AMERICAN ASSOCIATION OF COLLEGIATE REGISTRARS AND ADMISSIONS OFFICERS

College and University Journal

VOLUME 82 NO 3

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POSTMASTER: Send address changes to *College and University*, One Dupont Circle, NW, Suite 520, Washington, DC 20036-1135. Copyright © 2007 American Association of Collegiate Registrars and Admissions Officers.

College and University (USPS 121460) is published four times a year by the American Association of Collegiate Registrars and Admissions Officers, One Dupont Circle, NW, Suite 520, Washington, DC 20036-1135. The cost of the publication is included in the AACRAO membership fee. For information on subscriptions and package rates, please visit www.aacrao.org/publications/candu/. Back issues are $30 each (price includes shipping). ISSN: 0010-0889.

INDEXES: *College and University* is indexed in Current Index to Journals in Education (ERIC), Education Index, Higher Education Abstracts and Contents Pages in Education.

C&U

2007 | VOL. 82 NO. 3

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Editor's Note

David Kalsbeek, DePaul University, offers Part Three of his reflections on Strategic Enrollment Management (SEM) strategies and structures. In this installment he explores how the four orientations to SEM described in previous issues can be more fully realized by drawing parallels with Carl Jung's theories about perception and judgment to gain a better understanding of individual differences and to use that understanding to promote organizational change.

Have small private colleges changed their enrollment management organizational models in recent years? Brian A. Vander Schee, University of Pittsburgh–Bradford Campus, describes conventional enrollment management models and reports on a study conducted with a select group of small colleges to examine the evolution of enrollment management organizational models.

Three years ago the British government published a White Paper that began with a serious critique of British universities. Geoffrey Alderman, American Intercontinental University, and Roger Brown, Southampton Solent University, note the similarities between the White Paper and the report of the Bush administration's Commission on the Future of Higher Education. They propose a radical agenda for both countries that would enable them to get the best value from their institutions.

Three universities in California joined together to form an educational partnership that takes advantage of the depth and breadth of faculty expertise on each campus to develop a high-quality doctoral program in educational leadership. Robert Vieth, Sonoma State University, describes how the collaboration unfolds using three decision-making models to serve as a lens into how decisions were reached throughout the formation of the program.

All institutions strive to communicate efficiently and effectively with students, alumni, and other constituents. Susan Hallenbeck, Datatel, describes how Customer Relationship Management systems can be used to create lasting partnerships between the institution and the individuals with whom it interacts.

Clayton Smith, University of Windsor, describes the importance of including faculty in Strategic Enrollment Management activities such as enrollment planning, new program development, student recruitment, admission yield, orientation, academic advising, and co-curricular activities to achieve successful enrollment outcomes.

Projecting enrollment can be a nerve-wracking undertaking at tuition-driven institutions that anxiously anticipate each year's enrollment and net tuition revenue. Janet Ward, Seattle Pacific University, provides three models for forecasting student enrollment to achieve institutional goals including examples that focus on the size, academic profile, and student characteristics of the entering class.

Today's generation of registrars have a mix of both new and traditional responsibilities as a result of student system implementations. Sandra J. Lepley presents the results of a study conducted among community college registrars to determine the effect of student system implementations on their functional roles.

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Reflections on Strategic Enrollment Management Structures and Strategies (Part Three)

This article is the third and final in a series prepared originally for AACRAO's Fifteenth Annual Strategic Enrollment Management Conference (SEM XV). Through this series, David Kalsbeek introduces a four-fold typology for differentiating institutional approaches to SEM. In this final reflection, he suggests that grounding this typology in Jungian theories about human cognition provides further heuristic and pragmatic value for the SEM leader.

by David H. Kalsbeek

In the first two parts of this series of reflections, I described four basic orientations to strategic enrollment management (SEM): the administrative orientation, the student-focused orientation, the academic orientation, and the market-centered orientation. I suggested that these are not alternative strategies or structures per se but rather are predispostions or proclivities that underlie structures and strategies; each one orients the SEM leader, turning his or her attention toward certain dimensions or elements of the enrollment management enterprise, emphasizing some and deemphasizing others. Each reflects alternative ways of viewing the enrollment management effort, alternative mental models or conceptual frameworks for approaching SEM. An orientation may reflect an individual's distinct set of preferences, inclinations, or predispositions toward enrollment management. It may also reflect an entire enrollment management organization's tendencies and emphases. I then outlined how each of these four SEM orientations brings distinctive and contrasting insights to various dimensions of enrollment management activity (*e.g.,* retention, organizational structure, enrollment research).

In this third part of these reflections on SEM, I explore how these four orientations or mental models may be even more fully and richly contrasted by drawing parallels with two other fourfold typologies, each grounded in Carl Jung's theory about human cognitive activity and preferred modes of gathering and evaluating information. I suggest that organizational differences and strategic preferences characterized by these four SEM orientations reflect the same kinds of preferences and differences defined by Jungian theories of psychological types. By drawing these parallels, the four SEM orientations not only gain conceptual richness and meaning but also gain practical utility, insofar as SEM leaders can use the extensive literature based in Jungian theory to understand individual differences and lead organizational change.

Overview of the Jungian Typology

Carl Jung's theories of human cognitive activity address two fundamental dimensions: how information is taken in through human perception and how judgments or decisions about that information are made (Jung, 1971; Myers, et.al. 1998). Jungian theory suggests that every individual has basic preferences for how to gather information (perception) and evaluate information (judgment).

TWO PREFERRED MODES OF PERCEPTION

According to Jung, individuals can become aware, take in data, or gather information by one of two basic processes of perception: sensing or intuition. All individuals use both but tend to prefer one kind of perception or process over the other.

Through the sensing process we become aware through the physical senses, drawing information through what can be seen, heard, and touched. As such, sensing draws information from the real world in the here and now and is focused on present, immediate, concrete, and specific realities.

Through the intuitive process, on the other hand, we become aware and draw information from abstract reasoning, from recollections from the past and imaginations of the future. Rather than focus on the here and now of what is learned through the senses, intuitive perception focuses on concepts, on abstractions, on theory, on possibilities.

All individuals engage in both processes at different times. Jungian theory suggests that each individual develops a fundamental preference for one mode of perception over the other, not unlike basic preferences people have for using one hand over the other. They come to be more proficient and rely on gathering information through their preferred process. These preferences allow us to describe individuals as "sensing types" versus "intuitive types" because those with clear preferences for one mode of perceiving over the other

develop certain behaviors, tendencies, predispositions, predictable traits, and personality characteristics.

TWO PREFERRED MODES OF JUDGMENT

Jungian theory also suggests that there are two basic processes for evaluating information, reaching decisions, and drawing conclusions—or what is referred to as the judging process. Jungian theory contrasts two dominant modes of judging or decision making: thinking and feeling.

Individuals use the thinking process when making judgments based on objective, logical, impersonal, analytic reasoning. This process seeks to explain things in scientific, theoretical terms independent of subjective purposes, needs, or concerns. Thinking types don't feel comfortable unless they have a logical or an analytic basis for making a decision.

Although, in contrast, the feeling process for making judgments uses subjective, personalized, value-based criteria, it is an equally rational process. It seeks to ground judgments in the human context rather than in a detached, impersonal way. Whereas a thinking process seeks to depersonalize a situation or information to explain it, a feeling process seeks to personalize a situation or information, seeking its subjective qualities, in trying to understand it.

All individuals engage in both processes of decision making, but the theory suggests that each individual develops a fundamental preference of one mode of judging over the other and tends to rely on it more frequently in making decisions and evaluating information.

A Fourfold Jungian Typology

When these two independent dimensions of perceiving and judging are juxtaposed, the resulting fourfold typology (presented in Table 1) describes a particular personality or a type. Each has characteristics resulting from the unique combination of the preferred mode of gathering information (perceiving) and the preferred mode of evaluating information (judging).

Table 1: Fourfold Jungian Typology

Modes of Perception	Modes of Judgment	
	Thinking (T)	Feeling (F)
Sensing (S)	ST	SF
Intuition (N)	NT	NF

NF = intuitive/feeling; NT = intuitive/thinking;
SF = sensing/feeling; ST = sensing/thinking

The sensing/thinking (ST) type relies primarily on the sensing process for becoming aware and on the thinking process for decision making. The ST type therefore focuses on facts that can be collected and verified while emphasizing specificity and impersonal and objective analysis. Decision making tends to be a process of critical, objective review of concrete, detailed information that seeks factual answers to specific, well-defined questions in pursuit of realistic, practical solutions in the present.

An intuitive/thinking (NT) type relies primarily on the intuitive process for becoming aware and on the thinking process for decision making. The NT type shares the same preference as the ST type for analytic, impersonal, objective judgment but prefers to focus that judgment on abstractions, theories, possibilities, and concepts. The NT type's decision-making process tends to speculate critically on alternative hypotheses and possible solutions while engaging in conceptual analysis and seeking holistic explanations for vague or complex issues, in pursuit of conceptual clarity.

A sensing/feeling (SF) type relies primarily on the sensing process for becoming aware and on the feeling process for decision making. The SF type shares the same preference for immediate, concrete, and practical information as the ST type, but brings to that information more subjective, personal, and value-based judgment. The decision-making process tends to address the particular and practical needs of specific individuals, is very personalized and interpersonally engaging, and takes as information personal accounts and anecdotes.

The intuitive/feeling (NF) type relies primarily on the intuitive process for becoming aware and on the feeling process for purposes of decision making. The NF type shares with the NT type a preference for broad, imaginative, conceptual information but brings to such perceptions a personal, subjective judgment. The decision-making process tends to serve the personal and social needs of humanity and focuses on broad, general human goals affecting people's betterment.

Organizational Implications

Over the decades, these four basic Jungian psychological archetypes have been the basis for extensive research on individual differences. One reason for the popularity and utility of this framework is that it does not define any one of these personality types or preferences as being superior to any of the others. Instead, each type is seen as having unique strengths and weaknesses, with situational limitations and advantages, and each is characterized by distinct communication, decision-making, and management styles.

This framework has proven useful not only for understanding natural differences between individuals but also for exploring organizational dynamics. Among the many organizational theorists who have used these constructs to better understand organizations, few have introduced more provocative insights than Ian Mitroff and Ralph Kilmann. Through their collective body of research, we learn that organizations can be compared and contrasted in terms of these Jungian archetypes. For example, Mitroff and Kilmann (1975) describe an approach of asking managers to describe the organization that they would consider ideal. They find that those who share basic Jungian preferences for perception and judgment tend to have similar preferences for organizational structure, climate, purposes, and management process. They use this fourfold Jungian construct to define four distinct types of organizations. Each is described below, with descriptions taken directly from Mitroff and Kilmann's summary of the stories managers tell.

The stories ST types tell of their preferred or ideal organization typically emphasize and concentrate on highly detailed elements of an organization's structure, one characterized by control, certainty, and specificity. In their ideal organization, everybody knows exactly what his or her job is, there are clear lines of authority, and there is no uncertainty as to what is expected. ST organizations are impersonal: the emphasis is on work and work roles, not on the particular individuals who fill the roles. The goals of the ST organization are realistic, down to earth, and often narrowly economic. Finally, the heroes of ST organizations are tough-minded individuals who bring order and stability out of chaos.

Table 2: Organizational Type

Organizational...	Organization Type			
	ST	SF	NF	NT
Structure	Bureaucratic; well-defined hierarchy of depersonalized roles and positions; centralized leadership	Personalized; clearly organized relationships and hierarchy of individuals	Completely decentralized; no clear lines of authority; community of participants of equal status; no central leader	Highly complex; flexible structure; changing authorities; task forces
Climate	Practical; task oriented; complete control; specificity; fixed rules	Social; human qualities of people doing work as individuals	Idealistic; humanitarian; general concern for development of employees	Theoretical; emphasis on broad purposes and goals
Goals	Productivity; work flow; efficiency	One-to-one interpersonal relations	General societal benefit; humanitarian	Macrooutcomes; abstract and conceptual outcomes

NF = intuitive/feeling; NT = intuitive/thinking;
SF = sensing/feeling; ST = sensing/thinking

The stories told by NT types of their ideal organizations, on the other hand, are marked by an emphasis on broad, global issues. NT stories do not specify detailed work rules, roles, or lines of authority but focus instead on general concepts and organizational purposes. Whereas ST organizational goals focus on well-defined, precise, microeconomic issues, the goals of NT organizations are concerned with more fuzzy, less defined macroeconomic issues. If ST organizations are impersonally realistic, the NT organizations are impersonally idealistic. If the heroes of ST organizations are problem solvers, then the heroes of NT organizations are problem formulators, broad conceptualizers who continuously find and define new problems. The NT heroes take an organization designed to accomplish a very specific, limited set of goals and create new goals, envisioning new products, horizons, and businesses.

The stories of NF types are also marked by a focus on broad, global themes and issues, but the NF's emphasis is on personal and human goals of organizations rather than the NT's focus on theoretical aspects of organizations. NF organizations are concerned with serving humanity, with making contributions to mankind. Where an ST organization is authoritarian and bureaucratic with well-defined rules of behavior, an NF organization is completely decentralized with no clear lines of authority, no central leader, and no fixed, prescribed rules of behavior that inhibit creativity and adaptability. The stories of NF types are about organizational flexibility and decentralization, and NF organizations are idealistic, organic, and adaptive. Their heroes give the organization a sense of direction in the human or personal sense.

Whereas NT types are concerned with the general theory of all organizations but not the details of any particular organization, SF types are intensely concerned with the detailed human relations of their particular organization. SF organizations are like ST organizations in that both are concerned with details and facts. However, whereas ST organizations are concerned with impersonal work roles, SF organizations are concerned with the human qualities of the specific people who fill the roles. Although both SF and NF organizations are concerned with the people in the organization, the NF organizations are concerned with people in general whereas the SF organizations are concerned with individuals in particular. The heroes of SF organizations are those very special people who are able to create a highly personal, warm human climate in the organization.

In sum, Mitroff and Kilmann's work suggests that different types of personalities prefer different types of organizations, but it also defines a typology of organizations and provides an approach to understanding and contrasting types of organizations that parallels this basic Jungian construct. A fourfold organizational typology (built on the work of Ancona, et. al. 1996) could be described as in Table 2.

A Typology of Alternative Modes of Inquiry

Mitroff and Kilmann (1978) also compare and contrast basic approaches to social science research, basing their typology of alternative research methods on the same four Jungian archetypes. They review the ways scientists have classified different kinds of scientific inquiry and present a typology of different styles of inquirer who prefer alternative methodologic approaches to social science.

The four types of inquiry are those of the analytic scientist, the conceptual theorist, the conceptual humanist, and the particular humanist.

The analytic scientist reflects the preferences of the so-called ST type in Jung's typology and prefers inquiry which

- is driven toward certainty and to eliminate uncertainty;
- values precision, specificity;
- equates knowledge with precision, accuracy, and reliability;

- believes in value-free science and in controlling for researcher bias through experimental methods;
- believes in independent knowledge of an objective reality;
- tends to be experimental and quantitative;
- attempts to build single, self-consistent explanations or paradigms.

Although this mode of inquiry dominates modern science and equates to what we commonly refer to as a "scientific" approach to analysis and decision making, Mitroff and Kilmann describe three alternative and contrasting modes of scientific inquiry. One is the conceptual theorist, an approach that corresponds to the Jungian NT type. The conceptual theorist prefers inquiry which

- values multiple explanations, multiple possibilities, and conceptual conflict;
- treats phenomena holistically, building complex theoretical models to understand the relationship of variables rather than reducing inquiry to controlled and self-contained experiments;
- values paradigms as conceptual representations of reality, not as reality per se, using multiple paradigms to stimulate imagination and direct inquiry rather than constrain it;
- seeks not to eliminate uncertainty and resolve conflict but to proliferate multiple ways of viewing the world, using conceptual conflict to challenge assumptions and entrenched ideas;
- often pursues theory based on its interestingness.

The third type of inquiry is the conceptual humanist, corresponding to the Jungian NF type and can be described as one which

- is concerned with how inquiry benefits humanity as a whole rather than how it serves some abstract concepts of truth;
- questions the value of knowledge generated for knowledge's sake;
- values stories as evidence for problem definition;
- values personal feedback as a research mode, wherein one prime objective is that subjects learn something about themselves;
- defines problems by reference to researcher's own being and values;
- values the aesthetics of a theory over its interestingness (conceptual theorist) or its accuracy (analytic scientist).

The fourth approach presented by Mitroff and Kilmann is the particular humanist, corresponding to the Jungian SF type. The particular humanist

- personalizes all knowledge;
- values inquiry that captures and describes particular human beings, not to be compared to anyone or anything else;
- treats individuals as unique ends in themselves;
- engages in inquiry to the benefit of individuals;
- is not interested in generalizations or theories;
- prefers participant observation and case study inquiry that focuses on the detailed description of a single individual or social group and in which research and subject are coparticipants.

The point of Mitroff and Kilmann's work is that four distinctly different approaches to scientific inquiry exist and that these four approaches to knowledge creation parallel the Jungian typology. The authors suggest that these predispositions determine to a large degree the types of information produced and the research processes considered legitimate by different types of persons. The role of information and the very definition of knowledge differ among these modes of inquiry just as they differ across four Jungian cognitive styles.

Others have employed these same Jungian constructs to describe styles of information use and management style (see Kalsbeek 1992). This Jungian typology is a useful framework for understanding how not only scientists but also managers, analysts, and policymakers approach the process of producing and using information.

Parallels with Four SEM Orientations

There are clear and provocative parallels between these Jungian-based taxonomies of organizational types and of modes of inquiry and the four SEM orientations presented in this series of papers. Even the most cursory overview offered above is sufficient to make obvious how these various constructs resonate.

THE ADMINISTRATIVE ORIENTATION

The administrative orientation to SEM parallels the Jungian profile of the ST organization. The ST organization emphasizes structure and process, efficiency and predictability, well-defined roles, and goals that are realistic and practical and often narrowly economic. The ST organization values solving operational problems in real time. These attributes mirror the administrative orientation's focus on integrating university processes and organizing enrollment management units for achieving more efficient, seamless services. As with the ST organization, the administrative orientation focuses on work and work roles, creating order and stability, and improving the efficient management of impersonal processes and functions.

The administrative orientation also parallels the profile of the analytic science mode of inquiry. As with analytic science, with its emphasis on quantification, reliability, precision, accuracy, clarity, and consistency, the research agenda of the administrative orientation also values certainty, the ability to control variables, and explanations drawn from fragmenting complex problems into discrete parts.

THE STUDENT-FOCUSED ORIENTATION

The student-focused orientation to SEM parallels the Jungian profile of the SF organization. The SF organization emphasizes attention to the individual, subordinating all other goals and priorities to the well-being of the individual person, emphasizing the interpersonal, human relations of the particular organization. Likewise, the student-focused orientation to SEM focuses first and foremost on responding to the needs of the individual student at the institution and on improving the one-on-one, interpersonal climate of the organization.

The student-focused orientation parallels the particular humanist mode of inquiry. The student-focused SEM orientation is also driven to understand the individual student and his or her experiences; it bases decisions upon such understandings. The individual case study and detailed assessments and anecdotes of particular students or student groups are the most meaningful and influential sources of information in this SEM orientation.

