of their economic engagement.
- The Economic Impact Guidelines (www.aplu.org/CICEPImpactGuide) offer ideas about the best approach to assessing the economic impact of universities, with an emphasis on the use of input-output models, and can be employed in conjunction with a discussion on broader impacts.
- The Strategic Communications Toolkit (www.aplu.org/CICEPCommunications) provides resources to help economic engagement leaders work with university strategic communications, community relations, and

government relations offices to shape messages about the university's contributions to the economy, and to deliver those messages to key audiences.

- APLU's new Innovation and Economic Prosperity Universities designation and awards program (www.aplu.org/IEPUniversities) has become the primary dissemination mechanism for the CICEP Economic Engagement Framework, and participation in the program is in itself a tool that universities can use in knowing, measuring, telling, and engaging. Participating universities can make use of other tools as part of an economic engagement self-study, and also demonstrate engagement with external stakeholders on key issues.

All these tools help universities understand the institution's accomplishments in economic engagement, identify areas for improvement, and communicate it effectively with various stakeholders.

We encourage you to visit the CICEP web site (www.aplu.org/CICEP) and explore the tools in the framework more closely.

Which Tools?

The tools included in the CICEP Economic Engagement Framework work well when used together as part of a larger set of university efforts to define, plan, assess, and communicate about economic engagement efforts. They also work well as stand-alone tools to help you focus on a specific goal. Here are some scenarios that might sound like your institution, and recommended tools.

Our university is still figuring out what we mean by “economic engagement,” and trying to get a handle on all of the things that we do with regard to contributing to regional and national economic development.

- **ECONOMIC ENGAGEMENT ASSESSMENT TOOLS.** Use the self-study tool to engage people from across the campus who are involved in economic engagement; use the categories in the tool and responses on the “performance” scale to guide decisions about priority focus areas.
- **NEW METRICS FIELD GUIDE.** Use the field guide to find measures and metrics that might align with the kinds of contributions your institution is making or would like to make. Begin conversations among the appropriate departments on campus about what data are already available for the measures of interest, and what will be required to begin and maintain data collection where necessary.
- **INNOVATION AND ECONOMIC PROSPERITY UNIVERSITIES DESIGNATION PROGRAM.** We have found that institutions benefit from a structured program that requires a self-study on economic engagement to catalyze interest on campus. Participation in the IEP Universities designation program can be such a catalyst.

We have a pretty well defined economic engagement enterprise—we know what we’re doing but we want to get a better handle on how well we’re doing it, and we want to set some goals for improvement.

- **NEW METRICS FIELD GUIDE.** Use the field guide to find measures and metrics that might align with the kinds of contributions your institution is making. Prioritize campus efforts to collect data on these measures. Set goals for improving institutional measures.
- **ECONOMIC IMPACT GUIDELINES.** Perhaps your institution is planning to undertake an economic impact study, and the Economic Impact Guidelines provide expert help for such an undertaking. Even if you’re not planning to undertake a study, however, the Guidelines can help your institution identify the kinds of impact the university is having, and consider ways to best measure these impacts.
- **INNOVATION AND ECONOMIC PROSPERITY UNIVERSITIES DESIGNATION PROGRAM.** Again, the structured IEP Universities designation program requiring a self-study on economic engagement can help focus institutional efforts on identifying areas of impact and considering appropriate measures.

Our university needs to better understand what our external stakeholders are looking for from us with regard to economic engagement, what they think we’re doing well, and what priorities we should establish moving forward.

- **ECONOMIC ENGAGEMENT ASSESSMENT TOOLS.** Use the stakeholder input tool to find out what your external stakeholders think about your institution’s economic engagement efforts. Find out what your external stakeholders think the university is doing well, and also what they think should be the main priorities.
- **INNOVATION AND ECONOMIC PROSPERITY UNIVERSITIES DESIGNATION PROGRAM.** The IEP Universities designation program requires stakeholder engagement as part of the application preparation process. Use this program as an opportunity to plan and implement some focused stakeholder engagement around these issues.

