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Editor's Note

In this issue we are pleased to bring you a range of articles focusing on leadership, information technology, research, policy and practice.

The English language proficiency of international graduate students is an important issue at most institutions that admit graduate students and Camilla Vásquez, Northern Arizona University, presents the results of a survey of current practices at a sample of Doctoral 1 universities.

Strategic Enrollment Management expert Dick Whiteside, Tulane University, and George Mentz, Loyola University of New Orleans, share the Program Planning Model developed at Tulane to analyze the full range of expenditures and resources involved in launching new academic programs.

Build your own dream house after reading Wayne Sigler's article about Outcome Oriented Operations (Tri-O³) in the Office of Admissions at the University of Minnesota-Twin Cities.

Robin Matross Helms returns with another interview—this time with Charles Nolan, former Dean of Admission at the new Franklin W. Olin School of Engineering. Nolan describes the development of a dream house at Olin, where each student is given a scholarship covering four years of tuition and dormitory fees.

In the Forum section, Travis Reindl offers a summary of the increase in college completion rates over the past three decades and poses questions for education leaders and policymakers faced with rising enrollments coupled with severe budget constraints.

Kathy Kurz, Scannell & Kurz, Inc., gives us a profile of today's effective enrollment manager and offers five key attributes common to all successful enrollment managers. One of these attributes, collaboration, is the topic of Strategic

Enrollment Management conference director, Jim Black's article about the formation and maintenance of alliances and relationships at The University of North Carolina at Greensboro.

Kimberley Buster Williams, Old Dominion University, offers some ways for recruiters to stay fit while traveling.

Anne Valentine, SmartCatalog, provides a description of what registrars need to know about Content Management Systems.

Max Padilla and Marcy Shapiro write about the military mobilization of our reserve armed forces, the support provided by institutions, professional associations, state governments, and the U.S. Department of Education, and ways that institutions are allowing some students who are called to duty to continue their education.

If you think the International Baccalaureate Diploma Programme is a "foreign" credential, Cliff Sjogren and Paul Campbell provide insight into this rigorous academic program that aims to develop young global citizens who will help to create a more peaceful world.

And continuing on the international front, Evelyn Levinson and Arona Moskowitz Maskil provide a helpful overview of higher education in Israel.

Barbara Lauren returns with a book review, which describes the differences between racial and class disparities in public education and the role state courts have played in helping to equalize state funding.

I look forward to hearing from more of you so that we can supplement the articles featured in the journal with an even broader range of expert opinion, commentary, and knowledge.



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Language Proficiency Criteria for International Graduate Applicants to Doctoral 1 Universities

- This study investigates university-wide and discipline-specific language proficiency criteria used for international graduate admissions decisions at a sample of U.S. universities. Questions about types of measures used and provisional admissions policies are also explored.

by Camilla Vásquez

Providing advanced training to individuals in specialized disciplinary areas is one of the primary purposes of universities' graduate programs. Typically these programs are selective and require that a number of criteria be met, such as successful completion of undergraduate education, and a selected range of scores on standardized exams. For international students whose first language is a language other than English, one criterion for admission to U.S. graduate programs is the demonstration of adequate English language proficiency. Usually determined by some type of standardized assessment instrument, English language proficiency is considered by many to be a major factor for international students in their ability to succeed in North American graduate programs (Hargett and Olswang 1984; NAFSA 2001). As such, English language proficiency may represent one important criterion used to make high-stakes decisions that grant or deny international applicants entrance to graduate programs at U.S. universities.

Admission to a graduate program can be considered a major "gatekeeping" decision. Where serious gatekeeping functions are concerned—such as the assessment of language proficiency for university admission purposes—Bernard Spolsky (1997) and others (Rees 1999; Xu 1991) have advocated "multiple testing and alternative methods" as well as "careful and cautious interpretations" of test results (Spolsky 1997, p. 246). Even ETS (Educational Testing Service), the publisher of the TOEFL (Test of English as a Foreign Language), cautions against using rigid cut-off scores for admission decisions (Roemer 2002). To what extent are universities' language policies informed by the research and opinions of language assessment experts?

Because the assessment of prospective graduate students' English language proficiency and the decisions based on those assessments have a number of serious implications, both institutional and individual, what language proficiency criteria are used for admission to different disciplinary pro-

grams represents an important institutional issue. If an institution chooses to accommodate the non-discrete nature of language proficiency, by offering a more complete language proficiency assessment (*e.g.*, the multi-judgment approach proposed by Rees [1999]), this may require more resources on the part of the institution, as well as on the part of its international applicants. Another policy alternative is to simply relax language proficiency requirements for admission to graduate programs. In this case, Hargett and Olswang (1984) and NAFSA: Association of International Educators (2001) argue that it is critical for institutions to have additional supports, such as intensive English programs, in place. Although these types of supports may also require additional institutional resources, according to Hargett and Olswang (1984) and NAFSA (2001), they are essential in the provision of specialized services to students whose English language ability is questionable. Is it the case, then, that the majority of universities with conditional admission policies have such supports in place?

Several studies (Ayers and Quattlebaum 1992; Light, Xu, and Mossop 1987; Neal 1998; as well as those discussed in Graham 1987) have suggested that for scientific and technical fields, there is little evidence of a relationship between English language proficiency as measured by the TOEFL and students' success in those graduate programs. The results of such studies suggest that it is possible that in institutions where individual departments are able to set their own English language proficiency standards, those standards may be lower in disciplines which are perceived as less "language-intensive" and more quantitatively oriented.

Methodology

A 13-item telephone survey (see Appendix) was administered to university personnel at 35 Doctoral 1 institutions in October 2002, in order to determine if similar types of insti-

tutions use similar criteria for assessing the English language proficiency of their international graduate applicants.¹ Overall, the 35 institutions were deemed comparable on the basis of the following criteria: the same Carnegie rating (Doctoral 1), similar graduate enrollments, similar number of graduate degrees awarded, and similar tuition costs.² The institutions were further comparable in terms of town population, cost of living, and average professor salary. Although the sample was not randomly selected, the 35 participating institutions were fairly representative in their geographical distribution across the United States.

The majority of questions in the survey required a short response, and many were loosely modeled on those included in a survey conducted by Morgan (1990), which examined English proficiency tests used by graduate schools as criteria for admission and as criteria for awarding graduate assistantships, but which did not look at discipline-specific language proficiency criteria.

The respondents to the survey were most typically graduate admissions officers, but also included international recruiters, deans of graduate schools, and staff of Intensive English programs. Where possible, other university staff (*e.g.*, undergraduate admissions personnel, individuals in offices of institutional research, individuals in specific departments, etc.) were contacted to complete all of the items on the survey.³

Results

The following tables summarize the data obtained from the survey. Tables 1 and 2 provide descriptive statistics related to enrollment information for international students at the universities in the sample. Although in Table 1 the actual numbers for graduate and undergraduate students are fairly similar, the data in Table 2 indicate that international students made up a much greater proportion of graduate students than undergraduate students in this sample. Indeed, at the institutions surveyed, international students comprised only a small percentage of the total undergraduate populations.

All 35 universities surveyed (100 percent) had a minimum TOEFL requirement for international graduate applicants. Only one university indicated that it did not have a university-wide minimum TOEFL score for undergraduate applicants. Table 3 includes descriptive statistics for university-wide TOEFL requirements for both graduate and undergraduate applicants. While the range of scores was similar for both undergraduate and graduate requirements, the mean and the

Table 1: Enrollment Data (Numeric)

International Students	Min	Max	Mean	SD
Graduate	80	1300	454	310.21
Undergraduate	79	926	394	249.18

Table 2: Enrollment Data (Percentage of Total International Student Population by Category)

Percentage of International Students	Min	Max	Mean	SD
Graduate	3.8%	50%	18.5%	12.42
Undergraduate	0.6%	7.7%	2.8%	1.96

Table 3: University-wide TOEFL Requirements for Admission

Academic Level	Min	Max	Mean	Mode	SD
Graduate	475	575	541.86	550	20.15
Undergraduate	500	575	523.57	500	24.40

mode were higher for graduate than for undergraduate admission criteria.

When asked if the institution surveyed has any type of formal or stated position on the recruitment of international students (*e.g.*, in a mission statement), 13 institutions responded they did have such a statement, 12 reported they did not have such a statement, and 10 replied they did not know.

The TOEFL was the most-widely used test of English proficiency used—21 institutions (60 percent) reported that they *only* accepted the TOEFL as a measure of English proficiency. The remaining 14 universities (40 percent) reported they accepted language proficiency measures other than the TOEFL, including the IELTS (International English Language System), Cambridge CAE (Certificate in Advanced English), and the MELAB (Michigan English Language Assessment Battery). Only 2 of the 35 universities required a TOEFL score for admission and also required an in-house proficiency test for all international students upon arrival to the institution.

At the majority of universities surveyed (26, or 75 percent), individual departments determined their own TOEFL requirements for their graduate programs, provided that their requirements were higher than the university-wide minimum for graduate study. The other nine universities (25 percent) reported that all departments adhered to the university-wide minimum.

Table 4 shows the lowest and highest TOEFL scores required by department, as well as the mean and standard deviation. For all departments, the mode was 550. While the ranges of TOEFL scores required by department were fairly similar, Table 4 shows that the mean TOEFL score required was highest for English, followed by Engineering, Business, Computer Science, and Math. The results of a One-way Analysis of Variance ($F_{(4,120)} = 1.37, p > 0.05$), illustrated in

¹ In 2000–2001, approximately 14.23 percent of the international students at U.S. colleges and universities were enrolled in Doctoral 1 institutions (*Open Doors*, p. 39).

² According to the Carnegie Foundation Web site (www.carnegiefoundation.org), in 2000, the rating scheme was collapsed from a four category system (Research 1, Research 2, Doctoral 1, Doctoral 2) to a two category system (Doctoral/Research Extensive and Doctoral/Research Intensive). 261 universities currently belong to this larger category (Doctoral/Research Extensive and Intensive); the sample included in the current study comprises about 13 percent of these institutions. It is unknown how many universities belong to the former category of Doctoral 1.

³ Undergraduate data were also requested to offer a point of comparison for both enrollments, as well as for language proficiency requirements.

Table 4: Descriptive Statistics for Individual Departments' Minimum TOEFL for Graduate Study

Department	Min	Max	Mean	SD
Math	475	600	550.16	27.606
English	500	630	562.94	28.660
Engineering	525	600	559.71	20.447
Computer Science	500	600	554.53	23.327
Business	525	600	557.73	18.375

Table 5: Analysis of Variance for Departments' TOEFL Minimum

Source	df	MS	F	p
Between Groups	4	789.475	1.37	0.247
Within Groups	160	576.248		
Total	164			

Table 5, indicate that while there were differences in the TOEFL means required by individual departments, these differences are not statistically significant.

Of the institutions surveyed, 28 (or 80 percent) had a provisional admission policy for international graduate applicants. Typically, applicants admitted under such policies are required to take some English language courses prior to, or concurrent with, courses in their graduate program. Normally these applicants meet all of the other criteria yet their TOEFL scores are slightly lower than that which is required. The remaining seven (20 percent) universities had no provisional admission policy.

Thirty universities (86 percent) had some type of Intensive English Program, English Language Institute or English Language Center on their campus, where those students who do not meet the language proficiency criteria can receive support in the form of English classes, either before beginning, or simultaneously with their graduate coursework. Only five universities (14 percent) reported that they did not have such a facility.

Discussion

ENROLLMENT DATA

The results of the survey indicate that proportionally, in most universities, international students made up a larger part of the graduate student population than of the undergraduate student population.⁴ While the average proportion of international students in graduate programs was 18.5 percent, in the extreme case, one university reported that 50 percent of its graduate population was comprised of international students. In contrast, the international presence at the under-

graduate level was considerably smaller, with an average proportion of less than 3 percent.

In many cases, however, international students are not evenly distributed across departments. Instead, there may be greater concentrations of international students in a few departments. One admissions officer interviewed stated that at his university, the highest international graduate enrollments were in the department of Computer Science, and that international graduate enrollments were lower in departments in the Arts and Sciences, and lower still in Fine Arts departments. According to data from *Open Doors 2000–2001* (p. 52), the percentage of those graduate students enrolled in the programs included in the present study were as follows: 21.7 percent in Engineering, 16.8 percent in Business, 13.8 percent in Math and Computer Science, and 4.4 percent in Humanities.

UNIVERSITY-WIDE TOEFL REQUIREMENTS

All of the universities surveyed had a minimum TOEFL required for graduate applicants and all but one university had a TOEFL minimum for undergraduate applicants. For graduate admissions, 25 universities (over 70 percent) used a TOEFL score of 550 as a minimum cutoff, whereas for undergraduate admissions, 9 (or 43 percent) of the universities which responded used a 500 TOEFL cutoff for undergraduate admissions.

In slightly more than half of the universities surveyed, the TOEFL requirement was somewhat higher for graduate admissions than for undergraduate admissions. In the remaining universities (with one remarkable exception), the TOEFL requirement was the same for graduate and undergraduate applicants; in one anomalous case, the TOEFL minimum was lower for prospective graduate students than for prospective undergraduate students. When interviewed, the admissions officer at this particular university volunteered her opinion that she felt the minimum TOEFL for graduate applicants should be higher than that for undergraduate applicants.

INSTITUTIONAL POSITION ON INTERNATIONAL STUDENT RECRUITMENT

There was an almost even proportion of individuals who responded that their institution had some type of formal or stated position on the recruitment of international students, those who responded that their institution did not have such a position, and those who did not know. The means of the minimum TOEFL scores required for graduate applicants were compared for those institutions which had a formal position on international student recruitment (540.38) and those institutions with no such position (540). Because these means were virtually identical, a university's having a formal position on international student recruitment seems to have no effect on the TOEFL score required of international graduate applicants.

ALTERNATIVES TO TOEFL, AND MULTIPLE MEASURES?

Only 2 out of the 35 institutions surveyed reported using "multiple measures" of English language proficiency, however

⁴ According to the most recent data available, in 2000–2001, 43 percent of international students in the U.S. were graduate students (*Open Doors*, p. 54).

this statement must be qualified: only one measure was used for admission purposes, while the second measure was administered once the international student arrived at the U.S. university. This second measure was ostensibly used to determine if the student should receive additional English language instruction instead of or along with his/her graduate coursework.

The majority of universities surveyed did not accept tests of English language proficiency other than the TOEFL. Six institutions reported that they accept the IELTS. Six institutions reported that they consider the MELAB an appropriate alternative to the TOEFL; however, one admissions officer added “we would accept the MELAB but we haven’t encountered it.” Similarly, another admissions officer commented that she had only seen one MELAB in the six years that she has worked in her current position. Three institutions accept the Cambridge CAE or the SAT 2.

In addition to accepting measures other than the TOEFL, some respondents stated that their institutions accepted other criteria, in lieu of a language proficiency test. Two officers reported that a bachelor’s degree from an English-medium institution would waive the university’s TOEFL score requirement. One officer indicated that if the student had attended any U.S. school for one year or longer, the TOEFL requirement would be waived. Three universities accept a certificate from their own IEP (indicating successful completion of a suite of ESL courses) in lieu of the TOEFL. Finally, one officer responded that in some cases, “advanced language coursework” would waive the TOEFL requirement at his institution.

INDIVIDUAL DEPARTMENTS’ TOEFL REQUIREMENT

In response to a question about individual departments determining their own TOEFL requirements, three possible situations were described by respondents: 1) departments were restricted from requiring a higher score than the university-wide minimum, 2) departments were allowed to require a higher score, but none chose to do so, and 3) departments were allowed to set their own TOEFL requirements, provided that they were higher than the university-wide minimum and elected to do so. Twenty-six (75 percent) of the universities surveyed belonged to the third category, while only 9 (25 percent) belonged to the first two categories. One admissions officer stated that although the minimum TOEFL requirement is formally the same for all departments (575), his university had problems enforcing this minimum because some professors frequently made exceptions for lower scores. One dean of a graduate school reported that his Computer Science department “would like to see the TOEFL burn in hell” and that this department regularly admitted students with TOEFL scores ranging from 500–550, even though the university-wide minimum was 550.

Not surprisingly, English (arguably the most “language intensive” subject included in the present study) had the highest TOEFL score required (630). Math had the lowest

score required (475). The mode for all departments was the same (550), yet there was some variation across departments in scores required above the mode. For English, which had the highest percentage of departments requiring a score above the mode, 35 percent of individual departments had a higher TOEFL requirement than 550. In contrast, Math had the lowest percentage of departments requiring a score higher than the mode, 22 percent. Of the remaining three departments (Engineering, Business, Computer Science), approximately 30 percent required a TOEFL score higher than the mode of 550. Although the means differed across the departments of English, Engineering, Business, Computer Science, and Math (from high to low, respectively), a one-way analysis of variance showed that the difference in means of TOEFL scores required were not statistically significant.

One secretary in a Business department revealed that her department lowered its English language proficiency standards three years ago (the minimum TOEFL required was changed from 590 to 550). This change was the result of pressure from faculty who felt the 590 TOEFL requirement was too high, and was responsible for restricting access to potentially qualified applicants.

PROVISIONAL ADMISSION

The survey found that provisional or conditional admission policies were not unusual among this group of universities. Twenty-eight of the universities (80 percent) indicated that they had some type of provisional admission policy regarding language proficiency criteria, while only nine (20 percent) indicated that they did not. Of these nine institutions that did not have a provisional admission policy for graduate students, three indicated that they had no Intensive English Program (IEP) or ESL learning facility. In two cases, schools with no IEP reported that their students who were admitted provisionally were sent to a neighboring institution for English language instruction.

Conditional admission policies varied widely. Five admissions officers stated that students admitted provisionally into their institutions must complete all English language classes prior to taking any graduate classes. Two admissions officers reported that provisional admission decisions were left up to individual departments. In one university, students who were admitted conditionally were restricted to courses at the 600-level or below. One admissions officer stated that all students who were conditionally admitted were obliged to retake the TOEFL after one semester of study and if, at that point, they still did not meet the 550 required, then the university would “take another course of action.” Another graduate admissions officer indicated that his institution had three levels of conditional admission: in the first level, conditionally admitted students take only ESL classes; in the second level, students are allowed to take one or two graduate courses as well as ESL courses simultaneously; in the third level, students are admitted into the regular academic program.

Two interviews indicated that provisional admissions policies may be controversial. One dean of graduate studies stated that at her institution, provisional admission was the “hot button question.” She reported that some departments did admit provisionally, but they then “tried to get those students out of taking ESL classes.” As a result, there was a proposal at her institution to raise the TOEFL minimum required for all students. An admissions officer at a different institution intimated that while there was a conditional admission policy “on the books,” ever since the events of September 11, 2001, all applications with conditional status have been denied.

Conclusions

In terms of the measurement of language proficiency for gatekeeping decisions, there appears to be a gap between theory and practice. Although language assessment experts recommend more than one measure of language proficiency, none of the institutions surveyed use multiple measures for exclusively admission purposes. One likely explanation that keeps universities from requiring more than one measure of language proficiency is the additional expense required of applicants as well as of institutions. The TOEFL remains unquestionably the most common instrument used for this purpose. A number of individuals surveyed expressed dissatisfaction with the TOEFL as a measure of English language proficiency, and yet none of the admissions officers indicated that they were aware of the current revisions to the TOEFL.⁵ Of those universities which indicated willingness to accept other tests of English language proficiency, several noted that they rarely come into contact with those exams.

While admissions criteria are used to make high stakes decisions, the majority of institutions surveyed do have some type of conditional admissions policies in place. This seems to suggest that in some cases, otherwise qualified candidates are not rejected solely on the basis of a TOEFL score that is slightly lower than that which is required. However, the extent to which international applicants are aware of these practices is unclear. Furthermore it is reasonable to question how many potential applicants are deterred from applying because they have failed to meet the stated institutional or departmental English language proficiency requirement. In other words, if no mention is made of a provisional admission policy, an explicitly stated TOEFL requirement in the institutional literature may act as more of a psychological barrier than an actual barrier to potential applicants. Moreover, the case of the admissions officer who indicated that conditional applications were denied following the events of

September 11, 2001 cautions that even if institutions have more liberal conditional policies in place, there may be cases where those policies are ignored or go unenforced. This reality echoes Roemer's (2002) concern that global events may have serious implications, “making the stakes of the results of a single test even higher” (p.17).

As recommended by Hargett and Olswang (1984) and NAFSA (2001), the majority of institutions do have some type of centers for English language instruction. Most importantly, the majority of those universities with provisional admission policies do offer English language support for those students who need it. Nevertheless, some 20 percent of institutions surveyed do use rigid cut-off scores in determining applicants' English proficiency, ignoring the recommendation made by ETS to avoid such practices.

Finally, regarding discipline-specific TOEFL requirements, this study suggests that there may be another gap between theory and institutional policy (if not, in some cases, actual institutional practice). While some studies have suggested that there is little relation between TOEFL scores and academic success for some quantitatively-oriented disciplines, this study finds that the differences in language criteria for quantitative versus non-quantitative disciplines are negligible. However, it is also important to keep in mind, as a few respondents indicated, there may be differences between institutional policies “on the books” and that which is actually practiced. The findings of this study suggest that it may be useful to determine and describe the basis on which U.S. universities and individual departments determine their language proficiency criteria, and once established, how closely they adhere to those policies. As the new TOEFL becomes available (scheduled to completely replace the existing version in September 2005), these questions will continue to be important.