THE ACADEMIC ORIENTATION

The academic orientation to SEM parallels the Jungian profile of the NF organization. As with the NF organization, which emphasizes the abstract personal and human goals of the organization, the academic orientation also focuses on broad purposes, emphasizing the general human benefits of the enhancement of learning and advancement of knowledge. The NF organization, not unlike many academic organizations and academic administrations, is marked by a preference for structural decentralization, creativity, flexibility, and nonhierarchical lines of authority.

The academic orientation also parallels the conceptual humanist mode of inquiry, with its focus on abstract learning and inquiry that enhances goals that serve broad humanitarian purposes. Likewise, the research characteristic of the academic orientation emphasizes student learning outcomes, assessing the educational needs of communities, professions, and society, and focuses on how academic programs can be enhanced to promote broad human welfare.

THE MARKET-CENTERED ORIENTATION

The market-centered orientation to SEM parallels the Jungian profile of the NT organization. Like the NT organization that focuses on objective, impersonal, and abstract goals, a market-centered orientation also focuses on broad, conceptual goals and purposes (*e.g.*, markets, position, brand) of the institution or of higher education generally. Both market-centered and NT organizations are driven by the need to envision new possibilities and products rather than to solve specific problems, and they seek complexity and flexibility over simplicity and certainty.

The market-centered orientation also parallels the conceptual theorist mode of inquiry. Conceptual theorist inquiry, with its focus on complex theoretical models and holistic paradigms that are representations of reality rather than reality per se, is similar to market analysis that attempts to understand broad dynamics and abstract trends rather than isolate things into specific, discrete parts in order to understand them. Market-centered research has as its focus an abstract concept of a "market" rather than a particular person or a concrete process.

At first glance, each of the four broad orientations to SEM I've described may seem just a professional bias or preference. They may mirror a more fundamental mental model about the work of enrollment management or about higher education administration more broadly. But perhaps they aren't just orientations to SEM but rather manifestations of something deeper and even more substantial, some archetypical constructs grounded in the human reality. I suggest that it is possible to view these four orientations in terms of the well-established, well-researched Jungian organizational typologies, and thereby better understand why some may prefer one SEM orientation over another, why they may find one orientation more natural or comfortable or useful than the others, why they may find some orientations difficult to appreciate or even impossible to understand, why they find certain kinds of SEM research or analysis meaningful and not others. I suggest that these Jungian typologies are useful heuristics for extending and embellishing our comparison and contrast of these four perspectives on SEM and for appreciating the differences between them.

Let's look back at the opening vignette from Part I of this series, in which the president's cabinet at Alpha University is discussing SEM. There are clear differences of opinion around the table, differences in how each person is oriented to the issue of enrollment management. But what might pass for simple differences of opinion takes on greater meaning when viewed in terms of the parallel Jungian typology. For example, the CFO has an administrative orientation to SEM. That point of view can be more fully considered and appreciated when seen as a possible reflection of an ST preference and all it entails and connotes. The research literature shows that operations and financial managers tend disproportionately to have ST preferences; is it not more instructive to assess that CFO's approach to SEM as a reflection of an ST mindset rather than just one typical CFO's opinion?

The student affairs vice president at Alpha U, by contrast, articulates a student-focused orientation to SEM. Is it just a student affairs perspective or can that point of view too be better understood as a reflection of a Jungian SF preference, one that is characteristic of those choosing student affairs or other "helping" professions? The provost, by contrast, articulates an academic orientation to SEM. Is this just characteristic of a typical faculty point of view or reflecting an underlying NF predisposition? Finally, the market-centered orientation expressed by a board member reflects typical NT language and NT preferences.

How much richer is our appreciation of the dynamics underlying this hypothetical cabinet meeting when diverse opinions about SEM are considered in terms of their underlying mental models and assumptions—which in turn are further enlightened by viewing them via a framework of

predictable and deeply rooted psychological dynamics? How much more provocative is our analysis of these alternative approaches to SEM structures and strategies by considering these orientations in terms of Jungian typology?

Practical Lessons for SEM Leaders

What we gain from relating the four SEM orientations to the Jungian organizational typology is access to a vast literature on using Jungian theory in organizational and leadership development, a literature than can be instructive for the SEM leader in very pragmatic ways. The many insights to be drawn from that literature are far too extensive to review here, so only two are highlighted.

LEADERSHIP STYLE AND UNDERSTANDING CONFLICT

A significant part of the job of the SEM leader is educating diverse campus constituencies about the nature, purposes, and outcomes of SEM and building support for the organizational changes SEM typically requires. Leaders with certain predispositions toward one of the SEM orientations will find the leadership task easier with those who share those basic inclinations and more difficult with those of alternative inclinations. The literature on individual differences (Myers 1980, for example) offers helpful clues for effectively communicating with different types, with those whose way of taking in and evaluating information may be opposite one's own. The SF leader at Alpha U trying to enlist support for a student-focused SEM effort, for example, will be more effective in working with the CFO if he not only understands how an ST type prefers to approach problems and decisions but also uses that understanding to more effectively present his case. Leadership is about exerting influence in pursuit of a goal; understanding the natural differences between people in their preferences and orientations helps the SEM leader influence change.

Effective leadership also requires effective conflict management—and these typologies certainly elucidate natural sources of conflict in human organizations. If individuals have predictably different ideas of what would characterize an ideal organization, then organizational goals, structures, and purposes preferred by different individuals may not be only different but fundamentally incompatible (see Table 2, on page 5). If the NF type prefers an organization characterized by ambiguity and creativity, and the ST type prefers one that defines clear solutions to specific problems, and the SF type prefers organizations that attend to the unique human needs of specific individuals while the NT type prefers organizations focused on defining and pursuing broad theoretical opportunities with little reference to individual persons, is it any wonder that there tends to be conflict in most institutions around issues of organizational purposes and priorities and planning?

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For example, individuals with NF or NT preferences find ST organizations too focused on details and specifics and lacking comprehensive purpose; they will likely find an ST organization constrained, confining, and conceptually barren. They will find the information that tends to drive the ST organization to be too narrow, too concerned with precision, and more concerned with controlling variables than enlightening issues. On the other hand, individuals with ST preferences will find the SF organization to be too concerned with highly particular personal issues, lacking objective control and efficiency. They will also likely find NT and NF organizations to be too abstract, impractical, unaccountable, and undisciplined.

The parallels facing the SEM leader trying to manage organizational change are equally clear. For example, a SEM leader with a strong market-centered (NT) orientation may face criticism from those of a student-focused (SF) orientation for not caring enough about the needs of the particular, individual student. This SEM leader may also be challenged by those of an administrative (ST) orientation for being too abstract, theoretical, and impractical, and by those of an academic (NF) orientation for not emphasizing the primacy of the broad academic and educational purposes of the organization. Grounding the SEM orientations in the Jungian typology makes available to the SEM leader a valuable foundation of research and practice in understanding and managing the natural, predictable differences between people that underlie much of the organizational conflict that often characterizes the development and implementation of SEM. In a very practical exercise, imagine the cabinet at Alpha University employing Mitroff and Kilmann's process in "Stories Managers Tell". When leaders describe their ideal EM organizations, what common patterns and predictable similarities would surface among those of identical Jungian type? What predictable differences would surface in the stories leaders tell between those of contrasting Jungian style? What new insights arise when conflicting opinions are redefined as predictable preferences and natural tendencies?

CREATING A LEARNING ORGANIZATION

In plenary addresses at the American Association of Collegiate Registrars and Admissions Officers' SEM conferences over the past fifteen years, I have suggested that SEM is about creating learning organizations, recognizing that the most critical strategic advantage lies in the capabilities of an organization to create and use knowledge (Kalsbeek 1997). The most successful examples of SEM in colleges and universities nationwide share at least this element: they are committed to a sustained and systemic process for the creation, dissemination, and use of knowledge, to routine analysis, assessment, and evaluation, to the development of an organizational culture of evidence.

Despite significant investments in research, data analysis, and information systems, every SEM leader has experienced this recurring scenario: analysts who wonder why administrators never use the information provided to them and administrators who wonder why analysts never provide any usable information. The challenge of creating usable knowledge in organizations has been studied extensively (Kalsbeek 1992). One explanatory factor for the scenario above is that there may be differences in the preferred learning style either between analysts and decision makers or between different decision makers. The Jungian-based typology of alternative modes of inquiry helps us understand some of these natural differences in how people prefer to take in information and evaluate it. Each of the four SEM orientations also is inclined to structure its research and learning agenda differently, each with a different set of questions that guides its inquiry and each favoring an analytic approach that defines problems and seeks answers in particular ways.

The creation of a learning organization, of a SEM organization driven by the discipline of knowledge use, starts with an appreciation that in different kinds of organizations or for different individuals within an organization, approaches to learning may vary widely but in understandable, predictable ways. The learning style of the NT person or organization focuses on surfacing and challenging taken-for-granted assumptions, generating multiple hypotheses and complex alternative models, and pursuing rabidly that which is interesting. Correspondingly, SEM with a market-centered orientation focuses on creating and using information about markets, market positions, alternative market models, and complex market dynamics viewed from multiple perspectives. How different that is from an SF learning style (or student-focused SEM), with its intense pursuit of knowledge about the "n of 1," its striving for the development of a rich, detailed understanding of the individual, and its quest to create and use information about a particular person in all his or her complexity. Such a particular humanist mode of SF inquiry will not resonate with an NT organization or decision maker, for whom this inquiry will not produce usable information. To an NT organization or a conceptual theorist decision maker, this may not even be considered legitimate inquiry. So too the SF organization or decision maker will likely find the conceptual theorist style of inquiry to be fundamentally uninformative and unusable, and will find the pursuit of the "interesting" of little value and the generation of multiple models irrelevant. In either case, any learning that could happen is hampered by natural, predictable differences and preferences in how information is gathered and evaluated.

An organization that takes learning seriously appreciates how these individual differences and preferences shape in powerful ways the process of the creation, dissemination, and use of knowledge. SEM, as a learning-intensive enterprise, succeeds when there is openness to the different kinds of information that result from these different modes of inquiry. When different approaches to the production and use of knowledge are embraced, and when these differences that reflect these Jungian preferences in how information is perceived and evaluated are appreciated, the potential for organizational learning is enhanced. Tying the four SEM

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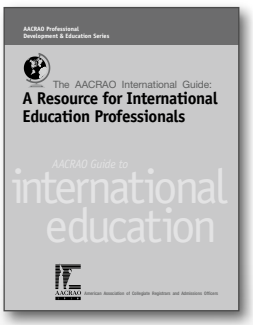

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orientations, with their respective biases in research and analysis, to the Jungian typology, with all it enlightens in decision-making style and modes of inquiry, offers practical lessons for the SEM leader seeking to improve the culture of evidence and the organizational learning SEM requires.

Conclusion

SEM, as it is conceived and practiced across the landscape of American higher education, isn't marked by any one overarching model, integrated theory, or prescribed professional practice. SEM strategies and structures reflect the same considerable diversity and variety that one would expect from the many institutional contexts within which it has evolved. However, I've suggested in this series that underlying these many varied models and methods are four basic orientations, four broad approaches to conceiving and constructing a SEM effort, four different mental models, each with a distinct set of assumptions and predispositions. There is heuristic value in considering SEM challenges and opportunities through each of these orientations, because each one filters, frames, and surfaces various taken-for-granted assumptions and generates new insights and understandings not otherwise considered.

At another level, however, these four orientations may parallel and reflect a deeply rooted typology of differences in human cognitive processes for gathering and evaluating information and of corresponding differences in organizations and in preferred modes of inquiry. Each of the four SEM orientations corresponds to a type of organization preferred by those with certain predispositions and personality preferences. Each also relates to a corresponding mode of inquiry, to a methodological approach to research and analysis, to a process for knowledge creation and use. When the four SEM orientations are grounded in the fundamental fourfold typology of Jung's theories of human cognition, we broaden and deepen our understanding of the differing ways by which we can approach the formidable challenges of SEM leadership, structure, and strategy in today's higher education environment.

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Note: It is understood that persons of certain preferences in Jungian type have difficulty describing and fully appreciating the strengths and qualities of contrasting types. The NT author, therefore, apologizes for what is likely an inevitably inadequate portrayal of the ST, NF and SF approaches to SEM, to organizations, and to inquiry.

Organizational Models for Enrollment Management at Small Colleges

Small private colleges that are heavily tuition dependent are challenged each year to maintain and grow student enrollments. This longitudinal study investigates how certain colleges have structured enrollment management efforts in response. The results indicate that over the last several years there has been a significant migration to the enrollment management division model.

by Brian A. Vander Schee

Enrollment Management Defined

As enrollment management theory reaches a majority of larger institutions, it is still in a developmental stage in higher education as adaptations and various versions refresh thinking for many small colleges. Jack Maguire (1976) of Boston College is credited with the first use of the term enrollment management to describe institutional efforts to influence student enrollment. Kemerer, Baldridge, and Green (1982) formalized the concept, proposing that it is not just an organizational concept but that it is both a process and a series of activities that involve the entire campus. As a process, it includes tracking and interacting with students from the point of their initial contact with the institution until their graduation or departure from the institution. As an activity, enrollment management is designed to attract and retain students.

Hossler modified his 1986 definition of enrollment management in 1991, stating that it is an organizational concept and a systematic set of activities designed to enable educational institutions to exert more influence on their enrollments. Organized by strategic planning and supported by institutional research, enrollment management activities concern student college choice, transition to college, student attrition and retention, and student outcomes (Hossler 1991).

The theory of enrollment management was further developed by Dolence (1996) in the form of strategic enrollment management (SEM). He defines SEM as "a comprehensive process designed to help an institution achieve and maintain the optimum recruitment, retention, and graduation rates of students, where 'optimum' is defined within the academic context of the institution" (p.16). Dolence does not outline which specific areas within the institution should be involved in SEM. He simply states that any factor that influences a student's decision to attend or continue enrolling is fair game for SEM. This new line of inquiry into SEM has led to many applications of the original concept (Black 2001; Bontrager 2004b; Bryant and Crockett 1993).

The structure of enrollment management is a key component in student recruitment and retention. First outlined by Kemerer, Baldridge, and Green (1982), the four models of coordination for enrollment management efforts are still summarized by many authors in their recent work on enrollment management development (Bontrager 2004a; Dixon 1995; Huddleston 1999; Jones 2003; Penn 1999).

Enrollment Management Models of Coordination

The *Marketing Committee* first proposed by Campbell (1980) is often referred to as the Enrollment Management Committee (Hossler 2005) and is viewed as the preliminary organizational unit in representing enrollment management efforts. This is due to the relative ease with which it can be implemented at a college or university. There is usually not much resistance to its creation because it does not garner any authority, does not require any financial investment to operate, and only serves to raise awareness related to student marketing, recruitment, and retention. The committee often includes representatives from admissions, financial aid, student affairs, academic affairs, and institutional advancement. Its role is advisory in nature but seldom is used as a long-term fixture in enrollment management administration.

The *Staff Coordinator* concept introduced by Fram (1975) is currently called the Enrollment Management Coordinator (Hossler and Bean 1990). It is the next step toward integrating enrollment management across the campus. This position is considered to only have staff authority and therefore does not carry any formal direct authority to implement needed change in enrollment management. However, the coordinator, who is usually a midlevel manager, serves to organize student recruitment and retention efforts that may be spread across various units. The challenge is not in implementing

this position, because it does not require any organizational restructuring or much administrative support. The difficulty is for the coordinator to get enrollment management concerns in front of senior administrators who are ultimately responsible for institutional decision making. The success of the position, therefore, lies with the person in the coordinating role, which requires a solid understanding of enrollment management issues and strong interpersonal skills to get voluntary cooperation from disparate organizational units.

The *Matrix System* (Kreutner and Godfrey 1980–81) now uses the name Enrollment Management Matrix (Hossler, and Bean 1990). This approach also does not require any organizational restructuring, but responsibility and decision making are assigned to a senior-level administrator. This then bridges the work of various areas, whether or not they report to the person charged with enrollment management responsibilities. This makes the model more acceptable to campus members, particularly to faculty if the chief academic officer is the enrollment management appointee. The challenge is that this responsibility is simply tacked on to the duties already performed by the administrator and therefore may relegate enrollment management concerns as low priority. Additionally, the position still faces the challenge of garnering the needed support of other administrators and midlevel managers to implement change.

Table 1: Enrollment Management Organization Models

Model	Degree of Restructuring Necessary	Authority
Committee	Low	Influence
Coordinator	Some	Networks
Matrix	Moderate	Cooperation
Division	High	Direct

The *Enrollment Management Division* (Caren and Kemerer 1979) is the most centralized model of coordination of enrollment management efforts and the most difficult to implement. It requires creating a new position at the vice president level. Organizational units involved in enrollment management are brought together in the newly created division. These departments often include, but are not limited to, recruitment and marketing, admissions, financial aid, academic advising and career advising, institutional research, orientation, retention programs, and student services (Hossler 1984). The exact makeup of the enrollment management division depends of the size of the institution and the expertise of the new enrollment manager. Reporting directly to the president, the new vice president has the authority to bring student recruitment and retention concerns to the senior administration of the institution. The authority afforded this position also mandates cooperation between enrollment-related offices. However, unless there is a perceived enrollment crisis, this model of coordination is the most challenging to implement. It requires a significant investment to establish a new administrative position and this change could create turmoil on campus when departments are moved from their established reporting lines to a new organizational unit.

Penn (1999) illustrates the differences related to the models of coordination for enrollment management (see Table 1).

Further Developments in Enrollment Management Structure

The enrollment management structure or organizational model is the focus of several works in the field. Albright (1986) asserts that enrollment management has gained full partnership on campus when it is in the title of one of the vice presidents. Managing enrollments requires influence on the administrative and academic operation of the campus. Hossler (2005) highlights that institutions often move through the four organizational models developmentally, going from the committee to the coordinator, then to the matrix, and finally to the division. The work of Popovics (2000) extends the definition of the enrollment management division to the enrollment management organization. The focus here is on the inclusion of strategic planning, budgeting, and assessment to involve the entire institution to target student graduation and goal achievement. It is suggested that not only is a particular model not better than any other, but also that a particular model's lifetime is finite (Kurz and Scannell 2006).

Hossler (1986) suggests that an enrollment crisis is often the impetus for establishing the most comprehensive model, the enrollment management division. One could argue then that many small private colleges that have limited resources and rely heavily on tuition for fiscal viability should consider that option. But is that the best approach? Have small private colleges changed their institutional enrollment management structure over the years to address issues related to student recruitment and retention? The institutional members of the Council for Christian Colleges and Universities (CCCU) were used in the current study to address enrollment management questions, particularly those related to the structure or model of organization on campus.

The CCCU

The CCCU includes 102 American church-related, private, four-year institutions in 30 states. These institutions are primarily undergraduate colleges with major emphasis on baccalaureate degrees in Arts and Sciences or Diverse Fields as classified by the Carnegie Foundation for the Advancement of Teaching (2006). In fall 2005, the full-time undergraduate student enrollment at CCCU member institutions ranged from 400 to 21,000 with an average enrollment of 3,000 students (Council for Christian Colleges and Universities 2006). The CCCU has been the focus of several studies related to enrollment activities (Brooks 1988; Gans 1993; Phillips 1997; Walter 2000), but none investigate the use of enrollment management structures.

