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Enabling Student Swirl:
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Forum

commentaries, analysis, surveys, international resources, campus viewpoint, and book reviews.
Facilitating student transfer from two- to four-year institutions has for many years been a priority for enrollment professionals. Bob Bontrager and Tom Watts, Oregon State University, and Bruce Clemetsen, Linn-Benton Community College, offer a model for a concurrent enrollment program developed in Oregon, which offers joint admission, shared student information, and documented financial aid eligibility to enable students to complete their education in ways that suit their personal and financial situations.

Janet Ward, Seattle Pacific University, writes about the key elements for building and implementing an enrollment management plan including institutional and individual traits, and she concludes with a step-by-step model for developing, tracking, and assessing an enrollment plan.

The exposure of social security numbers and the risk of identity theft have motivated many institutions to replace the Social Security Number with a unique identifier as the key to the system. Sue Eveland, University of Oregon, provides a summary of the conversion from Social Security Number to a generated ID number at the University of Oregon.

David Kalsbeek, DePaul University, has left many an AACRAO audience in awe of his political acumen, philosophical wisdom, data-driven analysis, and singular approach to enrollment management. Dave Sauter, Wright State University, interviewed David this winter to capture his out-of-the-box approach to developing an enrollment management culture that crosses boundaries and promotes change.

Travis Reindl, AASCU, presents two articles: the first discusses the evolution of e-learning in higher education, and the second details the results of the National Center for Public Policy and Higher Education’s report, which issues grades to the 50 states.

Kenda Gatlin, Seattle Pacific University, presents a model for building, developing, and leading a dream team.

In June 2004, Joseph DiMaria, Vice President for Student Affairs at the Community College of Rhode Island, retired from the profession. After providing leadership to NEACRAO for many years as Treasurer and President, his NEACRAO colleagues invited him to present the keynote address at the Fall 2004 annual meeting. The text of his address, which reflects his wit, wisdom, lessons learned, and observations on leadership are offered here for the enjoyment of his AACRAO colleagues.

A.J. Guarino, Auburn University, and Dennis Hocevar, University of Southern California, have written a Research in Brief article to promote the addition of locus of control in matriculation assessments to enhance retention at community colleges.

Tandy R. Elisala, University of Phoenix, describes how the University implemented Web grading for faculty, including a project timeline, communication strategy, and process metrics.

Thomas D. Bazley, former U.S. Postal Inspector, reviews Degree Mills: The Billion Dollar Industry That Has Sold Over A Million Fake Diplomas by Allen Ezell and John Bear. Angela Runnals, Simon Fraser University, and Gaylea Wong, University of British Columbia, have written a review of Toxic Emotions at Work: How Compassionate Managers Handle Pain and Conflict by Peter J. Frost.

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A Context for Dual Enrollment

Dwindling resources and rising tuition have generated keen interest and concern regarding college access, degree completion, and time-to-degree. The public and governmental authorities increasingly question duplication of effort among institutions, resources expended on gaining market share, and ways to reduce student indebtedness. At the federal level, much debate has been generated by amendments to the Higher Education Act that would dictate transfer credit policies, establish accountability measures based on degree completion, and refocus funding programs to promote baccalaureate degree attainment. These factors have led to unprecedented scrutiny related to the degree of collaboration among two- and public four-year institutions.

In Oregon, similar issues are being debated. A governor’s task force charged with identifying more efficient means of delivering higher education programs identified these goals for the state’s community colleges and universities:

- Improved opportunities and efficiency for students to take courses from Oregon community colleges that apply toward a baccalaureate degree.
- Increased and more efficient course offerings to meet high student demand.
- Increased capacity of the state’s universities and community colleges to provide high-quality educational opportunities to more students in a timely manner.

In reviewing the current educational landscape, perhaps the most compelling trend is in enrollment patterns among students themselves. Today’s students are more inclined than ever to “swirl” among institutions, as they seek to further their education in the manner that best fits their personal and financial circumstances.

