



Impact of Science

22-24 June, Leiden

**Parallel Session (C.006)**

# Institutional Strategy & Leadership



Impact of Science

22-24 June, Leiden

# David Phipps

*Assistant vice-president Research & Innovation at York University  
& Director of Research Impact Canada*

# Institutional Leadership and Strategy for Research Impact

RESEARCH  
**IMPACT**  
CANADA

RÉSEAU **IMPACT**  
RECHERCHE  
CANADA

David Phipps, Executive Director  
Research & Innovation Services, York University  
Network Director, Research Impact Canada  
[@researchimpact](#)

Turning research into action | De la recherche à l'action

1. What do we do
2. Why do we do it
3. How it happened
4. Leadership and strategy for sharing the joy of research impact



Agenda!



WHAT



YORK **U**





- Public policies
- Funding: research, operations



- Institutional policy/plans
- Services
- Infrastructure
- Funding

RESEARCHER ↔ PARTNER

- Collaboration
- Students
- Dissemination
- End user perspective



# An institutional priority: York U



## Knowledge for the Future: From Creation to Application

- expanding the influence of our work through broadening and deepening our external partnerships and engagement in the generation and sharing of knowledge and creative works
- maximizing our impact by building on the success of Innovation York to expand student, faculty, and community access to entrepreneurial programming and to increase our innovation activities

## Working in Partnership

- developing with partners in Vaughan an integrated, interdisciplinary health precinct that will serve the needs of a growing region, while creating synergies for health-related research, teaching, and innovation
- establishing a UN-sponsored CIFAL1 centre to provide cross-sectoral training and development programs that will advance the UN SDGs
- connecting our entrepreneurship and innovation activities to the broader innovation ecosystem of Ontario

## Living Well Together

- continue our actions to support reconciliation through our Indigenous Framework, including additional Indigenous spaces and art works



YORK U



YORK U

CivicLabTO

- Entrepreneurship, start up companies: hot desks, shared meeting rooms
- School/community outreach
- Maker space
- Community engagement
- Community based research
- Legal aid, practicum placements, experiential education
- Knowledge mobilization, research partnerships
- Grant support
- Graduate student research/engagement
- 4 universities, 3 colleges, City of Toronto
- Academic ↔ City research partnerships
- First research summit November 2021

YORK U

@researchimpact



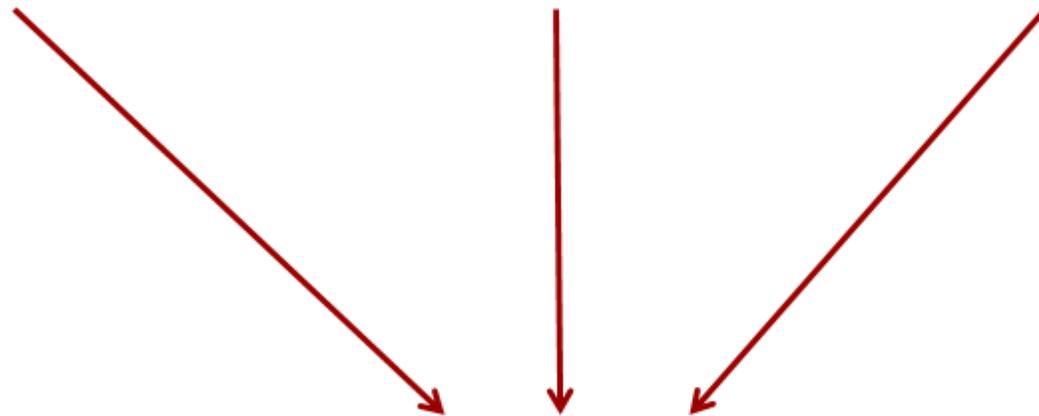
# KMb Services Offered at York

**Connecting** ↔ **Partnering** ↔ **Collaborating**

(Events, Social Media)

(Brokering Relationships/Projects)

(Grant/Project Support)



**Impact**

(Impact Assessment, Mentoring, Success Stories)

- 2 full time staff
- 2 student assistants
- \$300K/year



	2020-2021	2019-2020
New Brokering Projects	29	34
Faculty Engaged	121	154
Partners Engaged	148	468
Students Engaged	156	284
Funding Applications Submitted	32	26
Value of Applications*	\$24,759,000	\$9,100,000
Events Attended	10	22
Events Supported or Led	68	43

**\*Total external research income from  
KMb Unit supported applications (2006-2019) = \$99M**



WHY



# Universal Declaration of Human Rights



## Article 27

1. Everyone has the right freely to participate in the cultural life of the community, to enjoy the arts and to share in scientific advancement and its benefits.

 **SUSTAINABLE DEVELOPMENT GOALS**





Transformation stream grants will support projects that tackle a **well-defined problem or challenge**



**SSHRC PG Cross-sector co-creation of knowledge and understanding:** Partnerships that use ongoing collaboration and mutual learning to foster innovative research, training and the co-creation of new knowledge on **critical issues of intellectual, social, economic and cultural significance.**



**SPG-N:** The goal of NSERC's Strategic Partnership Grants is to increase research and training in targeted areas that could **strongly enhance Canada's economy, society and/or environment** within the next 10 years.