Purpose of the Study

The purpose of the study was to investigate current enrollment management models of coordination at CCCU member institutions compared with those used in 1997. In each of the two years of the study, a secondary purpose was to investigate the relationship between the use of an enrollment management model of coordination and institutional selectivity. This study had three research questions:

- From 1997 to the current study year, what percentage change occurred in CCCU member institutions having each enrollment management model in place, and how long had each model been in place at the time of the study?
- What emerging models of coordination are evident at CCCU member institutions?
- At CCCU member institutions, to what extent is the use of each model related to institutional selectivity for each year studied?

Methodology

A causal-comparative method was employed in this longitudinal study. The data for this study were collected by using a survey instrument adapted from Taber (1989). The survey inquired about the model of coordination for enrollment management efforts and the length of time the model was in place. This was defined as either not in place, in place for a short term (less than five years), or in place for a long term (more than five years). More specifically, respondents could select from the four standard models of coordination or could choose "none of the above" and then give a description of how enrollment management efforts are coordinated on their campus.

Additionally, institutions were categorized based on institutional selectivity defined by Peterson's (1996, 2005) as noncompetitive, minimally competitive, moderately competitive, or very competitive. Institutional selectivity was used as an independent variable in measuring the use of an enrollment management model of coordination because of its potential to act as a confounding variable, as Hyson (1995) concluded from his research on the CCCU regarding the use of marketing strategies. Using institutional selectivity as an independent variable in this study therefore was helpful in comparing these findings to those of model of coordination practices.

Data Collection

The survey was initially administered by mail to each director of admissions at all 87 CCCU institutions in America in fall 1997. The names and addresses for the mailing list were obtained from the 1996–97 Resource Guide for Christian Higher Education (1996). Overall, 69 of the 87 individuals responded to the two mailings, yielding a response rate of 79 percent. The same survey was administered again to each chief enrollment officer or director of admissions at all 102 American CCCU institutions (fifteen institutions joined the CCCU in the intervening time period). Overall, 65 of the 102 individuals responded to the e-mail and regular mail surveys, yielding a response rate of 64 percent.

Enrollment Management Model of Coordination

In discussing the results, percentages are used for survey responses instead of frequencies because the number of respondents differed in each year of the study (69 in 1997, 65 in the current study). Table 2 summarizes the survey responses regarding the model of coordination for enrollment management efforts.

The most significant change is in the percentage of institutions reporting "enrollment management efforts are not coordinated at our institution." This decrease from fifteen to three institutions is reflective of the acceptance and implementation of enrollment management models at CCCU member institutions. The reduction in "none of the above" also supports the notion that mainstream enrollment management practices are reaching these smaller private colleges and universities. This will be elaborated on in the next section.

There is little change in the use of the staff coordinator or matrix system and a slight gain in the use of the enrollment management committee model. The greatest increase is in the use of the enrollment management division model. Some institutions may have moved from not having a model in place to implementing a committee, staff coordinator, or matrix system, whereas other institutions moved from one of those three models to an enrollment management division. It is likely that some institutions went straight from not having a model in place to implementing an enrollment management division, as indicated by the number of institutions (nineteen) with that model of coordination in place for less than five years in the current study. Overall, almost half of the institutions in the current study use the enrollment management division compared with only approximately 30 percent in 1997.

Why are colleges adopting the enrollment management division to coordinate activities related to student recruitment

Table 2: Model of Coordination in Place by Percentage[1]

Model of Coordination	1997 Study (n = 69)			Current Study (n = 65)		
	Not in Place	In Place Less Than 5 Years	In Place More Than 5 Years	Not in Place	In Place Less Than 5 Years	In Place More Than 5 Years
EM Committee	–	0.0	0.0	–	3.1	3.1
EM Staff Coordinator	–	13.0	10.1	–	9.2	10.8
EM Matrix System	–	7.2	5.8	–	7.7	7.7
EM Division	–	17.4	13.0	–	29.2	20.3
None of the Above	–	5.8	5.8	–	3.1	1.5
None	21.7	–	–	4.6	–	–

[1] Totals do not add up to 100% due to rounding
EM = Enrollment Management

and retention? A definitive answer is unclear, but it can be reasonably assumed that administrators in higher education have a greater awareness of enrollment management concepts. This is particularly true at smaller institutions where the budget for operations is heavily dependent on student enrollment. More selective institutions tend to have greater access to resources and therefore may not feel the pressure to maximize student enrollment to the same degree as less selective institutions. Does the model of enrollment management coordination vary by institutional selectivity? This will be addressed in the "Institutional Selectivity" section below.

Emerging Trends in Model of Coordination

In the 1997 study, eight institutions reported that none of the four standard enrollment management models of coordination represented how efforts are coordinated on their campus. These respondents gave a written description of their current situation. Responses varied from "senior administration coordinates [enrollment management] as part of five-year planning" to "I report my findings but nothing is done." Other responses indicated that admissions and financial aid were working together informally or voluntarily but retention efforts were being coordinated by another operational unit. Finally, the "silo" theme emerged in several responses and is captured by the statement "The dean of enrollment services supervises [admissions and financial aid] but has no real strong ties to the academic and only limited ties to the administrative."

In the current study, only three institutions indicated that their structure was not representative of any of the four standard models. This reduction in responses may be a reflection of an increase in understanding of enrollment management terms, but is more likely an indication that enrollment management concepts are being accepted and implemented on campus. For example, all three of the institutions reported that their structure was similar to that of an enrollment management division except that two institutions had retention efforts and one had institutional advancement operations coordinated elsewhere on campus.

The results in this area indicate that enrollment management practices have become more thought out, calculated, and purposeful. Even when exceptions were noted, they are not of the tenor voiced in the 1997 study. There seems to be an understanding of and an appreciation for organizing student recruitment and retention efforts. This change is not surprising given the growing emphasis on increasing efficiency in student services and operating as a whole to maximize student enrollment.

Institutional Selectivity

The number of institutions in each category based on institutional selectivity was similar for each year of study. In 1997

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Table 3: Breakdown of Standard Enrollment Management Models of Coordination for Moderately Competitive Institutions

Enrollment Management Structure	1997 (n=42)				Current Study (n=50)			
	In Place Less Than 5 Years		In Place More Than 5 Years		In Place Less Than 5 Years		In Place More Than 5 Years	
	f	%	*f*	%	*f*	%	*f*	%
Committee	0	0	0	0	2	4.0	2	4.0
Staff Coordinator	9	21.4	6	14.3	4	8.0	5	10.0
Matrix	4	9.5	4	9.5	5	10.0	5	10.0
Division	12	28.6	7	16.7	16	32.0	11	22.0

f = Frequency

the number of institutions responding to the survey, by selectivity, included: noncompetitive (2), minimally competitive (5), moderately competitive (59), and very competitive (3). In the current study the distribution was rather similar: noncompetitive (0), minimally competitive (8), moderately competitive (54), and very competitive (3). Given the inequality in the number of institutions in each group based on institutional selectivity, only descriptive statistics could be used to answer the research question in this area.

Only institutions that indicated that they had one of the four models in place were included in this analysis. The noncompetitive category was not included because no institutions were categorized as noncompetitive in the current study. Of the three very competitive institutions in 1997, one did not have an enrollment management model in place, one used the staff coordinator model, and one used the enrollment management division model. In the current study, one very competitive institution did not have an enrollment management structure, whereas the other two used the staff coordinator model. There is no clear pattern regarding very selective institutions given the size of the sample in each year of the study.

Four of the five minimally competitive institutions that responded to the survey in 1997 did not have an enrollment management model of coordination in place. In the current study, all eight minimally competitive institutions did: four used the staff coordinator model and four used the enrollment management division model. This suggests that minimally competitive institutions have not only adopted enrollment management practices, but they have also embraced the concept given the movement from no coordination directly to staff coordinators and divisions. This change might have been out of necessity given the pressure to increase student enrollment with limited resources.

Table 3 shows the use of enrollment management model of coordination for moderately competitive institutions. Ten of the moderately competitive institutions did not use an enrollment management structure and seven operated under an alternative model in the 1997 study. In the current study, only two institutions did not have a structure and two institutions used an alternative model. This accounts for the increase in moderately competitive institutions reporting a standard model of coordination even though there was a decrease in the number of moderately competitive institutions responding to the survey.

It is clear that there is a slight movement away from the staff coordinator model to the committee and matrix model for moderately competitive institutions. However, the greatest movement is away from not having a structure or using the staff coordinator model to the enrollment management division. This reflects an increase in the prominence of enrollment management efforts on smaller campuses. It has been suggested that the division model is the easiest to implement when there is a perceived enrollment crisis (Hossler 2005), and this may be the case for many tuition-dependent institutions in the study. The ease of implementation may also be enhanced by the small size of the departments involved in student recruitment and retention. It is easier to move a three-person financial aid office from the business and finance division to the enrollment management division than for a 30-person operation to make the same transition.

This shift may also represent a greater acceptance of enrollment management practices at smaller schools. Again, the smaller size may enhance quick changes given the fewer levels of the reporting line hierarchy. The physical structure of a small campus can enhance office movement if there are a limited number of buildings to house student services. It makes sense to bring certain operations together to save space and to provide more efficient service to students. The sense of urgency is heightened when student enrollment is threatened. That is, everyone on campus is more accepting of change if their jobs are on the line.

Limitations

There are three limitations associated with this work. Only institutional members of the CCCU were included in this study. Many colleges and universities share similar characteristics with CCCU members, but there are sufficient differences to identify CCCU members as a unique set of institutions. Thus the ability to generalize the findings to institutions not associated with the CCCU is limited. The survey did not ask respondents to indicate the reason for implementing a particular model of coordination. Thus the rationale for implementing each type of coordination model is left to interpretation. Finally, the population of the institutions surveyed was rather small. This made comparing the models based on quantitative measures of enrollment effectiveness problematic.

Conclusion

It is clear a particular model is not perfect for every institution. Huddleston (2000) suggests that the type of model adopted differs in scope and influence based on institutional goals, revenue requirements, internal culture, and the competitive

marketplace. There is a shift in enrollment management from rigid organizational structures to a more flexible organization in which individuals and their corresponding departments change based on challenges and opportunities faced by the institution (Kalsbeek 2001). Looking to the future, Black (2004) suggests that the enrollment management organization will be more responsive to the needs of students and the market.

The trend at CCCU member institutions is to move toward an enrollment management division. The small size of the student body can be a liability if student enrollment drops and tuition revenue suffers. However, the smaller size of CCCU institutions can also be a strong asset in responding quickly to changes in the student market. This includes how enrollment management efforts are coordinated on campus. The model of coordination in use could be a reflection of the acceptance of enrollment management practices or the state of student enrollment growth or decline. Future research could further the work of this study and that of Huddleston and Rumbough (1997) by investigating the reasons why CCCU member institutions choose a certain model of coordination.

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American and British Higher Education: Common Problems, Common Responses

The governments of the USA and the UK have identified similar challenges facing their higher education sectors. Both governments believe in the centrality of market forces in meeting higher education demand, with government and academia playing subordinate roles. The public purposes of higher education must be restated if the potentially negative consequences of this scenario are to be avoided.

by Geoffrey Alderman and Roger Brown

In 2005, two distinguished practitioners in and commentators on higher education in the United Kingdom turned their attention to developments in the United States (Alderman and Brown 2005). They described current changes to institutional quality assurance (accreditation in America, audit in Britain) and considered how far these processes might be vulnerable to the ever-increasing competitive pressures in both systems. In this article, these themes are readdressed in the context of a wider discussion about what appears to be a growing convergence of policies around the responsiveness and effectiveness of higher education institutions in both countries.

Some three years ago the British government published a white paper (a major statement of intended government policy), which began with a serious critique of British universities (Department for Education and Skills 2003, p.4):

- higher education must expand to meet rising skill needs;
- the social class gap among those entering university remains too wide;
- many other economic competitors invest more in higher education;
- universities are struggling to employ the best academics;
- funding per student fell 36 percent between 1989 and 1997;
- the investment backlog in teaching and research facilities is estimated at approximately $15 billion (£8 billion);
- universities need stronger links with business and the economy.

The government's primary response was to introduce legislation to enable institutions to charge increased tuition of up to $5,600 (£3,000) a year ("variable fees"). Students could either pay immediately or in effect borrow from the government and repay the money through the tax system after they had graduated. The existing subsidies on maintenance loans were unaffected. The necessary legislation was enacted, amid considerable controversy, in 2004. It went into effect in October 2006.

The United States of course already has variable tuition in the context of a much larger, more participative, and better-funded system. How this system works has been a major focus of the Bush administration's Commission on the Future of Higher Education. The criticisms that the Commission on the Future of Higher Education (2006) has made about higher education in the United States are strikingly similar to those made by the British government about British institutions:

> *In today's knowledge-driven society, higher education has never been more important* (p.6).
>
> *Too few Americans prepare for, participate in, and complete higher education—especially those underserved and non-traditional groups who make up an ever-greater proportion of the population* (p.7).
>
> *Our higher education financing system is increasingly dysfunctional. State subsidies are declining; tuition is rising; and cost per student is increasing faster than inflation or family income. Affordability is directly affected by a financing system that provides limited incentives for colleges and universities to take aggressive steps to improve institutional efficiency and productivity* (p.9).
>
> *The entire financial aid system is confusing, complex, inefficient, duplicative and frequently does not direct aid to students who truly need it* (p.11).
>
> *At a time when we need to be increasing the quality of learning outcomes and the economic value of a college education, there are disturbing signs that suggest that we are moving in the opposite direction* (p.12).
>
> *There is inadequate transparency and accountability for measuring institutional performance, which is more and more necessary to maintaining public trust in higher education* (p.13).

The Commission's central conclusion is that American higher education:

> *…must change from a system primarily based on reputation to one based on performance. … Every one of our goals will be more easily achieved if higher education institutions embrace and implement serious accountability measures* (p. 21).

To fulfill this requirement the Commission recommends the creation of:

> *a consumer-friendly information database on higher education with useful, reliable information on institutions, coupled with a search engine to enable students, parents, policymakers and others to weigh and rank comparative institutional performance* (p. 20).

The Commission feels there should also be a nationwide student tracking system.

The Commission attaches particular importance to changes in how accreditation currently operates:

> *Accreditation agencies should make performance outcomes, including completion rates and student learning, the core of their assessment as a priority over inputs or processes. A framework that aligns and expands existing accreditation standards should be established to (i) allow comparisons among institutions regarding learning outcomes and other performance measures (ii) encourage innovation and continuous improvement and (iii) require institutions and programs to move toward world-class quality relative to specific missions and report measurable progress in relationship to their national and international peers* (p. 24).
>
> *In addition, this framework should require that the accreditation process be more open and accessible by making the findings of final reviews easily accessible to the public and increasing public and private sector representation in the governance of accrediting organizations and on review teams. Accreditation, once primarily a private relationship between an agency and an institution, now has such important public policy implications that accreditors must continue and speed up their efforts towards transparency where this affects public ends* (p. 24).

How likely is it that these recommendations (if implemented), and the introduction of variable fees in Britain, will deal with the issues of responsiveness and performance identified in the two critiques?

Before dealing with this question a couple of preliminary points need to be made. The first is that although the British institutional audit is in some respects a more open and critical process than accreditation, it does not answer the need for easily accessible, *comparative* information about institutional teaching performance.

The second, and rather more central, is that neither in America nor in Britain is there any disposition, at least on behalf of the national government and those that advise it on these matters, to challenge the basic presumption that to a significant degree the provision of higher education should be left to market forces, with both government and the academy playing secondary roles in determining the levels, pattern, and quality of provision.

Yet we would argue that it is precisely this preoccupation with market forces, or at least the failure to appreciate their implications for the activity we call higher education, that accounts (ironically) for at least some of the concerns expressed by the authorities in the two countries. It follows that neither the strengthening of accountability in America nor the introduction of variable fees in Britain is likely to be sufficient to deal with the problems identified. The remainder of this article explains why we believe this to be the case.

Our starting point is that higher education fulfills a wide range of social and economic functions, and that in discharging these functions it has a number of characteristics that do not make it easily susceptible to the free play of market forces beloved of present policymakers on both sides of the Atlantic. This is not to deny the potential benefits of commercialization in at least some parts of higher education: one of the authors was employed by a major and internationally respected for-profit provider. But it does mean that a careful set of policies is needed if society as a whole is not to lose out from "marketization." Neither in America nor in Britain does such a set of policies appear to be on offer although (mainly for historical reasons) Britain *may* be closer to having them than America is (Brown 2005, 2006b).

Most people would agree that the central job of a modern university is to create and disseminate knowledge. This in itself leads to major issues. There is a substantial literature, much of it American, about the unhelpful tensions that can exist between research and teaching. These tensions often arise from the preference of many academics for conducting research over teaching both because of the greater intrinsic interest for them of the activity and because of the greater prestige that typically attends it.

We shall revert to prestige in a moment. Let us for now simply note two important and interrelated corollaries of this central task. These are (1) the need for a high degree of autonomy on the part of those delivering these functions (faculty and related staff) and (2) the difficulty of evaluating how well they are doing it *and* turning such evaluations into valid, reliable, timely, and accessible measures of effectiveness.

Matters do not end there. For one thing, some of the outcomes or benefits of these activities can be captured, and indeed traded, by individuals—things such as academic qualifications and research results. But others, which some would see as the most important, can be used only collectively—the "public good" argument that justifies public subsidy of teaching (and, often, student support) in many countries.

What really complicates things, however, is the fact that higher education also plays a key role in allocating social status, with three sets of actors/beneficiaries: students, institutions, and firms. As Marginson (2004) says:

Status competition in higher education has a dual character.… Producer institutions compete for the custom of the most preferred students, those with the best academic standing; whilst students compete for entry to the most preferred institutions (p.186).

Marginson points out that such status competition tends over time to be circular in its operation and effects: although there may be some movement "up or down" elsewhere, the elite institutions remain the elite.

Similarly, the work of Louise Morley and her colleagues (2006) at the University of Sussex (southern England) demonstrates how many British employers compete for status by recruiting only students from elite institutions and/or on the basis of university entry qualifications.

With ever greater competition for admission to an elite institution (because of the awards on offer), more and more students attend the most selective high schools with a reputation for success in getting graduates into the best universities (Frank 1999). And, in light of the growing importance of rank in the educational marketplace, universities are facing increasing pressures to bid for the various resources that facilitate the quest for high rank.

Turning to research, the classic study by Brewer, Gates, and Goldman (2001) showed how prestige, rather than customer (student or funder) satisfaction, is the main driver for many American research universities. As well as from success in attracting high quality students—which is mostly achieved through recruiting from the social elite—such universities also seek prestige from their research performance and the research- and scholarship-related reputations of their staff. Similar tendencies can be found in Britain where a long established policy, the Research Assessment Exercise (RAE), neatly allocates prestige to individual departments and institutions across the sector. A more recent study (Volkwein and Schweizer 2006) finds this craving for prestige through research to be true even of many American liberal arts colleges.

Competition for status may be unavoidable. What makes it more socially significant, as Marginson argues, is when it takes place in an economic market, that is, when the market economy becomes the medium for such competition through devices such as variable tuition fees, institutional competition for public and private funding, officially sponsored performance indicators and league tables, and the like.