- As mentioned above, the Economic Engagement Assessment Tools (www.aplu.org/CICEPAssessmentTools), comprising about 40 characteristics, help universities assess their own performance, and also provide opportunities for external stakeholders to provide input, regarding the university's economic engagement.
- The CICEP New Metrics Field Guide (www.aplu.org/CICEPNewMetrics) helps economic engagement leaders identify the right measures and indicators to use in evaluating the success of their economic engagement.
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We encourage you to visit the CICEP web site (www.aplu.org/CICEP) and explore the tools in the framework more closely.

Background

CICEP has created two assessment tools to help universities better understand their roles in creating regional innovation and prosperity. The tools encourage institutions to examine policies and practices that enhance their impact on regional economic development by reviewing 40 different characteristics of an “economically engaged” institution across seven principles. The **INSTITUTION SELF-STUDY TOOL** is designed to help universities assess these characteristics through a survey of *internal* perspectives—administrators, faculty, staff, etc. The second instrument is the **STAKEHOLDER INPUT TOOL**, created to gather *external* perspectives on an institution’s demonstration of the economic engagement characteristics.

The seven principles of economic engagement suggested by these tools are:

- The institution **ENGAGES AND ASSERTS INSTITUTIONAL LEADERSHIP.**
- The institution **CREATES A SUPPORTIVE CULTURE.**
- The institution **ENSURES THAT UNIVERSITY ACTIVITIES BENEFIT THE PUBLIC.**
- The institution **CONTRIBUTES TO THE DEVELOPMENT OF AN INNOVATION ECONOMY.**
- The institution **PROVIDES RELEVANT EDUCATIONAL OPPORTUNITIES AND PROGRAMS.**
- The institution **PROMOTES OPENNESS, ACCESSIBILITY, AND RESPONSIVENESS.**
- The institution **COMMUNICATES CONTRIBUTIONS, SUCCESSES, AND ACHIEVEMENTS THAT BENEFIT THE REGION.**

Both of the tools were developed through extensive consultation with university experts in economic development, technology transfer, research, engagement and outreach, academic affairs, and continuing education. The tools have been vetted through pilot testing, feedback sessions at CICEP summer meetings, program sessions at the APLU Annual Meeting, and use by institutions participating in the Innovation and Economic Prosperity Universities program.

What you can do with these tools

Both the internal and external tools can be adapted to reflect individual university cultures and contexts, and can be used to answer questions specific to individual university needs. They are not intended to be standardized assessments or ‘report cards’ on performance; nor do they represent a “gold standard” to which all institutions should aspire.

APLU members are encouraged to use these tools to:

- Explore their institutional culture vis-à-vis innovation and engagement in economic development
- Generate discussion about potential modifications to policies and practices
- Initiate conversation about strategies for enhancing the university's positive impact on internal and external constituents
- Build on and supplement other campus assessments and measures and enhance constituent understanding of what the university does
- Improve the metrics and measures a university uses to document and explain its roles

We would like to see how you have adapted these tools and hear about your results. See page 9 for information about providing feedback.

How to Use the Institution Self-Study Tool

Understanding its purpose

Before beginning work with the Institution Self-Study Tool, it is important for the administering person/group to know the answers to these questions:

- What is our purpose in working with the Institution Self-Study Tool? (see some suggestions below)
- What do we want to know about our institution's role in economic development?
- How will we or others at the university use the results? Who at the university should receive the survey?
- What are the best ways to distribute the survey? (e.g., email, online, group discussions, focus group, etc.)
- What will be the steps we take to translate our findings into the institutional use we identified above?

Asking the right questions

What kinds of purposes might universities define for engaging with the Institution Self-Study Tool? Some examples include:

- **RAISING INSTITUTIONAL AWARENESS**—A university may be newly engaged in or focused on economic development. This tool can help a campus understand the facets of such engagement and think through the implications for the university.
- **ASSESSING INSTITUTIONAL CAPABILITIES AND ASPIRATIONS**—Perceptions about a university's capabilities and goals vis-à-vis economic engagement typically vary across campus. Successful change initiatives begin with an examination of culture, attitudes, and levels of knowledge and awareness.
- **ENGAGING KEY INTERNAL STAKEHOLDERS**—The self-study exercise can create an occasion for people from across the campus with different perspectives and experiences to come together to explore university and regional economic engagement issues.