The Dual Enrollment Program Defined

In response to these interrelated factors, Oregon State University and Linn-Benton Community College established a “Dual Enrollment Program” in 1998. The Dual Enrollment Program (DEP) described here is a comprehensive partnership designed to enable students to tailor educational programs that meet their personal needs and aspirations. Specific aspects of the Dual Enrollment Program include:

- Joint admission with a single application form and fee.
- Eligibility to enroll concurrently at both institutions.
- Electronically-shared student information to facilitate transmission of student transcripts (through Electronic Data Interchange or EDI) and student financial aid data (through a specially designed system among Oregon institutions).
- Combination of credits earned concurrently to achieve full-time status for financial aid purposes.

These features distinguish the Dual Enrollment Program from more common dual admission programs, which offer eligible students the benefit of joint admission to both the community college and the university. However, such programs often involve conditional university admission and typically offer minimal coordination of enrollment services among the institutions.

The DEP was designed to give students the opportunity to derive the greatest benefits from both institutions, and to provide efficiencies in the areas of admissions, financial aid, registration, records, and course articulation. The program broadens opportunities for students to meet their individual educational goals. The overarching goal of the DEP is to promote college persistence and the completion of baccalaureate degrees.
A review of the literature on student transfer supports the concept of dual enrollment programs between community colleges and universities. The historical mission of the community college, the identified barriers to transfer—systemic, institutional, and student developmental—and current findings related to student attendance patterns all support the creation of a more integrated collegiate experience to leverage institutional strengths and improve student success.

An examination of community college and university dual enrollment programs must begin with an examination of the role of community colleges in serving their transfer mission. Few today would challenge the notion that community colleges provide a vital service by serving as stepping-stone institutions to four-year institutions. Though serving a valuable public good, some research has suggested that the transfer pathway from community college to four-year institution may not be in the best interest of students. After reviewing the research about transfer students, Pascarella and Terenzini (1991) came to the conclusion that “...there is consistent evidence that initial attendance at a two-year rather than a four-year college lowers the likelihood of one's attaining a bachelor's degree” (p.372).

There are a number of reasons researchers have posited to explain the lower bachelor's degree attainments of transfer students. Astin (1973) attributed the problems of success by transfer students to the low level of social integration and involvement. Tinto (1973) described how a lower institutional commitment on the part of transfer students might be to blame. Kintzer and Wattenbarger (1985) reported that post-transfer attrition may be tied to difficulties in successfully adapting to the social setting. Other factors such as gaining admission, obtaining financial aid, and transferring credits present serious administrative obstacles to the process of transferring from two- to four-year institutions. Kinnick and Kempner (1988) have proposed that the role of preparing students for transfer to the university be eliminated, or that there be a “serious and coordinated effort” on the part of higher education to revamp the transfer preparation role. Any efforts should remove some of the barriers to successful student transfer that contribute to differences in educational experiences that leave a transfer student ill-prepared for the university experience.

What is becoming better understood is the fact that students do not necessarily follow a linear attendance pattern in pursuing a degree; they swirl. Cliff Adelman (1999) identified that the number of students attending multiple postsecondary institutions had grown significantly during the 1970s and ‘80s. The numbers had grown such that over half of a substantial sample of 1972 high school graduates matriculated at more than one institution. Alfredo de los Santos and Irene Wright (1990) applied the term “student swirl” and “double-dipping” to describe this multi-institutional enrollment pattern among community college students. Alexander McCormick (2003) has gone further to develop a taxonomy of student swirl patterns: 1. trial enrollment, 2. special program enrollment, 3. supplemental enrollment, 4. rebounding enrollment, 5. concurrent enrollment, 6. consolidated enrollment, 7. serial transfer, and 8. independent enrollment. This taxonomy offers multiple means of describing student swirl.