Given the previously mentioned difficulty of evaluating and measuring academic and institutional performance, and the economic and social power wielded by both the elite institutions and those they serve, the seemingly inevitable corollary of marketization is enhanced stratification—of students, institutions, and employers. To quote Marginson again:

Providing that elite institutions sustain their prestige, the more intense is the consumer competition for entry, the less those elite institutions are required to court the consumer in the conventional manner by dropping prices or providing more and better services. They must compete vigorously in terms of research performance, which is essential to maintaining and advancing their prestige, and they must make the right noises about the quality of teaching, but in reality they do not compete directly on the quality of teaching services.

However:

At the bottom end of the market, the workings of status competition are different. Institutions must compete hard to attract students to fill their places and secure revenues; and their success is always provisional and contestable. But these institutions do not receive full recognition of the quality of good programs. In a status market, their efforts to improve the quality of teaching are over-determined by their low status. Meanwhile intermediate institutions, combining scarce high-value places with low-value access places, find it difficult to move up the ladder because of limits to the number of high-prestige producers. They are classed as "second-choice" producers or specialists (pp.189–190).

So what is to be done? Our argument, which takes up the rest of this article, is that although the proposed changes to accountability may assist, a more radical agenda may be needed, in both countries, if our societies are to get the best value from their universities. Our agenda includes:

- sharpening the focus on student learning outcomes and published information about them;
- tackling the research/prestige issue by giving greater value to teaching and encouraging, and in some circumstances requiring evidence of beneficial links between research, teaching, and service as a basis of institutional funding;
- redressing major access and funding differentials between institutions and social groups;
- recognizing the need for government intervention to secure genuine institutional diversity and social equity as well as value for money.

Student Learning Outcomes

As previously described, institutional academic audit in Britain focuses not only on the mechanisms through which institutions protect program quality (quality of instruction) but also on the means by which they secure appropriate learning outcomes. The latter are set out in "programme specifications," documents describing, course by course, what it is that students should know and be able to do as a result of the program.

Historically, a key role has been played by a system of external examiners, whereby experienced academics from another institution advise the university concerned about the comparability of the academic standards being set and the fairness of the relevant assessment procedures. Periodic institutional audits comment, sometimes critically, on the effectiveness with which the institution concerned is using its external (and internal) examiners to ensure the standard of its awards.

To assist with this process the national quality assurance body (the Quality Assurance Agency [QAA]) provides guidance in the form of a "quality infrastructure." This covers both the levels of qualifications and the kinds and levels of knowledge and understanding to be sought through the study of particular subjects. The latter is set out in what are known as "subject benchmark statements," drawn up by academic staff from across the sector in the subject area concerned. There are now more than 70 such statements covering virtually the entire higher education curriculum, from traditional academic subjects such as philosophy and history to vocational subjects such as building and surveying. Although not mandatory as a basis for devising curricula, they are treated as "reference points" to which institutions are expected to have regard.

Audit reports are published and often featured in the national higher education press. In addition, much quality related information is published on a government-supported national Web site (www.tqi.ac.uk). This information is both quantitative and qualitative. It includes the results of an annual national survey of students in their final undergraduate year. It is indeed possible that in the United States, the Commission on the Future of Higher Education had this site in mind, though it should be noted that a national review committee is likely to recommend the removal of much of the qualitative information from the site on the grounds that the informational benefits to students are significantly outweighed by the administrative costs to institutions in producing it.

The quality infrastructure, which is also being developed at a European level, has its origins in an extensive program of work on degree standards by the QAA's predecessor, the Higher Education Quality Council. The program grew out of anxieties very similar to those that have moved the Commission, namely whether institutions were focusing sufficiently on program outcomes and whether those outcomes were at a level appropriate to the award. The implementation of the Council's recommendations through the QAA has gone a long way to alleviate these concerns although they have not entirely disappeared and may even be revived as British higher education enters a world of modified price competition.

What the British quality assurance framework cannot do—and what we believe impossible—is provide meaningful *comparative* information about institutional teaching performance. The difficulties with this may be summarized as follows (Brown 2006a):

- There can never be perfect, or even adequate, information about teaching quality, mainly because there is no agreement across higher education about either what is meant by such quality or how it should be measured.
- Even if there were agreement about defining teaching quality, it would still be necessary to adapt the definition to the interests, learning approaches, and circumstances of ever-increasing numbers and types of students. That is, no one size fits all.
- Even if the definition could be adapted for all the numbers and types of students, it is not easy to see how the necessary information could be provided, in advance, in an economical and accessible form, for each student or potential student.
- Even if this information about teaching quality could be adequately provided to students and potential students, compiling information about teaching quality would not necessarily be the best use of faculty and other resources for either accountability or for quality improvement.

These limitations, incidentally, clearly apply with equal force to commercially produced league tables, or "university and college ranking tables" (Brown 2006b).

Research and Teaching

Criticisms of the academic preference for research (knowledge creation) over teaching (knowledge dissemination), and the consequential damage to education, and particularly educational innovation, have a long pedigree in both Britain and America. Similar criticisms were voiced, in trenchant terms, in early drafts of the Commission's report:

> *A key aspect of the problem is that many professors are excessively preoccupied with research, pay too little attention to innovative teaching techniques, and turn a blind eye to a campus culture that in too many instances seems to promote underachievement, anti-intellectualism, and excessive socializing* (first draft of report pp. 14–15).

It is by no means clear that the Commission's final proposals sufficiently address these criticisms.

The research–teaching issue appears to result from a nexus of factors. These include the undeniable fact that, for many faculty, interest in the subject, and in extending knowledge in the subject through research, is the primary motivator for entering the profession and remaining within it; the fact that the classic means of professional formation (in both countries) is through the acquisition of a doctorate at a research university; and the fact that identifying, evaluating, and comparing the product is less difficult for research than for teaching. Certainly, there can be no doubt about the reciprocal relationship between research and prestige. As Massy (2003, p.19) says: "research became the coin of the realm: the best way to get one's ticket punched for institutions and professors alike." We believe it to be noteworthy that in our joint experience the phrase "world-class universities" always means world-class *research* universities.

It follows that there is no simple or easy solution to the problem of how to successfully combine research and teaching. There are certainly examples of institutions that have successfully gone down the path of deliberately rewarding high-quality teaching (*e.g.,* University of Sydney [Australia]). Student pressures may also assist, at least where there is an increase in net tuition. But we argue for a more radical approach.

What that approach might be is suggested by the National Science Foundation (NSF) policy of tying research grants to evidence of impact including impact on student learning. In

Britain, impact is not yet a criterion for valuing research funding. As already mentioned, a crucial role is played by the RAE. This is a periodic, national, peer review of research performance, subject by subject, department by department, leading to adjustments in institutions' research funding. Following the NSF example, it would be possible to use the RAE to strengthen the research–teaching link by:

- broadening the definition of research so that it embraces a wider range of forms of scholarly inquiry;
- limiting selectivity of funding to those areas of research where it is really needed on economic, capacity-building, or strategic grounds;
- including dissemination of outcomes (both inside and outside the academy) as one of the main evaluation criteria; and/or
- making it a condition of funding that there is genuine student involvement, at both the postgraduate and undergraduate levels, in the research work of the department concerned.

Access and Funding Differentials

It is a fact that in both Britain and America there are massive funding differentials between universities, accompanied by massive differentials in access to, and persistence in, higher education by different segments of the population. Moreover, these differentials appear to have widened in recent years. It also seems clear that these differentials are socially and economically wasteful and are indeed dysfunctional. All of this is recognized, either explicitly or implicitly, in the Commission's report. The issue is whether these differentials are seen as sufficiently problematic—both inside and outside higher education—to be worth tackling with serious remedial measures. Here we need to distinguish between the two countries.

For America, the Commission has proposed a shift back to need-based aid, reversing the trend toward merit-based aid that has gathered pace in the last decade or more. This would seem to be a major move in the right direction, but it may be that more radical steps are required. These could include reviewing overall levels of federal and state aid; reviewing the balance between loans and grants for lower-income students; or even reviewing, and possibly recasting, the whole basis on which U.S. public higher education is funded, that is, with federal and state aid flowing to and through the student rather than the institution. In the meantime, agreement to limit tuition levels or increases between universities, outlawed currently in both countries, might be a useful step.

For Britain, the increases in tuition, alongside the concentration of state funding for research in a much smaller number of universities, is bound to increase the differential between institutions still further. These will expand even more if, as some expect, the next British government removes the present cap on tuition.

When variable fees were introduced, the British government agreed, in a concession to parliamentary opposition, to a review of the cap in 2009. A crucial factor then will be whether the introduction of variable fees has harmed social participation. The government rejected a proposal by the Coalition of Modern Universities that whereas tuition fees might vary between universities, there should be a single national bursary scheme; in other words, there should not be competition over the level of the bursary, or financial grant. The government also apparently decided to make no changes to the arrangement whereby interest rates on maintenance loans receive a subsidy. Neither decision assists widening participation. The former means that the universities that are the most socially representative are also those that will have to return the greatest share of the fee income in the form of bursaries. The latter means that the beneficiaries of the subsidy will continue overwhelmingly to be middle-class students and families.

Soon after variable tuition was announced in the 2003 white paper, the then head of the government's funding agency for higher education (Sir Howard Newby) speculated on the possible need, in the interest of both quality and diversity, for the funding council to be able to intervene to protect, if necessary by subsidy, "poorer" institutions. He was quickly warned off by the government. But the issue seems bound to recur if some of these institutions are threatened by the greater marketization represented by variable fees. This takes us to the final issue we wish to address here, the role of government in all of this.

The Role of Government

As we have seen, in both America and Britain higher education is increasingly seen by policymakers as something that is best delivered by the market. This has long been the case in America and is increasingly so in Britain. Nevertheless, the fact remains that both systems are overwhelmingly publicly funded: In America it has been estimated that students contribute about 35 percent of the overall costs (Marginson 2004); in Britain after variable tuition the private contribution will be (we believe) roughly 20 percent. This suggests that in both countries government has, or at least should have, sufficient leverage to ensure that the public purposes of higher education are not lost sight of but are actually fulfilled.

The other main lever available to government is of course regulation. Even those who would like higher education to be even more of a commercial market accept that regulation, which in practice means some element of statutory regulation, is necessary for such markets to function. In both countries the regulation of higher education is a mix of statutory and self-regulation: it is self-regulation within a statutory envelope. Indeed, the dependence of self-regulation on statutory regulation is stronger in America because of the explicit link between accreditation and federal funding, a link that does not yet exist, at least explicitly, in Britain (Alderman and Brown 2005). If the Commission's proposals on accountability are in the right direction, it should surely be possible for them to attract government support.

Conclusion

In both countries the underlying issue, it seems to us, is the need to restate and reinvigorate the public purposes of higher education and to be prepared to contemplate the redistribution of resources (money, values, esteem) toward those institutions and social groups that more closely fulfill, or can benefit from, these public purposes. This will not be easy given the concentration of political and social power among the high-status institutions and their clients and supports. But the alternative, which does not bear thinking about, is the continuation (in America) or the exacerbation (in Britain) of the present, seriously suboptimal arrangements. Clearly, these are issues that go far beyond higher education. And although higher education cannot resolve them, it can—and as society's conscience, it surely should—prepare the ground and lead the debate. Who will join us?

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Decision Making in a Joint Doctoral Program in Educational Leadership

This article explores the decision making in developing and starting a partnership between three universities using the decision-making models developed by Graham Allison in 1971 and updated in 1999. University partnerships are complicated and require more than one decision-making model to explain all the significant decisions that are make in both forming and running a partnership of equals.

by Robert C. Vieth

This is an article regarding the development and implementation of an educational partnership between three universities. The first part explores the decision making in developing the partnership, and the second part explores the decision making in starting and running the actual program.

Using three different decision-making models that were first discussed together in 1971 (Allison) and later updated in 1999 (Allison and Zelikow), this paper reflects upon the creation of a specific educational partnership between two California State University (CSU) campuses and a University of California (UC) campus. The use of the models reveals how a formalized collaborative group makes decisions and carries out the work of the partnership. The different models offer lenses with which to evaluate particular steps in the partnership process. The partnership was formed after the California legislature passed California Education Code 66040 in 2000–2001. It brought both new resources and policies to joint doctoral degree programs, specifically in educational leadership and administration. This article is designed to help others in the field who may be considering forming a partnership involving two or more colleges or universities.

The Need for a Variety of Decision-making Models

In *Essence of Decision: Explaining the Cuban Missile Crisis,* Allison and Zelikow (1999) contend that to understand what happened in the Cuban Missile Crisis requires multiple decision-making models or theories, for no one model can explain all of the decisions made within the crisis. The models used in the Cuban Missile Crisis analysis invite a thoughtful approach to examining complicated issues in large governmental organizations. Here, we apply the decision-making models to a different kind of crisis—the undisputed need for more and better-trained educational leaders in California schools, which led to the creation of a unique partnership between universities. In this case, three decision-making models are taken together to discuss some of the processes and problems associated with developing a new program governed jointly by two large educational systems and three universities within these systems. Each model explores decision making from a different frame of reference, and all three lenses together better explain the decision-making process within the partnership than any one model could by itself.

The Educational Leadership Crisis in California Public Schools

In California, three hearings were held across the state in 2001 to determine the extent of the leadership crisis in California and what could be done about it. The focus of these hearings was on the lack of advanced degrees held by administrators and how the chronological age of administrators who held advanced degrees was rising and that more than half of the administrators with advanced degrees in California would be retiring in less than five years. The second focus of concern was that community college administrators had no place to get advanced training in Northern California and that they were attending programs in Oregon and Nevada. Both representatives of the UC Davis and Sonoma State University attended the third meeting and expressed an interest to work together to help solve the crisis. CSU Sacramento had already indicated to UC Davis that they were interested in helping to solve this leadership crisis.

The Three Decision-making Models

Allison and Zelikow (1999) refer to the dominant decision-making model as the Rational Actor Model. The core concepts of the model are that various goals and objectives are considered in decision making and that the rational agent will explore all of the alternatives and select the one that ranks the best. This is based on determining the consequences

of each alternative and choosing the alternative that provides the highest payoff function (Allison and Zelikow 1999).

The second decision-making model is called the Organizational Behavior Paradigm. The authors contend what is now known about organizational theory can explain the behavior of organizations, and this information supplements the Rational Actor Model (Allison and Zelikow 1999). Some of the key concepts of the model are that decisions of organizational leaders can trigger organizational routines. There are many organizational actors who do not act as part of one large organization, but rather as a constellation of loosely allied organizations. This means that to avoid organizational paralysis, primary power must be with the organization in charge. Many government organizations have formal charters that specify their authorities, arenas in which they are directed to operate, and activities that are forbidden. The preeminent feature of organizational activity is its programmed character. Organizational output is therefore based on being compliant; it is based on standard operating procedures, and decisions are made to avoid uncertainty.

The third model of decision making is the Governmental Politics Paradigm. Allison and Zelikow build on the concepts of Richard E. Neustadt in his book, *Presidential Power* (1990) Neustadt's paradigm has been used since the early 1970s to explain decision making in large government-related organizations. In the Governmental Politics Paradigm, Allison and Zelikow assert that what happens in a governmental agency is based on bargaining along regularized channels by individual members of the government. This decision-making process is driven by four interrelated questions:

- Who plays?
- What factors shape players' perceptions, preferences, and stance on the issue?
- What determines each player's impact on results? and
- How does the game combine players' stance, influence, and actions to yield governmental decisions and actions?

All three of these decision-making models help explain the complicated actions of the three-way partnership between Sonoma State University, CSU Sacramento, and UC Davis. I assert that in any given situation one of these models does a better job of explaining the decision-making process than the other two models. By understanding all three models, participants may anticipate decisions in the future and carefully reflect on decisions made in the past. But after the Cuban Missile Crisis President Kennedy said, "The essences of ultimate decision remains impenetrable to the observer—often, indeed, to decider himself.… There will always be the dark and tangled stretches in the decision-making process—mysterious even to those who may be most intimately involved" (Allison and Zelikow 1999, p.1). In the end, decision making in a large governmental organization is complicated and worth studying to determine how and why organizations struggle with outcomes; the struggle is an indication that a particular phase or process was not fully understood and that the parties struggling probably operated outside the structures of the organizational design.

Historical Rationale for Shared Programs

Colleges and universities have formed agreements and partnerships so they can better serve students in higher education. The basic concept has been that one university or college may not have the faculty members and range of specialization required to offer a complete program of study. A partnership would increase the breadth and depth of faculty expertise associated with a high-quality program. In some cases colleges may come together for cost reasons, so one institute of higher education can share the cost of expensive programs with another one. In other cases, a community college may join with a four-year college so that specific training can start in a local community and finish at a specific four-year institution that has an agreement with one or more community colleges. Typically, each institute of higher education provides a portion of the start-up funds for these partnerships, and by sharing start-up costs each is distributing the financial risk so no one institution is unduly burdened. Partnerships have also been formed between school districts and universities so that practitioners and theoreticians can inform each other's practice on a more systematic basis. In the case of the partnership under study in this article, there were legislative guidelines for forming a partnership, and money provided for start-up costs.

The handbook published for the purpose of guiding the development of the programs between the University of California and the California State University systems states: "Joint doctoral programs are partnerships between UC and CSU that build on the strengths of the participating campuses to generate specialized programs that could not otherwise be realized. Joint doctoral programs benefit both systems, the students, and the State" (UC Coordinating Council on Graduate Affairs 2002, p.2).

In California, this need for specialized joint programs has been particularly pressing in the area of educational leadership. Three statewide hearings were conducted in 2001 to collect data regarding the need for the public university systems in California to provide significantly more opportunities for administrators in both pre-K–12 schools and community colleges to earn an Ed.D. in educational leadership. The handbook that guides the development of these programs states:

> *In November 2001, CSU and UC entered into an agreement to establish a new joint Ed.D. board specifically for the purpose of encouraging and expediting development of new joint Doctor of Education degrees. Each system agreed to contribute $2 million over a two-year period to assist in this process. The joint Ed.D. board, co-chaired by the chief academic officers of each system, is charged to "solicit, develop, fund, and expedite proposals for joint Ed.D. programs that build on the mutual strengths of CSU and UC campuses"* (UC Coordinating Council on Graduate Affairs 2002, p.2).

This legislation provided three significant incentives for the CSU System to work with the UC System. First, CSU faculty working in this joint doctoral system would carry the same workload as their UC counterparts. This legislation provides a professor in the CSU System much more time to conduct research and to serve on doctoral-level committees than a CSU counterpart professor who is not involved in a joint doctoral program.

The second incentive in the legislation states that the students in the program pay fees at the UC rate, and the program would receive UC fees; these fees are approximately 40 to 50 percent higher than CSU graduate fees.

The third incentive applies to both the CSU and the UC systems. Start-up funds are provided to design, develop, and run the first three years of the program. Individual universities do not have to fund the program before they become economically viable from student fees.

These three incentives are why the CSU faculty and administration found the new agreements worthwhile. For the UC System, the reason to partner is more political than financial. Before this legislation was passed, CSU could not grant the doctoral degree, and UC controlled access to the doctoral degree in the California higher education system. This agreement is built into the State Master Plan for Higher Education agreed to in 1960. Forming a partnership with CSU enabled UC to still have some control over all doctoral programs in the state. UC also recognized that they did not have the faculty capacity to meet the rising demand for the Ed.D. in California without the help of the faculties at various CSU campuses.