- **PLANNING**—The tool may be incorporated into strategic, tactical, or operational planning by developing baseline data, setting benchmarks, or engaging people in planning or goal-setting processes.

Identifying the audience

After you have identified your motives and the questions you seek to answer, your next step is to identify participants for the self-study exercise:

- **ALIGN YOUR AUDIENCES WITH SPECIFIC GOALS.** Different campus communities will have different levels of knowledge about economic engagement. By matching discreet participant groups with specific goals, the self-study exercise will generate data that is more useful and relevant. If the exercise is being used to develop a tactical or strategic plan, for example, the audience should have a higher level of knowledge about the institution's economic engagement activities.
- **CUSTOMIZE SELF-STUDY INTRODUCTIONS TO EACH DISTINCT AUDIENCE.** Explain what the tool is, why it is being used, and what the university hopes to learn from it in language that resonates with each discrete participant group.
- **DO NOT HESITATE TO MODIFY THE TOOL BASED ON INDIVIDUAL UNIVERSITY NEEDS.** APLU encourages any adjustments that will enhance the effectiveness of the assessment exercise. In some instances, adding free-text response fields or referencing specific campus programs may be useful. To aid your modification of the surveys, making it easier to cut and paste survey questions, a Microsoft Word version of the surveys is available at www.aplu.org/DownloadCICEPAssessmentToolsWord.

Distributing the tool and collecting responses

The survey can be administered through a variety of formats, including in-person interviews, group completion/discussions, online, or mail-in forms. The most appropriate means of dissemination may depend on your recipients' familiarity with web-based tools. Consideration should also be given to who will administer the toolkit exercise and who will analyze collected data.

Handling and sharing results

Universities are encouraged to think through who will see the results, in what form (e.g., aggregated/ disaggregated), and how those results will be analyzed BEFORE administering the survey.

Discussion of the results will be more productive if that conversation is guided by the university's original set of questions. It is not unusual to find a wide range of responses to survey results, and it will be important to choose discussion leaders who can accurately and respectfully represent those divergent perspectives.

Choosing data to be collected

To maximize your assessment, we recommend that you collect data related to your institution's economic engagement in addition to the responses to this survey.

Data institutions might consider include:

- Transactional data—patents, licenses, start-ups, licensing revenue
- Funding data by source
- Engagement data—outreach and extension activities
- Numbers, types and repetition of industry relationships
- Numbers of student internships/placements in local/regional companies
- Numbers and types of local companies represented at career fairs
- Distance/continuing education relationships with local/regional companies; numbers of students served

Consider using the CICEP New Metrics—a set of recommended measures universities might use in communicating their contributions to regional economies. More information about the CICEP New Metrics can be found at www.aplu.org/CICEPNewMetrics.

Using multiple measures that can be benchmarked quantitatively will improve university efforts to evaluate economic engagement.

How to Use the Stakeholder Input Tool

Understanding its purpose

Like the Institution Self-Study Tool, the Stakeholder Input Tool covers a broad spectrum of institutional activity, some of which may not be relevant to every institution. It is aimed at a diverse group of external stakeholders, not all of whom will have complete knowledge of every topic. Still, with appropriate consideration of target audience and question selection, any institution can use the external tool to improve its effectiveness in several key areas:

- **ESTABLISHING A COMMON LANGUAGE**—By inviting external stakeholders into discussions about university economic engagement activities, institutions are compelled to refine the language by which they describe their roles in regional innovation and economic development. Through the Stakeholder Input Tool, universities will learn what is most important to stakeholders, and how best to talk about university contributions. Development of this common language is especially important in a time of rising expectations about university participation in regional economic development.
- **ESTABLISHING PRIORITIES**—Administering the Stakeholder Input Tool provides an opportunity for universities to learn which activities are most important to key stakeholders. Community engagement, business engagement, and outreach to non-profits are three examples of general headings under which universities participate in regional economic development. Incorporating external priorities with internal aspirations helps focus institutional planning.
- **EARNING VALIDATION**—The tool can validate the institution's claims regarding its contributions to economic engagement in accreditation processes that include engagement criteria. It can also demonstrate a university's economic development role to legislators, granting agencies, regional businesses, donors, and the general public.