Building on the evidence of student swirl and its various patterns, some observers have suggested ways of working with, rather than against this phenomenon. Victor Borden (2004) suggests four mechanisms for accommodating swirl: student tracking and research, assimilation programs that quickly engage students in campus academic and student culture, cross-institutional efforts to collaboratively establish common outcomes, and competency-based assessment for placement. Similarly, a joint conference on baccalaureate attainment sponsored by the American Association of Community Colleges (AACC) and the American Association of State Colleges and Universities (AASCU) generated a report (2004) recommending joint admissions programs and dual financial aid programs; improving student access to accurate, timely, and consistent advising throughout the educational experience; and structures that promote ongoing inter- and intra-institutional communication about advising and transfer issues.

**Procedural Elements of the Dual Enrollment Program**

Though this article will not detail the many process details of the Dual Enrollment Program, it is important to note briefly the procedures that are essential to the success of the program. In the broadest sense, a dual enrollment program should create streamlined processes for students, as well as administrative efficiencies in managing and implementing the program. Procedural elements central to dual enrollment are:

1. a single application process;
2. the ability to combine credits earned at each institution concurrently for financial aid eligibility;
3. advising, articulation, and credits transfer at both campuses;
4. use of technology resources for electronic data interchange; and
5. a commitment to regular communications and ongoing collaboration among the institutions.

The document that establishes the procedural elements of the program is the memorandum of understanding (MOU). The MOU addresses major procedural elements of the program, the work of the core enrollment services areas (admissions, financial aid, registration/records, fee payment), and other important areas including program articulation, new student orientation, marketing, handling of student grievances, and student conduct issues. While the MOU is an important point of reference for all parties, the program remains fluid and dynamic in responding to student needs.

Development of online functions has been critical to the success of the program. This includes three main components: an exclusively Web-based application process, the use of...
of electronic data interchange (EDI) to exchange student transcripts, and OFAX, a system developed among Oregon institutions to exchange end-of-term student records to facilitate financial aid processing. Without the use of these online systems, operation of the Dual Enrollment Program would not be feasible from a procedural standpoint.

Furthermore, it is critical to the success of the program that partners are able to combine credits and identify concurrently enrolled students who are registered for “part-time” credits at either or both schools, but whose combined total of credits qualifies them for full-time status. Combining credits is especially important for students who are on financial aid, and can realistically be done only with technology developed for that purpose. The importance of the process and the technology for combining credits to determine full-time status can be summarized in this way: 1) without technology, it would be practically impossible to combine credits for students on financial aid, and 2) without combined credits for financial aid students, the usefulness of the Dual Enrollment Program is greatly diminished.

Finally, some of the most significant benefits of the DEP are the stronger connections between academic departments at partner institutions. Those connections have manifested themselves in enhanced program articulation and advising. Advisors at both institutions are more aware of each other’s programs than ever before, with enormous benefits to students, faculty, and staff.

Enrollment Patterns
The program has been successful, enrolling more than 3,000 students over the past seven years. During this time period, both institutions have experienced record enrollments, disproving the concerns of individuals on each campus that dual enrollment would result in “losing” students to the other institution.

Students have employed the flexibility of the program to help them in dealing with important educational concerns, such as finances, flexibility in accommodating work and school commitments, level of comfort with different academic environments, and preparation for college work. In addition, they have been helpful in identifying the best use of the program from their point of view. The adaptability of dual enrollment is evidenced by changes in timing for dual applications, and differing enrollment patterns of dual students. Though this information illustrates the flexibility of dual enrollment, these are probably not exhaustive examples; students will ensure that the evolution in the use of the programs continues.

At the inception of the program, most students applied to the DEP as transfer students. They had already been accepted at LBCC or OSU, and were already taking classes. When the program first became available, students applied to become dual students, knowing that informally they were already doing what the program envisioned, only without most of the administrative assistance. As the program became established, more well known, and more popular, a larger number of students applied through the dual enrollment program as new students. These students have been in the DEP from their first term as college students.

Dual students take credits in all conceivable combinations, depending on work schedules, family commitments, finances, and class availability. Enrollment patterns may vary from term to term, in some terms enrolled exclusively at one institution or the other, and other terms enrolled at both institutions concurrently. Some students use the program in a manner that mimics the more traditional 2+2 program, attending the community college exclusively to earn an associate’s degree, and then enrolling exclusively at OSU to complete their four-year degree. Even then, the student benefits by already being admitted to OSU, and by having his or her community college credits transferred automatically to OSU at the end of every term.