The Ph.D. programs at most UC campuses require full-time residency for at least part of the program, and few working professionals in California were completing these programs. These new partnerships provided a positive way for the UC Schools of Education to influence the leadership practice in both the K–12 and community college systems, and they did not have to fund the start-up costs of the programs from local university funds.

To many people in the CSU and UC systems, the passing of the legislation leading to the joint doctoral programs was a historic event. In looking at the agreement, it would seem that the Rational Actor Model best describes the decision making from the perspective of both the UC and CSU systems. The Rational Actor Model would lead an observer to conclude that both the UC System and the CSU System saw the joint doctoral agreement as their best alternative. From the point of view of the UC System, it was likely that other alternatives were not in their interest. If the UC System did not accept this agreement, it was possible that the legislature was going to grant the CSU System the right to develop independent doctoral programs. From the CSU System's point of view, the joint doctoral program was the best compromise because the legislature might not have changed the Master Plan for Higher Education in California, which had not been significantly modified since 1960. Therefore, both systems compromised and found the best alternative for all concerned, which illustrates the Rational Actor Model.

Initial Development of the Partnership: Some Theoretical and Practical Considerations

Which decision-making model best explains whom the partners would be?

Education Code 66040 did not dictate which universities would partner; schools had to find their own partners if they were interested in pursuing the creation of the doctoral program in educational leadership. The legislation provided start-up money but did not mandate which campuses would participate. Geography is an obvious practical consideration in forming a partnership. The universities needed to be close enough to each other that they could collaborate effectively and far enough apart to serve a broader geographic region beyond any one university.

In the case of this study, there was a clear interest from CSU Sacramento and Sonoma State University to partner with UC Davis. Existing relationships between faculty and administration at CSU Sacramento, UC Davis, and Sonoma State helped start the conversation between the universities. The legal process required more formal permission to negotiate between campuses when the informal process was completed. Most of the preliminary conversations between the three faculties and administrations revolved around developing a common shared vision for the program philosophy. It was quickly realized by all concerned that educational philosophy for the program was not going to be a barrier to the partnership.

However, it was clear that a balance of views needed to be achieved on the planning team between members who had been part of a previous Ed.D. partnership program and those who were discussing this type of program for the first time. If too many people from previous programs were involved, then it might become difficult to truly create a new direction. If only people with no previous experience in running joint doctoral programs were involved in the design of the program, it might be easy to make basic errors in design and governance structures that would be avoided by more experienced faculty and administrators of joint doctoral programs.

Finally, it ultimately took support from the president or chancellor of the universities, as well as from the provosts and deans of education, for such a program to take shape. The initial planning process required letters of support from all of these levels. In the case of this partnership, all involved faculty knew there was a significant commitment from university administrators, and the partnership was a high priority on three campuses. This partnership is a classic example of both top-down and bottom-up leadership; without both a dedicated faculty planning team and strongly supportive campus leaders, it would never have come together.

The Organizational Behavior Paradigm best explains the decision as to who would partner. When forming collaborative relationships, organizations have to take into consideration

geography, as well as organizational fit. For example, UC Davis had experience with an existing partnership that informed their choice regarding this new endeavor. In the early 1990s, UC Davis and Fresno State University developed a joint doctoral program in education that encountered strain in part owing to a significant driving distance of 190 miles between the two campuses. Clearly, new technologies such as online teaching and newly developed distance learning can overcome some distance problems, but these organizational structures never became part of the standard operation procedures of this partnership, an issue best developed in the Organizational Behavior Paradigm.

Given the close proximity of UC Davis and CSU Sacramento (less than 20 miles), there was an obvious fit based on location. Sonoma State joined the picture in part based on geography (80 miles to Davis) and in part based on prior working relationships and common organizational missions. If Sonoma State did not join the UC Davis–CSU Sacramento partnership, it was unlikely that they would be part of any program given partnerships that had already formed in their geographic area. The decision to create a new educational partnership is closely tied to individual organizational needs, and thus the Organizational Behavior Paradigm is applied. It is true, however, that each of the organizations in this three-way partnership had to consider all of their organizational alternatives, as put forth in the Rational Actor Model, and then they selected the best alternative for their university. One of the strengths Sonoma State University brings to the partnership is a good working understanding and use of distance education, and in the decision-making process, this strength was written into the Joint Partnership Application. Therefore, the Rational Actor Model helps explain Sonoma State in this partnership because this model considers alternatives very carefully. If Sonoma State did not have a willingness and expertise to further develop distance learning models, Sonoma State would not have appeared to be as good of a partner in this relationship considering they are located significantly farther from the other two universities than UC Davis and CSU Sacramento are from each other.

DEVELOPING AN EDUCATIONAL PROGRAM AND THE OPERATING PRINCIPLES

Two concepts must be developed simultaneously when forming a complicated partnership. The first is the educational program that will be delivered to students. In this case, faculty worked together, focusing on goals of the program and how it would be delivered in three years. Many alternatives were considered in this process, and faculty discussed in detail their specific experiences in their own doctoral programs. Faculty groups reviewed and critically examined other models of existing programs. This part of the process provided few ongoing philosophical disagreements.

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The Rational Actor Model best explains the building of the educational program because of the constant use of alternatives. Organizational requirements of such a program exist—it does have legislative mandates to follow—but these were determined by constantly comparing options and the compromises of those various alternatives. In the case of this program, different options were available in regard to designing the community college aspect of the program. How many classes should be taken with the K–12 candidates, and how many stand alone classes should there be for community college candidates? In the end it was decided to keep the candidates together for almost all classes. Although this was a practical solution, it must be understood that at least some of the faculty were opposed to this solution until other alternatives were considered. In the Rational Actor Model, alternatives are closely examined, and what the faculty group came to understand by examining the alternatives is that keeping community college students separate would cost too much money and that everyone valued support for individual students in the dissertation stage more than having separate courses for community college students in the second year of the three-year program.

The second concept focused on early in the process was specifically how three universities should work together as partners. This concept is made more complicated because different university cultures must be considered. Also, bringing two systems together to work that normally have only superficial relationships, or worse, have some previous relationships that have not worked to the satisfaction of both parties, was a large hurdle to overcome. For example, some of the faculty and administration at CSU Sacramento were part of the Fresno State faculty when a previous partnership was formed between Fresno State and UC Davis. Although some of the new legislation addressed some of the CSU concerns regarding workload of CSU faculty in this type of partnership, some faculty still had concerns regarding the new relationship and how it would work. Previous history matters in developing new relationships. Therefore, developing the operating principles was a much more complicated process than developing the educational program. No one had a problem conceptually with the idea that there would be three equal partners. However, putting that into practice provided challenges. A number of CSU–UC joint doctoral programs had preliminary approval before this partnership, and through informal conversations with participants of some other partnerships, it became clear that some of the smaller campuses felt they were not being treated as equal partners. Further examination showed they were partnerships of unequal power based on having unequal resources. Therefore, we understood that this partnership had to specifically address creating equal financial status for each partner, even if the partners were of different size.

In this case study, CSU Sacramento had the most faculty potentially interested in participating in the program, and it would have been easy to say all faculty would have an equal opportunity to teach in the program. If this philosophy were followed, CSU Sacramento would teach half of the courses. In fact, something similar to this arrangement exists in some of the other partnerships across the state. If such a model is followed, the institution with the most faculty could claim to be the most important partner by requesting that they have decision-making power in direct relation to the percent of funding/faculty they have in the program. This leads to junior partners, unequal voting processes, and fundamentally unequal partners. For this reason, it was agreed that ultimately two full-time faculty equivalents would be funded on all three campuses. These six faculty equivalents can cover the teaching load in the three-year program. This means all three universities contribute approximately the same number of faculty in the program. In the first-year program, all students take nine core courses. Each of the three universities is responsible for three courses. Some of the faculty involved in helping make this decision regarding the issue of equity learned these lessons from previous school/university partnerships. This concept is even referred to in the partnership literature of the current case study.

Today, as various authors describe partnerships and consortia involving schools and universities, they are speaking more and more of the need for the relationship to be one of equity (Clark 1988).

On the surface, developing organizational principles might best be explained by the Organizational Behavior Paradigm because developing organizational principles to some degree is about setting up standard operating procedures. But in this case a principle of the Governmental Politics Paradigm seems to best explain what occurred. The concept is "where you stand depends on where you sit." This concept is the single most important one in the work of Allison and Zelikow (1999) that relates to this study. They explain the concept as follows:

> *The diverse demands upon each player influence priorities, perceptions, and stands. Especially in structural issues, such as budgets, the stance of a particular player can be predicted with high reliability from information about the person's seat.… The player may resist or ignore the conditioning that arises from the person's seat in government and placement in the action channel. But the proposition does assert that where one stands (on an issue) is influenced, most often strongly, by where one sits. Knowledge of the organizational seat at the table yields significant clues about a likely stand* (p.307).

All three universities decided that the partnership would not just be philosophically equal, with each university having equal decision-making powers wherever voting occurred, but that each would also have nearly equal budgets. CSU Sacramento would have preferred a larger share of the budget, because they were the largest institution in terms of the number of educational leadership faculty and could provide a significant number of their faculty to teach in the program. Both UC Davis and Sonoma State, however, wanted to see a

truly equal power relation between universities, no matter the size. This is a clear case of "where you stand depends on where you sit."

Program partners discussed operations issues a great deal. The Organizational Behavior Paradigm would have applied in this case if there had been rules set up regarding finances within the partnership, but standard operating procedures had not been outlined in the operational handbook. This was an area left open to bargaining, and more bargaining occurred in relation to the concept of financially equal partners than in any other concept in the partnership.

DEVELOPING A PROGRAM IS EASIER THAN ACTING ON IT

When discussing the individual behaviors of faculty in designing courses, the regularities of previous experiences outweighed the issues of working in a highly collaborative manner, a desire of the new program. This tendency is best explained by the Organizational Behavior Paradigm because it is an example of individual faculty working in old established ways, and not the newly desired ways.

One of the visions/agreements for the program established that the design team would design all new courses for the program so they were interrelated and had a strong practice–theory–practice perspective. However, because of the number of new courses in the program, it was determined to be more practical for individuals potentially teaching a particular course to design the course. Therefore, when courses were developed for review, it was easiest to assign a particular course to the most experienced person in a sub-area of the program. For example, the person who had the strongest background in school finance would be assigned to design the new school finance course. The problem with this design strategy was that faculty members naturally went back to previous experience and used what they had used in the past, and with no one acting in a lead role to discuss the course design, there was a strong tendency to do this. At the point of program approval submission, we had a program design that was a few steps ahead of the actual courses that were designed. This meant in the first year the design team members were having conversations throughout the year, revisiting the vision of the program and implementing this vision throughout the courses. In retrospect, this is a perfectly logical process, but a good recommendation would be to have a subgroup of the design team work collaboratively on three or four courses and review their courses in relation to the vision because this would overcome the Organizational Behavior Paradigm tendency of not varying one's methods. Allison and Zelikow say: "The preeminent feature of organizational activity is its programmed character: the extent to which behavior in any particular case is an enactment of pre-established routines" (p.168). In the case of course development, the preestablished routine in most universities is that courses are designed by one person working in isolation from the rest of the faculty.

In addition, the Organizational Behavior Paradigm best explains the tendency for individuals to work alone even when it would be best for the program for individuals to work in groups. This conclusion is based on two additional general propositions of the Organizational Behavior Paradigm. First, the concept that organizational priorities shape organizational implementation (Allison and Zelikow 1999) rings true. In this case study, there was an organizational priority of getting the program approved in a timely manner that outweighed taking more time to develop the courses more thoughtfully. The second principle that seems to be at work is that implementation reflects previously established routines (Allison and Zelikow 1999). In the past, most faculty developed individual courses by themselves based on expert knowledge that should not be challenged by faculty with less expertise or experience. Individual faculty members were following this organizational norm, even though it was not the stated norm of the faculty working on course development for the joint program.

COLLABORATION IN HIRING ACROSS CAMPUSES BUILDS TRUST

Part of the vision for the program is that as many decisions as possible be made by the partnership itself, with the interests of the partnership coming before the individual needs of any one university. For this to happen in practice, codirectors need to be appointed that understand the program and this unique relationship between the partnership and the university. For this reason, UC Davis invited a person each from CSU Sacramento and Sonoma State to serve on the search committee for the codirector at UC Davis. UC Davis went beyond their own faculty in composing the search committee, and by including faculty from the partner universities, the search committee considered criteria and expertise that would not only support the interests of UC Davis but also the partnership as a whole. Although this was more complicated and time consuming, it resulted in deeper and more thoughtful relationships based on the commitment and collaboration of the partners to find a codirector. In the end, partnerships are all about making decisions based on relationships, and involvement in searches is a significant way of building trusting relationships.

So what best explains UC Davis's decision to include faculty from the other two universities in the codirector search? When the administration at UC Davis chose to appoint a faculty member each from CSU Sacramento and Sonoma State, it seems that it was considering one of the concepts from the Governmental Politics Paradigm: where you stand is largely determined by where you sit. The new co-director was not only going to have to develop relationships with the UC Davis faculty, he or she was also going to have to develop relationships with the faculty from the two other partnership institutions, where the cultures are significantly different from each other and from UC Davis.

If the logic of the Organizational Behavior Paradigm were followed in this case, it seems likely that UC Davis would not have asked outsiders to be part of the search committee, as standard operating procedure for UC Davis faculty searches dictates that only faculty from the UC Davis School of Education participate on the search committee. If the Rational Actor Model were followed, it seems unlikely that such a potentially risky alternative would have been followed because faculty from Sonoma State and CSU Sacramento would have the potential to change the outcome of the search, diminishing the influence of UC Davis faculty in the search process. The Rational Actor Model puts a premium on controlling risk by assessing alternatives and selecting the one with the least amount of risk. That is not the logic that the UC Davis administration followed in this case. They took a significant risk because they knew the potential benefit was worth it.

MAKING AND KEEPING AGREEMENTS

In developing a new joint doctoral program, both large and small agreements are made throughout the process. It is easy to rely on the written document that is created for submission to the approving bodies as the only important document of record. In the current case, it was assumed that if something was in the approved program document that everyone had approved the submission. This strategy works fine as long as the participants do not change, but no change in personnel is an unrealistic assumption. It is certainly more work to keep minutes and show some background to agreements, but it is helpful when disagreements arise and when people assume new roles on the faculty and in administration. Working through disagreements in a partnership is a normal and essential process, and the agreements tend to last longer if someone has taken the time to document the issues of contention and how they were decided. If this does not happen, various administrators and faculty will challenge particular parts of the agreement.

In the Rational Actor Model, goals drive the decision-making process and alternatives are considered in relation to meeting the stated goals. In this partnership, there was a stated goal of equal partners. But the largest partner routinely tested this goal over the issue of the number of faculty teaching in the program from each university. Two partners wanted a relatively equal share of resources going to each university and the third, largest university agreed with this philosophy in principle, but it wanted to test and develop different alternatives to the agreed-upon resource allocation model developed at the beginning of the partnership. In this partnership, questions around this issue never seem to go away, and these issues tend to be brought up whenever there is a change in personnel in the partnership. Again, the Rational Actor Model suggests that alternatives are always being examined, and new people in the partnership tend to want to have new alternatives explored when they join the partnership. The partnership has not reached the point where the Organizational Behavior Paradigm has set in, and therefore, where there are fundamental disagreements within the partnership, standard operating procedures are not yet applicable. However, the Governmental Politics Paradigm seems to partly suggest that the concept of "where you stand depends on where you sit" is also at play. In fact Sonoma State and UC Davis used the Rational Actor Model when they stated that they considered all of the alternatives and issues of equity to be critical. CSU Sacramento had to go along with this concept because it sounded correct in theory, even though they have faculty that are being excluded from teaching in the program based on this principle. They repeatedly contest the issue by questioning the principle of equity when it does not best represent the interests of individual faculty at CSU Sacramento.

The Need to Create a "Third Space"

Through the Rational Actor Model, the concept of the "third space" was developed. The "third space" refers to a space that does not reside politically on any specific campus, but rather a decision making space where the partnership resides equally among the partners and is controlled by the partnership and not by any specific university. All of the partners knew from previous experience that the needs of the partnership needed to come before the needs of any one university. The faculty and administrators knew this was a bold but necessary step if the partnership was to survive. The goal for the partnership is to operate in a third space as much as it can. This means that decisions are made by the partnership and in the interest of the partnership instead of by a particular university for its particular benefit. The lesson learned is that the third space cannot exist until the approval process is completed at each university. In the individual university approval process, it is likely that a university will make a decision on its campus that might affect the total program, but the institution is obligated to follow university protocol before any partnership protocol. Because the approval process is different on each campus—moving at different speeds and going through various committees—the partnership must recognize that a particular university may have to do something that either slows or stops the process for a period of time. For example, although each university worked diligently on gaining program and course approvals on its own campus, this process took entirely different pathways at the institutions. For this reason the total approval process took a full year longer than expected or predicted by anyone. Therefore, the sooner all approval steps are completed on each campus, the sooner the program can viably operate and the guidelines and procedures can be fully implemented. This means that until the program is approved, it is difficult to operate in this third space.

The difficulty in moving to a third space is best explained by the Organizational Behavior Paradigm; in particular the concept of action as organizational output seems to fit this situation well. The preeminent feature of organizational activity is its programmed character: the extent to which behavior in any particular case is an enactment of preestablished routines (Allison and Zelikow 1999). In this case, each university

Program Development Timeline for Partnership between Three California Universities

POLITICAL AND LEGAL EVENTS BEFORE THE PARTNERSHIP FORMATION

- 2000–2001: Revision of California's education code to support joint doctoral programs in educational leadership between the University of California (UC) and the California State University (CSU)
- Fall 2001: Three state of California hearings on the need for additional programs in advanced educational leadership training leading to the Ed.D. degree for pre-K–12 and community college administrators
- November 2001: Agreement between CSU and UC to develop joint doctoral programs in educational leadership

CONCEPTUAL DEVELOPMENT OF THE PROGRAM: MAY 2002–SUMMER 2003

- May 2002: UC Davis/CSU Sacramento/Sonoma State University Joint Ed.D. Planning Team forms and begins discussion regarding the creation of a Joint Ed.D. program in education leadership. Attendees include individuals from the three universities, ranging from vice presidents and deans to department chairs and faculty.
- June 2002: CSU and UC grant permission to negotiate.
- July 1, 2002: Planning grant proposal submitted to CSU/UC joint Ed.D. board.
- August–September 2002: Regional needs assessment for the Ed.D. program is conducted. Development grant proposal written by faculty planning team.
- October 2002: Development grant proposal submitted.
- January and February 2003: The joint doctoral planning team holds meetings to develop the academic proposal and implementation grant.
- Spring 2003: Writing teams are designated and timelines established for completion of both the academic proposal and the implementation grant proposal over the next several months.
- Summer 2003: Academic program proposal is finalized. First draft of memorandum of understanding is developed between UC and CSU regarding policies for decision making, co-coordinator responsibilities, faculty participation, roles of deans and chairs, admission procedures, program advisement, residency, fees, courses and course requirements, examinations, dissertations, and program evaluation.