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⁵ Unlike the existing version of the TOEFL, the new TOEFL will assess and integrate all four language skills: reading, listening, writing, and speaking. These changes will affect both scoring and score reporting. Scores will be reported in two ways: a single score will be reported for each of the four score areas, and a single three-digit composite score will contain information for reading, listening and writing. ETS plans to provide descriptive information to universities about what the new scores mean. This information will be made available in June 2004, so that universities will have more than one year to determine what their new score scales should be. More information about the new TOEFL is available at ETS's TOEFL Web site: www.toefl.org

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Appendix: Survey of Language Proficiency Criteria for International Graduate Applicants

- 1 What is the estimated enrollment of international graduate students at your institution?
- 2 What percentage of the total enrollment of graduate students are international students?
- 3 What is the estimated enrollment of international undergraduate students at your institution?
- 4 What percentage of the total enrollment of undergraduate students are international students?
- 5 Does [name of university] have a minimum TOEFL score requirement for all international graduate admissions? (*University-wide*)
 Yes No
- ▶ (*If yes*) What is the minimum TOEFL score required for all international graduate students at your university?
- 6 Does [name of university] have a minimum TOEFL score requirement for all international undergraduate admissions? (*University-wide*)
 Yes No
- ▶ (*If yes*) What is the minimum TOEFL score required for all international undergraduate students at your university?
- 7 Some universities have made recruitment of international students a priority in their institutional mission and have articulated this as part of their mission statement. To the best of your knowledge does your university have any kind of stated or formal position on the recruitment of international students?
 Yes No Don't know
- 8 Does your university accept any other language proficiency criteria from international graduate student applicants, instead of the TOEFL?
 Yes No
- ▶ (*If yes*) Does your university accept:
 other standardized tests such as the Michigan test?
 in-house tests?
 interviews?
 writing samples?
 any other measures of English language proficiency? Please list: _____
- 9 Does your university accept any other language proficiency criteria from international graduate student applicants, in addition to the TOEFL?
 Yes No
- ▶ (*If yes*) Does your university accept:
 other standardized tests such as the Michigan test?
 in-house tests?
 interviews?
 writing samples?
 any other measures of English language proficiency? Please list: _____
- 10 Do individual departments at [name of university] set their own required minimum required TOEFL score for international graduate applicants?
 Yes No
- ▶ (*If yes*) What is the minimum TOEFL score required for the following departments for their international applicants?
 Math
 Engineering
 Computer Science
 English
 Humanities
 Business
- 11 Will [name of university] admit an international graduate student with a test score below that which is required, with the provision that the student take 1 or more ESL courses during the first semester?
 Yes No
- 12 Do you have an English language learning center, IEP or ESL program on your campus?
 Yes No
- 13 Do you have any additional comments regarding English language criteria used for international graduate admissions?



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Academic Program Planning— Assessing the Variables

- Many institutions have structured processes for gaining the necessary internal and external approvals for initiating academic programs. Unfortunately, program planners often lack the data required to develop a full understanding of the systemic implications caused by such changes. This article provides both a framework and an interactive data model to help the program planner generate critical program related information.

by Richard Whiteside and George Mentz

Strategic Enrollment Management (SEM) is “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.” (Dolence 1997) Dolence goes on to explain that one of the primary goals of a Strategic Enrollment Management program is to “stabilize [institutional] finances (eliminate deficits, pay off debts, and reinvest strategically.)” In both definition and goals, SEM assumes certain responsibilities for planning academic program modifications.

For many institutions, the primary objective of enrollment management is increasing enrollment. With such increases, institutional leadership assumes it will be able to achieve its objectives related to stabilizing institutional finances and improving quality. For the enrollment manager faced with the task of increasing student enrollment, there are a limited number of strategic approaches available. Ansoff (1997) identifies four strategic interventions that can be pursued to achieve growth. These include:

- 1 **Market Penetration Strategies**—achieving a greater share of existing markets with the existing product
- 2 **Market Development**—moving the existing product into new markets
- 3 **Product Development**—enhancing the quality of the existing product so that it attracts increased market share in existing markets
- 4 **Diversification**—developing new products that may have appeal to existing and new markets

Strategies 1 and 2 encompass a set of tactical interventions that can be tightly controlled and effectively executed by personnel within the admission and recruitment areas. Strategies 3 and 4 include a set of strategic and tactical interventions that require the involvement of personnel across the entire institution. These strategies involve areas generally within the

purview of the faculty. To one degree or another, institutions are continuously engaged in academic program development and program review. When the focus falls on the development of new academic programs, the community is engaging in strategic diversification.

Strategic diversification is a productive strategy from an institutional perspective if there is a demand for the product in the marketplace, if the institution has the required resources to deliver the product and if the revenue generated is sufficient to operate the program. If there is no market demand for the program or if resource requirements are excessive, neither enrollment nor fiscal stability will improve.

Academic program planning is central on all campuses. Academic departments and individual faculty members continually generate ideas for new academic programs. While most of these programs are well conceived in terms of curriculum and content, faculty members often lack the tools needed to assess the impact the program will have on key areas of the institution. Likewise, many enrollment managers lack the tools to assist program planners to address these issues. An effective process requires an integrated approach for developing academic programs. Kalsbeek (2003) outlines such an approach showing the respective planning roles of the academic and enrollment marketing functions. An illustration of the Kalsbeek model is presented in Illustration 1.

Academic program planning often fails to consider the full range of costs associated with mounting a new program. Key elements like the cost of recruiting or the incremental cost of library acquisitions are often overlooked. While such costs may not be directly related to the program—at least not in the same vein as salaries, for example—they do represent real expenditures that the institution will incur. Clearly whether a program is offered or not must be the result of a thorough analysis of revenues and expenses. Only then can an institution make an informed decision.

The Enrollment Management Team at Tulane University developed the *Program Planning Model* (PPM) to make such an analysis both possible and easy to achieve. The initial version of this model has been refined so that it can be used in a broad range of institutions considering new academic programs. The PPM is a tool used to provide decision support for defining capacity, clarifying financial plans and setting program priorities. Using the PPM to evaluate proposals is the joint responsibility of academic affairs and enrollment marketing.

The Program Planning Model

The Program Planning Model (PPM) is a simple, easy-to-use program-planning tool used to compile the information needed to understand the interactive effect of key planning variables including enrollment, pricing and delivery alternatives. The program planner can easily modify planning parameters to create various planning scenarios. As these parameters are adjusted, the model recalculates all affected data and presents the planner with a new scenario based on the current planning parameters.

The PPM is suitable for public or private institutions. The planning parameters allow the planner to specify values for in and out-of-state enrollment, different tuition and fee assessments for each of these categories and income related to FTE-based state funding formulas. The PPM was developed using Excel in the Microsoft Office 2000 SR-1 Professional software suite.

The PPM is based on a number of planning parameters specified by the program planner or responsible agent. These values are used to calculate the income and expenses of the program. The model employs three key assumptions:

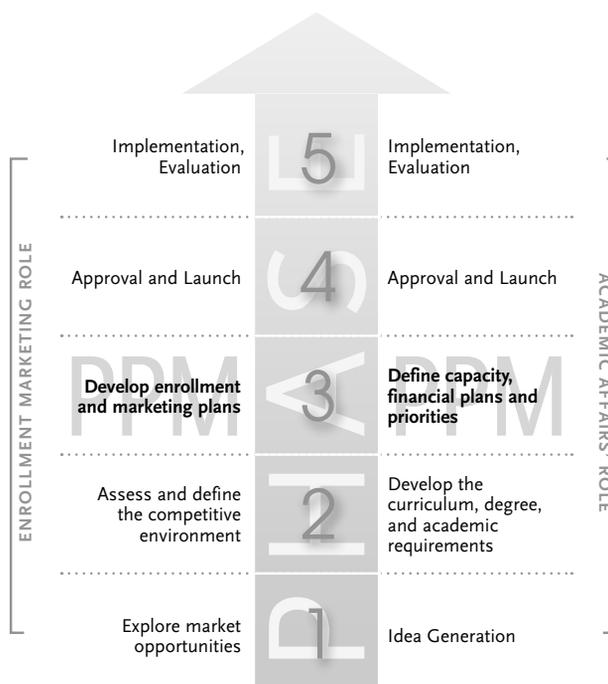
- All student enrollments are incremental, *i.e.*, the enrollments in the new program are not the result of a redistribution of existing enrollments.
- All expenses are incremental.
- Estimated new student enrollments are realistic based on market research and projected need.

The degree to which these assumptions are valid for any program under consideration will determine the accuracy of the analysis provided by the model. For example, if some enrollments include individuals enrolled in other programs offered by the institution, the model will accurately predict the revenues and expenses associated with the program under analysis but these results will not add to existing institutional performance in these areas. Likewise, if some of the costs associated with the new program (*e.g.* instructional costs) are covered by existing assets, the cost analysis provided by the PPM will be overstated.

The third assumption is perhaps the most critical of the three key assumptions. The PPM makes no attempt to determine the quality of the analysis leading to the enrollment projections. If these forecasts are based solely on whim, the PPM results will be speculative at best. If the enrollment projections reflect the realistic needs and interests of the pro-

gram in the marketplace, the model will yield valuable data related to critical operational aspects of the program.

The *Program Planning Model* is divided into two sections. Section I contains the planning assumptions made by the planner while Section II contains the analytical reports generated by the planning assumptions. The model also includes detailed data definitions and descriptions that summarize how various data elements are used in the model. PPM versions have been developed for undergraduate and graduate level programs. While each version uses different planning parameters, the approach for analyzing programs at both levels is similar. The undergraduate model (in this case a baccalaureate degree program) is more complex and has therefore been selected as the version for discussion in this article.



An Integrated Process for Developing New Academic Programs
David Kalsbeek, DePaul University

SECTION I—PLANNING PARAMETERS

The planning parameters used in the PPM consist of measures available at most institutions. They are organized into eight logical categories (see Tables 1–8, beginning on page 13). In the baccalaureate degree version, these eight sections allow the planner to utilize 94 variables in the program analysis. Many of the variables allow the planner to specify different values for each year of the program's operation. The values entered into the model may come from a variety of sources including Enrollment Management, Institutional Research, Budget, Academic Dean and Human Resources.

Since the model was developed to accommodate the needs of both public and private institutions offering associate and baccalaureate degrees, the planner will not have to specify a value for every variable. The model employs a six-year time

frame consisting of a planning year and up to five operational years. The rationale for employing a five-year operational approach lies in the assumption that the program, enrollment and expenses will have “matured” by the end of the five-year period.

The planning parameters used in the model (organized into eight categories) are presented and described below. As previously mentioned, the model includes a full set of data definitions that are not included in this article.

- **Student Enrollment Assumptions** (25 variables)—In this section, the planner enters the forecasted number of new freshmen and transfer students for each of the first five years of the program. Typically these estimates will come from the individual or group proposing the program. This section also allows the planner to specify the values for retention from year to year for freshmen and transfer students, the percentage of in-state and out-of-state enrollments and the percentage of students residing in institutionally controlled housing.
- **Teaching Assumptions** (13 variables)—This section includes the average teaching load of full-time faculty, the percentage of course offerings taught by full-time faculty and compensation for different types of teaching faculty.
- **Administrative Cost Assumptions** (23 variables)—This section allows the planner to specify costs of administrative salaries, student recruitment, program operation, library, overhead and capital costs (with an amortization period.)
- **Program Requirements Assumptions** (8 variables)—In this area the planner provides data related to the length of the program, credits taken by the average full-time student each year and credits taken by the average part-time student each year. In addition, the planner provides estimates of the average class or section size and the average credit hours per term.
- **Tuition and Fee Revenue Assumptions** (12 variables)—In this area the planner specifies the cost of tuition and fees, the projected annual increase in these assessments and the state allocations per FTE.
- **Room and Board Assumptions** (2 variables)—These two parameters define the average cost for room and board and an estimated annual percentage increase in these charges.
- **Other Revenues** (5 variables)—In this area the planner specifies estimates for other non-student related income.
- **Program Planning and Development Assumptions** (6 variables)—In this section the planner specifies the program development costs, which includes faculty recruitment costs, course development stipends, etc.

Many of the planning values can be pre-set by responsible institutional officers (*e.g.* enrollment management staff) before the model is forwarded to the program planner. These pre-set fields should be password protected so they are not altered by the planner without authorization. Once the pre-set values are established, the program planner can quickly generate multiple scenarios reflecting different enrollment, compensation or expense levels. Scenarios that are of interest for further consideration are saved for later analysis.

SECTION II—PLANNING REPORTS

Once the planning parameters are entered, the PPM generates a series of reports that describe characteristics of the proposed program specified by the program planner (see Tables 9–14, beginning on page 15). These reports are generated by formulas applied to the values in the planning parameters section. The PPM generates six reports summarizing the results of the analysis.

- 1 **Program Financial and Resource Summary**—Report 1 is an executive summary that presents key data related to the program model. It summarizes, by year, gross and net revenues, program expenses by category and physical and human resources needed to support the program.
- 2 **Student Enrollment Model**—This report provides a detailed analysis of student enrollment growth as the program matures during its first five years of operation. It includes the following six subsections.
 - ▶ Enrollment Summary—Student Type (freshman and transfer) and Residency (in-state and out-of-state)
 - ▶ Enrollment Summary—Residency and Year of Study (freshman, sophomore, etc.)
 - ▶ Enrollment Summary—Enrollment status (full or part-time) and Residency
 - ▶ Enrollment Summary—New and Continuing Status—Full-time
 - ▶ Full-Time Equivalency Calculations
 - ▶ Credit Hours Generated
- 3 **Revenue Projection Model**—This report summarizes, by year, program related gross and net revenues from tuition, fees, room, board, state allocations and miscellaneous sources. Net revenues are calculated by reducing tuition, fee, room and board revenues by the financial aid discount rate included in the planning parameters section.
- 4 **Program Instructional Expenses**—Based on student enrollment, compensation data, average class size and the distribution of classes among full and part-time faculty, Report 4 provides an analysis of the number of faculty required and the cost of instruction. Instructional costs include salary and fringe benefits calculated as a percentage of base salary.

5 **Administrative Expenses**—Non-instructional program related costs are summarized in Report 5.

6 **Program Planning and Development Expenses**—Program planning and development expenses are summarized in this report.

Reports two through six show the intermediate values used in the compilation of the Program Financial and Resource Summary (Report 1) and provide useful information regarding the impact of different planning parameter values on key modeling elements such as revenues, student flow and instructional costs.

Application of The Model

The PPM was developed to provide information for the staff of the Enrollment Management Division at Tulane University. The institution was considering several new academic programs and was concerned about the resource implications of adding these programs to the inventory of academic offerings. The deans of the faculties making the proposals for new programs had numerous questions regarding how these programs would impact their bottom line.

In September 2001 Tulane announced that beginning with the budget preparation cycle for FY03 the institution was moving to a “responsibility centered management” approach. As a result each collegiate unit of the university would be required to meet or exceed its projected income while maintaining expenditures at the budgeted levels. These new guidelines created an impetus for developing a more rigorous model for estimating program resource requirements. The PPM was developed to meet that need.

During the 2001–02 and 2002–03 academic years, the PPM was used to plan several proposed offerings including a new baccalaureate program within a college and a new college within the university. In addition, the model was also employed to test the feasibility of several master’s program proposals.

In each instance, the model was adjusted for the specific program under analysis and pre-set with many of the values required in the planning parameters section (Section I.) Once these parameters were specified (*e.g.* retention rates, average salary, projected cost of attendance increases, etc.), members of either the Enrollment Management group or the Office of the Provost worked with the program planners to determine the values to be used for the remainder of the planning parameters.

During the feasibility analysis, program planners ran multiple scenarios employing different specifications for enrollment size, compensation levels, staffing patterns etc. The results from the various scenarios helped refine the thinking of the program planners and allowed the academic leadership of the involved divisions to develop an acceptable level of confidence that the addition of these programs would improve their budgetary position. With access to five-year projections, the leaders were more likely to agree to invest the program development costs associated with the new programs knowing that ultimately the program would have a beneficial impact on the unit’s academic and budgetary position.

One of the scenarios employed in planning a new baccalaureate program serves as the basis for the data contained in the model reproduced in this article. This iteration of the model revealed that during the planning year and the initial year of operation, the program would lose money. However, beginning in year two of the program, a positive cash flow would be generated for the department and college offering the program. By year five, the program would generate a positive cash flow in excess of \$1.4 million annually.

Based on the information provided through the PPM, the program was adopted and the areas that would be impacted by the new program (*e.g.* student housing, admission, financial aid, etc.) had a clear indication of the resources required to support the program as well as the resources available to them. This program will enroll its first students in the fall term of 2004.

Conclusion

The PPM has proven to be a powerful and easy-to-use tool in an integrated academic program-planning environment. It has provided Tulane with a uniform approach to estimating the program revenues, expenses and physical facilities needed to mount new program offerings. The use of a five or six year projection cycle also makes it possible to understand the relationships between increased enrollment and associated expenses as the program matures. In addition, because these variables are tabulated by year, it is easy to monitor performance against anticipated levels of income and expense.

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Appendix

Sample Program Planning Model (PPM) Parameters and Reports

INSTITUTION:

Private University

PROGRAM NAME:

Model For Baccalaureate in Liberal Arts

Table 1: Category A Parameters (Student Enrollment Assumptions)

Parameter	Program Year <i>(Academic year relative to program year: Freshman=1, Sophomore=2, Junior=3, Senior=4)</i>				
	1	2	3	4	5
New Full-Time Freshman Enrollees, Incremental (#)	25	50	50	50	50
In State (%)	50	50	50	50	50
Out of State (%)	50	50	50	50	50
New Transfer Students:					
Into Sophomore Year, Incremental (#)	0	5	5	5	5
Into Junior Year, Incremental (#)	0	0	5	5	5
Into Senior Year, Incremental (#)	0	0	0	0	0
In State (%)	75	75	75	75	75
Out of State (%)	25	25	25	25	25
Average Credits per Full-Time Student, Per Fall Term	15	15	15	15	15
New Freshman Students Retained:					
Into Year 2 (%)	84	-	-	-	-
Into Year 3 (%)	75	-	-	-	-
Into Year 4 (%)	72	-	-	-	-
Into Year 5 (%)	3	-	-	-	-
New Transfer Students Retained:					
Into Year 3 (%)	90	-	-	-	-
Into Year 4 (%)	85	-	-	-	-
Into Year 5 (%)	10	-	-	-	-
Students Residing In Housing:					
Freshmen (%)	90.7	-	-	-	-
Sophomores (%)	66	-	-	-	-
Juniors (%)	45	-	-	-	-
Seniors (%)	30	-	-	-	-
Fifth Year (%)	60	-	-	-	-
Number of Part-Time Students Enrolled Annually:					
In State	0	10	10	10	10
Out of State	0	5	5	5	5
Average Credits Per Enrollee	3	3	3	3	3
FTE Divisor (credits generated ÷ value specified)	15	-	-	-	-

Table 2: Category B Parameters (Teaching Assumptions)

Courses Taught/Term/Full-Time Faculty Member (#)	2
Terms Per Academic Year	2
Courses Taught by Full-Time Faculty (%)	80
Courses Taught by Part-Time Faculty (%)	20
Courses Taught By Teaching Assistants (%)	0
Average Salary Per Full-Time Faculty Member	60,000
Benefits (% of Base Full-Time Faculty Salary)	22.1
Average Salary Per Course for Adjunct	5000
Benefits (% of Base Adjunct Salary)	12
Average Salary Per Teaching Assistant	0
Benefits (% of Base Teaching Assistant Salary)	0
Projected Annual Salary Increase (%)	3
Average Sections Scheduled Weekly Per Classroom (#)	12

Table 3: Category C Parameters (Administrative Costs Assumptions)

Full-Time Administrative Positions In Department (#)	4
Average Salary Each Full-Time Position In Department	40,000
Benefits (% of Base Full-Time Administrative Staff Salary)	26.5
Part-Time Administrative Positions In Department (#)	1
Average Salary Each Part-Time Position	12,000
Benefits (% of Base Part-Time Administrative Staff Salary)	12.0
Annual Projected Salary Increase	4.0

Parameter (Annual)	Plng Year	Program Year				
		1	2	3	4	5
Student Recruitment Costs Per Student	1,200	1,200	550	600	600	600
Library Acquisition Costs	-	40,000	40,000	40,000	40,000	40,000
Technology Costs	-	40,000	25,000	25,000	25,000	25,000
Departmental Operating Budget - Supplies and Services	-	50,000	55,000	60,000	65,000	70,000
Costs, Other	-	5,000	7,500	10,000	15,000	20,000

Support Staff FTE Basis (Non Departmental But In College)	50
Support Staff Per FTE Basis Group (Non Departmental But In College)	1
Support Staff Average Salary (Non Departmental But In College)	25,000
Support Staff Projected Salary Increase (%)	4.0
Benefits (% of Base Support Staff Salary)	26.5
Capital Costs:	
Facilities	200,000
Equipment	50,000
Materials	0
Other	0
Amortization Period (Years)	5
Overhead Charges (% of Program Net)	30

**Table 4: Category D Parameters
(Program Requirements Assumptions)**

Total Credits for Degree	120
Total Credits First Year	30
Total Credits Second Year	30
Total Credits Third Year	30
Total Credits Fourth Year	30
Total Credits Fifth Year	12
Average Class/Section Size	25
Average Credit Hours Per Course	3