Asking the right questions

Universities planning to deploy the Stakeholder Input Tool must first develop a clear understanding of what they want to know, why they want to know it, and how they intend to share and use their findings. This will determine who should receive the external assessment tool survey and by what means (email, online, focus group, etc.)

Among an institution's potential motives for using the external assessment tool are the following:

- **RAISING INSTITUTIONAL AWARENESS**—A university may be newly engaged in or focused on economic development. This tool can help a campus understand the facets of such engagement and think through the implications for the university.
- **ASSESSING REGIONAL AND UNIVERSITY ASSETS AND NEEDS**—Perceptions about a region’s economic development needs and assets, and how these align with the university’s, vary across stakeholders in the region. Successful change initiatives begin with an examination of culture, attitudes, and levels of knowledge and awareness.
- **ENGAGING KEY STAKEHOLDERS**—The stakeholder input exercise can create an occasion for people with different perspectives and experiences to come together to explore regional economic development issues.
- **PLANNING**—The tool may be incorporated into strategic, tactical, or operational planning by developing baseline data, setting benchmarks, or engaging people in planning or goal-setting processes.

Identifying the audience

After you identify your motives and the questions you seek to answer, your next step is to identify participants for the stakeholder input exercise. The Stakeholder Input Tool was designed for key external participants familiar with institutional engagement initiatives who can evaluate an institution’s performance on a reasonable portion of the characteristics being covered. Advice for exploring and defining your audience follows:

- **ALIGN YOUR AUDIENCES WITH SPECIFIC GOALS.** Different external stakeholders will have different levels of knowledge about economic engagement. By matching discrete participant groups with specific goals, the stakeholder input exercise will generate data that is more useful and relevant. If the exercise is being used to develop a tactical or strategic plan, for example, the audience should have a higher level of knowledge about the institution’s economic engagement activities.
- **CUSTOMIZE STAKEHOLDER INPUT TOOL INTRODUCTIONS TO EACH DISTINCT AUDIENCE.** Explain what the tool is, why it is being used, and what the university hopes to learn from it in language that resonates with each participant group.
- **DO NOT HESITATE TO MODIFY THE TOOL** based on individual university and regional needs. APLU encourages any adjustments that will enhance the effectiveness of the external input exercise. In some instances, adding additional free-text response fields or referencing specific campus programs may be useful. To aid your modification of the surveys, making it easier to cut and paste survey questions, a Microsoft Word version of the surveys is available at www.aplu.org/DownloadCICEPAssessmentToolsWord.

Distributing the tool and collecting responses

The survey can be administered through a variety of formats, including in-person interviews, group completion/discussions, online, or mail-in forms. The most appropriate means of dissemination may depend on your recipients' familiarity with web-based tools. Consideration should also be given to who will administer the toolkit exercise and who will analyze collected data.

Handling and sharing results

Universities are encouraged to think through who will see the results, in what form (e.g., aggregated/disaggregated), and how those results will be analyzed BEFORE administering the survey.

Consider holding follow-up sessions with respondents, campus officials, external stakeholders, and the news media. Discussion of the results will be more productive if that conversation is guided by the university's original set of questions. It is not unusual to find a wide range of responses to survey results, and it will be important to choose discussion leaders who can accurately and respectfully represent those divergent perspectives.

Choosing data to be collected

To maximize your assessment, we recommend that you collect data related to your institution's economic engagement in addition to the responses to this survey.