ACADEMIC AND ADMINISTRATIVE IMPLEMENTATION OF THE PROGRAM: FALL 2003–SUMMER 2005

Fall 2003:

- Faculty planning team begins seeking approval of proposal on each of the three campuses, following the program review process guidelines in the Handbook for the Creation of CSU/UC Joint Doctoral Programs (2002)
- Course approval process begins at each campus
- Implementation grant proposal is submitted to CSU/UC joint Ed.D. board on October 1, 2003
- Development of memorandum of understanding and bylaws regarding policies governing program, fall 2003 through winter 2004
- Recruitment of new faculty for UC Davis and Sonoma State

2004–2005:

- The joint Ed.D. program is approved through the Coordinating Committee for Graduate Affairs (CCGA), the two-system CSU/UC joint Ed.D. board, and the California Postsecondary Education Commission (CPEC). Completed by spring 2004.
- Western Association of Schools and Colleges review is completed in December 2004.
- First cohort is selected spring 2005.
- First cohort starts August 2005.

LEGAL AND POLITICAL DEVELOPMENTS AFTER PROGRAM IMPLEMENTATION

- Fall 2005: The California legislature changes Education Code 66040 to allow CSU campuses the right to run independent doctoral programs in educational leadership separate from the UC System
- May 2006: The CSU System makes a policy decision that requires a CSU school to be in only one educational doctoral program, either its own program or a joint program with UC, but not both
- November 2006: CSU Sacramento announces it will pull out of the joint doctoral program with UC Davis and Sonoma State, with a desire to start its own program in 2007

had established routines for program approval. There was no way that partnership needs were going to outweigh university approval demands and important timelines. In the approval process, it simply does not matter what two universities want if a third university has a timeline that is going to dramatically slow the approval process. If an institution is considering a new partnership, the lesson learned is that following Organizational Behavior Paradigm rules in established organizations and overcoming existing behavioral regularities established in any organization is hard work that requires new alternatives developed through the Rational Actor Model of carefully considering alternatives and acting on the best new strategies.

Two Practical Considerations to Ponder

THE DAILY GOVERNANCE OF THE PROGRAM

The daily governance structure of this partnership has three co-directors who represent each university coming together and making daily decisions. Considering there are three representatives, when issues are voted on there is always a majority view, which is acted on. In this partnership, the co-directors decided that they would rotate having a lead co-director that would make minor decisions that come up almost daily and develop the agendas for meetings. Because of the personalities and power relationships between the co-directors, rotation has not occurred and one co-director has remained as the lead for fifteen months when the original design called for rotating the lead three times a year. From a power point of view developed from the Rational Actor Model of equal power for all universities, three co-directors making daily decisions made sense, but the reality is that on a daily basis someone needs to make decisions without always having to check with other co-directors. It is recommended that for daily decisions, one person be in charge. If this is the case, then an understanding needs to be made regarding what will be a daily decision and what needs to be voted on and discussed by all co-directors.

ISSUES REGARDING DISTANCE LEARNING

When considering a partnership that covers significant distance between the university and the students in the program, it naturally comes up that distance learning will make for less student travel and the program will be able to reach out to students who have been underserved in remote areas of the region. At least two practical realities make distance learning less likely to occur than expected based on the design of the program document.

First, in the current case, only a small percentage of the faculty have significant online or distance teaching experience, and changing this would take an effort that is not currently a priority for the faculty. The second consideration is related to the first concern, which is that many instructors do not feel that the thoughtful conversations that occur in class can occur online or over broadcast distance learning. This is more than an "old school versus new school" argument. This program is designed as a cohort model, and the social and intellectual learning that takes place in person is hard to recreate from a distance. For this program, distance learning has not become a high priority for the faculty, and it seems doubtful that 30 percent of this program will be able to be taught by distance learning methods based on the designed outcomes of the curriculum, even though 30 percent is the stated goal of the program. The lesson for others seems to be that if distance learning is going to be an important component of a program, it must be carefully designed with resources to make the change a part of the new organizational model. In this program no one disagreed with the concept of distance learning strategies, but it simply has not become a priority. The Organizational Behavior Paradigm suggests that if something needs to be a specific part of the new model, it will require significant resources to make it a priority; otherwise, a new program will retreat to familiar instructional ground.

Larger Issues to Consider

One of the underlying concepts of the third space is operating with good will. This means people are honest and forthright in their communication on a daily basis; and if conditions change, people do not retreat from the partnership. Specifically, if conditions change through politics or legislation or any other outside force, partners need to operate with good will more than ever. This is not the normal behavior in large governmental organizations (Organizational Behavior Paradigm), but if a partnership is to grow, change, or even dismantle, good will must prevail if the interests of students are to come first.

A second consideration is that educational partnerships are not particularly stable. In 2005, the California legislature passed legislation that allows the CSU System to run independent educational leadership doctoral programs without connection to the UC System. For this relatively new joint doctoral program, this means a major shift in the program. The CSU System has made a policy decision that a CSU campus cannot be in both a joint doctoral program with a UC campus and an independent program. Because CSU Sacramento has a desire to run its own program, the institution will be leaving the current program, and Sonoma State and UC Davis will continue to operate the program. Without good will, the current students will suffer and faculty and administrators will have many sleepless nights.

When a person reflects on both the issue of good will and the inherent instability of partnerships, it becomes critical to seriously develop strategies for structural change to a partnership. No one goes into a partnership expecting it to change in less than three years, but larger political changes occur all the time that the partnership neither predicts nor controls. Without both good will and a process for significantly changing a partnership, these types of organizations are doomed to failure.

Current Status of the Partnership Program

It has been determined that CSU Sacramento will be developing their own doctoral program in educational leadership, with a proposed start date of fall 2007. CSU Sacramento is going through the approval process and, if the program is approved, will recruit students in spring 2007. It is not clear yet how the program will differ from the current program that will move forward with Sonoma State and UC Davis as partners.

The co-directors will be meeting to determine the involvement of CSU Sacramento relating specifically to current students who have worked with CSU Sacramento faculty during the original design of the joint doctoral program. It is anticipated that current students will have an opportunity to involve CSU Sacramento faculty in their dissertation committees if they choose to do so.

STUDENT ISSUES

In the time it has taken for the partnership to separate, students have voiced concern about the status of the ongoing program. The CSU System ruled in May 2006 to disallow CSU campuses from being in both a joint doctoral program and their own independent program. However, the final verbal agreement to formally separate the partnership was not made until November 2006. This time lag between these two decisions frustrated current students in the program. It is next to impossible to keep educational policy decisions from high-level educational administrators who happen to be students in a joint doctoral program in educational leadership, so this has been a difficult time for some of these students.

DECISION MAKING

The irony of a new leadership program being unable to make decisive decisions in a timely manner has not been lost on some students. It points again to how strong the Organizational Behavior Paradigm is when trying to make change. Specifically, the following logic applies: The preeminent feature of organizational activity is its programmed character. Organizational output is therefore based on being compliant;

it is based on standard operating procedures, and decisions are made to avoid uncertainty. All the members involved in the partnership knew in May 2006 that a change was coming, but it took more than five months to bring about the beginning of the separation and make the decision public.

RAMIFICATIONS OF CHANGES TO THE PARTNERSHIP

Some issues must be considered when moving forward:

- Can institutions in geographically similar areas find enough students to sustain two similar programs?
- Will program competition be good or bad for students?
- Will the marketplace force programs to differentiate so they occupy different educational niches?

NEW PARTNERSHIP DYNAMICS

Despite all the macroeducational decision making surrounding the partnership, many faculty still are interested in continuing to develop a unique and powerful educational partnership between Sonoma State and UC Davis. The current students are fully engaged in their course work and are looking forward to completing a high-quality program that will help them positively influence the world of schooling in their K–12 and community college communities.

Summary

This article is an attempt to illustrate the decision-making processes that go into forming and running a complicated educational partnership.

Three decision-making models (the Rational Actor Model, the Organizational Behavior Paradigm, and the Governmental Politics Paradigm) help explain the way complicated decisions are made in large organizations. In this case, three universities had a number of important decision points to consider in formally establishing and running a partnership. No one model adequately explains the decision-making process, but a participant who understands all three models can better understand the decision-making process in their educational partnership.

After reflecting on the three models and on which model seems to explain each portion of what has been decided and how it was decided, I see some generalizations that can be made regarding partnerships in general. The Rational Actor Model best applies to early planning when possible alternatives are considered for the partnership model. When two or more partners are considering working together, they are saying that the whole is going to be stronger than the parts going into the partnership. The possibility of strong partnerships seems to come from the Rational Actor Model more than the other models.

When the partnership engages in some action, it becomes apparent that previously learned organizational behavior plays an important role in the decision-making process, and the Organizational Behavior Paradigm tends to take over and drive the decisions of a partnership. The Organizational Behavior Paradigm does the best job of explaining why it is so difficult for a partnership to truly operate in new and different ways.

The Governmental Politics Paradigm seems to take over when individual interests take priority over the interests of the group. This paradigm does a better job than the other two models in explaining the decisions that are made by institutions that do not directly belong to the partners. It has been said that everything in education is political, and the Governmental Politics Paradigm does the best job of explaining this axiom.

Being well informed regarding all three models might even lead a partnership participant to better predict how future major decisions will turn out depending on the type of decision under consideration.

Final Recommendation

If a partnership operates in the third space most of time, it has a very good chance of growing and developing into a strong and important program, but such partnerships must have agreements and decision-making processes that allow substantive changes to the partnership that keep this third space a viable place to carry out the important work of the partnership. When a partnership operates in the third space, most decisions are under the full control of the partnership members. Decision making is more likely to be democratic and best represent the interests of the partnership as a whole and not individual members, and the partnership ultimately operates with good will. By better understanding all three decision-making models, partnership members can better control the third space and attempt to keep a handle on decision making so it works in the best interest of the partnership.

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There's CRM in Your ERP

by Susan Hallenbeck

Customer relationship management (CRM) has gained a lot of traction in recent years among for-profit and sales-oriented organizations. The goals of CRM, as practiced at the corporate level, are to improve business processes and increase profit margins by creating lasting and meaningful relationships with the organization's most valuable customers or clients.

CRM has begun to work its way into the consciousness of higher education institutions. The goals for CRM in higher education are very similar to those of the corporate world, even if the wording is somewhat different. Institutions of higher education seek ways to improve their business operations to increase productivity and satisfaction levels. They need to improve, and in some cases automate, communications with desired audiences while providing quality interactions.

Recruitment and enrollment pressures on colleges and universities have helped fuel the interest in CRM. Institutions have come to understand that they cannot treat every prospective student exactly the same. Some prospective students are simply "browsing," whereas others are serious potential students. Institutions clearly do not have the resources and/or time to give every prospect the same attention. They need to quickly assess the situation and determine which students would be a better fit.

A similar situation exists for alumni, prospective donors, and even for employees of the institution. With appropriate follow-through and contact, some of these individuals could move up significantly in their giving level or in their satisfaction with the institution. Others can't—or won't—do more or give more to the institution regardless of how much encouragement they receive.

The key, whether dealing with prospective students or with any other constituent group, is to be able to distinguish between those who are willing, able, and appropriate to be cultivated and nurtured and those who are not, and then concentrate efforts accordingly.

Furthermore, every contact with a student, employee, alumnus, or other constituent is an opportunity for success or failure. The institution can keep that individual involved, engaged, and satisfied—or drive the individual away. And with the vast number of competing higher education institutions and providers available in the United States alone, it's very likely that someone who is unhappy with his or her interactions with one college will find a more welcoming attitude elsewhere.

CRM Is a Strategy

Although there are several vendors of CRM software, it is important to note that CRM is a strategy, not simply a technology or a tool for contacting mass numbers of students.

A successful CRM strategy will include a laser-like focus on the key ingredient—the relationships the institution creates and maintains with its constituents. The CRM strategy should also extend beyond prospective or current students and examine how to facilitate communication and relationship-building with all of the institution's desired audiences.

Seeking Community Relationship Management

Institutions of higher education have always formed communities of one sort or another: communities of scholars, communities of learners, and the campus community. Relationship or community building is the basis of CRM. Because higher education rarely thinks in terms of "customers," it may be more relevant for colleges and universities to reference CRM as community relationship management.

This would more accurately depict the ultimate goal of CRM for higher education institutions and make the concept

and related initiatives more acceptable for faculty and some staff (who abhor the thought of "customer" or "constituent" management). The institution should be striving to establish "neighborhoods" within its overall campus community to ensure that students feel welcomed and supported and to make sure that alumni, faculty, and staff remain connected to the institution. With the explosion in social networking and the related marketing and communication developments, it is only natural for colleges and universities to incorporate these tactics into a CRM strategy.

CRM and SEM Working Together

How does CRM relate to an overall strategic enrollment management (SEM) strategy? There are three concepts within SEM best practices that are served by a CRM focus: increasing efficiency in operations, marketing the institution effectively, and providing excellent customer service. CRM fits within this framework by automating some aspects of communication while also targeting the institution's marketing efforts to specific segments of potential (and current) students—providing relevant, timely, and useful information to the right audiences.

A practical example of this principle is the development of a college Web site that enables students to find relevant information easily, request materials, schedule a visit, ask questions, and apply online. Given the propensity of students, particularly those of "traditional" age, to seek information and communicate electronically, it is important to provide services and information in a dynamic, engaging, and interactive format whenever possible. This enables them to obtain the information they want when they want or need it, rather than waiting for the college to send it out according to a schedule.

The level of self-service available during the recruitment phase should also continue after admission. Online enrollment deposits, financial aid awarding, and transcript or advising information will help reduce runaround and enable students to focus on more important issues when they meet with faculty and staff on campus.

CRM and Your ERP

To enhance the institution's ability to nurture relationships with various community members, it is important to maintain an information system or enterprise resource planning (ERP) system to document and track every contact with students, alumni, donors, and any other constituents. Without data, there is no possibility of establishing an effective CRM strategy on campus. Almost all institutions currently collect and store information on prospective and current students, faculty, staff, and alumni, but may not be using this information—or the ERP system used to collect it—in a way that enhances their CRM strategy.

Ideally, the institution would use its ERP system to anticipate the information or services an individual will want or need before that person even realizes it on his or her own. Community relationships will be enhanced by the institution's ability to personalize and target communication with individuals based on identified preferences and information needs, as determined by examining the results of individual contacts. In addition, the institution will be able to communicate proactively with constituents, rather than passively waiting for a prospective student or potential donor to pose a question.

Similar to tracking sales leads and the effectiveness of sales campaigns, admissions and advancement offices need to know which outreach efforts are working best and measure the effectiveness of admissions or alumni relations staff in managing their assigned territories. It is important that data regarding contacts and results be available as close to real time as possible. This will enable rapid evaluation of progress toward predetermined metrics and allow for quick tactical changes or reallocation of funds as needed.

Although data is critical to the success of a CRM strategy, the collection of information alone is not sufficient. Collecting and tracking information about constituent contacts also enables the institution to identify potential service issues and resolve problems or concerns at the earliest possible point in the relationship. The data can help identify emerging markets—geographic and demographic—as well as demand for new services or academic programs in a timely manner. Decisions about future marketing and "product" (*e.g.*, academic or extracurricular programming) initiatives can then be made based on results and data, rather than on anecdotes or intuition.

Is CRM Right for Your Institution?

In the rush to find the "next big thing" in student recruitment and retention, many institutions are scrambling to determine what CRM is and how they can implement it to achieve enrollment goals.

Although colleges may prefer to think and speak in terms of constituents or communities rather than customers, they are certainly interested in becoming more efficient and effective at communicating with the students, alumni, and members of the general public who will be of lasting value to the institution. When implemented to its full potential, CRM is a complete strategy that will help institutions create a lasting partnership between the institution and the individuals with whom it interacts.

The stronger the partnership or connection, the better the chance of the right prospective student enrolling, the alumni donating more, or the renowned faculty member accepting your offer. CRM is the business strategy that drives activities to develop and maintain these relationships in the institution's communities. Each strategy for meeting an institution's goals and objectives is different, and it takes a delicate balance of personalization, communication, software, and the right data to make it happen. These strategies are more than simply CRM software that tracks and sends e-mails to prospective students.

Is CRM right for your institution? Yes. Institutions of higher education are in the business of providing an out-

standing learning environment to students, parents, alumni, staff, and faculty. A CRM strategy helps you build a better relationship with your constituents, making it easier to provide that outstanding learning environment to each and every one of them.

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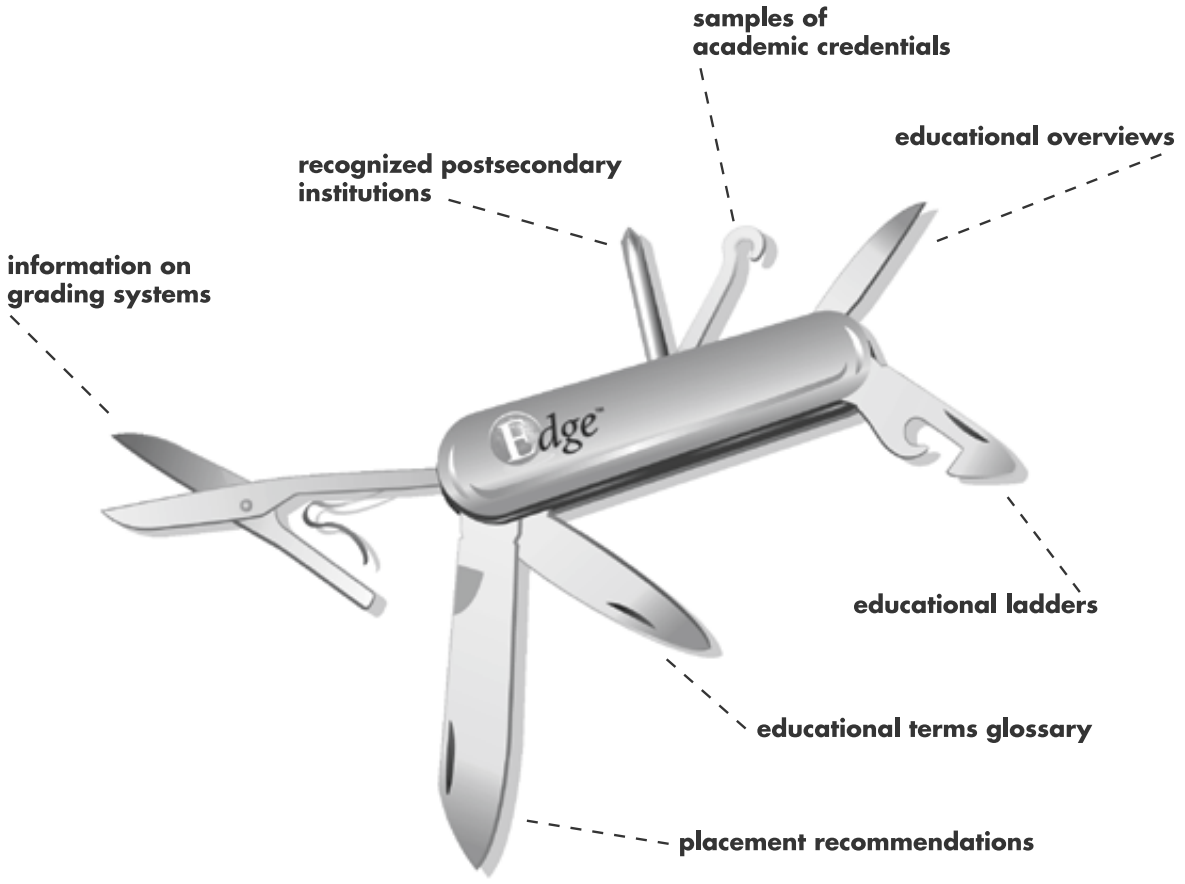

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forum
Commentary

Finding the Academic Context:
Involving Faculty in Strategic Enrollment Management

by Clayton Smith

The following are the remarks of Clayton Smith, Ph.D., vice provost, students and registrar at the University of Windsor, at the 16th Annual Strategic Enrollment Management Conference of the American Association of Collegiate Registrars and Admissions Officers, in Phoenix, Arizona.