**Table 5: Category E Parameters
(Tuition and Fee Revenue Assumptions)**

<i>Tuition and Fees:</i>					
Year 1, In State	29,890				
Year 1, Out of State	29,890				
Annual Increase, In State (%)	5				
Annual Increase, Out of State (%)	5				
<i>Financial Aid Discount Rate (against tuition, fees and FTE):</i>					
Freshman	32				
Transfers	25				
Part-Time Students	0				
<i>Per Credit Hour Tuition Rate:</i>					
In State	800				
Out of State	800				
Annual Increase (%)	5				
<i>Annual State Allocation Per FTE:</i>					
In State	2,300	2,300	2,400	2,500	2,600
Out of State	0	0	0	0	0

**Table 6: Category F Parameters
(Room and Board Assumptions)**

Room and Board, Year 1	7,656
Annual Projected Increases In Room and Board Charges (%)	3.5%

**Table 7: Category G Parameters
(Other Revenues, Annual Assumptions)**

Parameter	Plng Year	Program Year				
		1	2	3	4	5
Planning Grant	75,000	0	0	0	0	0
(Identify #2)	-	-	-	-	-	-
(Identify #3)	-	-	-	-	-	-
(Identify #4)	-	-	-	-	-	-

**Table 8: Category H Parameters
(Program Planning and Development Assumptions)**

Parameter	Plng Year	Program Year				
		1	2	3	4	5
New Courses To Be Developed (#)	10	5	0	0	0	0
Development Stipend Per Course	2,000	2,000	2,000	2,000	2,000	2,000
Recruitment Cost Per Full-Time Faculty Position	5,000	5,000	5,000	5,000	5,000	5,000
Recruitment Costs Per Adjunct	500	500	500	500	500	500
Consultants	10,000	10,000	\$0	\$0	\$0	\$0
Other — Planning Stipend	8,000	8,000	\$0	\$0	\$0	\$0

Table 9: Report 1 (Program Financial and Resource Summary Based on Planning Parameters)

	Planning Year	Program Year				
		1	2	3	4	5
Revenues						
Gross Revenues From Tuition, Fees, State Allocations	–	776,000.00	2,517,897.00	4,330,944.06	6,173,715.12	7,223,947.64
Aid Applied Against Gross	–	248,320.00	785,170.72	1,341,190.27	1,906,925.98	2,236,883.72
Adjusted Revenues From Tuition, Fees and State Allocations	–	527,680.00	1,732,726.29	2,989,753.79	4,266,789.14	4,987,063.92
Other Program Revenues ¹ (excluding room and board)	75,000.00	0.00	0.00	0.00	0.00	0.00
<i>Net Program Revenues² Available to Cover Expenses other than Aid</i>	<i>75,000.00</i>	<i>527,680.00</i>	<i>1,732,726.29</i>	<i>2,989,753.79</i>	<i>4,266,789.14</i>	<i>4,987,063.92</i>
Overhead (Calculated as a % of Net Program Revenues)						
Overhead Percentage Against Net Tuition, Fees and State Allocations	–	0.3	0.3	0.3	0.3	0.3
Overhead Charge Estimates (If net is GT zero)	–	158,304.00	519,817.89	896,926.14	1,280,036.74	1,496,119.18
<i>Revenues Available to Cover Departmental and College Expenses</i>	<i>75,000.00</i>	<i>369,376.00</i>	<i>1,212,908.40</i>	<i>2,092,827.65</i>	<i>2,986,752.40</i>	<i>3,490,944.74</i>
Departmental/College Expenses						
Instructional Expense	–	157,720.00	493,852.86	838,298.99	1,175,392.23	1,350,891.05
Administrative Expenses	30,000.00	446,652.50	495,739.80	581,339.91	663,531.82	714,644.81
Program Planning and Development Expenses	51,500.00	51,440.00	24,710.00	24,920.00	15,510.00	0.00
<i>Total Expense</i>	<i>81,500.00</i>	<i>655,812.50</i>	<i>1,014,302.66</i>	<i>1,444,558.90</i>	<i>1,854,434.05</i>	<i>2,065,535.86</i>
Program Profit/Loss	-6,500.00	-286,436.50	198,605.74	648,268.75	1,132,318.35	1,425,408.88
Cumulative Profit/Loss	-6,500.00	-292,936.50	-94,330.76	553,937.99	1,686,256.34	3,111,665.22
Gross Revenues to Auxiliaries (Room and Board)	–	173,599.80	495,326.74	730,592.18	895,265.65	983,266.01
Full-Time Enrollment Required To Break Even (Using average net from tuition, fees and state allocations blended for mix of in state and out of state students)	–	31.07	47.28	62.80	76.15	80.75
Physical and Human Resource Needs						
Additional Beds Needed In Residence Halls	–	23	63	89	106	112
Additional Full-Time Faculty Positions	–	2	6	10	14	15
Additional Part-Time Faculty Positions (1 assignment per position)	–	2	6.08	10.02	13.64	15.22
Additional Teaching Assistant Positions (1 assignment per position)	–	0	0	0	0	0
Additional Full-Time Staff Positions	–	4	4	4	4	4
Additional Part-Time Staff Positions	–	1	1	1	1	1
Additional Classrooms Needed	–	0.83	2.53	4.18	5.68	6.34

¹ Adjusted Revenues = Gross – Institutionally Funded Aid² Net Program Revenues = Adjusted Revenues + Other Program Revenues

Table 10: Report 2 (Student Enrollment Model Based on Student Enrollment Assumptions)

Freshman enrollment plus transfer enrollment adjusted for attrition as shown in assumptions

	Program Year				
	1	2	3	4	5
ENROLLMENT SUMMARY A (by Student Type And Residency)					
<i>New Freshmen (Full-Time, In State)</i>					
Freshmen	12.5	25.0	25.0	25.0	25.0
Sophomore		10.5	21.0	21.0	21.0
Junior			9.4	18.8	18.8
Senior				9.0	18.0
5th Year					0.4
Total Students Admitted As Freshmen (In State)	12.5	35.5	55.4	73.8	83.1
<i>New Freshmen (Full-Time, Out of State)</i>					
Freshmen	12.5	25.0	25.0	25.0	25.0
Sophomore		10.5	21.0	21.0	21.0
Junior			9.4	18.8	18.8
Senior				9.0	18.0
5th Year					0.4
Total Students Admitted As Freshme (Out of State)	12.5	35.5	55.4	73.8	83.1
Total All Students Admitted As Freshmen	25.0	71.0	110.8	147.5	166.3
<i>Transfers (Full-Time, In State)</i>					
Transfer Into Year 2, Sophomore	0.0	3.8	3.8	3.8	3.8
Transfer Into Year 2 Moving to Year 3, Junior		0.0	3.4	3.4	3.4
Transfer Into Year 2 Moving to Year 4, Senior			0.0	3.2	3.2
Transfer Into Year 2 Moving to Year 5, Fifth Year				0.0	0.4
Transfer Into Year 3, Junior	0.0	0.0	3.8	3.8	3.8
Transfer Into Year 3 Moving to Year 4, Senior		0.0	0.0	3.2	3.2
Transfer Into Year 3 Moving to Year 5, Fifth Year			0.0	0.0	0.4
Transfer Into Year 4, Senior	0.0	0.0	0.0	0.0	0.0
Transfer Into Year 4 Moving To Year 5, Fifth Year		0.0	0.0	0.0	0.0
Total Students Admitted As Transfers (In State)	0.0	3.8	10.9	17.3	18.0
<i>Transfers (Full-Time, Out of State)</i>					
Transfer Into Year 2, Sophomore	0.0	1.3	1.3	1.3	1.3
Transfer Into Year 2 Moving to Year 3, Junior		0.0	1.1	1.1	1.1
Transfer Into year 2 Moving to Year 4, Senior			0.0	1.1	1.1
Transfer Into year 2 Moving to Year 5, Fifth Year				0.0	0.1
Transfer Into Year 3, Junior	0.0	0.0	1.3	1.3	1.3
Transfer Into Year 3 Moving to Year 4, Senior		0.0	0.0	1.1	1.1
Transfer Into Year 3 Moving to Year 5, Fifth Year			0.0	0.0	0.1
Transfer Into year 4, Senior	0.0	0.0	0.0	0.0	0.0
Transfer Into year 4 Moving To Year 5, Fifth Year		0.0	0.0	0.0	0.0
Total Students Admitted As Transfers (Out of State)	0.0	1.3	3.6	5.8	6.0
Total All Students Admitted As Transfers	0.0	5.0	14.5	23.0	24.0
Total Full Time Enrollment	25.0	76.0	125.3	170.5	190.3
<i>Part-Time Enrollment</i>					
In State	0	10	10	10	10
Out of State	0	5	5	5	5
Total Part-Time	0	15	15	15	15
Total Student Enrollment Full-Time and Part-Time	25.0	91.0	140.3	185.5	205.3

Table 10: Report 2 (continued)

	Program Year				
	1	2	3	4	5
ENROLLMENT SUMMARY B (by Residency and Year of Study)					
<i>Full-Time, In State</i>					
Freshman	12.5	25.0	25.0	25.0	25.0
Sophomore	0.0	14.3	24.8	24.8	24.8
Junior	0.0	0.0	16.5	25.9	25.9
Senior	0.0	0.0	0.0	15.4	24.4
5th Year	0.0	0.0	0.0	0.0	1.1
Full-Time Total By Year, In State	12.5	39.3	66.3	91.0	101.1
<i>Full-Time, Out of State</i>					
Freshman	12.5	25.0	25.0	25.0	25.0
Sophomore	0.0	11.8	22.3	22.3	22.3
Junior	0.0	0.0	11.8	21.1	21.1
Senior	0.0	0.0	0.0	11.1	20.1
5th Year	0.0	0.0	0.0	0.0	0.6
Full-Time Total By Year, Out of State	12.5	36.8	59.0	79.5	89.1
<i>Full-Time, In State and Out of State Combined</i>					
Freshman	25.0	50.0	50.0	50.0	50.0
Sophomore	0.0	26.0	47.0	47.0	47.0
Junior	0.0	0.0	28.3	47.0	47.0
Senior	0.0	0.0	0.0	26.5	44.5
5th Year	0.0	0.0	0.0	0.0	1.8
Full-Time Total by Year, In and Out of State Combined	25.0	76.0	125.3	170.5	190.3
Part-Time	0.0	15.0	15.0	15.0	15.0
Total Full- and Part-Time	25.0	91.0	140.3	185.5	205.3
ENROLLMENT SUMMARY C (by Time Status and Residency)					
<i>Full-Time</i>					
In State	12.5	39.3	66.3	91.0	101.1
Out of State	12.5	36.8	59.0	79.5	89.1
Total Full-Time	25.0	76.0	125.3	170.5	190.3
<i>Part-Time</i>					
In State	0.0	10.0	10.0	10.0	10.0
Out of State	0.0	5.0	5.0	5.0	5.0
Total Part-Time	0.0	15.0	15.0	15.0	15.0
Total Headcount In State	12.5	49.3	76.3	101.0	111.1
Total Headcount Out of State	12.5	41.8	64.0	84.5	94.1
Headcount (All Categories)	25.0	91.0	140.3	185.5	205.3
ENROLLMENT SUMMARY D (New and Continuing, Full-time)					
<i>New Students</i>					
New Freshmen	25.00	50.00	50.00	50.00	50.00
New Transfers	0.00	5.00	10.00	10.00	10.00
All New Full-Time Students Annually	25.00	55.00	60.00	60.00	60.00
<i>Full-Time Continuing Students Annually</i>					
	0.00	21.00	65.25	110.50	130.25
All Full-Time Students	25.00	76.00	125.25	170.50	190.25

Table 10: Report 2 (continued)

	Program Year				
	1	2	3	4	5
FULL-TIME EQUIVALENCY CALCULATIONS					
FTE In State	12.50	41.25	68.25	93.00	103.13
FTE Out of State	12.50	37.75	60.00	80.50	90.13
Total FTE	25.00	79.00	128.25	173.50	193.25
CREDIT HOURS GENERATED	375.00	1185.00	1923.75	2602.50	2898.75

Table 11: Report 3 (Revenue Projection Model Using Revenue Projection Assumptions)

	Program Year				
	1	2	3	4	5
INCOME , TUITION AND FEES					
<i>Full-Time, Including Annual Adjustments</i>					
In State	29,890.00	31,384.50	32,953.73	34,601.41	36,331.48
Out of state	29,890.00	31,384.50	32,953.73	34,601.41	36,331.48
<i>Part-Time, Including Annual Adjustments</i>					
In State	800.00	840.00	882.00	926.10	972.41
Out of State	800.00	840.00	882.00	926.10	972.41
GROSS INCOME, TUITION AND FEES					
<i>Full-Time</i>					
<i>In State</i>					
Admitted as Freshmen	373,625.00	1,114,149.75	1,824,812.52	2,551,854.08	3,020,054.43
Admitted as Transfers	0.00	117,691.88	358,371.76	596,874.34	653,966.67
Total Full-Time In State	373,625.00	1,231,841.63	2,183,184.28	3,148,728.42	3,674,021.01
<i>Out of State</i>					
Admitted as Freshmen	373,625.00	1,114,149.75	1,824,812.52	2,551,854.08	3,020,054.43
Admitted as Transfers	0.00	39,230.63	119,457.25	198,958.11	217,988.89
Total Full-Time Out of State	373,625.00	1,153,380.38	1,944,269.78	2,750,812.19	3,238,043.32
Total Tuition and Fees, Admitted as Freshman, Full-Time	747,250.00	2,228,299.50	3,649,625.04	5,103,708.16	6,040,108.85
Total Tuition and Fees, Admitted as Transfers, Full-Time	0.00	156,922.50	477,829.01	795,832.46	871,955.56
Gross Income, Tuition and Fees, Full-Time	747,250.00	2,385,222.00	4,127,454.06	5,899,540.62	6,912,064.41
<i>Part-Time</i>					
In State	0.00	25,200.00	26,460.00	27,783.00	29,172.15
Out of State	0.00	12,600.00	13,230.00	13,891.50	14,586.08
Gross Income, Tuition and Fees, Part-Time	0.00	37,800.00	39,690.00	41,674.50	43,758.23
Total Gross Income, Tuition and Fees, Full- and Part-Time	747,250.00	2,423,022.00	4,167,144.06	5,941,215.12	6,955,822.64
STATE ALLOCATIONS BASED ON FTE					
<i>In State</i>					
Admitted as Freshmen, Full-Time	28,750.00	81,650.00	132,900.00	184,375.00	216,125.00
Admitted as Transfers, Full-Time	0.00	8,625.00	26,100.00	43,125.00	46,800.00
Part-Time	0.00	4,600.00	4,800.00	5,000.00	5,200.00
Total In State Allocations, FTE Basis	28,750.00	94,875.00	163,800.00	232,500.00	268,125.00

Table 11: Report 3 (continued)

	Program Year				
	1	2	3	4	5
STATE ALLOCATIONS BASED ON FTE (continued)					
<i>Out of State</i>					
Admitted as Freshmen, Full-Time	0.00	0.00	0.00	0.00	0.00
Admitted as Transfers, Full-Time	0.00	0.00	0.00	0.00	0.00
Part-Time	0.00	0.00	0.00	0.00	0.00
Total Out of State Allocations, FTE Basis	0.00	0.00	0.00	0.00	0.00
Total State Allocation, FTE Basis	28,750.00	94,875.00	163,800.00	232,500.00	268,125.00
Total Tuition and Fees + State Allocations	776,000.00	2,517,897.00	4,330,944.06	6,173,715.12	7,223,947.64
ROOM AND BOARD (Including Annual Adjustment)					
Room and Board Charge	7,656.00	7,923.96	8,201.30	8,488.34	8,785.44
<i>Room and Board, Gross</i>					
Freshmen	173,599.80	359,351.59	371,928.89	384,946.40	398,419.53
Sophomore	0.00	135,975.15	254,404.28	263,308.43	272,524.23
Juniors	0.00	0.00	104,259.01	179,528.48	185,811.97
Seniors	0.00	0.00	0.00	67,482.34	117,285.57
Fifth year	0.00	0.00	0.00	0.00	9,224.71
Total Room and Board, Gross	173,599.80	495,326.74	730,592.18	895,265.65	983,266.01
Total Tuition and Fees + Room and Board, Gross	949,599.80	3,013,223.74	5,061,536.24	7,068,980.77	8,207,213.65
Average Gross per FTE	37,983.99	38,142.07	39,466.17	40,743.41	42,469.41
ADJUSTED INCOME (Full-time Tuition and Fees + State Allocations – Financial Aid)					
Freshman Discount Rate	0.32	0.32	0.32	0.32	0.32
Transfer Discount Rate	0.25	0.25	0.25	0.25	0.25
Full-Time Students Admitted as Freshmen, Net Revenue	527,680.00	1,570,765.66	2,572,117.03	3,595,896.55	4,254,239.02
Full-Time Students Admitted as Transfers, Net Revenue	0.00	124,160.63	377,946.76	629,218.09	689,066.67
Total Full-Time Student Net Revenues	527,680.00	1,694,926.29	2,950,063.79	4,225,114.64	4,943,305.69
Average Net (Tuition and Fees ÷ Total FTE)	21,107.20	21,454.76	23,002.45	24,352.25	25,579.85
Net Income (Tuition and Fees [Full- and Part-Time] + Room and Board)	701,279.80	2,228,053.02	3,720,345.97	5,162,054.79	5,970,329.92
Average Net Per FTE (Net Income ÷ Total FTE)	28,051.19	28,203.20	29,008.55	29,752.48	30,894.33
Institutionally Funded Aid (reflected as a reduction to gross income)	248,320.00	785,170.72	1,341,190.27	1,906,925.98	2,236,883.72
OTHER, NON-STUDENT PROGRAM ANNUAL REVENUES					
Grant	0.00	0.00	0.00	0.00	0.00
(Identify Item # 2)	0.00	0.00	0.00	0.00	0.00
(Identify Item # 3)	0.00	0.00	0.00	0.00	0.00
(Identify Item # 4)	0.00	0.00	0.00	0.00	0.00
(Identify Item # 5)	0.00	0.00	0.00	0.00	0.00
Total Non-Student Program Revenues	0.00	0.00	0.00	0.00	0.00
TOTAL REVENUES, ALL SOURCES AVAILABLE TO COVER EXPENSES (net tuition, fees, state allocations and non student program revenues)					
Net Tuition and Fees Plus Non Student Program Revenues	527,680.00	1,732,726.29	2,989,753.79	4,266,789.14	4,987,063.92

Table 12: Report 4 (Program Instructional Expenses Based on Teaching and Program Requirements Assumptions)

	Program Year				
	1	2	3	4	5
Number of Full-Time Student Enrollments	25.0	76.0	125.3	170.5	190.3
Number of Course Enrollments (Students × Annual Load + Average Course Credit)	250	760	1252.5	1705	1902.5
Number of Sections Required (Course Enrollment + Average Section Size)	10	30.4	50.1	68.2	76.1
<i>Sections Taught by:</i>					
Teaching Assistants (%)	0	0	0	0	0
Part-Time Faculty (%)	0.2	0.2	0.2	0.2	0.2
Full-Time Faculty (%)	0.8	0.8	0.8	0.8	0.8
Teaching Assistants (#)	0	0	0	0	0
Part-Time Faculty (#)	2	6.08	10.02	13.64	15.22
Full-Time Faculty (#)	8	24.32	40.08	54.56	60.88
<i>Annual Assignments:</i>					
Teaching Assistant	0	0	0	0	0
Adjunct	2	6.08	10.02	13.64	15.22
Full-Time Sections (by Full-Time Faculty + Annual Load)	2	6.08	10.02	13.64	15.22
Full-Time Faculty (Incremental)	2.5	4.08	3.94	3.62	1.58
<i>Teaching Assistants:</i>					
Salary Per Section	0	0	0	0	0
Benefits Per Section	0	0	0	0	0
Compensation Per Section	0	0	0	0	0
<i>Adjuncts:</i>					
Salary Per Section	5,000.00	5,150.00	5,304.50	5,463.64	5,627.54
Benefits Per Section	600.00	618.00	636.54	655.64	675.31
Compensation Per Section	5,600.00	5,768.00	5,941.04	6,119.27	6,302.85
Annual Full-Time Salary Per Faculty Member	60,000.00	61,800.00	63,654.00	65,563.62	67,530.53
Annual Benefits Per Full-Time Faculty Member	13,260.00	13,657.80	14,067.53	14,489.56	14,924.25
Compensation Per Full-Time Faculty Member	73,260.00	75,457.80	77,721.53	80,053.18	82,454.78
<i>Instructional Expense:</i>					
Teaching Assistants	0.00	0.00	0.00	0.00	0.00
Adjuncts	11,200.00	35,069.44	59,529.22	83,466.86	95,929.37
Full-Time Faculty	146,520.00	458,783.42	778,769.77	1,091,925.38	1,254,961.68
Total Instructional Expense	157,720.00	493,852.86	838,298.99	1,175,392.23	1,350,891.05

Table 13: Report 5 (Administrative Expenses Using Administrative Cost Assumptions)

	Planning Year	Program Year				
		1	2	3	4	5
ADMINISTRATIVE PERSONNEL COSTS (In Department, Per Position)						
<i>Full-Time:</i>						
Average Salary	–	40,000.00	41,600.00	43,264.00	44,994.56	46,794.34
Fringe Benefits	–	10,600.00	11,024.00	11,464.96	11,923.56	12,400.50
Total Compensation	–	50,600.00	52,624.00	54,728.96	56,918.12	59,194.84
<i>Part-Time:</i>						
Average Salary	–	12,000.00	12,480.00	12,979.20	13,498.37	14,038.30
Fringe Benefits	–	1,440.00	1,497.60	1,557.50	1,619.80	1,684.60
Total Compensation	–	13,440.00	13,977.60	14,536.70	15,118.17	15,722.90