Data institutions might consider include:

- Transactional data—patents, licenses, start-ups, licensing revenue
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- Distance/continuing education relationships with local/regional companies; numbers of students served

Consider using the CICEP New Metrics—a set of recommended measures universities might use in communicating their contributions to regional economies. More information about the CICEP New Metrics can be found at www.aplu.org/CICEPNewMetrics.

Using multiple measures that can be benchmarked quantitatively will improve university efforts to evaluate economic engagement.

Sharing your Experience with APLU/CICEP

Your institutional experience with either/both the Institution Self-Assessment Tool or/ and the External Input Tool is critical to expanding our shared knowledge about assessing economic engagement and improving the survey instruments. Please visit www.aplu.org/CICEPAssessmentTools to take a brief survey and provide input. The survey asks about:

- Your institution's purposes in using the tool and the motivating questions
- Your evaluation of the tool's usefulness
- A description of how the tool was administered and how the results were both collected and used
- Explanation for any modifications made to the tool
- The specific audiences defined for receiving the tool and the quality of responses received from recipients outside the institution
- How the results were presented and distributed and to whom
- How the results were analyzed, discussed, and used
- Willingness of the institution to share presentations of the data with the APLU staff
- Recommendations for improving the tool
- Input on other quantitative or qualitative data the institution used or gathered to supplement or enhance its findings from the tool

Surveys

There are many different ways in which universities make an impact on regional economic development. Taken together, these activities comprise a footprint that institutions can evaluate to determine how well they are serving the economic development needs of a region. On the pages that follow, some of the listed characteristics speak to the cultural impact of public colleges and universities. Others focus on structural elements such as the existence of specific positions, programs or offices that facilitate partnerships with the external community. Still others relate to the interface between universities and communities, and require an understanding of the synergistic relationship between the local university and regional economic development. These latter aspects are premised on the existence of a reciprocal relationship with the external community, recognizing its contributions and respecting its knowledge and perspective.

An institution may be economically engaged without demonstrating all of the characteristics listed in this document. These tools do not attempt to capture every possible issue or topic related to an institution's role in regional economic development. Therefore, institutions are encouraged to use this document as a checklist or guide to stimulate conversations on campus and inject economic development objectives into the university strategic planning process.

A university conducts its economic development work in a geographic footprint. Sometimes we refer to this geographic footprint as community or region, or we modify it with words like local, state, national, or international to help clarify the geographic area being served. This document will use the word 'community' to define the geographic area being served, recognizing that the service area specified for or assumed by the institution (i.e., the city, county, region, state(s), nation, or world) varies by institution and by the specific program or economic development activity. Similarly, the term "economic engagement" has various interpretations across the higher education community. Its use in this tool is meant to help guide campus conversations, not prescribe a particular view of how an institution defines its contributions to its community.

Institutional Self-Study Survey

EXAMINING CHARACTERISTICS THAT MIGHT HELP US BECOME THE BEST POSSIBLE PARTNER IN REGIONAL ECONOMIC GROWTH AND DEVELOPMENT

To aid your modification of the surveys, making it easier to cut and paste survey questions, a Microsoft Word version of the surveys is available at www.aplu.org/DownloadCICEPAssessmentToolsWord.

Which *best* describes the role/perspective from which you are completing this survey?

- | | |
|--|--|
| <input type="radio"/> Technology Transfer | <input type="radio"/> Financial Administration |
| <input type="radio"/> Economic Development, Outreach | <input type="radio"/> Investigator/Researcher |
| <input type="radio"/> Academic Administration | <input type="radio"/> Inventor |
| <input type="radio"/> Government Relations | <input type="radio"/> Faculty |
| <input type="radio"/> Research Administration | <input type="radio"/> Other—please specify:
_____ |

What organizational level *best* describes your position within the institution?