Universities  
Policy  
Engagement  
Network



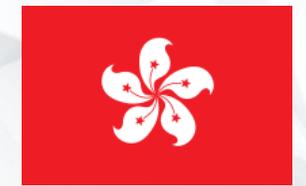
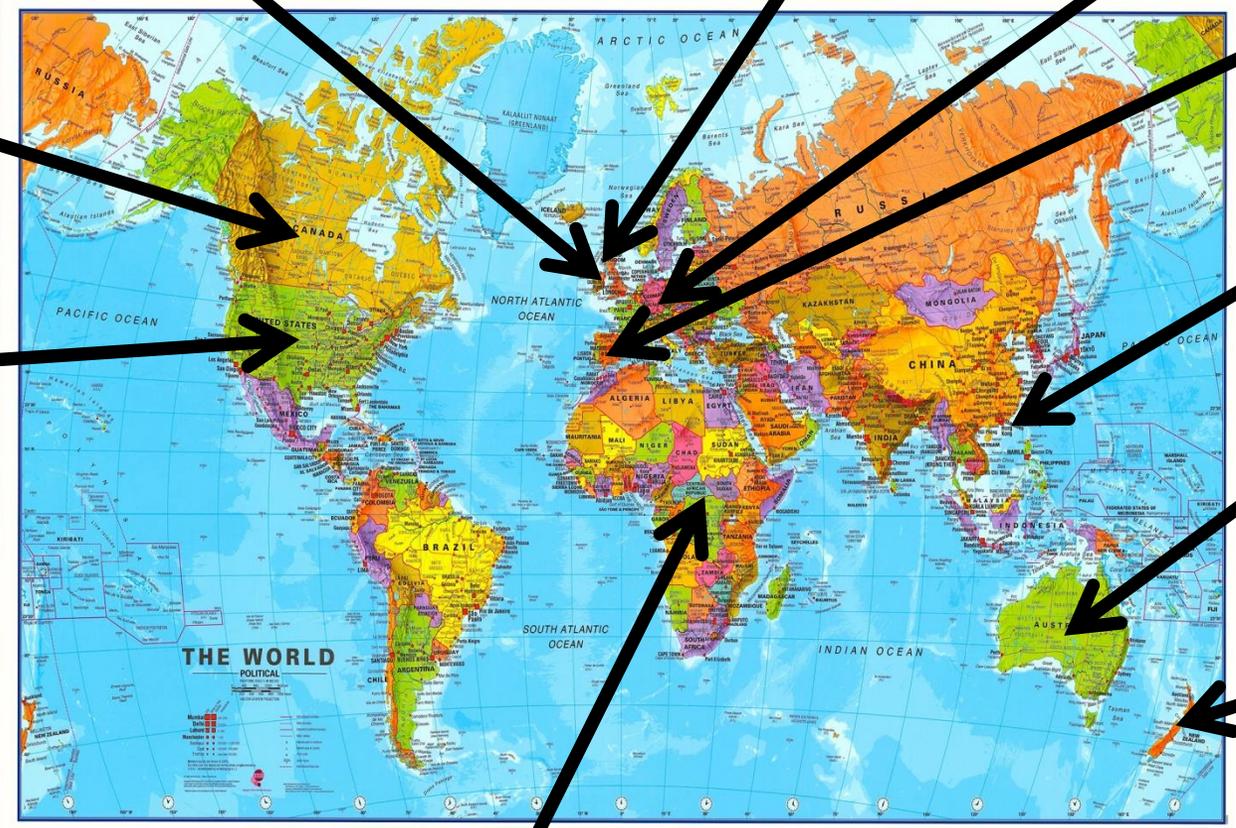
**REF2021** Research  
Excellence  
Framework



RESEARCH **IMPACT** CANADA | RÉSEAU **IMPACT** RECHERCHE CANADA

Institució **CERCA**  
Centres de Recerca de Catalunya

RESEARCH **IMPACT** CANADA | Turning research into action



Australian Government  
Australian Research Council

**ARIS** Advancing Research Impact in Society



MISSION DRIVEN  
= HOW

ASSESSMENT DRIVEN  
= WHAT

**arin**  
AFRICA RESEARCH & IMPACT NETWORK



**SYSTEMS OF RESEARCH IMPACT**



# SEPTEMBER 2003

SUN	MON	TUE	WED	THU	FRI	SAT
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

[www.oldcalendars.com](http://www.oldcalendars.com)



# YOUR CHALLENGE





**\$450K x 4.5 years**

YORK U



University  
of Victoria

YORK U

## 2006: York U & U. Victoria



- Institutional membership \$
- Primarily **non-academic staff**
- Focus on **institutional** practices
- Respond to unique contexts **including but not limited to policy**
- Support units emerging
- Common: **engagement** (students, teaching/learning, research), dissemination, events, grant support (research office)
- Qualities: reciprocity, meaningful partner, trust, sharing, multiplier effect, central coordination (central and local delivery)



# Institutional Healthcheck Workbook

Helping you diagnose how healthy your institution is in delivering real change.

## Authors

Dr Julie Bayley, University of Lincoln, UK  
Dr David Phipps, York University, Canada

#RealImpact

1. Commitment
  - a) Is the organization committed to impact: strategy, systems, staff?
2. Clarity
  - a) Do (non)academic staff understand impact, expectations, roles?
3. Connectivity
  - a) Do the organizational units work together, connect to strategy, cohesive?
4. Competencies
  - a) Is there advice, training, support to develop skills for impact?
5. Co-production
  - a) What is the extent and quality of engagement with non-academic stakeholders?





What are the drivers to move forward

What are the barriers to moving forward

What actions can you take to move forward



# **REPORT BACK**







Impact of Science

22-24 June, Leiden

# Igor Campillo Santos

*Executive Director, Euskampus Foundation,  
Basque Country*

# AESIS

NETWORK FOR  
ADVANCING & EVALUATING THE SOCIETAL IMPACT OF SCIENCE



SESSION: Development and implementation of institutional strategies that integrate societal impact, and overcoming current and possible obstacles and challenges

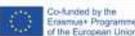
## *The case of ENLIGHT, moving towards an impact-driven European University Alliance*

Igor Campillo (Euskampus Director & ENLIGHT Impact Task Force Leader)

Gloria Nunes & Iñigo Puertas (Euskampus & ENLIGHT Task Force)



université  
de BORDEAUX



# CONTENTS

- ENLIGHT European University Alliance
- ENLIGHT Impact Strategy
- Diagnosis of Impact Awareness/Literacy in ENLIGHT
- Moving towards an impact driven university