Table 13: Report 5 (continued)

	Planning Year	Program Year				
		1	2	3	4	5
ADMINISTRATIVE PERSONNEL COSTS (continued)						
<i>Number of Positions:</i>						
Full-Time	–	4	4	4	4	4
Part-Time	–	1	1	1	1	1
Total Full-Time Compensation	–	202,400.00	210,496.00	218,915.84	227,672.47	236,779.37
Part-Time Compensation	–	13,440.00	13,977.60	14,536.70	15,118.17	15,722.90
Total Administrative Compensation	–	215,840.00	224,473.60	233,452.54	242,790.65	252,502.27
SUPPORT STAFF COSTS (In College But Not in Department)						
Full-Time Staff Needed (FTE Enrollment + FTE Basis)	–	0.50	1.58	2.57	3.47	3.87
<i>Support Staff (Full-Time):</i>						
Average Salary	–	25,000.00	26,000.00	27,040.00	28,121.60	29,246.46
Fringe Benefits	–	6,625.00	6,890.00	7,165.60	7,452.22	7,750.31
Total Compensation	–	31,625.00	32,890.00	34,205.60	35,573.82	36,996.78
Total Support Staff Compensation (Total Compensation × Full-Time Staff Needed)	–	15,812.50	51,966.20	87,737.36	123,441.17	142,992.54
OTHER PROGRAM COSTS ANNUAL						
Student Recruitment	30,000.00	30,000.00	41,800.00	75,150.00	102,300.00	114,150.00
Library Materials	0.00	40,000.00	40,000.00	40,000.00	40,000.00	40,000.00
Technology	0.00	40,000.00	25,000.00	25,000.00	25,000.00	25,000.00
Academic Department Operating Budget	0.00	50,000.00	55,000.00	60,000.00	65,000.00	70,000.00
Other	0.00	5,000.00	7,500.00	10,000.00	15,000.00	20,000.00
Total Program Costs	30,000.00	165,000.00	169,300.00	210,150.00	247,300.00	269,150.00
Total Annual Administrative Costs	30,000.00	396,652.50	445,739.80	531,339.91	613,531.82	664,644.81
<i>Capital Costs [over life of program]</i>						
Facilities [100,000.00]	–	40,000.00	40,000.00	40,000.00	40,000.00	40,000.00
Equipment [50,000.00]	–	10,000.00	10,000.00	10,000.00	10,000.00	10,000.00
Materials	–	0.00	0.00	0.00	0.00	0.00
Other	–	0.00	0.00	0.00	0.00	0.00
Total Capital Costs [150,000.00]	–	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00
Capital Cost Amortized	–	50,000.00	50,000.00	50,000.00	50,000.00	50,000.00
Total Annual Administrative Costs	30,000.00	446,652.50	495,739.80	581,339.91	663,531.82	714,644.81

Table 14: Report 6 (Program Planning and Development Expenses)

	Planning Year	Program Year				
		1	2	3	4	5
Course Development Costs	\$20,000.00	\$10,000.00	\$0.00	\$0.00	\$0.00	\$0.00
Consultants	\$10,000.00	\$10,000.00	\$0.00	\$0.00	\$0.00	\$0.00
Full-Time Faculty Searches and Recruitment	\$12,500.00	\$20,400.00	\$19,700.00	\$18,100.00	\$7,900.00	\$0.00
Adjunct Faculty Searches and Recruitment	\$1,000.00	\$3,040.00	\$5,010.00	\$6,820.00	\$7,610.00	\$0.00
<i>Other:</i>						
Planning Stipend	\$8,000.00	\$8,000.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Program Planning and Development Expenses	\$51,500.00	\$51,440.00	\$24,710.00	\$24,920.00	\$15,510.00	\$0.00

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Outcome-Oriented Operations (Tri-O³): Thriving in a Highly Competitive Environment

- This article describes Outcome-Oriented Operations (Tri-O³), a system developed at the University of Minnesota–Twin Cities, which enables an office to identify and achieve specific, measurable outcomes. Tri-O³ was implemented in the University’s Office of Undergraduate Admissions with significant success.

by Wayne Sigler

Results are absolutely essential to the viability and vitality of an organization. That might sound harsh to those of us who work in not-for-profit organizations, such as colleges and universities. We often believe that it is too corporate or too difficult to quantify the outcome of our work. We enrich lives and develop future leaders—how can that be measured?

However, in the increasingly competitive higher education marketplace, where tuition is rising well above the rate of inflation, prospective students and their parents expect specific, measurable outcomes from their investments. Donors, legislators, and institutional leaders also require accountability for the precious resources they devote to a particular organization or office. College and university personnel must be effective stewards for everyone who invests in their institutions.

The Tri-O³ System

The components of the Outcome-Oriented Operations (Tri-O³) system, developed and implemented at the University of Minnesota–Twin Cities, are not new or unique. They are drawn from many well-established management theories and practices. For example, the concepts of management-by-objectives, management-by-exception, mission statements, data tracking, and strategic thinking are ideas that have been outlined in the management literature many times.

What Tri-O³ does offer is a “real world,” *coordinated* system that contributes directly to the achievement of significant results in a not-for-profit organization. Its developers have pared down the administrative costs and paperwork associated with many other management systems. The majority of

“*Results are what counts, not the number of hours or the amount of effort expended. Do not let the amount of activity distort the importance of keeping your eye on the results to be achieved.*”

—EVERETT T. SUTERS, 1973

staff time is now devoted to achieving results and not to managing their system.

At first glance, Tri-O³ may appear basic. Its effective implementation, however, requires careful analysis, attention to detail, and the unwavering commitment of the office’s leadership. Tri-O³ was applied initially in the Customer Relations, Freshman Outreach, and Scholarship units in the Office of Admissions. It is now being implemented in every unit in Admissions and, as evidenced by the results achieved with the freshman admission program at the University of Minnesota, the effort was well worthwhile.

Marketing experts and experienced enrollment managers recognize that

recruitment is only one factor that contributes to an institution’s enrollment vitality. To the degree that an admissions program impacts enrollment, the Tri-O³ system helped transform the freshman class at the University of Minnesota–Twin Cities over the past decade (1992 through 2002). The following are some examples:

- New freshman enrollment increased 59 percent (1,924 students), well above market share.
- The enrollment of students of color increased 65 percent.
- The campus achieved major increases in the academic preparedness of its new freshmen.
- The number of new freshmen who live on campus increased 109 percent (2,100 students), which has enhanced the campus community and retention rates.

Basic Assumptions of the Tri-O³ System

The Tri-O³ system is based on the expectation that *each unit* within an office must:

- Achieve specific, measurable results that contribute to the larger unit's goals.
- Focus on a few key outcomes.

The specific, measurable contribution of every unit must be clearly defined and tied directly to the office's macro goals. In addition, each office and its component units must focus on a few key outcomes. Failure to do so will likely fracture scarce resources to such an extent that meaningful results will not be achieved.

Key Components of the Tri-O³ System

The key components of Tri-O³ are outcome-oriented and include:

- mission statements
- game plans
- Key Success Indicators (KSIs)
- delegation systems
- budget systems
- performance evaluation systems

TRI-O³ MISSION STATEMENTS

Developing outcome-oriented mission statements for each unit is the first, and probably the most difficult, step in implementing Tri-O³. An effective mission statement must do the following:

- Identify the specific goals that the unit will achieve. The goals must be tied directly to the office's macro goals.
- Be stated in one, or at the most, two sentences. Everyone in the unit must be able to remember the mission statement.
- Be able to be operationalized. World-renowned management professor and author, Peter Drucker, said that "a mission statement has to focus on what the organization really tries to do and then do it so that everybody in the organization can say, this is *my* contribution to the goal."

For the last decade, the mission statement for the Undergraduate Admissions Office at the University of Minnesota-Twin Cities has been as follows: "The Office of Admissions will take leadership in bringing to the University the number and types of students who will benefit both themselves and the University by their enrollment. This will be achieved by 'extra-mile' customer service."

While the specific enrollment goals may change from year to year, what is clear and consistent is that it is the office's responsibility to make certain, to the degree that its actions impact enrollment, that those goals are achieved.

The mission statement for the director of admissions reflects this reality: "To make absolutely certain that the Office of Admissions *consistently* achieves its macro goals." A few successful years do not mean that an admissions program is top-notch. Success over a significant period of time is the hallmark of an elite program.

The assistant director who leads the Admissions Office's freshman processing unit has developed the following mis-

sion statement: "To meet each college's admission offer goals, and make certain that the admission decisions are fair, consistent, timely, and cost-effective."

Neither of these mission statements, however, address the important question of *how* the goals will be achieved, but rather they focus on the office's or unit's specific outcomes. They identify how success will be measured.

TRI-O³ GAME PLAN

The game plan outlines the *strategies* and *tactics* that will be employed to achieve the unit's goals. Strategies are the blueprints for achieving the goals, and tactics are the methods used to operationalize the strategies.

Developing effective strategies is hard work but necessary. If you don't have the right strategies, you will not have the right tactics. Tactics are relatively easy to select if the strategies are correct. The challenge with tactics is their effective execution.

One useful approach to identifying effective strategies is to develop a blueprint for a unit's "dream house," which encourages thinking about the most important elements of a unit's success. A "dream house" requires its fundamental aspects to be built first, and then each floor is added in order of importance. Future floors can be diagrammed in the blueprint to show where the program is headed since the "dream house" can, and must, be changed through experience.

In developing strategies and tactics for delivering services, it is helpful to consider the work of Leonard L. Berry, a management professor who studies issues related to effective customer service. Four of the factors identified by Berry that are especially relevant to higher education service units are the following: access, courtesy, reliability, and responsiveness (Myler 1988).

The Office of Admissions at the University of Minnesota is currently focusing on enhancing its services for transfer students. Figure 1 (on the next page) displays the current draft of the "Transfer Dream House." The basic elements of effective service are in place and operating well. However, the office is moving to provide more customized services for transfer prospects that will include an appropriate mix of "high-touch and high-tech" (self-help) options.

TRI-O³ KEY SUCCESS INDICATORS (KSIs)

Once the game plan for achieving a unit's goals has been developed, it is vital that specific metrics, defined as Key Success Indicators (KSIs), are in place so success can be measured. Without KSIs, the result will likely be a process, not an outcome. Imagine how frustrated everyone would be with an athletic contest that did not have a scoreboard and some measure (a time clock, innings, etc.) to determine when the game was over.

KSIs are most useful when they are displayed as graphs that enable staff to understand large amounts of data in a few seconds and to determine if the trend is going in the right direction. Graphs also help make certain that the goals are defined in specific measurable terms.

Figure 1: Transfer Dream House

University of Minnesota-Twin Cities Transfer Center—Coordinated Transfer Services						
	Application Processing	Information Services	Visit Services	Advising	Transfer Articulation	Technology
4th Floor 2007–2008						
3rd Floor 2006–2007			New Admissions Welcoming Center			
2nd Floor 2005–2006		Customized viewbook, transfer edition			Articulated (2+2) programs listed centrally	<ul style="list-style-type: none"> CAS widely available² EDI transcripts³ Web-based application status check
1st Floor 2004–2005	<ul style="list-style-type: none"> Transfer processing re-engineering Document imaging for entire process 	Formal transfer communication cycle.	Develop virtual tours for transfers.	Interest-area info sessions—health sciences, business related majors	MnCAP ¹ —expand community college options	Re-engineer transfer credit processing
Ground Floor Current 2003–2004	<ul style="list-style-type: none"> Transfer admission process review National Scholarship, document imaging Web-based admission applications 	Transfer Student Guide & application	<ul style="list-style-type: none"> Comprehensive visit program Online visit reservations 	Prospective transfer advising services—college specific	MnCAP ¹ —Twin Cities area community colleges	<ul style="list-style-type: none"> Transfer credit processing DARwin implemented⁴

Integrated culture of “extra-mile” customer service

Streamlined administrative practices

Appropriate mix of “high-touch” & “high-tech” (self-help) options.

¹ Minnesota Cooperative Admissions Program

² Course Applicability System (licensed from Miami University of Ohio) in cooperation with the Minnesota State College and University system.

³ Electronic Data Interchange transcripts in cooperation with the Minnesota State College and University system.

⁴ DARwin: Degree Audit Reporting System for Windows (licensed from Miami University of Ohio)

Key factors in developing a KSI include defining how success for the program will be measured and identifying milestones that indicate if the project is on track. Progress benchmarks might be comparisons to the same time period in previous years or completion of certain steps or stages of the project.

Effective KSIs are early warning systems to alert managers if a project is off track, thus ensuring timely corrective action. They also save time by indicating when special attention is not necessary because the project is on track.

The Office of Admissions conducts a variety of programs designed to encourage prospective students and their parents to visit campus. The KSI included in Figure 2 tracks the number of freshman prospects who visited the campus in July. If, for example, the projected number of visits is running behind expectations, the KSI will alert us to this. We can then take timely actions to increase the number of visits.

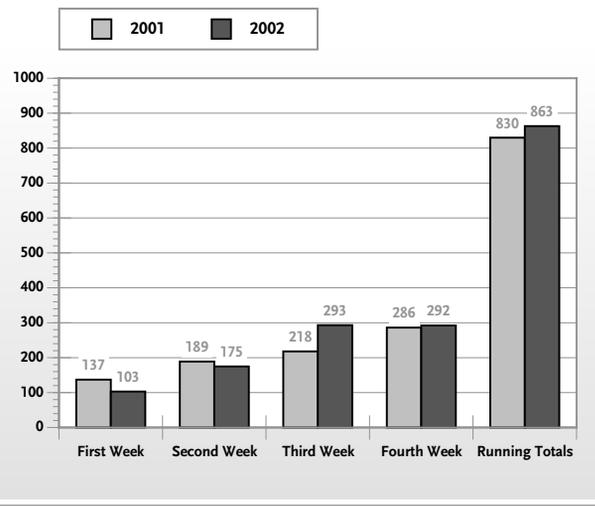


FIGURE 2: WEEKLY PROSPECTIVE FRESHMAN CAMPUS VISITS JULY 2001/2002

TRI-O³ DELEGATION SYSTEM

The foundation of the Tri-O³ delegation system is that one person, the project manager, makes certain that all of the project's components are on track. A project's success usually requires the participation of many individuals, some of whom may be located in other units. The term "delegation" in this article recognizes this reality and assumes that a manager will develop effective relationships with all of the project's participants—a process that is often complex and demanding.

Within the Tri-O³ delegation system, projects are divided into various components and a project leader is assigned to each. Clearly defined milestones with deadlines are included, and project meetings are conducted to track their successful completion.

There are many project-tracking systems available—some of which utilize highly sophisticated computer software. We use these when appropriate. For most projects, however, a computer-based spreadsheet is sufficient. Whatever system is used, it must be simple enough to be implemented effectively by everyone with no ambiguity regarding who is accountable for its success.

Figure 3 includes a page from a project sheet used in the Freshmen Outreach unit. Each project is classified into one of four priority levels. "Red zone" projects are given the highest priority either because they have an immediate due date or are behind schedule. The rest are assigned a priority level based on their urgency.

TRI-O³ BUDGET SYSTEM

Most goals require the expenditure of valuable resources that are almost always in short supply. The Tri-O³ *delegation* system deals with the crucial issues of people's time and energy. The Tri-O³ *budget* system ensures that a unit's fiscal and physical resources (equipment and office space) are devoted to achieving the office's goals.

The Tri-O³ budget system is not dependent on a particular approach. It does, however, require managers to recognize that resources are finite and valuable. Therefore, before resources are allocated to a project or unit, specific outcomes, including

major benchmarks, the expected return on investment, and a timeline for realizing the return, must be developed.

The Tri-O³ budget system also enables managers to be proactive. Too often, they do not know the status of their budget and they fear overspending. Just as top-notch technology managers are invaluable to an office, highly skilled and effective budget managers are equally essential and should be included on a unit's strategic planning team.

TRI-O³ PERFORMANCE EVALUATION SYSTEM

The Tri-O³ performance evaluation system incorporates the office's values and basic management philosophy and ties together the other components of the Tri-O³ system. It is based on several assumptions:

- Most people want to be successful. While some staff may perform more effectively than others, most people want to do a good job and take pride in their work. There are often various personal factors that influence performance, and the management literature is filled with opinions and research in this area. At the same time, many external factors can also influence a person's contribution to the office. The Tri-O³ performance evaluation system helps alleviate some of the external barriers to outstanding achievement.
- People perform better when the goals and expectations are clear. While there is a certain amount of stress associated with knowing that you are responsible for achieving specific outcomes, not knowing what is expected is even more stressful. It is difficult for employees to meet performance expectations if they do not know what they are. Allowing employees to perform at a mediocre level by not providing clear expectations undermines their ability to succeed.
- The Tri-O³ system is positive and achievement oriented, rather than punitive in nature. The system is predicated on clear definitions of success with systems in place to help ensure success. No one wins with negativity or faultfinding. Everyone wins when the focus is on achievement.
- The discussion about expectations and performance is a year-long activity. The entire Tri-O³ system is based on

Figure 3: Freshman Outreach Project Sheet

Project	Leader	Due Date	Comments
RED ZONE			
● Refine group information session script for summer visits	Sue	6/1/03	
PRIORITY ONE			
● Revise freshman application for Fall 2004	David	7/1/03	
PRIORITY TWO			
● Finalize Fall travel schedule	Melissa	8/1/03	
PRIORITY THREE			
● Update high school profile records	Catherine	9/1/03	

frequent and ongoing candid conversations. An annual performance review can cause undue stress. Often, it is the only time employees learn how their supervisor has assessed their performance. By holding frequent outcome-oriented discussions, the employee and supervisor are able to focus on what needs to be accomplished.

Key Success Indicators (KSIs) are one of the major Tri-O³ tools to encourage frequent performance discussions.

Tri-O³ Performance Evaluation Document

Several years ago, the admissions staff determined that the University's performance evaluation form did not fit the culture of their office. They assembled a committee to develop one that matched the outcome-oriented nature of the office and encouraged ongoing dialogue between managers and staff. During the development process, the committee consulted extensively with the admissions staff, the University's Office of Human Resources, and representatives of the University's Civil Service Committee. The office now has a single form that is used by its union, civil service, and professional and administrative staff.

The evaluation form is a work-in-progress and will be modified as it is used over time. While not perfect, it does encompass the elements of the Tri-O³ performance evaluation system outlined above. We recognize that completion of a form on an annual basis is not an end in itself, but rather it is another opportunity to have a productive, positive conversation about where the office is headed and how each of us can contribute to the achievement of the office's goals.

Summary and Conclusion

Results aren't everything, but they are very important. Offices that are responsible for delivering services do not have to em-

ploy the Tri-O³ system to be successful. However, we all have customers and stakeholders, and college and university personnel will increasingly be expected to demonstrate effective stewardship of the institutional resources they have been allocated. Tri-O³ will help an office achieve consistent, specific, and measurable results. There really is no viable alternative.

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Special Note: *This article primarily describes the quantitative aspects of the Tri-O³ leadership and management system. Goals, benchmarks, and key success indicators are essential for effective enrollment management.*

The Tri-O³ system is not, however, just about numbers. The foundation of the University of Minnesota's admissions program is "extra-mile" customer service. We also spend a great deal of time to select, train, and develop our staff. We understand that our people are our most precious resource, and we are working hard to lead in ways that reflect this reality.

ABOUT THE AUTHOR

Wayne Sigler has been Director of Admissions at the University of Minnesota-Twin Cities, since 1992. Prior to joining the University of Minnesota, his work in higher education included serving as Dean of Admissions/Assistant Vice President for Enrollment Services at the University of Houston, and Associate, then Director, of Undergraduate Admissions at the University of Maryland, College Park. He received both his master's and doctorate from The George Washington University in Washington, D.C. He is a nationally recognized author, speaker, and consultant on enrollment management, customer service, and recruitment.

Note: An application for trademark registration for Tri-O³ has been submitted to the United States Patent and Trademark Office.

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Interview with Dr. Charles Nolan

Dean of Admission, Franklin W. Olin College of Engineering

- Dr. Charles Nolan is the former Dean of Admission at the Franklin W. Olin College of Engineering, in Needham, Massachusetts. Chartered in 1997, Olin College has taken a new approach to undergraduate engineering education by providing its students with both a solid engineering background and knowledge in the liberal arts and business. All students receive full tuition scholarships for all four years of their education, funded by the F.W. Olin Foundation. Dr. Nolan is a leader in the field of enrollment management, and is recognized for his use of innovative recruiting techniques and unique approaches to the admission process. As of November 1, 2003, he is the Vice Provost of Enrollment Management at Santa Clara University.

 Robin Matross Helms

Please tell me about your education and career background.

I have a bachelor's degree in history from Curry College, which is a liberal arts school here in Massachusetts, a master of arts in teaching from Bridgewater State College, and a Ph.D. from Boston College. Back in the old days I wanted to be a history teacher and football coach. That was my aspiration, but there was a dearth of jobs in the early '70s, principally because of the Vietnam War and everyone wanting to avoid the draft by going to graduate school and becoming a teacher.