- | | |
|--|---|
| <input type="radio"/> Senior Administrator (President or Chancellor; Cabinet Member) | <input type="radio"/> Non-Tenured Faculty |
| <input type="radio"/> Director of Division, Office, or Center | <input type="radio"/> Staff (non-faculty) |
| <input type="radio"/> Tenured Faculty | |

Each item on this instrument is measured on two dimensions:

- How *important* is this characteristic to the *institution's role* in regional economic development?

RESPONSE SCALE:

Importance: 1 = not at all important; 4 = neutral; 7 = very important; NA = no basis for judgment

- How well is the institution performing on this characteristic?

RESPONSE SCALE:

Performance: 1 = poorly; 4 = neutral; 7 = very well; NA = no basis for judgment

If you have no knowledge of an institution's performance on a characteristic, or its importance to the institution's role in regional economic development—or if you do not have sufficient information to form an opinion—then please indicate NA for the characteristic.

	How important is this characteristic to the institution's role in regional economic development? 1 = not at all important 4 = neutral 7 = very important NA = no basis for judgment	How well is the institution performing on this characteristic? 1 = poorly 4 = neutral 7 = very well NA = no basis for judgment
Characteristic	Importance	Performance
A. The institution engages and asserts institutional leadership by:		
1. emphasizing contributions to economic growth as one of its priorities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. working alongside <i>business and community leaders</i> to identify actionable economic growth priorities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. working alongside government officials to determine actionable economic growth priorities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. aligning (where appropriate) the institution's key research assets with the strengths and needs of regional industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
5. aligning (where appropriate) the institution's key research strengths with economic development priorities of government and community leaders in the region and/or state.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
6. actively engaging senior campus leadership in regional economic growth initiatives.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA

Characteristic	Importance	Performance
B. The institution creates a supportive culture by:		
1. recognizing—through promotion and tenure and/or other reward systems, and on par with other forms of scholarly work—faculty involvement in an array of economic development activities, community partnerships, and business assistance.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. actively promoting faculty research collaborations with industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. making available cooperative research centers and/or laboratory facilities to external partners.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. supporting consulting/exchange programs for faculty that foster personal interactions between the university and community partners.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
5. promoting interdisciplinary and/or inter-/intra-institutional responses to problem-solving for community or industry needs.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
6. implementing efficient procedures for securing contracts, licenses, and other agreements with industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
7. educating faculty regarding opportunities and benefits related to participation in regional economic development activities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
8. promoting linkages between faculty and regional companies seeking access to expertise, and working to simplify and accelerate connections.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
C. The institution ensures that university activities benefit the public by:		
1. seeking partnerships with government at federal, state, and local levels to create and attract new businesses and industry clusters.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. maintaining technology transfer capacity for licensing/patenting university discoveries.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. contributing to an infrastructure that supports early-stage innovation and entrepreneurship (i.e., proof-of-concept, R&D, pilot facilities, venture capital, startup and spin-out businesses).	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. working with regional leaders to capitalize on the university's cultural and athletic activities to cultivate a dynamic local environment to attract a highly-skilled workforce.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
D. The institution contributes to the development of an innovation economy by:		
1. Fostering public-private partnerships and programs, including those with national laboratories and local and regional industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. maintaining technology transfer capacity for licensing/patenting university discoveries.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA

Characteristic	Importance	Performance
3. identifying and tracking statutes, mandates, and governmental policies related to economic development, and informing colleagues and partners of relevant issues.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. partnering with community members to define public and private investments that catalyze economic and innovative growth.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
5. analyzing local and regional industry studies and data to inform decision-making regarding university research, education, and outreach/engagement efforts.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
6. developing partnerships with government at federal, state, and local levels to retain and grow existing businesses.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
7. enhancing small business development with supportive programs (i.e., seed funding, incubators, technical assistance, etc.).	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
8. connecting economic actors across organizational boundaries to facilitate collaborations that otherwise might not occur.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
E. The institution provides relevant educational opportunities and programs by:		
1. creating a culture of entrepreneurship across the institution, including training and mentoring opportunities for students and faculty.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. supporting alignment of traditional undergraduate curricula across disciplines with 21 st century workplace skills development.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. delivering courses and programs in a manner flexible enough to enable students and community workforce members to update their skills and credentials.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. supporting alignment of graduate and continuing education curricula with needs of industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
5. providing structured experiential learning opportunities to students through innovative internships and co-op experiences across a wide range of academic programs.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
6. ensuring that career/recruiting services highlight professional opportunities in the region.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
7. aligning (where appropriate) education and talent development (undergraduate and graduate; degree, certificate, and continuing education) programs with regional needs.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
F. The institution promotes openness, accessibility, and responsiveness by:		
1. maintaining user-friendly portals and web sites to search for faculty and staff expertise and R&D facilities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. designating one entity as a first point of contact for industry and economic development agencies.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA