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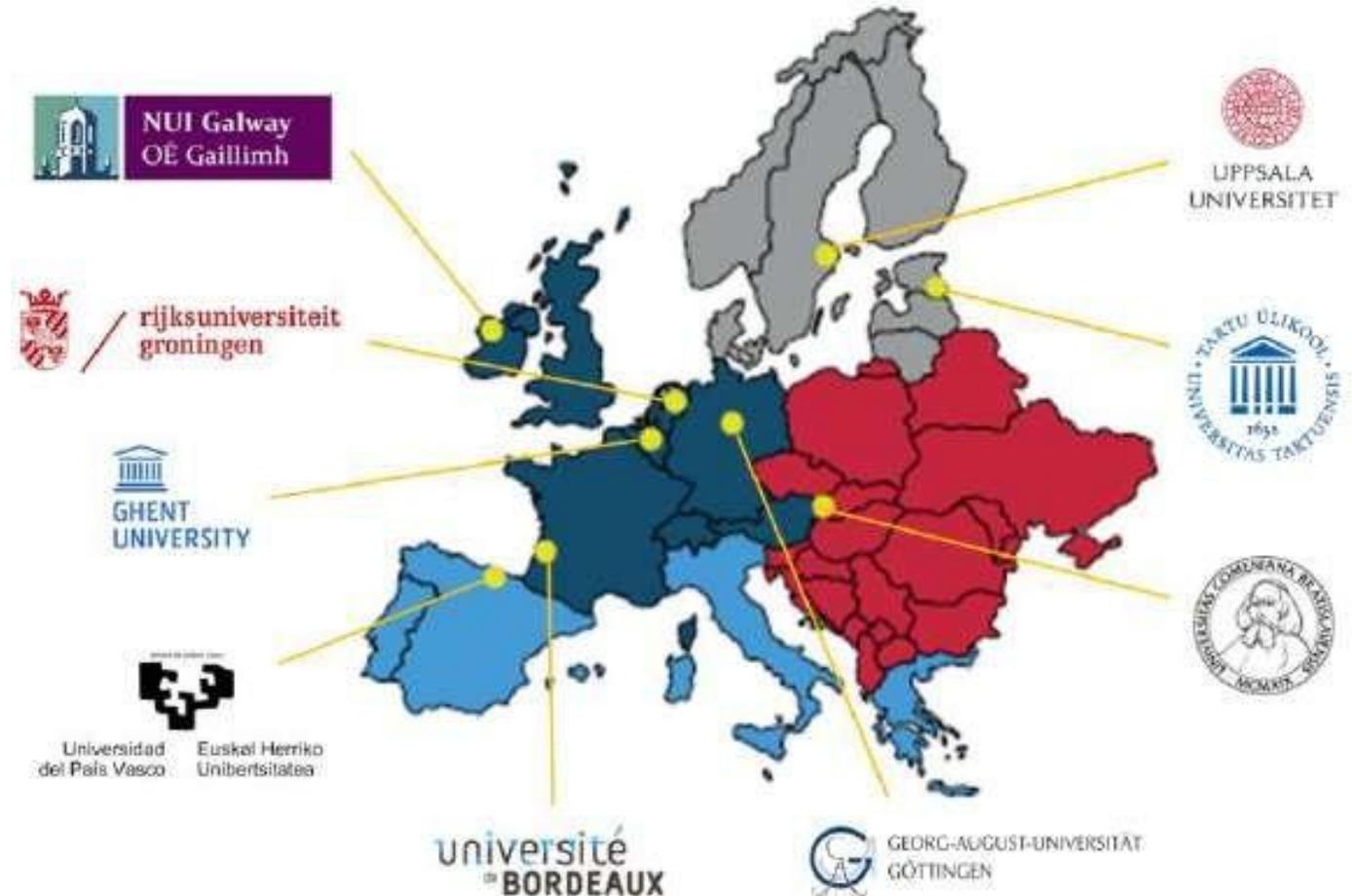
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# EUROPEAN UNIVERSITY NETWORK TO PROMOTE EQUITABLE QUALITY OF LIFE, SUSTAINABILITY & GLOBAL ENGAGEMENT THROUGH HIGHER EDUCATION TRANSFORMATION. SHAPING OUR FUTURE CITIES AND COMMUNITIES

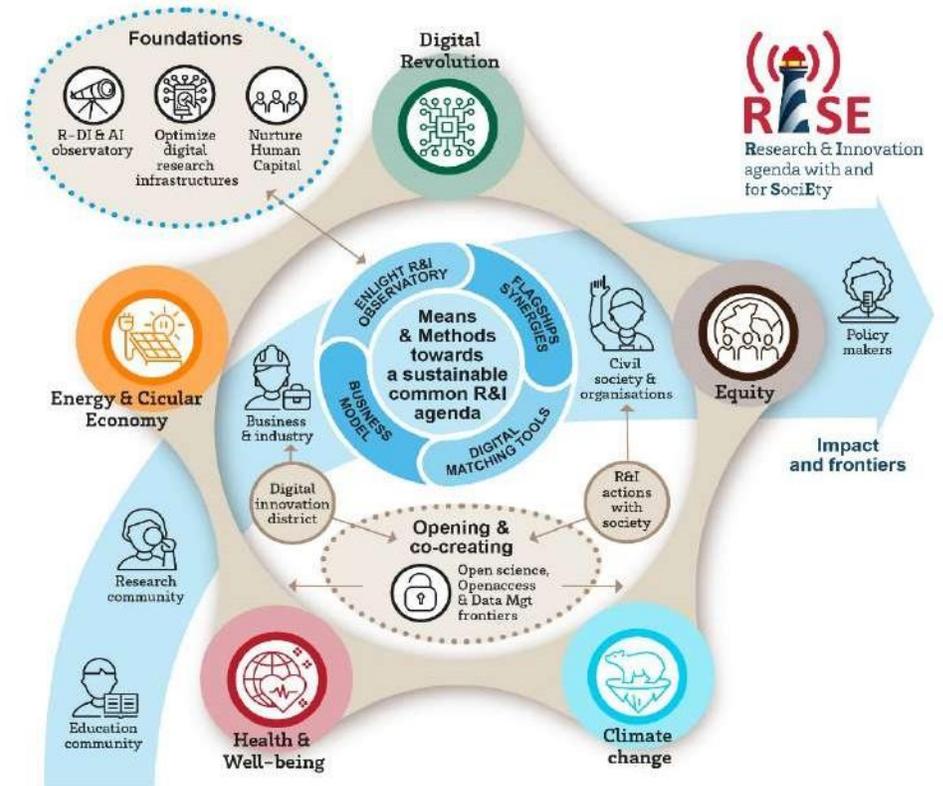


- 9 comprehensive, research-intensive universities
- Sharing a deep commitment to their social responsibility:

University of the Basque Country  
University of Bordeaux  
Comenius University Bratislava  
National University Ireland Galway  
Ghent University  
University of Göttingen  
University of Groningen  
University of Tartu  
Uppsala University