Instead, I started in admissions at Curry College in 1972, where I worked for two and a half years. I then went to Bentley College, a business school in Waltham, Massachusetts, stayed there for six years, and left as director of admissions in 1980. I was hired by Jack Maguire in 1980 to become director of undergraduate admission at Boston College, where I was until July of 1989. During that time I also earned a Ph.D. in higher education at BC. After that, I was heavily recruited to go to Washington University in St. Louis, which I loved, *loved!* I was there for just two years, after which I had to come back to Boston for family reasons. As a divorced father, I had been commuting back and forth between St. Louis and Boston every two weeks to be with my daughter, and that just got hard. After making the decision to go back, I was recruited by Babson College to be its dean of admission. I think they were so interested because wherever I've worked, I've been credited with turning things around, reorganizing, and making for a healthier enrollment management environment.

Four years ago, I was a finalist for a job at Johns Hopkins University to be its chief enrollment person. Within a week of having to make up my mind about the position at Hopkins, the only vice president here at Olin, who was one of only three administrators other than the president and his assistant at the time, asked me to be on the search committee for Olin's new dean of admission. And I said, "Well, hire me!

I'd love that job." So it wasn't much of a search, and they hired me as their fourth employee in June 1999.

What was the rationale for founding the Olin School?

The idea of the Olin School evolved out of a need that the National Science Foundation, the Accreditation Board for Engineering and Technology, and many in the corporate world saw back in the late '80s and early '90s. In their view, engineering education had to change because it was far too vocational, and far too narrow in scope. Graduates were very good in their fields, but didn't communicate and work effectively across engineering disciplines. Their communication skills were modest, particularly their oral skills—and writing skills too for that matter. Their interpersonal skills at large were not very strong, their exposure to the humanities was limited, and they had no exposure to business. Actually that's part of the reason why upwards of half of the students in MBA programs have an engineering background. They don't have any of that training, yet end up in business-related positions, and often times leadership roles.

In order to respond to these problems, the Board of Trustees of the F.W. Olin Foundation decided that it would explore the opportunity to build a new engineering school onto an existing institution. They looked both at existing universities that already had engineering programs and those that did not, but it quickly became clear that most existing institutions did not want to change their approach to engineering education. In all cases the schools were very interested in the Olin money, but they were not interested in plans that would radically change the way in which engineering education was delivered.

To fast forward the story, the chairman of the Olin Board, Larry Milas, was lamenting to his wife one night that none of these schools really "got it." And she said, not in jest, "Well, the Foundation has enough money, why don't you start your

own college?” He dismissed the idea at the time, but slept on it overnight, and said, “You know, that’s a thought!” Mr. Milas was also on the board at Babson College, and he shared his wife’s idea with Babson’s president, who said, “Great idea! We’ve got plenty of property here, we’ll sell it to you.”

So things started to foment in the mid-1990s, and by 1997 Olin College was chartered in Massachusetts. Dr. Richard Miller, the former dean of engineering at University of Iowa, began as president in February 1999. He quickly built his leadership team, which consisted of a provost, a vice president of external relations, a dean of admission, a vice president for finance, a dean of students, and a vice president for innovation and research. All of them were hired within six months, which really was an extraordinary timetable. We broke ground for the new campus on May 1, 2000, and just moved into the facilities last November.

In terms of our mission, the intent of this place is exemplified in our curriculum, which we call the Olin Triangle. At the top of the triangle are rigorous engineering, math, and science—that’s the core. But important supports are the humanities, the social sciences and the arts, and business. We are developing what we call “renaissance engineers,” or technological leaders, which is a very different kind of approach for an engineering school. We’re encouraging thinking and solving problems using the scientific method, but at the same time developing communication skills and knowledge in the liberal arts and business. We’re trying to integrate all of those things into a curriculum that sees the connections between and among what appear to be disparate disciplines. It’s all melded together here.

Another key aspect of our curriculum is that right from the very beginning we have students do and learn at the same time—they learn, they do. So it’s a very practical education. The first-year curriculum requires physics, calculus, and engineering, and by studying those things in the classroom and actually building something at the same time, the students learn so much more. It’s very project-based, and very team-based. The whole notion is that when somebody leaves Olin College, he or she will not have a degree in engineering, but rather a portfolio of experiences that includes a solid background in engineering.

I should note that we’ve begun to see other schools starting to move in the direction of emphasizing integrative thinking, polished communication, and teamwork like Olin does. But changing existing curricula, mindsets of faculty, and how resources are distributed, it’s like moving a graveyard—not very easy. So with a clean slate, we decided to do just that.

What motivated you personally to get involved?

Well, I wanted to make history, like everybody else here. I could have possibly gone to Johns Hopkins and been part of something that’s been around for a long time. Clearly my motivation for coming to Olin instead was about being the first dean of admission at a school which had the backing of a major foundation, and literally starting from scratch with

the goal that we would enroll some of the best students in the country. And we have.

As a brand new institution, from where did Olin draw its faculty, and what are some of their characteristics?

We draw from many of the typical places. We have five from MIT, others from Vanderbilt, Vassar, Harvey Mudd College, and other colleges and universities. One person, an astrophysicist, is the former director of space science at NASA. We have a chemist who was at the National Lab in Albuquerque. One woman, a biologist, was at the National Jewish Medical Research Center in Denver. Another woman came from Washington University Medical School and happens to be an artist as well as a biologist, so she’s teaching art in addition to biology. Then we have a woman whose first degree was in music from Vassar, after which she went to Mills, then to MIT to get a Ph.D. in electrical engineering. She is a former world concert pianist, and with her help we’ve started a fabulous music program. Music and engineering and math and science are of course all connected, and the diverse backgrounds of our faculty members have helped us cultivate all of those talents in our students.

Overall, it’s a fairly young faculty, as one might imagine. If you’ve got tenure somewhere else, it would take extraordinary measures to draw you away. And here faculty have no tenure. They are awarded five-year contracts that are renewable. That’s to allow the institution to remain flexible, which it needs to be. Part of the reason why colleges and universities have a tendency to be so expensive is the inflexibility of their curriculum and faculty. The whole infrastructure can be rigid because there’s a high percentage of faculty who are tenured, and there’s very little movement.

What would you say were the greatest challenges in launching a new institution from scratch?

Frankly, just selling the notion to the world about why it needed another engineering college. So early on, we spent a lot of time trying to get people’s attention. Having a gift of over \$400 million naturally attracts some attention from the media, and we were fortunate to have had significant coverage early on in the *Boston Globe*, the *Boston Herald*, and the *New York Times*, as well as multiple articles in *Prism*, the magazine for engineering education. Plus we’ve been on TV and radio.

That early coverage snowballed, and the word is definitely out. It’s remarkable, actually, how much attention we’ve received in four short years, and it shows in our statistics. As an example, we have 6,000 inquiries already for the 71 remaining places in the Class of 2008. Our two classes represent 39 states, including two students from Alaska, two from Montana, one from North Dakota, and eight from Hawaii. In fact, we have more students from west of the Mississippi than we do from east of the Mississippi. And nearly half of them are women, which is highly unusual for engineering. We also have considerable ethnic and socio-economic diver-

sity as well. Of course, giving each student in the first two classes the equivalent of a \$160,000 scholarship certainly helped, but the early efforts we made to spread the word about the institution were still very important.

How does the admissions process at Olin compare to that at other institutions?

Last year we had 596 applications for 76 places. One unique characteristic of the initial application process at Olin College is that it is strictly electronic. Students can only apply via the Web site, where they fill out the application and send it electronically to us, which many do at the last moment!

Once all the applications were received, we made the “paper cut,” and chose 157 students to come to one of two “Candidate Weekends” here on campus. It’s mostly PR on Friday night, but Saturday morning, they are put in groups of five and are asked to build something with minimal tools and a bunch of big Styrofoam blocks. They do that for a couple of hours, more or less as an “ice-breaker.” Then in the afternoon, individuals have to sit before a panel of faculty members, students, and staff. We don’t grill them, but we’re interested in the way they handle themselves, their communication skills, and simply poise and maturity. After the individual interviews we bring the project groups back together, set up a group exercise, and observe them working collaboratively. We’ve seen some considerably different behavior from the individual setting to the group setting. Candidates for admission have gone up relative to the other candidates, but they’ve gone the other way as well. After the weekend, the admissions committee distills the 150 or so down to, this past year, 86 for 75 places.

With 86 people accepted for 75 places, we put 11 on the waiting list. The waiting list students have the option of enrolling that Fall if there’s an opening. But if no slots open up, they can defer going to college for a year and come to Olin the following Fall. This gives them the opportunity to go off and do something interesting. In fact, we have four students doing that this year. One young woman is going to finish her novel, one young man is going to go to enroll in a university and take liberal arts, then hike the Appalachian Trail, and the other two are going to do something equally interesting. In my opinion, the whole notion of a “gap” year that’s typical in the UK has remarkable benefits to it. This policy is something I’ve always wanted to do and never had the chance to at other institutions. But here at Olin, we can be very creative about many things.

Given Olin’s unique admissions process, how is your position as dean of admission different from your previous dean of admission positions?

We are a “boutique” admission office here, and my position is really a throw-back to another age. When I was at big places like Boston College, Washington University, and Babson, I was by and large the orchestrator of the big plan, and was in charge of communications among the admission office,

senior staff, and the board of trustees. I was somewhat distant from what went happened on a day-to-day basis—the assistant dean did much of that. Here, I do it all, and I have since the very beginning. There are only five people in this office, so it’s a very hands-on kind of admission, which I’ve really enjoyed. Although I now have an assistant dean of admission, it’s a very egalitarian office where we all have to pitch in and do lots of different things.

Another difference is that I have pursued the admission process in such a way that it is very community-inclusive. I have twelve readers for the applications, including faculty and staff, and I do not vote on the admission committee. I run it, but I do not vote. Everything that we do—open houses, the Candidate Weekends—is meant to put the community in front of prospective students and their parents. Because ultimately, though Jack Maguire didn’t define it this way, enrollment management is understanding the students from the point of “prospect,” *i.e.*, the potential student, all the way through the admission cycle until they graduate and everything in between. That’s the whole notion of enrollment management because it’s based upon information, which is based on good data.

Are there any particular challenges that Olin faces in its admission process, from an institutional perspective?

Diversity is clearly something that we want to focus on and strive for. Frankly, Olin can really distinguish itself by having a diverse student body. Women are a particular focus because overall, only 20 percent of the undergraduates in engineering programs are women, and the attrition rate is quite high. There are a lot of sociological and cultural reasons for that, but gender balance is an important goal here at Olin, even if it is unheard of at other schools. But it is a big challenge. In fact, we’re going to have an open house this summer just for women. And we’re going to have a highly personalized process for recruiting other underrepresented groups, which is in keeping with the new affirmative action decision.

What did the first class look like in terms of geography and diversity, and were there any changes from the first year to the second?

Actually, the very first year we had 30 students come—they were called “Olin Partners.” They were directly out of high school, but it wasn’t a typical freshman year. They came to take classes, but by and large they came as consultants to the faculty and staff in developing the curriculum and developing student life. We had a temporary campus—it’s gone now, but it was essentially a \$2 million trailer park, in which we had an academic building and one where the students lived. In addition to the 30 “partners” who were selected, there was a waiting list of over 30 for the “partners” program. We invited them to defer for a year and enter the following Fall, and 14 of them chose to do so. So our first actual class consists of 30, plus 14 who deferred a year, and then we added 31 more to the balance coming in to make up the full Class of 2006. All in

all, we have three distinct populations that just finished their freshman year.

On average those students finished high school with a 4.3 GPA, and averaged something like 4.4 AP courses with better than a 4 average on all of the tests. The 50th percentile on the SATs ranged from 1440 to 1530. And frankly the scores were not an important factor at all, which we can say because we turned down multiple 1600s. When they get that high, it really doesn't make any difference. The math score only measures through Algebra II anyway, so we're more interested in the courses they took in high school and their AP scores.

The students in the first class came from 34 states, so the geographic diversity was exceptional. And they came with all kinds of talents. In fact, we didn't even realize how talented they were in theater, for example. We have a theater group, the Franklin W. Olin Players, which is just remarkable. One young man could have easily gone to Tisch at NYU and been part of their theater program, he's that strong. On that note I might add that one of the criteria for even getting invited to a "Candidate Weekend" is that students have to have a passion for something non-academic, and they have to write about it. So we're looking for multi-dimensional people, because we need to build community.

In terms of changes for the second class, we had a decline in the percentage of women, from 50 percent to 41 percent. And we know exactly why—the women we admitted weren't exactly 100 percent sure they wanted engineering. They were either undecided, or they wanted science but weren't sure *which* science, so they went to other institutions. One thing that we hope will help bring the proportion of women back up is that we have cross-registration with Wellesley College, Babson, and now Brandeis, so students will be able to take courses in a lot of different areas. We have students taking very interesting courses in literature, the arts, and music. And women in particular outnumber the men going over to Wellesley—not because it's a women's college, but because of the arts and humanities. So we hope this will be a draw for women applicants in the future.

Another difference between the two classes is that we didn't have anybody from New York in the first class, which was stunning, a big hole in our map. So this year we have four students from New York—it just happened to work that way. And we added a few other states, for a total of 39. Also, we enrolled three African-American students, which in engineering is very difficult. However, in the first class we had five Latino/Latinas, and this year we only have one. So there are no patterns yet in terms of our enrollment. But by and large the classes are very similar—very bright, very gifted, and well known to us because of our admission process.

Olin's first class just finished its freshman year. Overall, how did it go? Were there any particular "lessons learned" for the institution?

We learned a lot. The students learned a lot, and we as an institution learned a lot. The good news is that every one of

the 75 students is coming back. Academically they were all successful, although some students didn't realize 1) how rigorous it was going to be, and 2) that everyone was *really* as smart as they were. In terms of lessons learned, as an example, in the first semester we really piled the work on and the faculty had to recalibrate workload because it's a new curriculum and all of that. We learned a lot about empowering students and what that means, good and not-so-good. And we had mini-crises, so we learned about those things—fortunately we have an experienced dean of student life, so we didn't have anything that he wasn't familiar with. We routinely did cultural surveys in order to "feel our pulse," and one thing we found was that communication was always an issue. You get a bunch of Type-A personalities keeping their heads down and sometimes they forget to tell the rest of the world what's going on! So we're continuing to work on that. But basically it was a good year, and we grew up as a community.

Another thing we learned was how to move to a new campus. Winston Churchill once said, "At first we build buildings, after that they shape us," and that was certainly true for us. Just having a dining hall, for example, makes a huge difference because people commune differently when they eat together. So moving to the campus made a big impact—Winston Churchill was indeed right.

Overall, we haven't had any tragedies yet, and we haven't had any surprises that we haven't been able to overcome. One thing that we have going for us as we move forward is the tremendous commitment on the part of our students. They turned down some of the best schools in the country to come here, so they are truly committed to excellence, and making this place a world-class institution.

Where do you see Olin in five years?

Let's see, we'll have earned accreditation at that point, and we will be the choice among the best students in the country for engineering—we already are and we'll continue to be. We'll also be among the most selective—we already are, and that will not change—otherwise I'll be looking for a new job! We will have developed as a community, and we will have strengthened our relationship with the other schools in our consortium. That takes a lot of time and effort, but we're willing to do what it takes because we want Wellesley women, and students from Babson and Brandeis, to come here to take classes, and we want our students to go to all three schools on a regular basis.

Also, the curriculum will be far more developed, and we hope to be a model for other engineering schools. I think that's the key thing—in five years we hope people will turn to Olin as a place to come to learn about how to do things differently. On top of our innovative curriculum, we even administer ourselves differently as an institution compared to others in that we rely on other schools, like Babson and Wellesley, for important resources. In our opinion, there should be more collaboration among schools, and we and our partners would like to be role models in this area.

Overall, I've been in admissions for 32 years, and the last four years have been equal to my time at Boston College. I was there when Boston College took off, with Doug Flutie and all that business. It was just a remarkable time in BC's history, remarkable, and a little overwhelming at times as they went from a regional school to a national one. Olin has that same feel, of just taking off at a 45 degree angle. But what is wonderful here is that we're not dictated by tradition, we can think creatively. In fact it's the job of our vice president of innovation and research to ensure that the status quo is not a disease here, and that we don't fall into the pathology of more traditional places. With no tenure and no departments, this is a place where we've got to come together as a community. We've got to behave differently, otherwise we

simply will not fulfill our mission of being a world-class institution that presents and delivers a different kind of undergraduate engineering education, one that produces "renaissance engineers," technology leaders. No small task, but based on all we've accomplished so far, and all the progress we've made as a community, I definitely think we're up to the challenge.

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College Attainment: Dramatic Achievement, Daunting Challenges

by Travis Reindl

One of the most significant—but frequently overlooked—social developments in contemporary America has been the spread of college opportunity. For today’s college students (and even some policymakers), it is virtually inconceivable that just 30 years ago, some analysts were warning that colleges and universities were over-producing for the needs of the nation’s economy.

The past three decades, however, have brought significant economic and demographic changes affecting the demand for and value of higher education. The growth of women and racial/ethnic minorities on campuses and in the workforce, just getting underway in the 1970s, has hit full stride today. At the same time, the structure of the economy has moved decidedly away from goods production and toward service/information production, fueled by the advent of the personal computer and advances in telecommunications technology. Additionally, the Cold War brought an increased recognition of the need for greater global awareness and competitiveness. Finally, and perhaps most importantly, state and federal policymakers opened the doors of postsecondary education to a whole new generation of Americans through the establishment of large need-based grant programs. As a result, higher education attainment has grown at a rate that is both exciting and sobering.

From 1972 to 2002, the share of the adult population (25 and older) completing at least four years of college more than doubled (12.0 percent to 26.7 percent), matching the pace of the preceding three decades. Similar trends can be observed when examining attainment by racial/ethnic group, but wide attainment gaps persist between groups.

Over the same 30-year period, attainment for white adults more than doubled (12.6 to 29.4 percent), and increased more than three times for blacks (5.1 percent to 17.2 percent). Data on attainment for adults of Hispanic origin do not date back

a full 30 years, but also show considerable progress. From 1974 to 2002, the attainment rate for Hispanic adults rose from 5.5 percent to 11.1 percent (see Figure 1).

While these trends represent a remarkable statement about the expansion of opportunity and the role of education in achieving the American Dream, they also raise pointed questions for education leaders and policymakers:

- The democratization of higher education opportunity also brings a higher level of scrutiny of colleges and universities and increased activism among higher education’s stakeholders, as demonstrated by the public profile of issues such as cost containment and affirmative action. Are the nation’s higher education institutions ready for this?
- While racial/ethnic gaps in college participation and attainment have narrowed somewhat in recent years, significant

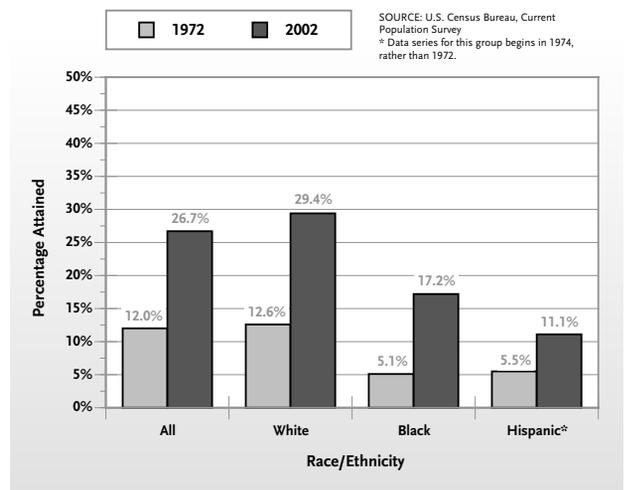


FIGURE 1: COLLEGE ATTAINMENT (4 YEARS OR MORE), ADULTS 25 AND OLDER, BY RACE/ETHNICITY, 1972 TO 2002

disparities persist. How can public policy address these gaps, especially in the face of daunting fiscal challenges at the state and federal levels?

- Does our system of financing higher education fit emerging social and economic realities? In other words, are we headed for a collision between rising public expectations of colleges and universities and our increasingly private approach to financing them?

Questions such as these will become increasingly urgent as institutional resources continue to be squeezed and enrollment continues to rise.

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Profile of an Effective Enrollment Manager

by Kathy Kurz

The concept of enrollment management has been around since the mid 1970s. Enrollment management involves planning strategically to achieve a sustained competitive advantage and bringing together functions related to recruiting, funding, and retaining students in order to implement the plan. Enrollment management organizations are as varied as higher education institutions themselves. There really is no one “right” model. The best model for an institution depends on institutional history, the enrollment challenges being faced, and the strengths of the people involved. Regardless of the title and official portfolio of the campus leader who heads the effort, however, there are five key attributes common to all successful enrollment managers.

Attribute #1: Fact-based Management

The successful enrollment manager must be data-driven—must be willing to use data to plan, monitor, and strategically deploy resources, which are often limited, to meet enrollment goals. While enrollment managers themselves need not have extensive quantitative training, they must respect the effectiveness of a quantitative approach to decision-making, and be willing to work with and learn from experts well versed in statistical analysis and measurement techniques. For example, as institutions seek to expand their geographic draw, using data on likely markets is critical to effective targeting of outreach efforts. Without data, it is easy to try to do too much in too many places, resulting in a diluted effort that produces little by way of significant results. Tools like College Board’s Enrollment Planning Service (EPS) are available to help enrollment managers better understand, with data, which markets they have saturated, and which still have opportunity for growth. In addition, using data available in the student systems on campus, staff can identify primary, secondary, and tertiary markets for travel planning and con-

sequently develop appropriate levels of relationship building with each market.