The dual enrollment program once was seen as facilitating movement only from community colleges to OSU. Now, however, OSU students enrolled during the Fall, Winter, and Spring quarters are using the program as a way to take summer classes at a community college near their home. The classes typically are first- or second-year classes to meet baccalaureate requirements, or perhaps to complete classes that their Corvallis schedule did not accommodate.

Additional factors that significantly affect students’ perception and use of dual enrollment programs are the proximity of the institutions, the availability of online courses, and access to services, including on-campus housing. Concurrent enrollment depends heavily on the proximity of the institutions. A program between institutions closely located to one another will generally have more students than those where partners are farther apart. However, lack of immediate proximity does not mean a program will not be popular. Students in other OSU-sponsored dual programs routinely commute 45 to 60 miles within the same term for classes at both partner institutions. Registration for online courses is another means students can use to concurrently enroll.

Finally, concurrent enrollment has been a way for students to obtain services at both campuses. These include library access, student health services, recreation center use, and athletic tickets. Fees for access to these services are built into course fees. If students are not enrolled at an institution for a given term, they may obtain services at that institution by paying a student service fee.

Future Research Agenda
The future research agenda related to dual enrollment is vast. To date, research on the Dual Enrollment Program has been descriptive: counting the number of students enrolled each term, monitoring four-year degree graduates, and collecting anecdotal information. Assessment is just beginning on the core outcomes sought by the program: student persistence and enhanced rates of degree completion. Beyond those outcomes, there are intriguing questions regarding students’ migration patterns, the impact of the program on student
achievement, and levels of student satisfaction with their educational experience—all as compared with the prevailing outcomes for students who remain at a single institution throughout their college career as well as those who transfer in the traditional sense.

**Conclusion**

The goal of the Dual Enrollment Program is to broaden students’ educational options and promote completion of four-year degrees. Preliminary results suggest that the dual enrollment partnership is a viable approach to reaching those goals. At minimum, the DEP has led to new and improved procedures and processes that benefit students. Significant additional research is warranted to explore the educational outcomes of this, and other similar programs.

**References**


**ABOUT THE AUTHORS**

Bob Bontrager, Ed.D., is Assistant Provost for Enrollment Management at Oregon State University, where he has achieved record enrollments and established the University’s Enrollment Management Division.

Bruce Clemetsen, Ph.D., is Associate Dean for Enrollment Management at Linn-Benton Community College, where he develops systems to accommodate unique academic partnerships.

Tom Watts is the Special Programs Manager in the Registrar’s Office at Oregon State University; he works with dual enrollment, study abroad programs, National Student Exchange, and OSU collaborative programs with a variety of other schools.

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Enrollment Management: Key Elements for Building and Implementing an Enrollment Plan

This article provides the basic elements for constructing a comprehensive enrollment management plan. While enrollment professionals develop and implement plans, it is important to recognize that the campus climate and institutional leadership impact the enrollment plan’s development and implementation.

Enrollment management is as much an art as it is a science. Just as every institution has a mission statement that expresses its purpose (educational goals and market segment), there needs to be a road map that shows where you’ve come from, where you are, and where you are going. The enrollment plan serves as the road map for achieving specific institutional goals, typically connected to student body size, enrollment mix, and revenue, while also providing specific indicators on the effectiveness of the learning environment (e.g., first-year persistence, graduation rates, etc.). It also involves departmental leaders understanding one another’s unique contribution towards achieving the institution’s goals. This article will focus on three components that determine the ease with which a comprehensive enrollment plan may be created and implemented:

- Institutional Traits
- Individual Traits
- Enrollment Plan Elements

Institutional Traits: The Campus Climate
While creating a comprehensive enrollment plan requires a total-institution commitment, the campus climate sets the tone for creating and supporting an enrollment plan. The first step is to determine if there is an institutional vision statement.