# ONE ALLIANCE, TWO INSTITUTIONAL-WIDE PROJECTS, MANY DIFFERENT WORKING GROUPS AND PACKAGES



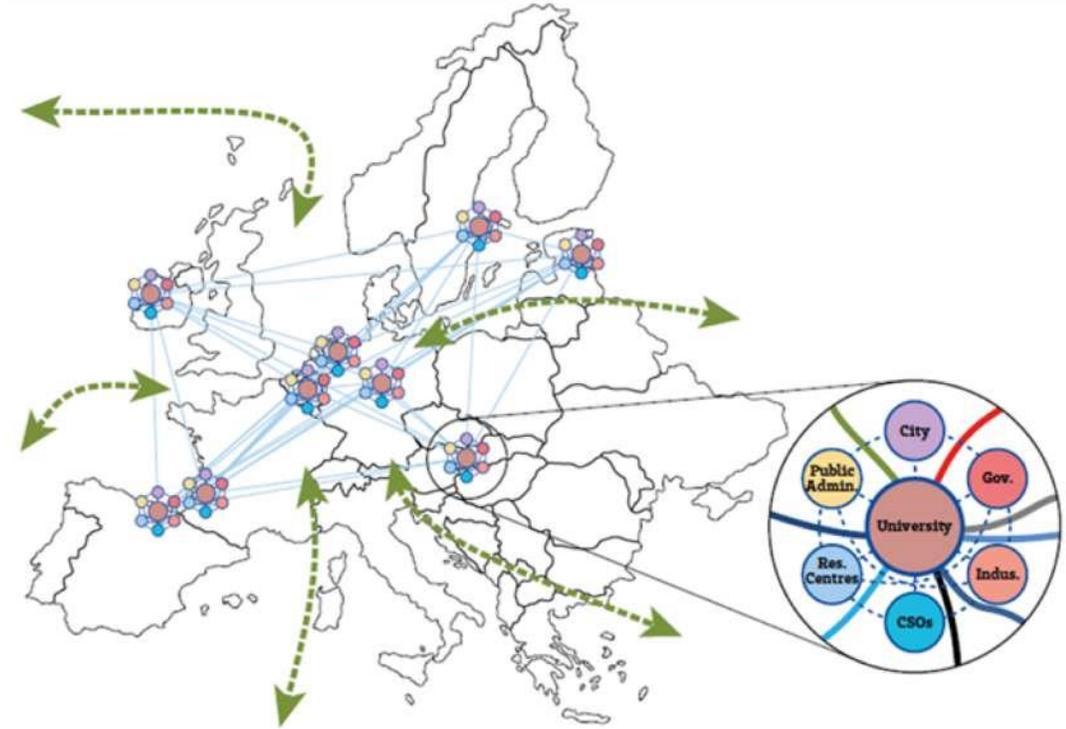
ENLIGHT aims to undertake a fundamental transformation of European Higher Education by empowering learners as globally engaged citizens with state-of-the-art knowledge, skills, and innovation potential to tackle the major societal transition and to promote equitable quality of life and sustainability.

ENLIGHT RISE will deploy a comprehensive joint transformation agenda in R&I, in synergy with the educational component. We aim to jointly promote a greener, healthier, more equitable and sustainable Europe.

# ONE ALLIANCE, TWO INSTITUTIONAL-WIDE PROJECTS, MANY DIFFERENT WORKING GROUPS AND PACKAGES

**Long-term Outcome:** an open integrated space (**ENLIGHT European University System**) with free movement of students and staff and sharing of resources that gradually integrates quality assurance, international outreach and global engagement, talent recruitment and investment in large research infrastructure

- › Major joint **structuring impact on all partner universities**
- › **Systemic impact** on local socio-economic environments
- › Successful **model for institutional transformation** to maximize the societal impact of HEIs in Europe
- › Novel framework for addressing complex local and global challenges via **partnerships between HEIs and other relevant stakeholders**



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# ENLIGHT IS AN IMPACT-ORIENTED ALLIANCE

## TWO IMPACT-FOCUSED WORK PACKAGES ADDRESS TWO MAIN OBJECTIVES

### ENLIGHT Erasmus+ WP6



To create a comprehensive methodology and tools for measuring the long-term impact of ENLIGHT on people, communities, institutions, and systems at large in such a way that the addressed and accomplished transformations may be monitored, measured and communicated transparently.

### ENLIGHT RISE WP8



To explore the frontiers of a common impact-driven R&I agenda.

# ENLIGHT IS AN IMPACT-ORIENTED ALLIANCE OUR OWN THEORY OF CHANGE FOR IMPACT

## INPUTS

What we mobilise

Task Force  
ENLIGHT  
Action lines  
Existing  
Methods  
& Tools  
ENLIGHT  
Universities'  
examples

## ACTIVITIES

What we do

Case Study  
Selection &  
Analysis (6)  
Methodology  
& Toolkit  
Development  
Surveying &  
Analysis  
Training &  
mentoring  
Exchange,  
dissemination  
and reporting

## OUTPUTS

What we achieve

Methodology  
Toolkit  
Repository of  
good practices  
Impact  
Conference  
Papers &  
Communications  
New proposals

## OUTCOMES

What we aim for

**SHIFTING** our way of **THINKING**

**Raise Impact Awareness**  
(understanding and internalising  
the importance of impact)

**Acquire Impact literacy**  
(background concepts,  
methods, skills)

**SHIFTING** our way of **ACTING**.

**Develop Impact Readiness**  
(being able to take action and  
direct our activities through  
pathways towards maximizing  
the value generated)

## IMPACT

What we hope for

**SHIFTING** our way of **BEING**

Promoting and  
institutionalizing a culture of  
impact

Becoming a role model of an  
impact-driven alliance, co-  
creating value with our local  
stakeholders and global  
partners for equitable well-  
being and sustainability

Extending the impact  
culture to HEIs and  
transforming the European  
Higher Education

# FOCUSING ON IMPACT AWARENESS AND IMPACT LITERACY

## INPUTS

What we mobilise

Task Force

ENLIGHT

Action lines

Existing  
Methods  
& Tools

ENLIGHT  
Universities'  
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## ACTIVITIES

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- Moving towards an impact driven university

# DIAGNOSIS OF IMPACT AWARENESS AND IMPACT LITERACY

## WHY?

- **Baseline of Impact awareness and literacy** across the different ENLIGHT universities
- **Help assessing progress in the medium/ long-term**, paving the way for Impact readiness, as well as our own impact in the promotion of a culture of impact
- **Help identifying (common) barriers and challenges**, as well areas where **action would be needed** to implement a common impact-driven R&I agenda

# DIAGNOSIS OF IMPACT AWARENESS AND IMPACT LITERACY

## HOW? STEP by STEP APPROACH

Overview of the ENLIGHT Universities' Research Impact Landscape

PILOT (NUIGalway, UGENT, UPV/EHU)

### Universities' Institutional Survey

- 1 response per University
- From the Senior Management Team (e.g. Vice-rectorate/Support Service/ Specialised Committee)

### Academics/Researchers & Research Support Staff Survey

- Multiple responses are possible (and welcome)
- Researchers (PhD students, early career, senior researchers, PIs, etc.)
- Research Support Staff (e.g. Research administrators, advisors, research project managers...)