Attribute #2: Collaboration

Because managing enrollments ideally involves everyone on campus from staff to faculty to senior administrators to alumni, the enrollment manager must be able to build support for enrollment efforts, engaging everyone—even those not reporting in the enrollment division—to play their appropriate role in the effort with enthusiasm. This requires excellent skills of persuasion and motivation on the part of the enrollment manager, as well as the ability to listen and seek insight from others. Developing and sustaining an institutional commitment to achieving stated enrollment goals is a race without a finish line. Typically, in addition to the enrollment management division itself, there will need to be a committee structure comprised of a cross-section of faculty and staff from inside and outside the enrollment division to ensure that the necessary communication and consensus building takes place. However, plans with no follow-through won’t be productive. Here is how Barbara Fritze, Vice President for Enrollment and Educational Services at Gettysburg College has ensured successful collaboration:

The key to success is solid data, collaboration, communication, and a willingness to bring everyone around the table (Chief Financial Officer, Admissions, Financial Aid, Institutional Research, College Life, and Academics) to inform and to focus on the important issues. On my campus, we established an Enrollment Management Committee to deal with everything from financial aid strategy, to researching tuition levels for board consideration, to retention research. The committee is knowledgeable about enrollment issues and is poised to address and

respond to questions in other conversations on campus. We listen, listen, and listen. We effectively use data and research to inform decision-making. Then the enrollment management team persuades, informs, and motivates people to take action. Finally, we celebrate our success!!

Attribute #3: Knowledge and Experience in Higher Education Marketing (earned or acquired)

Often the word “marketing” is narrowly interpreted to mean advertising or publications/public relations. However, the successful enrollment manager must take a broader approach to marketing that encompasses all aspects of building and enhancing an institutional image—not just promotion, but also price, product, and place. The enrollment manager must understand both the marketplace and the institution’s mission in order to develop an appropriate and effective long-range marketing plan. He must understand retention and the characteristics of successful students. She must know the competition—both who the institution wins against as well as who it loses to—in order to effectively position the institution against that competition. The enrollment manager must be well versed in up-to-date recruitment techniques—particularly those involving the Web—and must understand the price sensitivity of the applicant pool. Most important, the enrollment manager must know that they can’t do it all. She must hire/develop expertise within the enrollment management organization to supplement her own knowledge. For example, Jane Brown, Vice President of Enrollment and College Relations at Mount Holyoke College, called on one of the College’s economics professors, Mike Robinson, to provide assistance in modeling the outcomes of alternative admissions decisions and financial aid awarding strategies. As Ms. Brown explains,

“Professor Robinson’s expertise in predictive and econometric modeling are powerful tools in our enrollment planning process and, as a respected member of the faculty, he has partnered with us to communicate the strategic value of our enrollment management model to the broader campus community. Importantly, Mike’s input has helped the institution understand the “trade-offs” necessary to reach our multiple enrollment goals.”

Attribute #4: Entrepreneurial Approach

The successful enrollment manager must be willing to take risks and experiment, albeit within a sound, data-driven framework. We aren’t talking here about action for action’s sake, or quick fixes, but rather about being able to move forward creatively in the face of uncertainty to make decisions, test new approaches, adjust strategies, and plan for the future. In order to stand out in a crowded market, tried and true approaches need to be employed creatively and uniquely. For example, to create a rapport with prospective students, University of Bridgeport e-mailed math puzzles to those

prospects who had expressed an interest in science and technology. As with quantitative skills, the enrollment manager need not be the source of creative energy, but must, at minimum, respect new ideas and build a team with complementary skills. Moreover, the team must be willing to test and pilot new initiatives, understanding that the rewards for success are greater than the penalties for failure.

Attribute #5: Managerial Skills

Successful leadership of today’s complex enrollment management operation requires skill at organizing, delegating, prioritizing, supervising, and planning in order to get the most out of constrained resources. The enrollment manager must be able to build and motivate a staff with diverse strengths, ensure that responsibility and authority are clearly assigned, and that evaluations reflect both individual and team contributions. The team must be supported by automated and well-documented systems and processes. Effective and efficient student service must be a measurable goal of every office.

Key elements of effective management, according to Dolan Evanovich, Associate Provost for Enrollment Management at the University of Connecticut, include

“creating an environment where people are encouraged to take chances, and enlist the support they need to achieve the desired outcomes. Moreover, staff need to be given the tools to be successful, and supported in expanding their knowledge base, both within their own areas as well as across departmental lines. Involving staff in the planning process is also critical. When staff help build the strategies, they will be invested in the long-term success of the organization. Finally, a good manager shares both the vision and the credit for all accomplishments. This approach helps create a sense of team within the organization and facilitates effective partnerships with critical areas outside of the division. The enrollment management division at UConn has relied on its strong relationship with the University Communications division in shaping a new image for the University with tangible gains in enrollments, diversity, quality, and revenues. This is a remarkable accomplishment for which multiple offices and individuals can claim responsibility.”

Final Note

Finding an enrollment manager with the requisite attributes can be challenging. In fact because of this, or in some cases because of budget or political constraints, some institutions have chosen to use a “matrix management” approach rather than hire an enrollment manager to oversee enrollment-related operations. Under a matrix management approach, representation from academics, admissions, financial aid, etc., meet as a team on a regular basis to plan together and coordinate their efforts. While this approach can work, the group still needs a leader. This leader needs to be responsible for ensuring that a comprehensive enrollment plan is developed

and implemented by the team. In addition, each member of the group must be clearly held responsible for achieving institutional enrollment goals as a critical part of their annual evaluation. Finally, the success of the model relies on each member of the team being a strong leader/manager within his or her own area of expertise. If members are struggling to bring their own operations and staff into order, they will not be able to adequately fulfill their necessary role as a member of the team.

Regardless of the organizational model in place, because tuition revenues are such a critical part of every institution's operating budget, the "voice" of enrollment management

must have a place at the senior cabinet level. This will ensure that the impact that various institutional decisions might have on enrollments is taken into consideration. This is not to say that every decision should be market driven, but only that the institution needs to constantly be aware of market forces as it charts its course for the future.

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Kathy Kurz is Vice President of Scannell & Kurz, Inc., a consulting firm that develops customized financial aid and enrollment management strategies for higher education clients. Prior to starting the company in 1996, Ms. Kurz was Associate Vice President for Enrollments at the University of Rochester.

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Staying Fit While on the Road Letter to Fellow Recruiters

by Kimberley Buster Williams

Throughout the year, many admissions counselors are on the road, rolling their carts from fair to fair, trying to find the right students for their institution. Unfortunately, the constant travel can negatively impact the good diet and exercise habits of even the most health-conscious individuals. As a veteran recruiter, I would like to recommend to my fellow recruiters a few “tried and true” tips to staying fit while on the road. Staying fit while traveling begins with the development of a good exercise regimen, good eating habits, and good lifestyle choices.

Before counselors hit the road, they should already have the following habits in place: getting plenty of sleep, eating regular meals, eating plenty servings of fruits and vegetables, not skipping lunch, exercising regularly, and drinking plenty of water daily. Admittedly, some of these things will be hard to accomplish while traveling, but if you are disciplined, travel will be smooth sailing.

Exercise

The first thing that admission counselors should do when they start making travel plans, is to find hotels with fitness facilities, and then to actually use them. One of the most important benefits of physical activity is that it actually lessens a person's risk of developing or dying from many of the most common causes of serious illness and death in the United States (Levchuck, Kosek, and Drohan 2000). All too often I hear counselors inquiring about “the fitness room,” but then sadly don't pencil time in their schedules to use the equipment. Have you ever noticed how pristine the equipment looks in some hotels? The great thing about physical activity and exercise is that it doesn't matter what a person does as long as it raises the heart rate for a certain period of time (20 to 30 minutes), it is something one enjoys, and it is safe (Sifton 2001).

Many college fairs start early and end late...so when is there time to workout? First thing in the morning is the perfect time to use the fitness equipment found in many hotels. The American College of Sports Medicine recommends some form of aerobic activity three to five times a week (Sifton 2001). A quick 30-minute walk or run will go a long way towards keeping the pounds off. According to Casey Meyers, an expert on walking and author of two books on the subject, walking is the most natural and basic of human activities, but has only been recognized as a serious form of exercise since the mid-1980s (Sifton 2001). If there isn't a fitness facility available, then improvise. Bring along a jump rope, do some deep stretches and breathing exercises, or practice yoga for 30 minutes. All that can be done is the privacy and convenience of your hotel room.

Get Some Rest

In order to have the energy to get up at 6:00 a.m., it's really important that you get to bed early. It's a cyclical function: to have energy to function, the human body needs sleep; regular physical activity helps people sleep soundly; the more soundly one sleeps, the more energy is saved; and with that energy, a person can work, play, study, etc. (Levchuck, Kosek, and Drohan 2000).

While on the road, it is not uncommon to stay up late with fellow road runners. If at all possible, try to avoid these late night escapades. “Everything in moderation” is a good mantra to remember. It may be helpful to find like-minded road runners, and as a group you can go for a morning run, go to various fairs during the day, eat healthy, and then turn in for the night at a reasonable time.

Eat Well, Drink Well

Once you've addressed how to incorporate a little fitness and rest into your routine, the next big issue to tackle is diet. A

healthy diet—making sure to get enough fruit and vegetables, and not too much junk food—can prevent a host of health problems (Levchuck, Kosek, and Drohan 2000). In the morning, either before or after your workout, you should eat a good breakfast. Yes, you’ve heard this a million times, but eating a good breakfast is key to maintaining a healthy diet. The saying that comes to mind is, “*Eat breakfast like a king, eat lunch like a queen, and eat dinner like a pauper.*” These are words to live by. For breakfast, pair cereal with fruit, yogurt, and juice for a satisfying meal. Juices count towards your daily intake of fruits and vegetables (aim for five). If you need help keeping track of your fruit and vegetable servings, you may want to consider purchasing “balance bands.” The idea is that you start your day with five bands on your right wrist, and by the end of the day, those same bands should be on your left wrist.

Counselors usually have three fairs or high school visits a day, which can be hectic, and are often at the mercy of whichever fast food place is “on the way.” Two things: buy healthy snacks for the car (*i.e.*, pretzels, popcorn, grapes, apples, raisins, carrots, dried fruits, etc.) and if you have to buy fast food, buy the healthiest items on the menu. Many of these restaurants offer healthier variations such as salads, baked potatoes, and yogurt parfaits. And don’t forget to drink plenty of water.

Of all the things we ingest, water is probably the most important—and the most neglected. Ideally, you should drink six to eight glasses a day of liquids. Beverages that contain caffeine or alcohol are poor choices; they act as dehydrators by causing increased urine production. You can live without nutrients for weeks or even months, but without water, you can survive for only days. Water accounts for 60 percent of

the body’s weight. Water shuttles nutrients and oxygen to cells, where it participates in the chemical reactions that produce energy. It also transports waste products out of the cells and eventually out of the body. Water cushions joints, acts as a lubricant, keeps food moving through the digestive tract, and regulates body temperature. We get some of our water from foods, which are generally 85 percent to 96 percent water, but most of it comes from fluids such as juice, milk, soup, tap water, or anything else normally liquid at room temperature (Sifton 2001). So be sure to stay hydrated.

It’s Easy to Stay Healthy

Maintaining good nutrition habits, staying fit, getting plenty of rest, and managing stress are all proven ways to prevent illness and disease (Levchuck, Kosek, and Drohan 2000). By making the effort now, recruiters can save themselves time and energy trying to get back in shape later.

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Content Management Systems A Primer: What Registrars Need to Know

by Anne Valentine

Content management is an often used, and misused, term. Although as a tool, content management systems (CMS) are usually sold to information technology groups, they provide a great and immediate benefit to registrars and their staffs. You don't have to be in the IT department to understand or use a content management system.

In the old-fashioned sense, content management is exactly what it sounds like. If you have ever input a stack of faculty revisions to course descriptions, you have been performing a content management function. In that sense it's been around for a long time.

In general, the term has come to mean any function or tool that assists with the optimization of information assets. Such assets may be stored in a Student Information System, a set of text documents, a free-standing database, or other data warehouse.

Specifically, when we talk about a content management system today, we refer to a software application that adds cross-platform utility to databases. Its two most common functions are creating controlled accessibility for the purposes of updating data, and publishing Web pages from that data.

The use of a content management system can:

- Allow you to publish curriculum information across platforms (print and Web) without any lag time.
- Simplify the process of collecting and checking revisions from faculty and staff.
- Free your staff to work on other projects.

Change Drivers

As colleges move more toward a dynamic Web site model and away from static HTML, they require tools with which to publish data. Pages on a dynamic Web site do not exist in

their complete form in hyperspace, but are created each time you log in. The building blocks of the presentation online are the records in underlying databases. A CMS is the tool that puts it all together.

By using Web sites in this way, institutions may personalize the message going out to each constituent. The concept of "mass personalization" becomes reality, with strengthened recruitment and retention as the benefits. Dynamic Web sites tailor the message to meet the viewer's needs.

The concept at the core of CMS applications is that format and content are created and maintained separately from each other. Separating the graphic templates from the content itself increases efficiency, allowing non-technical users to access information and change it without compromising the look of the final presentation. Content may be modified to be published through diverse vehicles, from the Web to print to personal digital assistants (PDAs).

Managing information in a database has many advantages. You can sort, find, and organize information in fields to build meaningful reports. Custom forms may be developed to present information for specific purposes. For instance, you may use one form for guidance counselors, another for inputting revisions, and a third for posting online. Further, data management allows you to selectively revise information without having to download or revise entire Web sites. It allows you to search and report specific information about classes, degree programs, faculty, etc. All of this leads to the second contributing factor in the advent of CMS technology—the downsizing of departmental staff.

With shrinking budgets, limited staff hours, and rising student demands, CMS is the logical choice for creating and managing information across departments and technologies. In addition to saving time, a CMS minimizes the often redundant task of updating information on more than one plat-

form, and drives accountability for content accuracy down to the contributor.

A great CMS has many additional features. It can help you translate courses into different languages, output files for printers, create mini-targeted marketing publications, and track the evolution of content. A CMS can be used by small groups to control information flow on a project-by-project basis, or can be the tool through which all campus contributors update curriculum data.

Uses in the Registrar's Office

The way that most registrars can benefit from using a CMS is to manage curriculum information. Imagine that all of your school's course descriptions and degree programs are in a database. They are neatly parsed into tables and fields whose records link to one another in a cohesive web of information. If you are authorized and understand how the data were created, you can go into this database and revise the information. You could also extract specified fields and records to create a book publication or to post to your Web site. However, you'd never open the door of your office and allow faculty and staff to come in, sit down at your desktop, and start hacking away at your precious data. Instead, through a CMS, faculty and staff may access information in a controlled online environment.

The "workflow" utility in a CMS allows you to define who sees what and when, and to what degree they may change information. Through workflow you create your custom authorization chain. When a faculty member completes the update to a course description the content goes directly to the next authorized viewer in the chain. In this way, a system of checks is automatically maintained. Data may never go "live" until it has been accepted by the highest ranking authority in the chain of command.

The great thing about CMS technology is that there is no lapse between the publication of information in a book and the online version. In a reverse of current practice, the online version is live first. Books and publications are created on demand from searches in the data. In this way, everything is maintained in a central data repository.

Preparing for the Change

For many institutions, the most updated curriculum information is in a layout file for the last printed catalog. Or it may have been updated on the Web site, and the HTML file of a degree program may be more current than what's in the book.

Before a CMS can be implemented, all of the content must be brought into a central data repository. This is a one-time event. Once the database is built, revisions are managed centrally, and you never need to rebuild the basic structure. But creating a data structure is tricky if the information is not standardized to begin with. That's the problem many developers face. It's easy enough to get the data to parse into fields, but what about those rogue footnotes or strange lab require-

ments? Getting them to "fit" with the rest of the data is the hard part.

One of the most important activities to pursue before any technology is implemented, is to perform an editorial review of curriculum information and minimize exceptions to the rules of structure. The more standardized the information is, the easier it is to get into a database.

Next, you'll want to sit down with your technical group to find out what external data they will want to bring into the CMS and how deeply they should integrate. Data integration can be as superficial as reading content from one system to the other. In its most elaborate form, a complete integration of systems means that data can be read and written across systems. The question to ask is: What are those systems, and to what degree should they integrate in the CMS?

What to Look for in Content Management Systems

There are some key features that you should look for in a CMS. These will help you achieve your goals most efficiently and effectively.

- **Tracking Changes:** To manage curriculum information, a CMS tool must be able to track changes word for word, just like a text editing program. If it doesn't offer a "track changes" function, the administrator will have to do a comparison read to see what contributors have changed. This is wasted employee time.
- **Version Control:** This is a feature in which drafts are date stamped and saved to track the ongoing evolution of a program or other information. This is a very useful tool especially for the development of degree programs or academic policies from small groups, who will want to send drafts back and forth to each other.
- **Workflow:** Workflow should be easily customizable. You will want to create different workflows for different projects, and you will not want to use technical support staff every time you have to do it.
- **Ease of Use:** Most of all, if it's not easy to use, faculty, staff, and administrators won't get involved. Systems should be as simple as possible to understand and not require any technical training to update information.

What to Expect

Content management drives accountability, which is a double-edged sword. If people are allowed into the system once a year to get at the degree programs, they may want to access the data all the time. Like any other technology implementation on campus, it's only as good as the policies that surround it.

Don't expect, no matter how easy it is, that you'll be able to get 100 percent of campus contributors in the loop the first time. At most, 75-80 percent of contributors will jump on the bandwagon the first year. The rest will need a little more encouragement. Give it time.

SOME SUGGESTIONS

- Send contributors hardcopy of the materials they are responsible for before they are expected to go online and make changes within the cms. If they can hash out on paper exactly what they want the information to look like, it'll be much easier to make those changes online.
- Set up a work room with trained support staff and work stations where people can use the application for the first time. It may be less intimidating for contributors to come to a central location for their maiden voyage into cms territory. It's also a more efficient use of resources to have trained support staff on hand to answer questions in the early phase and in a group setting.
- Ensure everyone that the same methods of rigorous checking will occur before any information goes live. Be able to define and sketch out the chain of authority so that all contributors are aware of where their efforts are going.
- Identify the people for whom this won't work and accept it. Find someone in their office who can take on the responsibility, or allow them to stay with traditional methods for a while longer.

- Garner the support of the highest ranking academic officer available to get out and "sell" the new process on campus. Let them demonstrate how easy it is to use the system.

In the end, a great content management system pays for itself. Staff will have additional time to work with students or on other projects. Online information about degree programs and courses is maintained and up-to-date. Marketing messages may be easily targeted through small, cost-effective publications. Like any other technology, it takes careful planning, support, and salesmanship to get implementation, but you will never regret it.

ABOUT THE AUTHOR

Anne Valentine is the president of SmartCatalog, a cross-platform publishing company for curriculum data. SmartCatalog provides content management systems, consulting, implementation and data migration as well as traditional publishing services for college course catalogs. For more information, visit www.academiccatalog.com or call (800) 770-8425.

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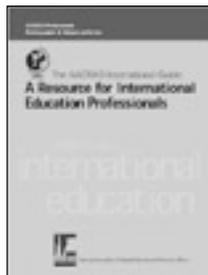
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Higher Education and the Call-Up of Reserve Armed Forces

by Max Padilla and Marcy Shapiro

During the last two years, many members of the National Guard and Reserves have been activated to support Operation Enduring Freedom, Operation Iraqi Freedom, and other missions at home and abroad. Today, one-third of our armed forces serving in the Persian Gulf and Central Asia are members of the National Guard and Reserves. At its peak in April of 2003, almost 250,000 part-time members of our armed forces were called to active duty. The Department of Defense (DoD) estimates that as many as 25 percent of those reserve component servicemembers are either full- or part-time college students. Being called to duty potentially disrupts the students' lives by affecting their careers and academic pursuits, but for many, it may also cause undue financial hardship. Along with students, colleges and universities feel the impact; postsecondary schools face the loss of students, full-time equivalent (FTE) enrollments, and may also suffer the loss of employees who are serving in the Reserves or National Guard. Despite these challenges, the higher education community has responded well to support our nation's Guard and Reserve students who have been called to serve.

Higher Education Community Rises to Support the Called-up

As it did during Operation Desert Shield/Desert Storm, the higher education community rose swiftly to the occasion to support our Guard and Reserve servicemembers who had been called to active duty. Immediately following the events of September 11, 2001, the U.S. Department of Education directed lenders, and colleges and universities to provide relief from student loan obligations by postponing student loan payments for borrowers while mobilized. Furthermore, it asked schools to provide full refund of tuition and institutional fees and encouraged flexible re-enrollment options for affected students. The American Council on Education (ACE)

followed suit by issuing a letter endorsed by sixteen higher education associations (AACRAO included) to support the Department of Education's guidance and request. Also, the American Association of State Colleges and Universities (AASCU) issued a letter asking colleges to honor the Department of Education request and to review their policies to assure fairness to students who were called to serve their country at a critical time. Most colleges and universities adhered to the Department of Education's and ACE's requests to support our Reserve servicemembers.