- What are the goals and aspirations of your institution?
- What market niche are you serving or hope to serve in the future?
- What sets you apart from your competitors?
- Where do you hope to be in five, ten, or twenty years?

Vision and President’s Leadership
The president is the institution’s vision champion as she constantly reinforces its message to key stakeholders (board of trustees, donors, alumni, parents, students, faculty, and staff). The vision must become part of the branding strategy, which builds consistency and momentum across various messages.

One way of knowing whether or not your institution has a clearly defined vision statement is by seeing whether faculty and staff are able to articulate how their work contributes to the vision’s achievement.

At Seattle Pacific University, the vision statement is brief and to the point—Engaging the Culture, Changing the World. While simply stated, faculty and staff across the community have been able to latch on to this statement and express how their work supports the vision. In the various academic, administrative, and enrollment (admissions, registrar, financial aid) departments, each has spent time exploring and clarifying the various ways they contribute to the vision.

Key Leaders Buy-In;
Commitment to the Vision and Goals
While the president’s sponsorship is the crucial first step in articulating a vision, its fulfillment relies on it becoming part of the cultural fabric. The “rubber hits the road” when various departmental plans with their unique goals, strategies, and resource requests merge into one strategic plan (e.g., academics, enrollment, facilities, fund-raising, etc.). When leaders begin to compete for finite resources, the level of buy-in to the institutional vision is tested, as choices will be made about where to invest these resources. The annual budget planning cycle tests the resolve of the administration to fund the vision and make choices among competing priorities. Will funding be available to increase financial aid to students, or should funding be directed to hire new faculty, or should it be directed to help purchase new technology to enhance the learning environment?

How may you determine if your college or university has the institutional traits that support the development and implementation of a comprehensive enrollment management plan? Hopefully, the following three elements would be evident:
Key Benchmarks are Established and Reviewed During the Annual Assessment Process:

- The strategic institutional and enrollment goals are known by campus leaders. The plan includes goals at strategic points into the future (next year, five years, ten years). Table 1 illustrates strategic undergraduate enrollment indicators from Seattle Pacific University.
- Goals are annually monitored and strategies assessed to determine whether adjustments to strategy or resources may be required to improve performance. An assessment plan by the enrollment management departments should occur annually.

Collaborations Among Institutional Plans
Develop Shared Understanding and Synergy:

- Take time to discuss the enrollment plan with academic affairs, facilities, student life leaders, and other key stakeholders. It is important to understand how enrollment goals, such as growth, will impact the resources and services of other core areas.
- When enrollment growth is under discussion, the primary question may be whether growth can be accommodated within existing resources or if additional resources will be required. For example, if the plan is to increase new student enrollment by 200 more students over five years, how will this impact other institutional resources such as faculty FTE, campus housing, special services (counseling, tutoring, etc.), and parking?

Through Budget Planning Decisions, Resources Are Committed to Vision Priorities:

- How will the institution support the goals and strategies outlined in the enrollment plan? What about the impacts that will occur in other units, such as academic departments or housing?
- While effective managers re-engineer operations annually in order to keep departmental resources focused on priorities, at times an investment of new dollars may be required. To move forward, what items must be funded in the next budget cycle? If not funded, how should the enrollment plan be revised?
- You have heard the phrase “follow the money.” This expression applies when seeking to understand the administration’s commitment to vision and goals; resources will be committed to fund priorities.

**Structure, Responsibility & Authority**
The operational and political climate on a campus may either support or hinder the achievement of the institutional vision and/or enrollment plan. While I have worked under several

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### Table 1: Strategic Enrollment Indicators—Tracking History and Projecting Future Goals