Survey to all ENLIGHT Universities

# Overview of ENLIGHT Universities' Research Impact landscape

## Main conclusions

### 1. R&I Impact definition:

- 4 out of 8 Universities do not have a thought-out definition of R&I impact
- **Different interpretations of R&I impact:** academic vs economic vs societal impact
- In few cases impact is clearly associated with “economic valorisation” of R&I via business agreements, commercialisation
- The interpretation of R&I Impact is conditioning the identification of “good practices”

### 2. R&I Impact policy/ implementation plan:

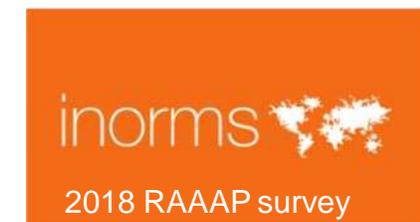
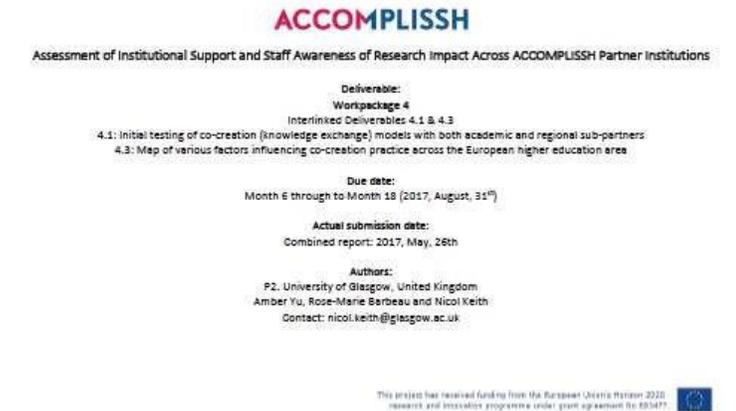
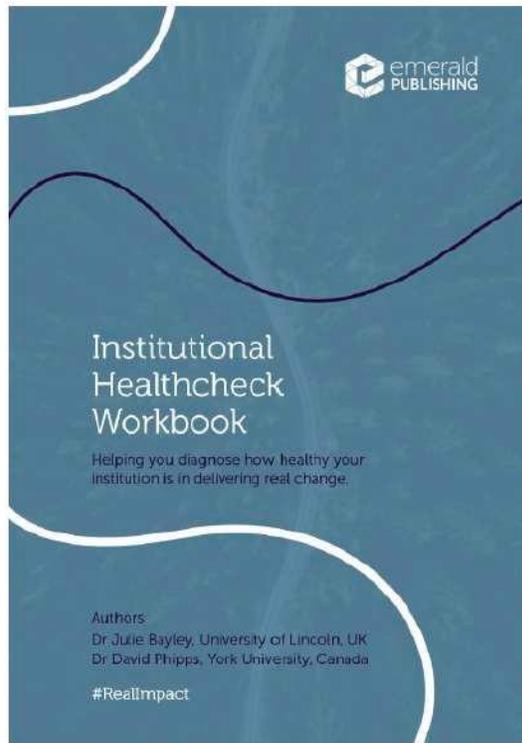
- Only 1 University has a stand-alone R&I Impact policy with clear priorities and actions planned
- 4 out of the 8 Universities tackle Impact as an **embedded part of a wider strategic policy framework**, but with different grades of depth and detail.
- 2 out of these 4 Universities identify a concrete set of actions for promoting R&I Impact

### 3. Identification of good R&I Impact practices:

- Different interpretations of good R&I Impact practices: 3 responses are focused on the **institutional practices** to promote a culture of Impact; others identify **impactful R&I projects**; and others focus on knowledge transfer/ innovation / entrepreneurship support practices; and one identifies a **methodological approach**.

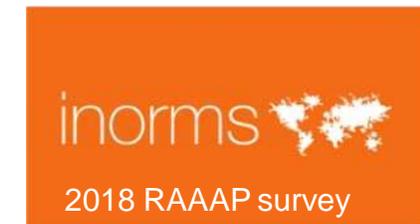
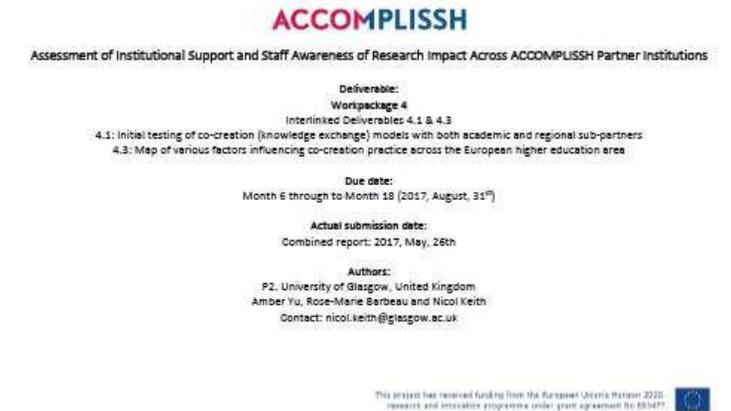
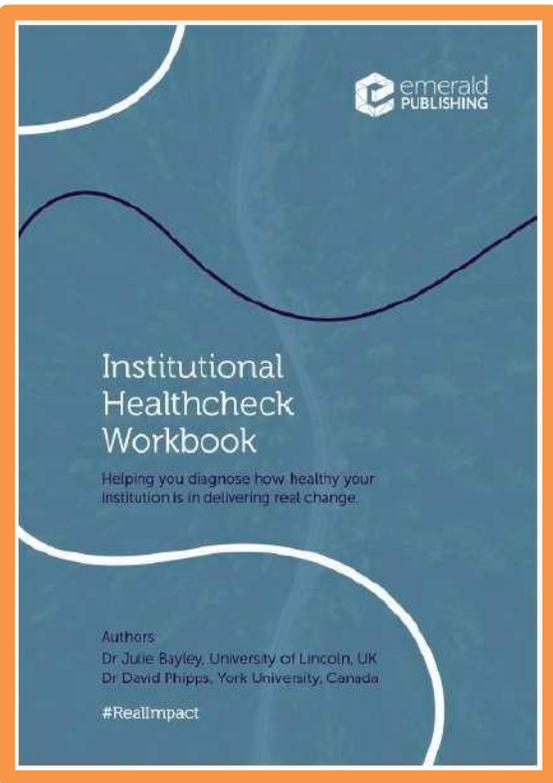
# ENLIGHT Impact Awareness/Literacy Survey

## MAIN SOURCES



# ENLIGHT Impact Awareness/Literacy Survey

## MAIN SOURCES



# ENLIGHT Impact Awareness/Literacy Survey

## MAIN CHANGES

- **Reduction on the number of questions to approx. 20 questions in total**
- **Inclusion of free text optional questions**
- **Understanding the CONTEXT in which HEIs operate and the external drivers for Research Impact. A new dimension with 2 additional questions on:**
  1. national/ regional research quality assessment, policy or frameworks
  2. If research impact is incorporated into the research proposal templates of national /regional funding agencies
- **Understanding the METHODOLOGICAL approaches used for measuring/assessing Research Impact**
- **Understanding the CO-CREATION process with additional questions on type of collaboration and main type of societal stakeholder**
- **Reformulation of questions (e.g. “your role” in contributing to research impact; is there [sufficient] funding to support Research Impact delivery; consideration if researchers/ RSO are prepared for playing their role in Research impact delivery)**
- **Internal discussion on the possibly/partly responses options: a scientific study or a information gathering tool?**