Servicemembers Opportunity Colleges (SOC)

Servicemembers Opportunity Colleges (SOC) was created in 1972 to provide educational opportunities to servicemembers, who, because they frequently moved from place to place, had trouble completing college degrees. Today SOC is a consortium of approximately 1,700 colleges and universities, fifteen higher education associations, the Military Services, the National Guard, and the Coast Guard. Funding is provided by DoD through a contract with AASCU.

SOC has taken the lead to assist both the higher education community and the Department of Defense by maintaining a "troubleshooting" helpline for servicemembers requiring assistance, as well as serving as a resource for colleges and universities. Since 9/11, SOC has processed over 300 calls from activated or deployed servicemembers to help in resolving a problem with their college or university.

SOC's counselors overwhelmingly found that in all but a few cases, the institutions went out of their way to respond to inquiries and to resolve the issue favorably on behalf of the servicemember. Many of the issues were rooted in a lack of communication either on the student's or institution's part, and were easily resolved. Sometimes this was exacerbated by the short notice of the deployment and inability of the ser-

vicemember to contact the institution and make them cognizant of the deployment. Other times the problem was with interoffice communication and involved the sharing of student information at the institution. The good news is that in all but a few of the cases, the colleges resolved the issues. A few cases that dealt with the administration of Title IV financial aid programs were passed to the U.S. Department of Education for resolution. Other types of cases that were not resolved on the student's behalf involved students who were enrolled in academic programs that had changed during their deployment and involved a state regulatory body that governed the program, such as a teacher certification program and a nurse licensure program.

The other indication of the higher education community's response is evidenced in a survey conducted by AACRAO in October of 2001. Approximately 1,150 member institutions responded to the survey with 42 percent of the colleges stating that they had students withdraw for military activations and that 80 percent of the institutions had adopted a policy of a full tuition refund for activated or mobilized military students.

Current Higher Education Guidance

Prior to August of this year, no federal legislation existed to protect Guard and Reserve servicemembers who were college students. That changed when President George W. Bush signed into law the Higher Education Relief Opportunities for Students (HEROES) Act of 2003. This law has several important provisions. First of all, it gives the Secretary of Education the authority to waive or modify any statutory provision applicable to student financial assistance programs under Title IV. The intent is to ensure affected individuals are not placed in a worse position financially in relation to that financial assistance because of their military service. Additionally, it states that all institutions offering postsecondary education should provide a full refund to students who are affected individuals for that portion of a period of instruction such student was unable to complete because he or she was called to active duty. If a student withdraws from a course of study as a result of such active duty or active service, institutions should make every effort to minimize deferral of reenrollment or reapplication requirements and should provide the greatest flexibility possible with administrative deadlines related to those applicants.

Moreover, the U.S. Department of Education Guidance, dated March 2003, grants relief for activated servicemembers who have subsidized federal loans, and asks colleges to support our activated servicemembers by refunding full tuition and other institutional charges.

Some states go one step further through the implementation of laws or governance policies that address the conduct of educational institutions whose students are called to active duty. At least ten states are known to have legislation applying to Guard and Reservists who are college students and called to active duty. They are Alabama, Arkansas, Iowa, Florida, Louisiana, Minnesota, New Jersey, Texas, South

Carolina, and West Virginia. Other states are currently considering legislation as well. Additionally, Utah, Colorado, Hawaii, and Tennessee have policies put into effect by their state higher education governing body. The legislation varies from state to state and ranges from very general legislation to very specific. Some of the issues addressed in state legislation include refund of tuition and fees, room and board, books, grades, academic standing, reenrollment, and how to treat scholarships and grants. Three of the nine state laws apply only to state institutions.

There are notable examples that demonstrate various levels of support in state laws and policies. In West Virginia, students are entitled to a full refund or may credit their tuition to their next semester. New Jersey specifies options available to students at public institutions depending on whether they are activated before or after they have completed eight weeks of a traditional semester. At less than eight weeks the student can opt for withdrawing from school or receiving an incomplete for the courses. After eight weeks, in addition to withdrawing or receiving an incomplete at the discretion of the instructor, the student can also receive a pass/fail grade. The Colorado Council for Higher Education (CCHÉ) adopted a policy that does not penalize the institution. Students who are activated or mobilized and are forced to withdraw from classes still count toward FTE. This is particularly important in this day and age where state funding is tied to an institution's enrollment and when many states are experiencing cutbacks and budget crises. Lastly, in Arkansas, activated or mobilized students receive a semester free up to twelve hours within one year of their return from active duty.

How Some Schools Are Supporting the Guard and Reserves

Many colleges and universities are helping Guard and Reserve members who are called up to duty by allowing these students to continue to take courses toward their degrees. Options may include online courses, coordination of transfer of credit, and independent study. Many National Guard servicemembers are serving at active duty military installations and locations in the Continental United States where they may have the opportunity to continue to take courses. With the emergence of distance learning technology, this is possible even for some servicemembers deployed overseas.

An excellent example of collaboration in this area occurred in Minnesota. The Minnesota State College and University System (MNSCU) collaborated with the National Guard to support a large-scale deployment. In its largest deployment since World War II, about 1,100 members of the 34th Infantry Division left Minnesota for a six-month peacekeeping mission in Bosnia. The soldiers are stationed at the headquarters in Tuzla and three forward bases. To allow soldiers to pursue education while deployed, each base is equipped with an education center, computer labs, classrooms, and guidance counselors.

While in Bosnia, soldiers are confined to bases and the six-month deployment interrupts the traditional Fall and Spring semesters. As a result, many soldiers expressed concern that they would have to put their education on hold in order to serve. However, the Minnesota Army National Guard (MNARNG) has presented the deployment as a great opportunity to begin or continue educational goals. While they are on active duty, eligible soldiers receive 100 percent tuition for courses they take in-country. The delivery methods vary, depending on the course, location, and the student's preference. Some students pre-arranged with their individual institution to continue their studies while they are deployed, either online or via correspondence. Others will take classroom or online instruction in Bosnia, while still others will take College Level Examination Program (CLEP), DANTES Standardized Subject Tests (DSST) or Excelsior College Exams (ECE) in general education subjects.

Major General Larry Shellito, the Commander of the 34th Infantry Division, along with CPT Barbara O'Reilly, MNARNG ESO and WO1 Tina Kojetin, Education Counselor, engineered a project with the Minnesota State College and University system (MNSCU) to assist the soldiers in their pursuit of a college education. About 40 lower division courses in the Minnesota Transfer Curriculum, offered by nine institutions in the MNSCU system, were timed to begin after the soldiers arrived in Bosnia, and end prior to their departure for the U.S.

Members of the 34th Division deploying to other sites are also eligible to take advantage of this unique education opportunity. In addition to those deploying to Bosnia, soldiers headed for various locations in Europe received counseling about the education opportunities available to them at installations where they will be stationed.

What Else Can Colleges and Universities Do To Help?

One of the lessons learned by SOC in dealing with servicemembers requesting assistance with their college is that communication with the college and student is essential. Identifying the state Guard education office and/or applicable Reserve headquarters and opening the lines of communication can pay dividends. Sharing information on students who are activated can possibly head off potential administrative problems with these students when they return to campus. This provides a central point of contact to verify a student's current and future military status and is often information that needs to be shared with the registrar or business office on campus. Many Reserve and Guard members use federal tuition assistance and other programs and it is important to understand the service's policies on handling refunds and/or recoupment.

Collaboration with the military may not only head off potential problems with students but it may also open other

opportunities for the institution. As discovered in the MNSCU example, coordination allowed some schools to continue to expand their distance learning student population, not to mention helping our men in women in uniform to continue their higher education.

Where applicable, college administrators should become familiar with the current guidance to properly advise affected students. In processing calls for assistance, SOC identified several schools that were unaware of their own state's law regarding the activation of Guard and Reserve.

A variety of resources exist not only for servicemembers, but also for college administrators who deal with the problems associated with student activation. SOCGuard (the SOC program for the Army National Guard) is a valuable resource for servicemembers called to active duty and for college administrators facing the challenges on campus. In addition to providing information on education services offered abroad, SOCGuard staff will visit institutions to make them aware of their students' mobilization and work with them to accept transfer of credit for courses taken toward a soldier's degree. SOCGuard's Web page contains information specifically for activated soldiers and for colleges that are affected by the activations. There you will find a checklist for the activated student, sample letters to communicate with your college, applicable state laws, copies of the letters mentioned above, information on the Montgomery GI Bill, and other benefits. You'll also find links to other useful sites for the activated soldier and family member. Go to www.soc.aascu.org/socguard for more information.

The higher education community has done well in assisting and supporting our students who are serving in the National Guard and Reserves and should be saluted. However, indications from Department of Defense point toward the continued reliance of our Reserve forces in carrying out our national security objectives. In addition to the new Guard members and Reservists who will be called up this year, many students will be demobilized and return to their college campuses to continue their studies, posing some challenges to college administrators. DoD asks that the higher education community continue to support and to be sensitive to our students who are called to serve their country.

ABOUT THE AUTHORS

Max Padilla is the Project Director, SOCGuard. He is a retired Army Officer whose service included tours as the Professor of Military Science at Johns Hopkins University and the Director of Joint Warfare Studies at the Air Command & Staff College, Alabama.

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Alliances: Expanding the Boundaries of Enrollment Management

by Jim Black

In July of 2002, the Enrollment Services Division at The University of North Carolina at Greensboro (UNCG) held its annual leadership retreat. The purpose of this particular retreat was to explore how the Division might be a leader in achieving the University's 2008 Profile, an ambitious vision that included, among other things, 23 percent enrollment growth, improved student retention, and exemplary student services. Each director, the manager for internal and external marketing, the manager of organizational learning, and the project manager for the Virtual Information Station were asked to depict how their respective area would look in 2008.

Imbedded in each presentation were one or more critical alliances. Throughout the two-day experience, it became clear that we would be increasingly reliant upon others to create our future. Without partnerships with Information Technology, Institutional Advancement, Student Affairs, the academic units, and many others, what we could do for the University was limited. To be successful, building partnerships would have to become a strategic direction in which we invest time and in some cases, financial resources.

This is not an entirely new paradigm for us. For years, we have engaged in outreach to other divisions. We have hosted a speaker series of nationally-known experts, sponsored a cross-divisional retreat, built a student services intranet, created a student services listserv, shared relevant articles and book chapters, and provided a host of training opportunities ranging from Banner navigation to our Master Advisor program. Enrollment Services also convenes or sponsors a number of campus-wide groups (*e.g.*, Student Academic Support Group, First-Year Experience Committee, Student Retention Committee, Cancellation and Reinstatement Committee, Commencement Committee, Scheduling Committee, Advising Council, Banner Project Team, Faculty Enrollment Management Committee, and Student Advocates).

Furthermore, we are actively planning a UNCG Conference, presented entirely by staff, and once a semester we host a UNCG Student for a Day experience.

The latter gives faculty and staff an opportunity to spend a day in the life of a student. Participants are given one of twenty student scenarios and then are asked to apply for admission, take a campus tour, apply for financial aid, seek advising, register for classes, pay the bill, apply for graduation, and eat in the cafeteria. At the end of the day, participants engage in a debriefing session. There are three objectives to the activity: 1) to see the enrollment experience through the eyes of the student, 2) to provide recommendations on improving enrollment processes, and 3) to learn, firsthand, about enrollment processes that exist outside the individual's functional area.

While these activities have established a common lexicon and improved student services dramatically, organizational silos still exist. We are not fused together—thinking and planning collaboratively about the future. Alliances are best described as loosely coupled and at times, contentious. The corporate realization that our destinies are inescapably intertwined seems allusive. We are not a unified body that understands that the brain, the heart, and the lungs are all equally important organs, and that while each cell is unique and important in its own right, all are part of a larger organism and thus are interdependent. Though we give much lip service to the ideal of community, most colleges and universities, and for that matter, enrollment organizations, operate as a dysfunctional family—tangled in a plethora of disciplinary-driven self-interests, calcified structures and policies, highly fortified turfdoms, and are ruled by demigods who refuse to retire or move on.

So what can enrollment managers do against seemingly overwhelming odds? Building meaningful alliances requires a significant commitment of time. Alliances may be established

because of a common cause or a sense of urgency, but they endure because of relationships. Like any other relationship, professional alliances must be founded on trust and mutual respect. Absent these two ingredients, over time, alliances will crumble. So, first, invest time in relationship management.

Second, follow Stephen Covey's principle, "Seek first to understand and then to be understood." Objectively observe the world of your partner. Feel their pain, understand their problems, and most importantly, study their decision-making style. What motivates them to embrace an idea or support an initiative? Adapt to their style and their situation using what is commonly referred to as "situational leadership." By morphing to align with where your partner is coming from, you will be more likely to achieve your objective. Pushed to an extreme, situational leadership becomes manipulation, but used with discretion, it can be a powerful tool for change.

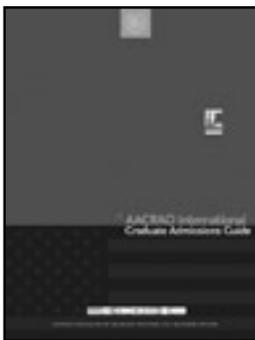
Finally, build a compelling case for the importance of an alliance. Inherent in this process is identifying and conveying what is in it for the partner. Somehow, they must see an opportunity for personal or organizational gain. Additional revenue, efficiencies, improved student satisfaction, profes-

sional development opportunities for staff, reduced responsibilities, and automation are among the many positive outcomes that may entice a partner onto "the dance floor." If you understand what incentive will best motivate your partner, leverage it to get what you desire from the relationship.

In the end, alliances are like courtships. Some result in long-lasting, productive relationships and others serve a purpose and then are terminated or are relegated to maintenance status. Regardless of the evolutionary stage of an alliance, stay focused on the present and future importance of that alliance to your enrollment management and institutional vision.

ABOUT THE AUTHOR

Jim Black is Associate Provost for Enrollment Services at The University of North Carolina at Greensboro. His areas of responsibility include Admissions, Financial Aid, Registrar's Office, Student Academic Services, Student Success Center, Evening University, Satellite Campuses, and the Student Information System. Black is founder of the National Conference on Student Retention in Small Colleges and co-founder of the National Small College Admissions Conference and the National Small College Enrollment Conference. He is currently serving as the director of AACRAO's Strategic Enrollment Management Conference.



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The International Baccalaureate: A Diploma of Quality, Depth and Breadth

by Cliff Sjogren and Paul Campbell

Over the past 30 years, the International Baccalaureate Diploma Programme (IB) has quietly matured into one of the most widely available, and arguably one of the best, advanced academic programs available at secondary schools today. It is clearly time for admissions officers and faculties to step back and take a long look at the IB, which has emerged as a reliable indicator of academic promise, perseverance, and social commitment.

Here are the facts: the IB Diploma Programme is a course of study that covers the last two years of secondary school, and culminates in a series of international examinations in various disciplines. Students who participate in the full Diploma Programme are required to study and examine in six different academic subjects. They are also required to fulfill three additional requirements unique to the IB: a critical thinking class known as *Theory of Knowledge*, a 4,000 word piece of original research known as the *Extended Essay*, and a minimum of 150 hours of participation in extracurricular activities and community service known as *Creativity, Action, and Service*. If a student satisfies these central requirements and achieves a cumulative score of 24 points (each exam is graded on a scale of 1 to 7) on the six exams, he or she is awarded the IB Diploma. A student can also choose to take any number of individual IB courses and the subsequent exams; these students are recognized by the awarding of IB Certificates.

While the IB is still often thought of as a “foreign” credential, the two largest IB countries are the United States (406 IB schools) and Canada (89 IB schools). Worldwide, there are over 1,100 schools in 106 countries offering the IB Diploma. These schools come in all shapes and sizes—public, private, small, large, comprehensive, specialized, rural, urban, and suburban.

By all quantitative measures, the IB Diploma Programme continues to grow at an impressive rate. Comparing May 2003 to May 2002, 8 percent more schools worldwide offered

IB exams; 11 percent more students sat for one or more IB exams, and 13 percent more exams were taken. In the U.S., 9 percent more schools offered IB exams; 12 percent more students sat for one or more IB exams; 12 percent more exams were taken, and 10 percent more IB Diplomas were awarded. In Canada, the respective numbers were 5 percent, 5 percent, 10 percent, and 16 percent.¹

Although the IB Diploma curriculum and examinations encompass the last two years of high school, formal preparation may begin as early as the seventh year of a child’s education. The academic demands that the program puts on students requires them to have significant exposure to advanced classes (especially in math and foreign language) before they formally enter the IB in their penultimate year of high school. In addition, schools use these “pre-IB” programs to finish as many local, state, provincial, or national requirements as possible.

Behind all this is a Swiss foundation, created in the 1960s to “facilitate the international mobility of students preparing for university by providing schools with a curriculum and diploma recognized by universities around the world.”² The International Baccalaureate Organization (IBO) is governed by a sixteen member Council of Foundation, and a director general heads its worldwide staff. The IBO’s headquarters are in Geneva, Switzerland and primary technical support facilities are in Cardiff, Wales. Besides the IB Diploma, the IBO also offers newer programs for the Middle Years (1992) and the Primary Years (1997). The three programs are different in many ways, but they all share the core IB principles expressed in the organization’s mission statement:

¹ Participation figures come from the *North America Statistical Summary*, IB North America, September 2003

² International Baccalaureate Organization Web site, www.ibo.org

“The International Baccalaureate Organization aims to develop inquiring, knowledgeable and caring young people who help to create a better and more peaceful world through intercultural understanding and respect.

To this end the IBO works with schools, governments and international organizations to develop challenging programs of international education and rigorous assessment.

These programs encourage students across the world to become active, compassionate and lifelong learners who understand that other people, with their differences, can also be right.”³

It is clear from this statement that, while academic rigor is an important given in IB programs, there is also a set of values that the organization strives to integrate into its offerings. Well-prepared IB students move on to postsecondary education with a strong sense of global citizenry, and a willingness to encounter perspectives and cultural norms different than their own.

What Admissions Officers Can Assume About an IB Diploma Student

The IBO operates a network of regional offices and regional representatives, currently located in eleven cities around the world. One of the primary tasks of the regional offices is to assist college admission personnel responsible for evaluating the features of the IB Diploma Programme. In North America (IBNA), offices in New York City and Vancouver are responsible for this task. Towards this end, IBNA has drawn on several prominent admission officials to create the IB North America College and University Recognition Task Force (CURT.) Members now serving on CURT are from Brown University, the College of William and Mary, Columbia University, Macalester College, McGill University, Vanderbilt University, and the Universities of British Columbia, Chicago, Florida, Toronto, Washington, and the former admission head at the Universities of Michigan and Southern California.

Currently, CURT is working with IB school leaders and coordinators to examine ways to better facilitate the movement of IB students into higher education. CURT has developed and endorsed a chart that will provide university admission staffs with guides on how the IB diploma recipient might compare with other applicants in a selective and/or competitive admission environment. Table 1 (on the following page), “IB Diploma Candidates: Some College Admission Assumptions” lists thirteen common student selection criteria that are employed by most selective institutions, and offers suggestions on how the various elements of the IB might be viewed as evaluative tools for the criteria considered in the admission decision.

As you can see from the table, CURT members agree that an applicant who is striving for the IB Diploma personifies

many of the qualities necessary to succeed at college: strong academic skills, positive involvement in community, a willingness to accept challenge, and an ability to think critically.

Besides the endorsement of CURT, what other reassurance does an admissions office have about the quality of the IB applicant? Here are some examples:

- **IB schools are held to universally high standards—**Schools that choose to participate in the IB Program must first go through a rigorous self-examination of their academic programs and support services. In the U.S., Canada, and the Caribbean, an application for participation in the program is submitted to the IBNA office in New York. After a careful evaluation of the application, IBNA often requires schools to submit additional information to complete the application. A three-person team, selected from among experienced heads of IB schools, IB coordinators and teachers, college admission officers, and IBNA staff, conduct a two-day visit to the school where probable IB teachers, school and district staff, school board members, and prospective IB students and their parents are interviewed. A report is then filed by the visiting team with the IBNA Board of Directors, which in turn submits a recommendation regarding authorization to the director general for a decision. Only schools (known as IB World Schools) that have successfully undergone this authorization process are allowed to offer the IB Diploma Programme. Once approved, schools will be subject to a thorough review of their progress every five years to maintain their eligibility for continued participation in the program
- **IB teachers are also held to high standards—**Central to the school’s responsibility to offer IB courses is an in-depth teacher-training requirement, as students will be required to satisfy the requirements of a number of college-level courses. Those courses include the student’s first language (English,) a foreign language, natural/physical sciences, social sciences/humanities, mathematics, and the arts. At least three courses will be at the Higher Level, requiring 240 classroom hours in each subject in the final two years of secondary school. Three courses will be taken at the Standard Level, requiring at least 150 classroom hours. All teachers scheduled to teach IB courses must receive IB-specific training. Since the curriculum for each of IB’s 35 courses is rewritten every five years, there is an expectation that IB schools will also be committed to the ongoing professional development of their faculties.
- **No grade inflation—**The IB grading system is criterion-referenced, where each student’s performance is measured against well-defined and articulated levels of achievement. These are consistent from one examination session to the next and are applied equally to all schools

³ International Baccalaureate Organization. Geneva, Switzerland, May 2002

Table 1: IB Diploma Candidates—Some Admission Assumptions

Admission Criterion	These assumptions apply to IB Diploma Candidates
Academic strength of curriculum	An admissions officer can be assured of the candidate's strong preparation of coursework in a cohesive and broad-based curriculum that touches on basic academic areas: native language and literature, second language, social science/humanities, natural/physical sciences, and mathematics.
Grade point average	Nearly all courses in the student's final two years are in solid academic areas. A higher percentage of the courses that constitute the GPA are the kinds of courses most valued in college admissions.
Academic strength of high school	IB authorized schools must offer, support, and maintain a minimum of seven or eight very strong academic departments to be a successful IB school.
High school percentile rank	Regardless of how the HSPR is determined by school, an IB diploma recipient will be in the top 10% of his/her graduating class in readiness for college.
Trend of performance	The IB Diploma Programme requires students to maintain a high level of focus and performance throughout their high school experience.
External validation	Because the IB Diploma, by its examination requirements, validates both achievement and integrity in academic performance, there may be a reduced emphasis placed on standardized tests in the admissions process.
Research and writing skills	The Extended Essay requirement, a 4,000-word research paper crafted under the tutelage of a faculty mentor and evaluated by a team of international readers, ensures students are prepared for postsecondary writing and research requirements.
Accepts educational challenges	Participation in the IB demonstrates that the student accepts, rather than avoids, rigorous academic challenges.
Critical thinking skills	The required Theory of Knowledge course ensures that students become critical thinkers who understand the interdisciplinary nature of learning.
Interview skills	IB students have strong preparation in oral presentation skills. Several IB courses include mandatory oral assessments, and the Theory of Knowledge course requires students to shape their opinions into logical discourse.
Extracurricular involvement	The Creativity, Action, Service (CAS) element requires that the student invest a minimum of 150 hours during the final two years in non-classroom activities.
Recommendations	The IB student will be well known by the IB Diploma Coordinator, Extended Essay mentor, CAS Coordinator, and the IB teachers.
Maturity and responsibility	The IB assists the student in developing time management, goal setting, and other organizational skills.