Characteristic	Importance	Performance
3. developing structure and networks (e.g. advisory groups, forums) to facilitate interactions among key university personnel and the region's major economic actors.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. facilitating a respectful civic discourse and contributing to community understanding of complex issues.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
G. The institution communicates contributions, successes, and achievements that benefit the region by:		
1. broadly disseminating information about university-community and university-industry collaborations.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. reporting impact of contributions to regional innovation and economic growth to local and regional stakeholders.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA

Stakeholder Input Survey

EXAMINING CHARACTERISTICS THAT MIGHT HELP OUR INSTITUTION BECOME THE BEST POSSIBLE PARTNER IN REGIONAL ECONOMIC GROWTH AND DEVELOPMENT

To aid your modification of the surveys, making it easier to cut and paste survey questions, a Microsoft Word version of the surveys is available at www.aplu.org/DownloadCICEPAssessmentToolsWord.

Which of the following *best* describes the organizational perspective from which you are completing this survey?

- Business owner, manager, entrepreneur (e.g., Manufacturing, Professional services, Retail goods/services, Service industry, R&D, Agribusiness)
- Community agency (e.g., Workforce development, Economic development, Small business development, Chamber of Commerce)
- Not-for Profit (e.g., Non-governmental organization, Community organization)
- Foundation or Charitable Organization
- Government; Local, Regional, State, Federal (e.g., Policy, program, or political staff, Regional/community development, National Laboratory, Tribal government)
- Education (e.g., Community college, Public 4-year institution, Private 4 year institution, K-12, Tribal college)
- Individual (Not affiliated with any particular organization)

Which of the following *best* describes your position within the category above?

- Elected official
- Manager/Department head
- President/Director/Owner/CEO
- Staff member
- Board member
- Community volunteer
- Individual

What is the size of your organization?

- Fewer than 10 employees
- 10 – 30 employees
- 31 – 100 employees
- 101 – 500 employees
- 501 – 1000 employees
- More than 1000 employees

Please indicate which of the following relationships you have with the University (check all that apply).

- Research collaborator
- Funder of university research
- Vendor
- Customer or client
- Partner on economic and economic development policy issues
- Community or charitable partner
- Technology licensee
- Employer of students or alumni
- Personal ties (alum, parent)
- Donor
- Consult with faculty

Each item on this instrument is measured on two dimensions:

- How *important* is this characteristic to the *institution's role* in regional economic development?

RESPONSE SCALE:

Importance: 1 = not at all important; 4 = neutral; 7 = very important; NA = no basis for judgment

- How well is the institution performing on this characteristic?

RESPONSE SCALE:

Performance: 1 = poorly; 4 = neutral; 7 = very well; NA = no basis for judgment

If you have no knowledge of an institution's performance on a characteristic, or its importance to the institution's role in regional economic development—or if you do not have sufficient information to form an opinion—then please indicate NA for the characteristic.