# ENLIGHT Impact Awareness/Literacy Survey

## Structure

### 1. CLARITY

- Knowledge, understanding and valorisation of research impact

### 2. CONTEXT: looking at the external research impact drivers

- Regional/ national policy, frameworks, research quality assessment processes, funding criteria

### 3. COMMITMENT

- Institutional Impact Strategies/ Plans/ Policies (stand-alone vs. embedded) and links to regional, European and global (UN SDGs) policy priorities
- Institutional leadership of R&I impact

### 4. CAPACITIES

- Dedicated support and advice services
- Funding and staff resources for impact delivery
- Recognition and investment in the development of impact-related skills (staff training & education)

### 5. CONNECTIVITY

- How the organisational units work together and connect to the overall strategy

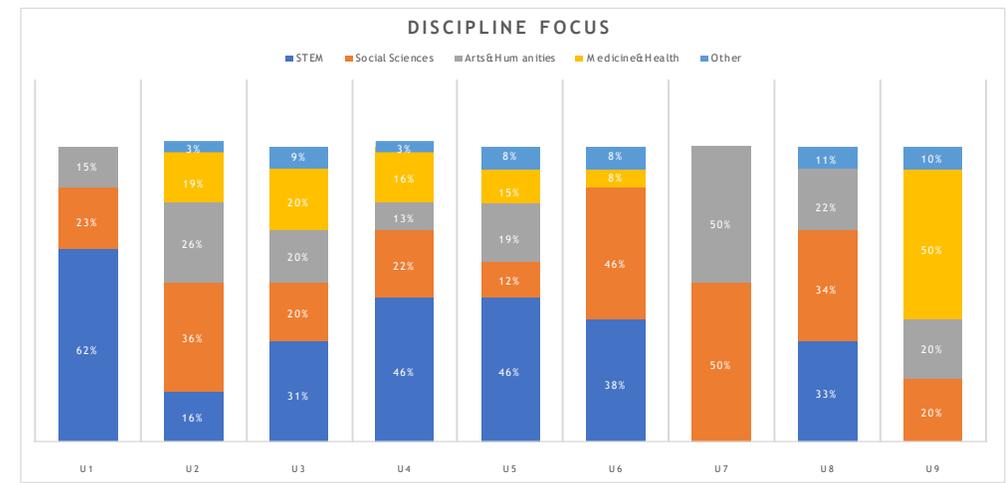
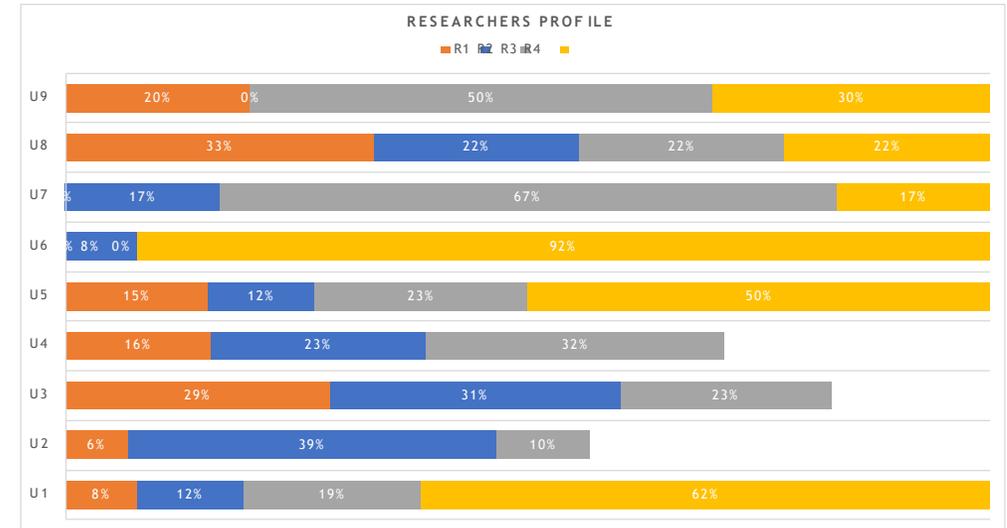
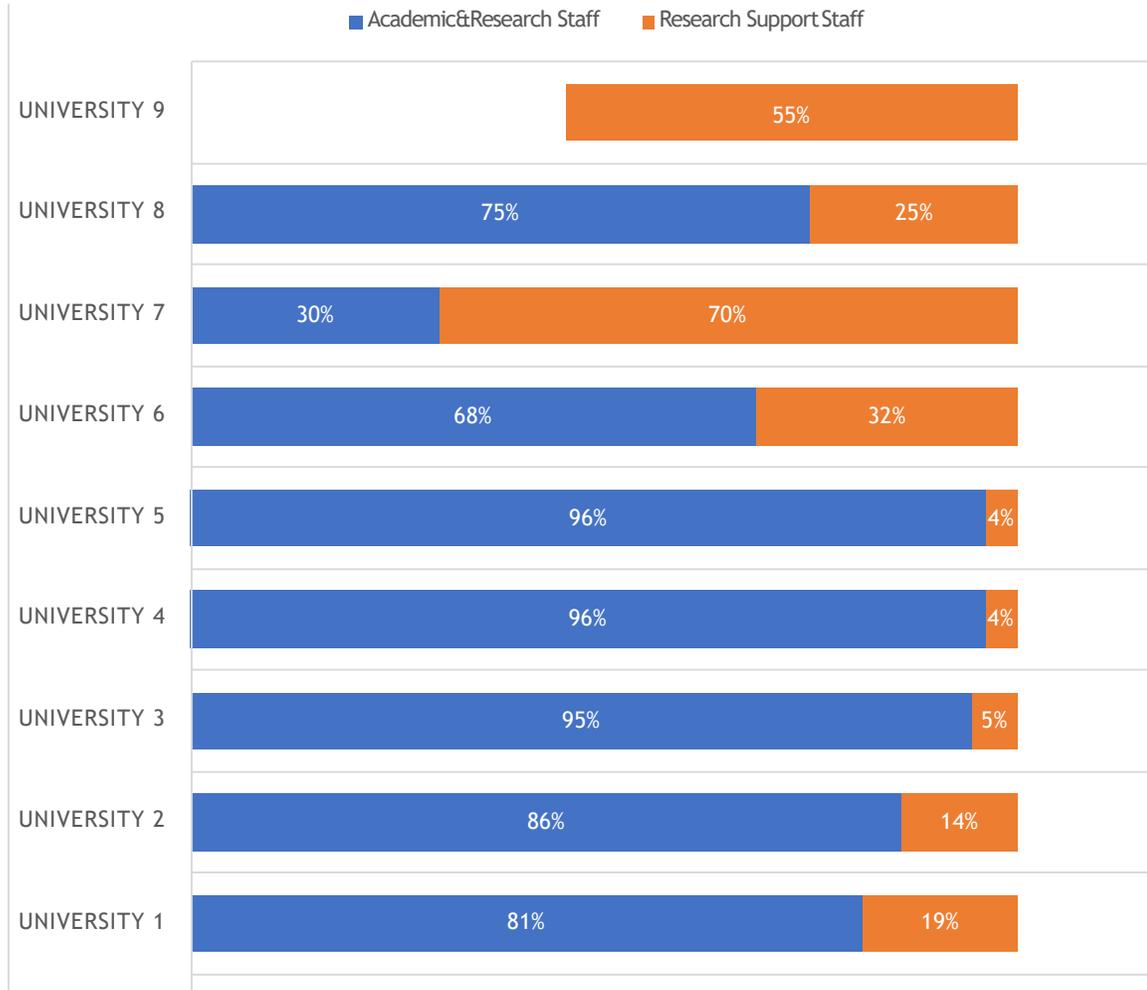
### 6. CO-CREATION