Note—Admission criteria not influenced by IB participation include: ability to pay; age; alumni, legacy, or staff connections; athletic prowess; ethnicity, gender; geographic representation, political consideration; under- or over-enrolled campus academic program.

throughout the world. The first IB examinations were offered to a handful of international schools in 1971. Since that time, the distribution of grades on IB examinations has remained essentially the same from year to year, with only minor variations. Also, the percentage of IB Diploma candidates earning the diploma has neither dropped nor risen dramatically, even as the program has grown.

■ **Worldwide recognition**—Universities in more than 110 countries accept IB Diploma holders. The IB Diploma Programme was created in Europe to accommodate families of foreign service personnel and other internationalists who were assigned to another country. An IB Diploma awarded from any participating school qualified the recipient for entrance to most European universities. For similar reasons, the United Nations International School (UNIS) in New York was authorized in 1974 as the first North American school in the program. UNIS was soon followed by the United World College in Victoria, British Columbia, Ashbury College in Ottawa, Washington

International School in the District of Columbia, The Anglo-American School in New York, the French American International School in San Francisco, and the Detroit Country Day School.

■ **“The Private School Education at the End of the Yellow School Bus Ride”**—This was the description an IBNA board member gave to the IB Diploma Programme in North America, as he saw it emerge from its privileged roots at private schools to become more widely available at public schools. Today, over 85 percent of the schools offering the IB Diploma in the U.S. and Canada are in the public sector.⁴ Several states, among them Florida, California, Colorado, Minnesota, Texas, and South Carolina, have legislated various forms of financial incentives to encourage the IB program at schools. Graduates of Florida high schools who complete the Diploma Programme are awarded substantial scholarships, renewable for three more years if a satisfactory record is achieved, at any in-state public college or university. That strategy has most likely contributed to a reduced migration of Florida students to other states for their continued education.

⁴ Source: International Baccalaureate North America, September 2003

Reports from IB schools suggest that their IB Diploma Programmes influence the entire academic environment of the school. The Programme gets well-deserved credit for increasing student, teacher, and community pride in their school. Due to its demonstrated quality and its inclusive rather than exclusive nature, the IB diploma tends to “raise the bar” for all students. Because a successful IB school must support a balanced academic program of at least seven or eight strong academic departments, non-IB students also become beneficiaries of the program.

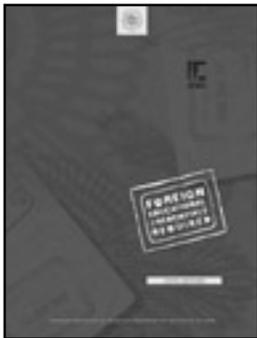
Students report that their primary reason for choosing an IB Program is to better prepare themselves for an academically demanding college or university, and to be awarded credit or waivers for freshman and sophomore level courses. U.S. and Canadian colleges and universities are increasingly recognizing the academic strength of the IB Diploma and

are demonstrating an eagerness to attract those students who are completing this world-class diploma program. Many institutions award special financial awards to attract these young scholars. For a look at the institutional policies on awarding credit for IB courses at hundreds of North American colleges and universities, hopefully including your own, visit the IBO Web site at www.ibo.org, and click on the shortcut to “universities and governments.”

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Higher Education in Israel: An Overview

by Evelyn Levinson and
Arona Moskowitz Maskil

Based on an article originally written by Evelyn Levinson in April 1998 and updated in September 2003 by Evelyn Levinson and Arona Moskowitz Maskil, this article presents some background information on higher education in Israel—its educational system, students, educational trends, and hot issues facing local and stateside international educators.

History of Higher Education in Israel

Until 1948, the first stage of Israeli higher education consisted of only 1,600 students and three universities: the Technion–Israel Institute of Technology, The Weizmann Institute of Science, and The Hebrew University of Jerusalem. All three were research-oriented and German influenced.

The second stage developed between 1948 and 1975. The number of students grew to 50,000, and four new universities were established: Tel Aviv University, Bar Ilan University, Ben Gurion University of the Negev, The University of Haifa, plus the Jerusalem Rubin Academy of Music and Dance and Teaching Institution(s). The Open University of Israel was established in the 1980s.

Up to 1989, the philosophy of the universities was that higher education was possible only for those students who were capable academically and financially to enter their institutions. This elitist approach to education, combined with the growing number of academically-qualified entering bachelor degree students that began in the 1990s (75,000 student in 1990, 148,000 in 1998, almost 207,000 in 2000), changed the profile of Israeli higher education and led to the establishment of new “colleges” to meet the demand of qualified students. These colleges are accredited by CHE, The Council for Higher Education (www.che.org.il), the local governing body that accredits all new institutions and programs and authorizes them to award academic degrees. The Council for Higher Education accreditation ensures that uniform quality

control standards are maintained, and that bachelor degrees received in colleges are based on the same academic rigors employed by the local universities. It should be noted that the Israeli Ministry of Education certifies degrees for employment qualifications only.

Undergraduate students are entering Israeli colleges in ever-increasing numbers (44 percent of all undergraduate students in 2000/01), thereby allowing the seven universities to focus more on graduate- and research-level studies. The breakdown of almost 207,000 students enrolled in undergraduate studies in 2000/2001 includes:

- ▶ Universities: 113,750
- ▶ Colleges: 38,016
- ▶ Teacher Training Colleges: 19,698
- ▶ Open University: 35,225

The first local colleges to open were affiliated with a certain university, and the final degree was granted by that university. Today, CHE accredits 22 teachers’ training colleges, 8 regional colleges that have local university affiliations, 23 independent regional colleges, 7 universities, and the Open University.

The most popular majors at the universities remain the applied sciences, architecture, engineering, arts, behavioral sciences, computer science, education, humanities/social sciences, and law. The regional teaching colleges feature the following majors: education, technology, social sciences, arts, and computer science. Majors at the independent colleges focus mainly on business, economics, law, and computer science.

A survey conducted by an independent study group in 2000–01 showed that 78 percent of all students studying for an undergraduate degree in Business Administration, 67 percent in law, and 87 percent in the fields of education, are enrolled at various local colleges. This represents an increase of 19.2 percent from years 2000 to 2001 in students pursuing

an undergraduate degree at a college. In comparison, the number of students pursuing undergraduate degrees at universities increased by only 4.2 percent that same year. University enrollment remains relatively high in the following fields: 94 percent medicine and life sciences, 84 percent humanities, 72.9 percent social sciences, 59.7 percent mathematics, statistics, and computer science, and 58.4 percent engineering and architecture.

Structure of Israeli Education

In order to begin a bachelor's degree, students must have completed twelve years of high school and the BAGRUT (High School Leaving or Matriculation) examinations. In addition, entrance exams ("Psychometric" exams), are generally required.

- **Undergraduate:** Study usually lasts three to four years and students are in class 20–30 hours a week. Law is studied for 3.5 years and students do not need a previous bachelor's degree to enter the program. Engineering programs last four years, while architecture takes five years to complete. The Israeli degree is very focused and offers marginal studies of a general or liberal arts nature.
- **Graduate study:** The second degree is considered the professional level and lasts two years, although in practice may take longer. Popular fields include business, education, clinical psychology and social work. A thesis is generally optional for those not intending to go on for doctoral studies.
- **Post-graduate:** The doctorate takes anywhere from five to ten years to complete. Many Israeli doctoral candidates in the humanities and social sciences go abroad for their degrees, while those in the life and physical sciences usually do their Ph.D. in Israel and go to the U.S. or Europe for post-doctoral work.

Student Profiles

Students in Israel come from various ethnic and religious backgrounds. They can be Jewish, Christian, Greek Orthodox, or Muslim, and some are third-country nationals.

The average Jewish student tends to be older, post-army, 20–21 years old. He or she may be married and working full time while going to school. For recruiting purposes, it is important to note that 80 percent of the target audience interested in study in the U.S. is *not* reachable through the local high schools, but rather through offices like Fulbright, through educational fairs, advertising, and special outreach presentations at local universities. The other 20 percent, mainly the Christian and Muslim high school students, do not do army service and therefore may be targeted directly at the high school level. The Druze, a minority group within the country, also serve in the Israeli Army.

Local Study Habits

Israeli study habits are different from those in the United States. Students are used to less outside readings and more flexibility in deadlines. If they miss or fail final examinations, they may be able to repeat them during specially-scheduled make-up periods over the summer. They begin applying to local universities not more than six months before the academic year begins in mid- or late-October. They are used to a maximum tuition of about \$3,000 a year for both undergraduate and graduate study, although some new private institutions' tuition is much higher. Israeli doctoral candidates are used to being fully funded from the first year of their doctoral program.

Trends and Profiles

The U.S.-Israel Educational Foundation (Fulbright) was established in 1956 to promote educational exchange between the United States and Israel. Nearly 2,500 grants have been awarded to Americans and Israelis over the years in various programs. A full description of the various exchange programs administered, such as Fulbright, Hubert Humphrey, and new partnership grants, can be found on the Foundation's Web site: www.fulbright.org.il.

Out of the over 92,333 queries handled in 2002 (including Internet visits to the StudyUSA section of the Fulbright Israel Web site), the StudyUSA center (one of the U.S. Department of State's authorized "EducationUSA" overseas advising centers), saw about an equal number of undergraduate and graduate students.

Regional preferences for studying in the United States include New York City, San Francisco, Los Angeles, Boston, Philadelphia, Miami, Washington, D.C., and Chicago. One of the main reasons is pure economics: Although living expenses in these areas are known to be high, El Al Airlines and the Israeli government maintain offices in these cities and offer qualified Israeli students legal work opportunities once they have entered the U.S. on an F-1 visa.

What types of study requests does the Fulbright Foundation receive?

- ▶ Short-term or non-degree study in fields such as English language, culinary arts, sound engineering, jazz or acting;
- ▶ Architecture and engineering undergraduate transfer students;
- ▶ Biotechnology;
- ▶ Business and economics;
- ▶ Film;
- ▶ Communications;
- ▶ Sports scholarships;
- ▶ Popular graduate majors include: LLM, clinical psychology, industrial/organizational psychology, MBA, music, video editing, advertising, East Asian studies, international relations, computer sciences, architecture, social work, mass communications, pre-med, life sciences.

Visa Refusal

Due to a relatively stable economy, the visa refusal rate has been very low over the past few years (pre-SEVIS). Problems sometimes exist for students applying for English language or community colleges, but this is the exception. The new U.S. visa interview regulations and their effect on access to study in the U.S. should be gauged to see if this changes in the coming year.

“Hot” Issues in Israeli Education

■ **Undergraduate Transfers:** The local engineering and architecture registration licensing board is regulating more closely the minimum number of credits earned both in Israel and the U.S. before they will accredit returning students' programs. Over the past few years, there has been an increase among Israeli architecture “Handassaim” (two- to three-year postsecondary professional diploma track programs offered in a number of technical fields) who look to complete or transfer to NAAB (National Architecture Accrediting Board) accredited schools to complete their bachelor of architecture degree.

■ **Overseas Campuses in Israel:** The U.S., UK, Australia, South Africa and the New Independent States (NIS) (Russia, Ukraine, Belarus, Moldova, Georgia, Azerbaijan, Armenia, Kazakhstan, Tajikistan, Kyrgyzstan, Uzbekistan, and Turkmenistan) are setting up branches or affiliates of their campuses at an alarming rate and in some cases, with little regard for ethics and issues of accreditation. For every one good program, three questionable programs crop up, causing confusion and mistrust among students and education officials alike. Internal conflicts exist between the local Ministry of Education and The Council for Higher Education on how and whether to accept such degrees. While the Ministry may approve such degrees for job advancement purposes, the Council may not accept those same degrees for academic advancement.

U.S. institutions that are approached to set up campuses in Israel would be wise to first check with a stateside regional accreditation body regarding off-shore accredita-

tion issues. Then contact the Ministry of Education and/or The Council for Higher Education, as well as the local Fulbright Foundation—they may be able to give you further guidance.

One outcome of the setting up of such programs may be a decrease in the number of students applying to study in the U.S. in certain fields, since more U.S.-style degrees are now available locally and are recognized in some cases.

■ **Competition from other countries:** The last two years have seen an increase in interest in study not only in the UK, but also Canada, and most recently, New Zealand and Australia. These countries' more flexible admission and visa requirements for international students, lower tuition costs in some cases, and high profile in the media and through college fairs, have made them a tempting target for Israeli students who find the U.S. admissions' and student visa regulations overly bureaucratic. Our Center's difficulty to raise our profile, due mostly to lack of funds and budget, has taken place at the very moment where other countries have their government's full support to attract the lucrative Israeli educational market.

Student and Scholar Exchanges With Israel

The Fulbright program is one of the main educational exchanges that exists in Israel today. Yet each of the seven universities, and a growing number of new colleges, maintain highly developed and diversified short- and long-term direct exchanges with the United States and other countries. It would be best to contact the Israel Academic Web site (www.ac.il) for further information.

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 Barbara Lauren, Esq.
ASSOCIATE DIRECTOR, RESEARCH (AACRAO)

The role of the federal courts in expanding educational opportunity, by race, in the public schools is well known. The role of the state courts in helping to equalize state funding in public schools, across wealthy and poor districts, is much less known.

In his book *Equal Terms: The Constitutional Politics of Educational Opportunity* [Princeton: Princeton University Press, 2000 (hardbound); 2003 (paper)], Douglas S. Reed, an Assistant Professor of Government at Georgetown University, explores that interesting—and ongoing—story.

Although the book concentrates on K-12 education, the story it tells is professionally pertinent to college administrators because even advocates of affirmative action have conceded that there is a “pool problem”—that there are not enough high-achieving minority applicants at the college level. Indeed, one of the arguments of Maureen Mahoney, attorney for the University of Michigan School of Law in the oral argument in the case of *Grutter v. Bollinger*, is that affirmative action, or “race-conscious admissions,” need not be a permanent feature of the landscape “because...the number of high-achieving minorities will continue to grow, and the law school will be able to enroll a sufficient number to have a critical mass...without taking race into account.” Indeed, the Supreme Court cautiously endorsed race-conscious admissions with the caveat that such a program would not be necessary in 25 years.

Reed’s book is thus even more timely than when it was first published.

The book is divided into two parts: the first describes the differences between racial and class disparities in public education, and the second describes how and why the state courts have become so important.

In the first section (“Race, Class, and Educational Opportunity”), Reed explains that racial segregation involved unequal schooling which arose out of the physical separation of two

groups of students. Particularly in the South, white and black students often lived in the same school district—but were shunted to different schools. What Reed calls “resource segregation,” however, involves schooling which is unequal because it involves unequal funding for different districts. In other words, public school funding based primarily or disproportionately on property taxes means that school districts will inevitably operate with very unequal resources. This type of disparate funding for public schools affects not only racial minorities, but any student who happens to live in a non-wealthy town.

In the second section (“The Constitutional Ordering of Educational Opportunity”), Reed describes the interaction of state courts, state legislatures, and public opinion in effecting substantial changes in both the level and allocation of K-12 funding.

In the first section, Reed makes clear that at one time, it appeared that the Supreme Court might declare public education a “fundamental right,” thus subjecting disparities in funding to “strict scrutiny.” The landmark *Brown v. Board of Education* (1954) decision contained language which could be read to imply that. Two decades later, however, in *San Antonio Independent School District v. Rodriguez* (1973), the Supreme Court explicitly rejected that possibility.

Starting in the early 1970s, therefore, education activists began to look to the state constitutions to find rights which they could vindicate. (A law review article by Supreme Court Justice William Brennan, in the *Harvard Law Review* in 1977, greatly accelerated this movement, which became known as “the new judicial federalism.”)

Reed states that 49 of the 50 states have some sort of “education clause” in their state constitutions. Moreover, Reed notes that state legislatures appropriate nearly half of all public school educational expenditures in the country. Accordingly,

starting in the early 1970s, 42 of the state supreme courts have ruled on the funding mechanism for the public schools within-state. Nineteen state courts have found the state system of funding unconstitutional. The other 23 have either found the funding schemes constitutional, or have declined to rule, in deference to the legislature. Reed's Appendix C, in which he lists the states involved, together with the names and dates of the cases, is one of the most useful sections of the book.

In the second section, Reed studies how some of the battles have actually played out. Chapter Seven ("Regimes of Inequality") is one of the most useful chapters in that section. In that chapter, Reed describes in detail the interplay between the courts and the legislature in New Jersey—"the site of perhaps the longest and most divisive conflict over school finance" (p. 136). In New Jersey, the state constitution mandated a "thorough and efficient" public school education. In a reform effort that extended from 1973 into the 1990s, the state first attempted to mandate equity (*i.e.*, equal or near-equal funding of all districts). In the face of predictable howls from wealthy suburbs, teachers' unions (because of the impact on teachers' pensions), and even from New Jersey's 30 poorest urban areas (they would have had to raise local tax rates to qualify for certain increases in state aid), Governor Jim Florio had to retreat from his original program of thoroughgoing reform. In addition, because the program of education reform came with a hefty tax increase, the voters turned out not only Governor Florio, but his fellow Democrats in both houses of the state legislature. Governor Christine Todd Whitman then refocused the reform agenda on "accountability," in two senses—reducing waste, and enforcing standards ("Put the textbook before the checkbook," p. 151).

According to Reed, what ultimately resulted in New Jersey was an increased level of funding through the existing institutional framework (p. 160). The New Jersey experience highlighted the dilemma: "How do you reconcile a court order mandating equality with an existing system of financing that virtually guarantees inequality?" (p. 153).

Nevertheless, Reed concludes that "when state supreme courts strike down financing systems, more funds flow to public education, and those funds are generally distributed more equitably than they were prior to the court decision" (p. 170).

The book is marred by occasional jargon, by which an academic must show that he is a member of the club ("I want to rethink and expand the range of what counts as a constitu-

tional commitment"). Nevertheless, the author recognizes that the mere striking down of legal racial segregation is not, in itself, enough to create the kind of schools that can equip the majority of students to compete in the labor market and function as citizens. Nor is mere "pumping more money through the existing institutional framework" (p. 160) enough to work a thoroughgoing transformation. Instead, Reed recognizes that "more money is necessary but not sufficient" (p. 173). He recognizes, in addition, that the performance of a school is in part the result of "the resources a child brings to the classroom" (p. 174). This leads him to make two linked proposals, in the concluding chapter, which are good-hearted but not entirely realistic: Rebate property taxes "for parents of children enrolled in schools where the percentage of minority children and children in poverty exceeds the metropolitan area average" (p. 174), and then create magnet and charter schools open only to children living in those neighborhoods (p. 178). Reed acknowledges that enticing middle-class—read "white"—parents to such neighborhoods may open him to the charge of racism or condescension (p. 175). Nevertheless, he says, it is an unattractive option to insist that "minority academic achievement emerge in settings where the odds are stacked against it" (p. 176). And, he says, his suggestion relies on incentives, not coercion.

Reed does not discuss how he would make up the tax monies lost through the property tax credit, especially when the aim is to bring in additional K-12 students into such zones. This omission is particularly striking in light of his extensive discussion of the New Jersey experience. Voters in that state rebelled at tax increases, even when some of the tax increase was marked for various types of education-oriented aid (see discussion at page 138 and following).

Nevertheless, this book squarely faces the fact that "the hard lessons of white flight suggest that whites do not often meet the challenges of our constitutional commitments" (p. 176). In addition, Reed's assessment of public opinion is correct: "[T]he public is groping toward a way to cut the connection between geography and schooling." His book is an honorable attempt to grapple with a difficult and protean subject. By drawing on intellectual sources as diverse as legal analysis and studies of state politics, *Equal Terms* helps us to understand issues about which all of us—as professionals in higher education, as parents, and as citizens—should be better informed.

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