	How important is this characteristic to the institution's role in regional economic development? 1 = not at all important 4 = neutral 7 = very important NA = no basis for judgment	How well is the institution performing on this characteristic? 1 = poorly 4 = neutral 7 = very well NA = no basis for judgment
Characteristic	Importance	Performance
A. The institution engages and asserts institutional leadership by:		
1. emphasizing contributions to economic growth as one of its priorities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. working alongside <i>business and community leaders</i> to identify actionable economic growth priorities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. working alongside government officials to determine actionable economic growth priorities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. assessing the strengths and needs of regional industry and aligning the institution's key research assets with these strengths and needs.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
5. working with government and community leaders in the region and/or state to identify economic development priorities and aligning key research strengths with these priorities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
6. actively engaging senior campus leadership in regional economic growth initiatives.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA

Characteristic	Importance	Performance
B. The institution creates a supportive culture by:		
1. recognizing and promoting faculty and staff involvement in an array of economic development activities, community partnerships, and business assistance.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. actively promoting faculty research collaborations with industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. making available cooperative research centers and/or laboratory facilities to external partners.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. supporting consulting/exchange programs for faculty that foster personal interactions between the university and community partners.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
5. promoting problem-solving for community or industry needs.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
6. implementing efficient procedures for securing contracts, licenses, and other agreements with industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
7. ensuring that faculty are knowledgeable about opportunities and benefits related to participation in regional economic development activities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
8. promoting linkages between faculty and regional companies seeking access to expertise, and working to simplify and accelerate connections.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
C. The institution ensures that university activities benefit the public by:		
1. seeking partnerships with government at federal, state, and local levels to create and attract new businesses and industry clusters.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. maintaining technology transfer capacity for licensing/ patenting university discoveries.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. contributing to an infrastructure that supports early-stage innovation and entrepreneurship (i.e., proof-of-concept, R&D, pilot facilities, venture capital, startup and spin-out businesses).	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. working with regional leaders to capitalize on the university's cultural and athletic activities to cultivate a dynamic local environment to attract a highly-skilled workforce.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
D. The institution contributes to the development of an innovation economy by:		
1. Fostering public-private partnerships and programs, including those with national laboratories and local and regional industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. maintaining technology transfer capacity for licensing/ patenting university discoveries.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. identifying and tracking statutes, mandates, and governmental policies related to economic development, and informing colleagues and partners of relevant issues.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. partnering with community members to define public and private investments that catalyze economic and innovative growth.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA

Characteristic	Importance	Performance
5. analyzing local and regional industry studies and data to inform decision-making regarding university research, education, and outreach/engagement efforts.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
6. developing partnerships with government at federal, state, and local levels to retain and grow existing businesses.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
7. enhancing small business development with supportive programs (i.e., seed funding, incubators, technical assistance, etc.).	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
8. connecting economic actors across organizational boundaries to facilitate collaborations that otherwise might not occur.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
E. The institution provides relevant educational opportunities and programs by:		
1. creating a culture of entrepreneurship across the institution, including training and mentoring opportunities for students and faculty.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. supporting alignment of traditional undergraduate curricula across disciplines with 21 st century workplace skills development.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. delivering courses and programs in a manner flexible enough to enable students and community workforce members to update their skills and credentials.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. supporting alignment of graduate and continuing education curricula with needs of industry.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
5. providing structured experiential learning opportunities to students through innovative internships and co-op experiences across a wide range of academic programs.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
6. ensuring that career/recruiting services highlight professional opportunities in the region.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
7. aligning education and talent development (undergraduate and graduate; degree, certificate, and continuing education) programs with regional needs.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
G. The institution promotes openness, accessibility, and responsiveness by:		
1. maintaining user-friendly portals and web sites to search for faculty and staff expertise and R&D facilities.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. designating one entity as a first point of contact for industry and economic development agencies.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
3. developing structure and networks (e.g. advisory groups, forums) to facilitate interactions among key university personnel and the region's major economic actors.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
4. facilitating a respectful civic discourse and contributing to community understanding of complex issues.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA

Characteristic	Importance	Performance
F. The institution communicates contributions, successes, and achievements that benefit the region by:		
1. broadly disseminating information about university-community and university-industry collaborations.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA
2. reporting impact of contributions to regional innovation and economic growth to local and regional stakeholders.	1 2 3 4 5 6 7 NA	1 2 3 4 5 6 7 NA



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