- Engagement with non-academics to generate impactful research

# ENLIGHT Impact Awareness/Literacy Survey

## RESPONDERS PROFILES

9 responses to the Institutional Survey & 518 responses to the researchers/RSO survey



# ENLIGHT Impact Awareness/Literacy Survey

## MAIN CONCLUSIONS (I)

### 1. CLARITY

The majority of respondents state they do know what RI is. However, there are multiple interpretations of RI (in/beyond academia; science communication; KT and innovation (spin-offs, patents)).

### 2. CONTEXT

The majority of respondents state RI plays a role within national/ regional research quality assessment, policy or frameworks; however, in the majority of the cases, RI is "only" used as a criterion for funding grant proposals.

### 3. COMMITMENT

- The majority of Universities do not have a RI policy/ implementation plan; whilst RI is seen as a strategic priority by the majority of researchers/RSO responders.
- 4/9 of Institutional survey responders say that the University will "*Greatly prioritise*" around RI in the coming 5 years. Academics/ RSO responders are more reluctant. The majority stating that it will "*Possibly prioritise*".
- 4/9 of Institutional survey responders say there IS Institutional leadership in RI.
- Only 1 University states there are "incentive& reward structures for RI".

# ENLIGHT Impact Awareness/Literacy Survey

## MAIN CONCLUSIONS (II)

### 4. CAPACITIES & RESOURCES

- Limited number of Universities (2) with Support & Advice for RI. The majority of Universities do not have dedicated systems for RI.
- The majority of researchers/RSO respondents state NOT following a methodology for RI.
- The majority of Universities state not having dedicated staff & funding for RI.
- The provision of training for RI competences is limited to a few number of Universities. The majority of researchers/RSO of each University state NEVER having participated in RI training.

### 5. CONNECTIVITY

The majority of researchers/RSO respondents state they DO WORK with other teams to support RI and that RI activities are only “possibly/partly” aligned with University’s strategy.

### 6. CO-CREATION

- The majority of researchers/RSO respondents state they do work with societal stakeholders in the framework of their RI activities.
- The main type of collaboration is *“collaboration as potential end users of the project results”*.
- The main type of stakeholder is *“Not-for profit organisations”* and *“business”*.

# ENLIGHT Impact Awareness/Literacy Survey

## LESSONS LEARNT

### Positive elements

- 1<sup>st</sup> landscaping exercise
- Pilot exercise with 3 different Universities
- Co-creation within the impact taskforce team

*Increasing impact awareness/literacy “in the process”*

### Challenges

- Confusion between “healthcheck” and evaluation/assessment exercises
- Fear of comparison
- Exhaustion of surveys
- What is ENLIGHT? What is impact? “Don’t know... No answer”
- Incomplete responses
- Data protection and ethic concerns
- Responses depend on the understanding people have of Research Impact

### For improvement

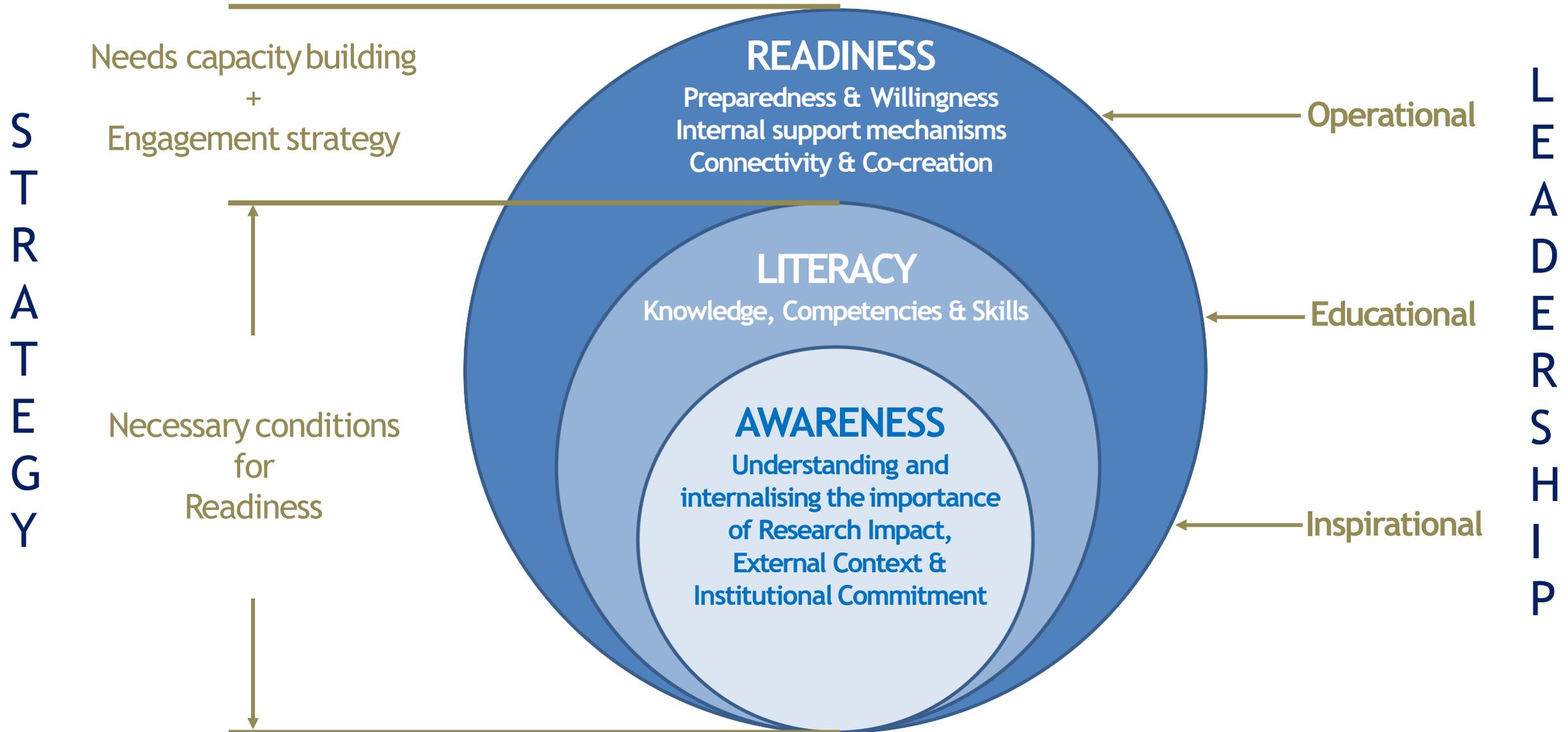
- Involvement of Universities’ management teams in the launch of the survey
- More details on the incentives and reward structures for Research Impa