My remarks focus on involving faculty and placing strategic enrollment management (SEM) in the institutional academic context.

Much has been written about placing SEM in the academic context. During the 1990s, Mike Dolence, one of the founding SEM theorists, spoke frequently at SEM conferences about the importance of centering SEM in the academic context. Former American Association of Collegiate Registrars and Admissions Officers President Stan Henderson, in a 2005 *College & University* article, called for the emergence of an enrollment management ethos and suggested, "By placing the focus back on the academic context of the institution and making structure the servant rather than the master of enrollment policy and strategy, SEM will touch every aspect of institutional function and culture and set the tone for a comprehensive approach."

Yet this refocusing remains one of the greatest challenges enrollment managers face. This is perhaps why so many of us focused on SEM practices within our control, including organizational structure and best practice strategies. Unfortunately, this resulted in the creation of an enrollment management silo with only limited interaction with faculty. Most of us know, however, that if SEM is to reach its full potential it must include a comprehensive process and be centered in the academic context. The question, of course, is how to do it.

Faculty can be involved in enrollment planning, new program development, student recruitment, admission yield, orientation, academic advising, and co-curricular activities:

- **Enrollment Management Planning:** Consider inviting faculty members with a bent toward research and how it impacts enrollment management to join your enrollment planning committee. Faculty members are frequently critical of the enrollment operation. They can be heard to say that it is not informed by data, "but only by intuition." Many are surprised when they learn how data driven SEM actually is, or is intended to be. When engaged, these faculty members often become SEM ambassadors within the institution's academic environment.
- **New Program Development:** For institutions to remain vibrant and relevant to today's "millennial student," they must develop new academic programs and modify or discontinue existing academic programs. One of the outcomes of enrollment management planning is the identification of new academic fields that could be considered for new program development. New faculty members are often interested in new program development, as are those senior faculty members with a personal commitment to the future of the institution. Enrollment managers who work with faculty on program development will create important relationships that can lead to collaborative SEM efforts in the future.
- **Student Recruitment:** Some faculty members are so passionate about their teaching and the subject matter they present that they seek out opportunities to become involved in selected student recruitment activities. These faculty members are the "keeners" and are often ideal to serve as presenters at open house programs or to meet with students individually as they visit campus. Always be on the lookout for these faculty members. Be aware, however, that some faculty members may be seeking to fulfill their service responsibilities without having to serve on institutional committees. Frequently, these faculty members are

not effective recruiters for the college or university. It is important to work with their department heads or deans to ensure that the faculty members carry out their service responsibilities in an area of strength, rather than one of weakness.

- **Admission Yield:** When students have been offered admission and sent the "thick package," they have moved to a new decision point in the college choice process. Up to this point, general information about the institution and its academic programs is usually sufficient to keep them interested in your institution. Admission counselors and financial aid staff are less effective in the postadmission cycle. Faculty members, on the other hand, have the potential to be extremely effective in helping the student to choose your institution. Faculty members can make the experience more real by sharing their passion for their academic disciplines and the institution to which they have committed to working. They might be involved in critical admission yield events or participate in a faculty telephoning campaign.
- **New Student Orientation:** New student orientation usually includes an academic component. Faculty are often called upon to provide an academic overview of their program and to provide the students with their first academic advisement. For this reason, faculty members often see a clear role for themselves at orientation. Be aware, though, that some faculty view social events such as those held at orientation as outside their realm of responsibilities, and as the purview of staff or student volunteers. For them, you may want to provide the linkage between social–academic integration and student–faculty engagement.
- **Academic Advising:** Most institutions expect faculty to participate in some form of academic advising. This can be part of their teaching load or considered a service duty. Some institutions assign faculty advisors to incoming students. Others use a designated faculty advisor system that assigns academic advising responsibilities to one or more faculty members in each department. Where academic advising is considered part of teaching, faculty members participate actively. However, where it is considered a service responsibility, faculty may resist the additional work because they receive little or no credit in the tenure and promotion process.
- **Co-curricular Activities:** Faculty members with a holistic perspective of higher education will take the view that they should be involved in co-curricular activities. Many others see their role as limited to the classroom or the laboratory. Those who involve themselves in co-curricular activities find it is one of the best ways to engage students and often results in some of the most high-impact moments with students.

Enrollment managers who reach out to and involve faculty in their enrollment operations will achieve more of their enrollment management goals. Successful enrollment management plans involve faculty from the very beginning as an integral part of the operation.

ABOUT THE AUTHOR

Clayton Smith, Ed.D., has 24 years of broad experience in enrollment management at two- and four-year public institutions in Maine, Florida, New York and Ontario. He also serves as a senior consultant with AACRAO Consulting Services.

forum
Campus Viewpoint

Forecasting Enrollment to Achieve Institutional Goals

by Janet Ward

As strategic and budget planning commences at community colleges, baccalaureate institutions, and comprehensive universities, administrators turn to enrollment professionals to forecast next year's enrollment. At my institution, some models project enrollment for five years, whereas others project enrollment for ten years. What administrators seek are reliable projection models that will forecast enrollment in one or more of the following areas:

- **Size:** What is the headcount projected to be? Will the goal be achieved? How will this influence student credit hour generation and tuition revenue?
- **Enrollment Profile:** What percentage of the total headcount will be undergraduate versus graduate students? For two-year institutions, what percentage will be pursuing a two-year transfer degree, a vocational degree, or high school completion?
- **New Student Profile:** Will the academic ability of our incoming class meet institutional goals (*e.g.*, entrance exam scores, grade point averages)?
- **Enrollment Mix:** Will the institutional goals for attaining specific student body characteristics be achieved? This may include, for example, the percentage of students of a certain gender, ethnicity, international status, registration status (full-time versus part-time), or lodging status (residential versus commuter)?
- **Enrollment Outcomes:** Will the persistence rate for first-time full-time freshmen be enhanced? Will retention from spring term to fall term be sustained or improved across all student levels? Will graduation rate goals be achieved?
- **Financial Aid and Net Revenue:** Will the financial aid strategy support the size, enrollment mix, and enrollment outcome goals while achieving the net revenue goal?

The starting point for enrollment forecasting is understanding what your institution wants to achieve in the areas noted above, as well as your present state. With a roadmap that outlines where you want to go (known as an institution's enrollment management plan), forecasters are able to construct forecasting models that address the areas of greatest interest to the administration.

Enrollment projections are tied to analyzing current trends, understanding the primary drivers that impact enrollment and revenue outcomes, and using this information to influence future strategy and resource decisions. This article discusses three models tied to new student projections that illustrate the primary elements for building an effective projection for

- **Size:** This model focuses on the flow from application to enrolled student. This model can be designed to project the number of applications required to achieve matriculated student goals as well as to improve admit rates, which is a measure used by more selective institutions.
- **Profile:** When the fall headcount (size) is determined, this model provides a method for distributing new students across the various levels of academic ability (*e.g.*, based on grade point average or SAT scores). This distribution is useful for financial aid administrators because it impacts the projected institutional financial aid expenditure and therefore the projected net revenue.
- **Mix:** When size is determined, this projection modeling is useful for forecasting the number of students required to achieve mix goals, for example, in terms of gender and ethnicity.

New Student Projection Model: Size

- **Goal:** To accurately project the size of the entering new student class.

Table 1: New Student Projection Model—Size

Undergraduates	Actual						Projected
	2001	2002	2003	2004	2005	3-Yr Avg	2006
Enrolled New High School Students	647	603	683	635	710	676	650
Admit Rate/Application Data for Traditional Undergraduates							
Admit Rate: High School (%)[1]	94.3	95.8	91.9	92.8	84.8	89.8	80.0
Applications							
Total Recieved (n)[2]	1,769	1,699	1,900	1,809	1,921		2,100
Completed (n)[2]	1,558	1,564	1,778	1,716	1,858		1,995
Completed (%)	88.1	92.1	93.6	94.9	96.7	95.1	95
Annual Application Growth (%)	17.2	-4.0	11.8	-4.8	6.2	4.5	9.32
Admits (n)	1,469	1,499	1,634	1,592	1,576		1,596
Denied (n)	89	65	144	124	282		399
Yield (% Admits Enrolled)	44.0	40.2	41.8	39.9	45.1	42.2	40.7
Alternate Projection Method[3]							
Enrolled New High School Students[4]							674
Difference from Original Projection							+24

[1] Adjust variables to influence the enrolled student goal. The final headcount goal for incoming freshmen may be influenced by adjusting either the *Admit Rate* or *Yield Rate.* If the admit rate is increased, then more students will be admitted which in turn will increase the enrolled number. If the yield rate is increased even though the admit rate is held constant, this too will increase the enrolled number. This model allows testing both Admit Rate and Yield Rate assumptions when projecting the final enrolled student goal.

[2] The drivers in this model are the total applications received and completed percentage. Both numbers are determined by enrollment leaders and then hard coded into the projection model. This information drives other calculations within the model (*e.g., Total Received* multiplied by *Completed [%]* determines the number of completed applications).

[3] Used when Yield at *3-Yr Avg* (42.2%) is different from goal (40.7%).

[4] Alternate headcound calculated by multiplying Projected 2006 *Admits* (1,596) by the 3-Yr Avg *Yield* (42.2%).

■ **Principle:** Past performance is one of the best predictors for the future.

To achieve the institutional mission and to sustain economic vitality, colleges and universities need to annually achieve enrollment goals. Each institution may have a different set of enrollment drivers based on the mission: Four-year institutions may focus on increasing access or selectivity, whereas community colleges may focus on achieving enrollment goals for specific vocational and transfer programs. Regardless of the type of institution, the following projection model may be adapted to project new student goals for any given term.

This model's principle is to first understand past performance tied to the

- number of applications received
- percentage of applications completed
- percentage of students admitted
- yield rate percentage (number enrolled divided by number admitted)

When constructing the model, it's important to gather three to five years of historical data throughout the student timeline, from new student applicant to registered student (*e.g.*, January through August/September), and to determine how frequently data will be captured and analyzed (*e.g.*, daily, weekly, biweekly, monthly). Along with the data, it will be important to understand any unique occurrences in a given year or point in time that may have influenced the numbers being reported. For example, if you look at the three-year trend for completed applications and there is a significant increase in the percentage during April, the key is to understand whether an institutional activity occurred that would explain the increase (*e.g.*, a special mailing to students) and whether this tactic will occur in the future. If the tactic is planned to occur again, then the forecasting model may assume that a similar percentage of applications will be completed next April.

CONSTRUCTING THE FORECASTING MODEL

The components of the forecasting model are illustrated in Table 1 and include

- *Capturing historical trends:* This is demonstrated in the Table 1 columns with the 2001–2005 data.
- *Creating an average of the most recent historical trends* (two-year, three-year, or four-year): This is shown in the Table 1 column headed "3-Yr Avg," which is the previous three-year average for key indicators.
- *Providing a headcount goal for the given term*: This is demonstrated in Table 1 in the 2006 projected number of enrolled new high school students (650).

Drivers in this projection model include

- *Total applications received* (See Table 1 for the 2006 projected total number of applications to be received [2,100].)
- *Completed applications (%)* (See Table 1 for the 2006 projected percentage of applications to be completed [95%].)

The variables in this projection model include

Table 2: New Student Profile and Projection Model by Academic Ability—Applications

Application Year	Academic Ability (Grade Point Average) at Entrance of All Freshmen Applicants[1]									Completed Applications	
	4.00–3.61	3.60–3.51	3.50–3.26	3.25–3.10	3.09–3.00	2.99–2.80	Below 2.80	Unknown	Total	(n)	(%)
Historical Data											
2002	154	129	409	233	133	199	322	120	1,699	1,564	92.1
2003	207	150	496	274	144	234	278	117	1,900	1,778	93.6
2004	158	179	446	270	122	231	334	69	1,809	1,716	94.9
2005 (final)	186	181	457	284	158	240	353	62	1,921	1,858	96.7
Projected Data											
2006	203	198	500	311	173	262	386	68	2,100	1,995	95.0[1]
Percentage of Row Total											
2005	9.7	9.4	23.8	14.8	8.2	12.5	18.4	3.2			
Avg. of previous 2 years	9.2	9.7	24.2	14.9	7.5	12.6	18.4	3.5			
Avg. of previous 3 years	9.8	9.1	24.8	14.7	7.5	12.5	17.1	4.4			

[1] 2006 percentage completed applications; Decision point—follow most recent data or two-year or three-year trend?

- *Admit Rate:* This is the percentage of completed applications to be admitted (*See* Table 1 for 2006 Admit Rate projection [80%].). This factor is important for more selective institutions and/or those needing to control the size of the new student class. In the model, adjusting the admit rate will adjust the yield rate.
- *Yield Rate:* This is the percentage of admitted students projected to enroll (*See* Table 1 for 2006 Yield Rate projection [40.7%].). Yield rate is defined as the number of enrolled new high school students divided by the number of admits.

Enrollment forecasting is both an art and a science. Although the projection model shows historical trends and recent three-year averages, significant discussion occurs with enrollment leaders to determine what should be the final projections. In the example illustrated in Table 1, a decision was made to reduce the projected admit rate by setting a goal of 80 percent, even though the percentages for 2005 and the three-year average were higher. In addition, the projected number of total applications was increased in response to new tactics employed by the admissions office to stimulate application growth.

Table 1 provides a snapshot in time based on fall census information, but it is useful to track this level of information on a biweekly or weekly basis to understand historical patterns tied to growth in applications and admits.

The 2006 projection is based on a 40.7 percent yield rate, which more closely aligns with 2002–2004 data; the 2005 yield rate of 45 percent was viewed as an anomaly.

An alternative enrollment projection (bottom right of Table 1) indicates that if the admit goal (1,596) is achieved and the three-year yield rate of 42.2 percent is used, then 674 students are projected to enroll, or 24 students above the goal. Providing an alternative model allows a forecaster to project a headcount range (*e.g.*, 650–674), which may be useful for some areas of the university, such as financial aid, housing, class scheduling, and other areas.

Although Table 1 demonstrates historical trends for new students entering from high school, this model may be adapted for new undergraduate transfer students or students entering specific programs (*e.g.*, vocational programs, master's or doctoral programs).

New Freshman Profile: Projections by Academic Ability

- **Goal:** To project the enrolled student headcount goal by level of academic ability. These data inform the financial aid strategy as it relates to the projected number of students who may receive institutional merit aid by category; these headcount data impact financial aid expenditure projections.
- **Principle:** Past trends are the foundation for the projection model, provided an annual analysis occurs to understand changes between the various years.

When the overall new student goals for applications, completed applications, admission offers, and enrolled students have been determined, the next step in the process is to project the student distribution across various academic ability categories. Key elements in the forecasting model follow, which are illustrated in Table 2:

- Various academic ability groups
- Total applications for various years
- Total completed applications for various years
- Percentage of total applications that were completed
- Historical data from various years (2002–2005)
- 2006 projections by academic ability category

The 2006 projection is based on determining what percentage of the total applications (2,100) will fall into each category. Options include using the percentages from the

- most recent year (2005)

Table 3: New Student Profile and Projection Model by Academic Ability: Admits

Admission Year	Academic Ability (Grade Point Average) at Entrance of All Freshmen Admitted									Admit Rates (%)
	4.00–3.61	3.60–3.51	3.50–3.26	3.25–3.10	3.09–3.00	2.99–2.80	Below 2.80	Unknown	Row Total	
Historical Data										
2002	153	128	408	228	133	195	252	2	1,499	95.8
2003	205	150	492	263	138	212	172	2	1,634	91.9
2004	158	175	440	264	119	222	210	4	1,592	92.9
2005 (final)	183	181	445	268	148	204	144	3	1,576	84.8
Projected Data										
2006	185	183	451	271	150	207	146	3	1,596	80.0
Percentage of Row Total										
2005 (final)(%)	11.6	11.5	28.2	17.0	9.4	12.9	9.1	0.2		

- previous two-year or three-year average

FORECASTING APPLICATIONS

The projected 2006 distribution by category of academic ability shown in Table 2 (on page 43) was generated by using data from 2005. As an example, in the 4.00–3.61 grade point average category, it is expected that 9.7 percent of the 2,100 applications will fall here, totaling 203 applications.

The final column of numbers in Table 2 provides the trends in the percentage of completed applications. In the new student projection model demonstrated earlier (Table 1, on page 42), the decision was to use a 95 percent completion rate for 2006 (1,995 completed applications). By reviewing the past historical trends for number of admits, number denied, and yield, a decision was made to use 2005 data, considering there was no significant difference between 2005 data, the two-year average, or the three-year average.

This model is adaptable for any institution trying to understand the academic ability of its incoming class, with the option to make further adaptations to construct forecasting models to provide historical trends for significant populations, such as

- early action freshmen (those who apply by a specific date)
- non-early action freshmen (those who apply after the deadline)
- transfer students
- female students/male students
- other groups important to your institution

FORECASTING ADMITS

When satisfied with the application projection by category, the next step is to determine the appropriate admission break out. Table 3 provides similar information to that in Table 2, but for students admitted into each category. Note the 2006 projections by academic ability category, which are based on determining what percentage of the 1,596 total admits will fall into each category. This model assumes the total admits will follow the 2005 final distribution (bottom row of Table 3). Remember that the 1,596 admit projection is based on the assumption that 80 percent of the completed applications (1,995) will be admitted.

For example, in the 4.00–3.61 grade point average category, the projected number of admits is based on the assumption that 11.6 percent, or 185 admits, will fall into this category.

Although not demonstrated in Table 3, this projection model includes the previous two-year and three-year averages, similar to what was demonstrated in the applications model earlier in this article (see Table 2, on page 43).

FORECASTING ENROLLED STUDENTS (YIELD RATES)

After decisions on admits have been finalized, the final set of decisions will be tied to yield rates. Although looking at trend data is useful in forecasting yield, it is vital to understand how the financial aid strategy (need-based and non-need-based aid) influenced historical yield rates. The following are questions to explore for students by academic ability group:

- Was there a difference in the yield rate for students based on their level of need (high, medium, low, or no need)? Is the yield rate by need level institutionally defined?
- When reviewing yield rates by academic ability group between years, are there any significant differences? If so, can the differences be explained?
- What current strategy is being employed to improve yield rates for the incoming class and how may this influence the yield rate projection for any of the academic ability groups?

Unlike the application and admit sections, the driver for determining the enrolled student headcount goal is the projected yield rate by category. Although the overall goal in the projection model is a yield rate of 40.7 percent for the incoming class, the challenge is to establish a reasonable projected yield rate by academic ability category.

The final headcount projection (650 students) in Table 4 is obtained from multiplying the total admits (1,596) by the projected yield rate (40.7%). Also shown in this table is the yield by academic ability category, which gives the final rates for the 2006 model.

Table 4: New Student Profile and Projection Model by Academic Ability: Enrolled Students

Enrollment Year	Academic Ability (Grade Point Average) at Entrance of All Enrolled Freshmen								
	4.00–3.61	3.60–3.51	3.50–3.26	3.25–3.10	3.09–3.00	2.99–2.80	Below 2.80	Unknown	Row Total
Historical Data									
2002	45	58	176	79	47	94	104	0	603
2003	85	69	203	118	50	89	68	1	683
2004	64	71	159	115	45	82	99	0	635
2005	98	77	211	117	57	86	62	2	710
Projected Data									
2006	75	74	187	112	56	83	63	0	650
Yield (%)	40.5	40.6	41.6	41.5	37.5	40.3	43.5		40.7
Yield									
2005 (final) (%)	53.6	42.5	47.4	43.7	38.5	42.2	43.1	66.7	45.1
Average of previous two years (%)	47.5	41.6	41.8	43.6	38.2	39.4	45.5		42.5
Average of previous three years (%)	45.2	42.9	41.6	44.0	37.5	40.3	43.5		42.2

Table 5: New Student Mix: Projection by Gender

Gender (First-time Freshmen)	Applied				Admitted				Registered			
	2005	2004	2003	2002	2005	2004	2003	2002	2005	2004	2003	2002
Early Action (Fall Census)												
Women	635	614	674	460	575	578	639	430	298	253	323	214
Men	250	239	216	178	224	232	199	169	117	124	119	86
Men (%)	28	28	24	28	28	29	24	28	28	33	27	29
Yield												
Women (%)									52	44	51	50
Men (%)									52	53	60	51
Males—Change from Previous Conversion Stage (%)					–0.2	0.6	–0.5	0.3	0.2	4.2	3.2	0.5
Regular Admission (Fall Census)												
Women	664	642	711	710	519	530	570	624	192	162	162	200
Men	372	314	299	351	258	252	227	276	103	96	79	103
Men (%)	36	33	30	33	33	32	29	31	35	37	33	34
Yield												
Women (%)									37	31	28	32
Men (%)									40	38	35	37
Males—Change from Previous Conversion Stage (%)					–2.7	–0.6	–1.1	–2.4	1.7	5.0	4.3	3.3

New Freshman Mix: Projections by Gender

- **Goal:** To project the enrolled student headcount goal to achieve mix goals based on gender.
- **Principle:** The foundation for the projection model is past trends, provided an annual analysis occurs to understand changes between years.

Most institutions seek to enroll more than just a target number, but want to meet student body characteristics that are tied to institutional mission (*e.g.*, based on gender, ethnicity, access). It may be worthwhile to develop a model focused on whatever student body characteristics are highly valued by your organization.

In this section, two models are presented that look at gender for the incoming freshman class in terms of applicants, admits, and enrolled students (see Table 5):

- *Early Action Model:* New students who met the early action application deadline
- R*egular Admission Model:* All other new students

The models were designed to understand how men flowed through the admission funnel so as to support the goal of reaching 35–40 percent men in the new student class.

After comparing the two models:

- What is suggested about male applicants? More men apply as regular admission students than as early action applicants, as can be seen in Table 5 by comparing the 2002–2005 numbers for both applicant types.
- What is suggested about male admits? The percentage of early action applicants and admits remains similar, whereas those who fall into the regular admission process have lower conversation rates from applicant to

admit. (See the "Change from previous conversion stage" rows for early action versus regular admission males in Table 5.) This suggests that early action male applicants may be more committed to coming to the institution than are regular admission males.

- What is suggested about registered male students?
  - Early action men have a higher yield rate than regular admission men.
  - Most years men have a higher yield rate than women when comparing early action students and regular admission students.
  - If the goal is to increase the percentage of enrolled men to reach 40 percent of all freshmen, then the focus would need to fall on increasing the number of qualified men in the applicant pool in order to increase the number of men in the admit pool.

Conclusion

Enrollment forecasting is a complex process that requires an understanding of institutional enrollment goals as well as past and current strategies employed to realize the goals, all while developing models that reliably project future enrollment. Models should be constructed based on historical data with this information placed into context. The most effective models emerge when changes in trends can be explained by changes in the surrounding competitive higher education environment (*e.g.*, understanding why students chose to attend a competitor) or changes within the institution (*e.g.*, understanding how a new financial aid strategy impacted yield rates). Overall, it is important to appreciate that enrollment forecasting is an iterative and collaborative process, with models being annually reviewed and refined based on feedback from various constituents within the community.

ABOUT THE AUTHOR

Janet Ward is Associate Vice President for Information and Data Management at Seattle Pacific University, in Washington state, and has 25 years of experience in higher education administration (private comprehensive university and community college), with the past eleven years focused on enrollment management. She has been active in the American Association of Collegiate Registrars and Admissions Officers and the Pacific Association of Collegiate Registrars and Admissions Officers (PACRAO) since 1989 by serving in various leadership roles, including as a presenter and author. She has also served as president of PACRAO. She can be contacted by e-mail, at jward@spu.edu, or by phone, at (206) 281-2701.

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AMERICAN ASSOCIATION OF COLLEGIATE REGISTRARS AND ADMISSIONS OFFICERS

Seventeen Functions of Community College Registrars during Web Systems Implementation Projects

by Sandra J. Lepley

Editor's Note: This is the first in a series of four articles related to the functional role of community college registrars and Web systems implementation projects. The work is the result of doctoral research in educational leadership. The second article will focus on the role of registrars as mid-level managers during major organizational change such as systems implementation, and the third will review related literature on administrative role conflict and ambiguity. Finally, the fourth article will focus on the registrar's role as a leader during technology change.

Abstract

The focus of a 2004 study by the author included the functional role of community college registrars during Web-enabled student information system implementation projects. All references to community colleges in this study included public and private two-year, community, and also technical colleges. As many registrars know, their role includes a number of duties and responsibilities, which have over time varied somewhat from college to college. This variation of job duties was on the list of most important topics of the American Association of Collegiate Registrars and Admissions Officers (AACRAO) at the organization's first meeting in 1910 (AACRAO 2003).

The community college registrar is typically a key stakeholder with regard to student information systems. As stewards of student information, registrars must protect the privacy of the data while allowing access by others through technology (Siblock 1997). D.C. Lanier's 1995 article in *College and University* suggested that the role of the college registrar was changing. According to Lanier, since the year 1200 the registrar existed as a top-level official, controlling enrollment, course records, student records, transcript evaluations and dissemination, degree notation, graduation ceremonies, and system development. These officers were often responsible for admissions, enrollment management, and institutional reporting until external forces, such as competition for students and regional accreditation bodies, influenced the creation of other departments for these duties in many cases. The present study offers a functional approach based in the social sciences aspects of organizational behavior and focused on self-reported perceptions of respondents' work.

Purpose of the Study

The purpose of this study was to describe the effect, if any, of the process of implementing Web-enabled technology systems on the functional role of the community college registrar. More specifically, the study sought to determine how the registrars' duties might differ based on implementation strategy and also key background characteristics. Information technology (IT) implementation strategies were classified as in-house, outsourced, consortium, or combination of strategies. Perceptions of role conflict and role ambiguity associated with systems implementation and key background characteristics were also studied.

Excerpts from the Study's Literature Review

Yesterday's vertical integration of functions evolved to new horizontal integration of processes through Web-enabled IT capabilities (Venkatraman 1998). According to the findings of Venkatraman's case studies and proposed model for harnessing IT, an organizations' processes, especially those that involve external entities, rather than functions, and also horizontal integration, are the appropriate foci for both leadership and management for ideal leveraging of opportunities, distinction among competitors, enabling strategy, and maintaining operations in the twenty-first century. As community college registrars switch alternately from production phases to implementation phases involving new Web-enabled systems and linkages, their role may change from focus on independent

functions to focus on collaborative processes. Their functional role may, at least temporarily, become more of a process role.

Discussing the concept of roles and collaboration, Katzenbach (1998) said that most leaders address viewpoints of each person from that person's functional role and from the leader's own perspective. As one interacts with new people and technology, values may influence outcome. Bush and Coleman (2000) suggested that strategy is driven by values and is attached to a college's leadership vision and mission. Strategy is an approach to organizational management with several limitations. According to Bush and Coleman, a stable situation is important for success of an organizational management strategy. Community college registrars whose colleges are involved with Web-enabled technology implementation may need to lead and manage processes with internal entities with which they have previously had limited interaction as well as with new external entities, all in a state of change during systems implementation. Attitudes and behaviors that promote the organization's new technology and its implementation strategy and that foster stability may be needed. Registrars may be called upon to increase communications and outflow of information as new processes are implemented across organizational boundaries.

Rapert, Velliquette, and Garretson (2002) studied strategy implementation and found that success was based on the premise that functional areas within an organization share a basic understanding of the strategy. Termed *strategic consensus*, this concept referred to the extent to which intraorganizational perceptions indicated the same understanding of priorities (Rapert, Velliquette, and Garretson 2002). This occurred through frequent vertical communications and shared understanding of the implementation process. A community college registrar's level of involvement with key stakeholders outside his or her department may change during system implementation. His or her level of role harmony, role clarity, and effectiveness may be related to understanding system implementation strategy.

Community colleges exist in a competitive environment, as universities and career training provide options for students. According to Yukl and Lepsinger (2004), competition for a product or service leads organizations to adapt. These authors also reported that fast technology changes were associated with uncertainty, yet were important so the organization could respond to competition and new market opportunities. Yukl and Lepsinger reported research indicating that only 30 percent of firms were successful in implementing reengineering projects. Because of this, competitive strategy made adaptation very important. Competitive strategy was focused on changes in the market (Yukl and Lepsinger 2004). Community colleges' technology administration strategies may be considered to be competitive in that they position these colleges in the marketplace. Colleges may choose implementation strategies, such as in-house, outsourced, or consortium, or a combination of strategies. The community college registrar's role, if well understood within the parameters of an implementation strategy, may enable the college to integrate technology more efficiently.

Appropriate behavior of a community college registrar during implementation of an administrative strategy may be a feature of his or her role. As understood by Yukl and Lepsinger, leaders at different levels should be compatible with one another and with the administrative strategy for success. An aspect of the registrar's role may be to become involved with and provide support for an administrative strategy.

Research and improved understanding has occurred in areas of organizational roles and technology implementation. Social and behavioral sciences provide guidance for organizations and their leaders and managers as they identify functional roles and roles within processes. This study is deemed valuable because human resources are keys to system implementation, change, and understanding as people share in technology and its rewards.

Population and Sample

The membership of the American Association of Collegiate Registrars and Admissions Officers (AACRAO) served as the source for identifying respondents for this research study. The researcher identified 435 two-year, community, and technical colleges, both public and private, who were members of AACRAO and then randomly selected 250 registrars from that group. (Some of these colleges have since become four-year institutions.)

All colleges were selected by following Shavelson's (1996) random sampling procedure and by using Shavelson's "Table A: Random Numbers" (pp. 614–5). There was no control for geographic location. The researcher selected the district registrar or the campus registrar from the main or largest campus of each college to receive the survey instrument.

Instrumentation and Data Collection Procedures

The instrument included adapted items from the official position description questionnaire used in the Edison Community College Human Resources Department in southwest Florida (2000a). The researcher adapted the following questions from that instrument: (1) position title, (2) list of job duties and responsibilities, and (3) personal contacts outside the office (*i.e.*, position and department, frequency, and purpose). The list of job duties and responsibilities was based on the job descriptions for the district registrar at Edison Community College (2000b) and the college registrar at Palm Beach Community College (2003) in Florida.

The Administrative Q'Sort (Miller, Schroeder, and Hotes 1982) was also used for defining roles and functions. This method was previously used in health care and education to clarify issues and conflicts. Miller and coauthors provided a list of administrative duties from one community college and asked officials in continuing education departments to prioritize them, thereby identifying and rating their own job duties and responsibilities. The present study of community college administrators differed from the study conducted by Miller

and coauthors in that fewer activities were listed. However, the current instrument expanded on job duties as respondents were subsequently asked to identify the personnel outside of their departments with whom they had collaborated in the last month, including the frequency of contacts and reasons for those contacts. The latter results are included in the author's book, *Community Colleges and Student Information System Implementation: A Survey on the Registrar's Role* (Lepley 2006).

Immediately after the question regarding outside contacts, respondents were asked whether their college was involved with implementing a Web-enabled student information system at the time of the survey.

A key question on the survey, for those involved in Web-enabled student information system implementation projects at the time of the study, asked for identification of the IT strategy chosen for the implementation projects: (1) in-house, (2) outsourced, (3) consortium, or (4) a combination of strategies.

Respondents to the mailed survey questionnaire were asked to identify their duties and extent of involvement on a Likert-type scale. Categories ranged from very high involvement to very low involvement. Responses of very high or high involvement were tallied as indicating a definitive perceived job duty or responsibility.

A total of 181 (72.4%) questionnaires were returned, with 179 (71.6%) of the returned questionnaires answered by the respondents. Two questionnaires were returned blank, with no answers to any of the questions and notes that the individuals preferred not to participate in the study. Some individual questions were left blank by the registrars who did respond to the study. Each question that was left blank was reported as "No Answer" and calculated with other responses using frequencies and percentages. The final number of completed usable questionnaires reached the required number for the study to be statistically significant and also was acceptable compared with other surveys of college administrators.

Highlights of the Results

The highlights of the results from this study of community college registrars involve each of seventeen job duties and responsibilities that were included in the questionnaire. Results were compared by incidence of Web-enabled student information system implementation projects and administrative strategies. More specifically, findings compare incidence of very high or high involvement in job duties and responsibilities with in-house, outsourced, consortium, or a combination of implementation strategies. The reporting period was between February and July 2004. The registrar's functions are reported in the order that they were listed in the survey instrument. This is the order in which they appeared on the two job descriptions referenced for the study, except that system implementation was listed first to focus the respondent on the subject of the study.

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1 The study revealed that 62.4 percent of community college registrars were very highly or highly *involved with Web-enabled student systems implementation*, with most involvement pointing to an in-house implementation strategy. The lowest reported Web-enabled student system implementation involvement was with the consortium strategy. Only 23 of the 181 (12.7%) reporting community college registrars indicated that their colleges were not involved in a Web-enabled student system implementation project at the time of the study.

2 *Administration of registrar office policies and procedures* appeared to be a fundamental duty of community college registrars, with 95 percent reporting very high or high involvement with this activity regardless of presence of a Web system implementation project.

3 Also, 94.5 percent of the registrars reported very high or high involvement with *providing overall leadership for the office of the registrar,* regardless of whether an implementation project was in progress.

4 Similarly, 82.3 percent of the community college registrars had very high or high levels of involvement with *supervising office staff.* Of those whose colleges were involved with a Web-enabled student system implementation project at the time of the study, the greatest percentage of registrars who were very highly or highly involved with supervising office staff was at a college involved with a consortium. An almost equal percentage was at a college with a combination of implementation strategies.

5 Community college registrars were most involved with *establishing registrar office goals and objectives* if they worked in an in-house implementation strategy environment (94%). The registrars at colleges with an outsourced implementation strategy were least involved with establishing registrar office goals and objectives. A reported 66.7 percent of those registrars were so involved.

6 Only 67.4 percent of community college registrars *provided overall guidance and direction to online processes,* with the greatest difference in very high or high involvement occurring between in-house (76.1%) and outsourced implementation strategies (57.1%).

7 Although a great percentage of community college registrars had very high or high involvement with *maintaining student records,* those with no current project, and those in the process of implementing a Web-enabled project with an in-house implementation strategy reported the greatest involvement with student records maintenance.

8 Community college registrars overall had a very high or high level of involvement as *responsible custodians for all academic records on the computer database.* Of the 181 registrars who responded, 159 bore this custodial responsibility (87.8%). Those involved with a consortium Web-enabled system implementation strategy indicated a slightly greater incidence of involvement (93.3%) with academic records.

9 Responsibility for the *maintenance and security of the official college seal* was more prevalent among community college registrars whose colleges had an outsourced Web-enabled system implementation strategy, whereas those who were part of a consortium reported less frequently that they had very high or high involvement with the college seal.

10 An in-house Web-enabled system implementation strategy appeared to lend itself to a registrar's involvement with *conducting staff meetings to discuss information, policies, and procedures.*

11 A large percentage of community college registrars whose schools were implementing a Web-enabled system with any one of the implementation strategies (in-house, outsourced, consortium, or a combination of strategies) had a very high or high incidence of *collaborating and acting as liaison with other departments,* functions, or groups. Only those with no current projects had substantially less involvement in collaboration with other offices, functions, or groups, and even 78.3 percent of those registrars reported very high or high involvement with this responsibility.

12 Two-thirds of all community college registrars who reported for this study indicated that they were very highly or highly involved with *resolving system errors or failures.* The least involved with this duty were those whose colleges employed a combination of implementation strategies. Of these, however, 58.1 percent still reported very high or high involvement with this responsibility.

13 A minority of the community college registrars was very highly or highly involved with *developing, delivering, and assessing internal employee training.* The lowest percentage was reported from the registrars whose colleges employed a consortium implementation strategy.

14 A minority of registrars provided *general management for information services activities.* However, for those whose colleges employed an in-house implementation strategy, 43.3 percent of the registrars were very highly or highly involved with IT management responsibility. Those whose colleges participated in a consortium were least involved in managing information services.

15 The researcher found that only 40.9 percent of community college registrars were very highly or highly involved *with attending workshops and training to enhance technical skills.* The greatest percentage of registrars who had moderate to no involvement in this activity worked at colleges that employed an outsourced Web-enabled system implementation strategy.

16 Despite the finding that many were not receiving technical training, a majority (72.4%) of all community college registrars reported that they were responsible for *monitoring projects to ensure effectiveness and compliance.*

17 A majority of community college registrars reported that they were very highly or highly involved with *developing and producing reports on student enrollment* for their college administration. The smallest percentage with this reporting responsibility (53.5%) was indicated for colleges that used a combination of implementation strategies. The greatest majority of registrars who were responsible for

developing and producing reports on student enrollment seemed to be from colleges with no current Web-enabled implementation project.

Summary

The present study focused on community colleges in the United States, and particularly on community college registrars. The colleges used in-house, outsourced, or consortium strategies, or a combination of strategies, for their Web-enabled system implementation projects.

This study revealed the job duties and responsibilities with which community college registrars were very highly or highly involved at the time of the field research. Maintenance of student records was just one of these duties. The top duties and responsibilities, with very high or high involvement, identified by at least 80 percent of the community college registrars who responded in this study, included:

- Administering registrar office policies and procedures (95%)
- Providing overall leadership for the office of the registrar (94.5%)
- Collaborating and acting as liaison with other departments, functions, or groups (88.4%)
- Acting as responsible custodian of all academic records on the computer database (87.8%)
- Maintaining student records (86.2%)
- Establishing registrar office goals and objectives (83.4%)
- Supervising office staff (82.3%)

According to Cramer (2005), changes in management and business practices evolved with a Web-enabled student system implementation. Collaboration and communication with all campus stakeholders and others on campus who were involved with implementation was a major role of project team members during implementation, and was the key to success according to Cramer's research.

Coinciding with AACRAO's focus on systems implementation, this study examined the functional role of community college registrars during systems implementation to determine whether and how their role changed. The research indicated that some of the seventeen functions addressed by the study may change during Web-enabled student information system implementation projects and also may vary by system implementation strategy. Registrars who are aware of the possible changes in their functional role may more positively influence success of complex implementation projects.

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