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- Diagnosis of Impact Awareness/Literacy in ENLIGHT
- **Moving towards an impact driven university**

# Moving towards an impact-driven university



**Thank-you for your  
attention**

**Eskerrik asko zure  
arretagatik**

**Bedankt voor uw  
aandacht**

**Tänan teid tähelepanu  
eest**

**Merci pour votre  
attention**



**Vielen Dank für Ihre  
Aufmerksamkeit**

**Go raibh maith agat as do aird**

**Ďakujem za pozornosť**

**Gracias por su atención**

**Tack för din uppmärksamhet**



Impact of Science

22-24 June, Leiden

Esther de Smet

*Senior Research Policy Advisor,  
Ghent University, Belgium*

# LEADERSHIP AND RESEARCH

## ✓ Factors associated with “high **quality** research”

- Focus
- Group composition and climate
- Group size
- **Leadership**
  - Active role in daily research activities
  - Careful recruitment of new members
  - Build bridges to other knowledge domains
  - Support junior researchers

Research Quality and the Role of the University Leadership (2014), Håkan Carlsson, Åsa Kettis, Anders Söderholm

# LEADERSHIP AND RESEARCH

## ✓ Factors associated with “high quality research”

- Focus
- Group composition and climate
- Group size
- **Leadership**

Ghent University, Career Progression Model for Professors

### Portfolio of research dimensions

#### INTEGRITY & ETHICS

#### MAIN SECTION DESIGN AND DEVELOPMENT OF RESEARCH

+ Vitality

+ Originality

+ Leadership in research

+ Interdisciplinarity

+ International collaboration

+ Academic commitment

#### MAIN SECTION SCIENTIFIC, ECONOMIC AND/OR SOCIETAL IMPACT

This section mainly concerns the achievements of innovative research, such as the influence on other researchers, the discovery of a new research field, recognition by the international research community (= scientific impact), etc. on the one hand, and the demonstrable contribution that this excellent research makes to the society and the economy on the other.

+ Scientific impact

+ Societal and economic impact

# LEADERSHIP AND RESEARCH

➡ Does the same apply to “impact”?

And what about?

➡ The possibility to govern universities strategically should not be overemphasized. Detailed strategies at a university-wide level on research content are bound to fail (in most cases). The idea is, however, that there is a level in each research-focused organization where strategic discussions are appropriate and productive. A strategic agenda may be vague and have a simplified structure. It is more important to demonstrate a long-term interest in discussing the future of the research, and it is a management responsibility to emphasize and re-emphasize the requirement for such discussions and agendas.

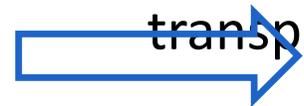
# LEVEL OF PTB

## ✓ Institutional health check

<https://www.emeraldpublishing.com/wordpress/wp-content/uploads/Emerald-Resources-Institutional-Healthcheck-Workbook.pdf>

- Commitment: strategy, incentives & rewards, funding & support
- Connectivity: connected teams, co-ordinated activities
- Co-production: support for partnerships & engagement, knowledge on co-creation
- Competencies: available expertise, training
- Clarity: transparent strategy, transparent support, responsibilities,

transparent evaluation



## What kind of leadership is there from the top?

## What is organisational DNA?

# LEVEL OF PTB

- ✓ Are they “walking the talk”?
  - Are they open to all pathways to impact, to all types of impact?
  - Are they stimulating joint efforts and responsibilities on other levels?
  - Has PR and communication changed?
  - Have they invested (funds, staff, infrastructure)?
  - Are they having the difficult conversations?
- ✓ Are they influencing or engaging with national/local policy on impact?
- ✓ Are they part of impact initiatives such as networks and/or projects?

# LEVEL OF PTB



What can, and should, be done by the leadership within the scope of the available opportunities after taking external restrictions and the academic freedom of individual researchers into account?

# LEVEL OF PTB

## ✓ University as a whole

- Role in society?
- Insightful and deliberate analysis of expectations, stakeholder positions and the long-term position of the role of the university > if not done by the sector, this position will be carved out by stakeholders outside the sector (?)

*“It’s not a question of whether the claims are legitimate or not, it is a question of the asymmetry in how well different claims are articulated and communicated.”*

# LEVEL OF POLICY & SUPPORT SERVICES

- ✓ More than implementation > need for showing leadership
- ✓ Building impact literacy > need for collaboration between services
- ✓ Have all little pieces of the puzzle been adapted (implicit and explicit incentives)?
- ✓ Added value towards research community > need for clear roles



# GROUP LEVEL

- ✓ Research and research impact as a group effort
- ✓ Symbiosis between levels of researchers
- ✓ Group leaders play an important role in fostering a creative environment
- ✓ Consider using knowledge brokers (with link to level of policy & support services)

# INDIVIDUAL LEVEL

- ✓ Leadership towards your peers (mentoring, realism)
- ✓ Leadership towards your stakeholders (trust & authenticity)

# THE STORY SO FAR

- ✓ Ambiguous (relationship with) leadership in all stages of the strategy
- ✓ A lot of individual leadership but also efforts on group level (decentralised knowledge brokers)
- ✓ Trial and error approach to networking and lobbying efforts



# Esther De Smet

Sr. Research Policy Advisor

RESEARCH DEPARTMENT

E        esther.desmet@ugent.be

T        +32 9 264 30 23

[www.ugent.be/en/research](http://www.ugent.be/en/research)

Twitter: @ResearchUGent

(personal: @sterretje8)

## Recommendation

### Institutional Strategy & Leadership

*“Leadership and strategy requires a participatory approach within and outside of the academy”*