<table>
<thead>
<tr>
<th>Strategic Indicators</th>
<th>Actual</th>
<th>Projections/Goals</th>
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</thead>
<tbody>
<tr>
<td>Size - New Students, Fall Headcount</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HS Grads</td>
<td>403 584 570 612 647 603 683 635</td>
<td>650 650 –</td>
</tr>
<tr>
<td>Transfers</td>
<td>264 236 234 231 243 242 240 260</td>
<td>250 250 –</td>
</tr>
<tr>
<td>Totals</td>
<td>667 820 804 843 890 845 923 895</td>
<td>900 900 –</td>
</tr>
<tr>
<td>Annual Growth Rates</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SPU Undergraduate Enrollment (%)</td>
<td>(-11.07) 0.74 (-1.95) 4.85 5.58 (-5.06) 9.23 (-3.03)</td>
<td>0 0 –</td>
</tr>
<tr>
<td>WA State HS Grads (%)</td>
<td>3.56 5.74 0.43 2.62 2.20 1.00 -0.06 0.91</td>
<td>2.83 TBD –</td>
</tr>
<tr>
<td>Student Quality</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SAT Scores (Avg.)</td>
<td></td>
<td></td>
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<tr>
<td>SPU Incoming Students</td>
<td>1110 1142 1140 1145 1146 1141 1154 1140 1140 1185 1250</td>
<td>–</td>
</tr>
<tr>
<td>National</td>
<td>1020 1017 1016 1017 1020 1020 1026 1026 – –</td>
<td>–</td>
</tr>
<tr>
<td>WA State</td>
<td>1047 1050 1051 1050 1054 1054 1052 1059 –</td>
<td>–</td>
</tr>
<tr>
<td>HS GPA (Avg.)</td>
<td>3.52 3.57 3.58 3.60 3.58 3.58 3.65 3.59 3.65 3.70</td>
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</tr>
<tr>
<td>Student Outcomes</td>
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<tr>
<td>Persistence (%)</td>
<td>77 80 81 79 80 79 85 82 85 90</td>
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<tr>
<td>2nd Year Attrition Rates, Sophomore to Junior</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HS (%)</td>
<td>– 10 9.5 – – – – –</td>
<td>–</td>
</tr>
<tr>
<td>Transfers (%)</td>
<td>– 13.5 10.5 – – – – –</td>
<td>–</td>
</tr>
<tr>
<td>New HS Students (%)</td>
<td>15.6 15 11 12 11 10 – –</td>
<td>7.5 5.0</td>
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<tr>
<td>Graduation Rate, 6-Year (%)</td>
<td>57 61 – – – – – –</td>
<td>67 73 80</td>
</tr>
</tbody>
</table>

1 Indicates baseline figures
different administrative structures, I have found that while structure is important, it is the integrity, competence, and team spirit of key leaders that determine how easily goals may be attained. Lines of authority and responsibility need to be clear, so it is understood who should be involved in the conversation before decisions are rendered. Questions to ponder when reviewing your structure:

- **For Individuals:** Are the key leaders prone to be team players or lone wolves? Are they willing to work toward the institutional goals or are they more focused on personal victories? Is communication multilateral and transparent or are there communication roadblocks that hinder the easy transmission of vital information? Are actions and words in sync, or is there a disconnection that leads to misunderstanding or mistrust?

- **For Decision-making:** Is there a clear understanding when decisions are yours alone vs. when it should be a shared decision made with colleagues vs. the decision being the responsibility of your supervisor? Truthfully, as my career has progressed up the career ladder and my scope of responsibility has broadened, I have found the more critical the decision, the less likely the decision is made unilaterally.

**ENROLLMENT LEADER’S CHALLENGE**

Having spoken at several conferences on this topic, the most challenging question raised by someone in the audience has been, “What if my institution does not have a clear vision? What may I do to promote the development of an enrollment plan?” Even without direction from the administration, an enrollment leader may begin to develop the contours of a plan that may be adopted by the institution as its enrollment plan. While difficult, it is possible if you are able to:

- **Focus on building collaborations among key stakeholders.**
  Find common ground and discover shared goals. Build understanding among stakeholders in order to value one another’s unique contributions to the organization.

- **Build an enrollment data tracking mechanism** on strategic enrollment indicators. The data will suggest areas of success along with areas for improvement (e.g., the difference in the student profile for those who persist and graduate vs. those who drop out).

- **Create a “draft” enrollment plan** based on your data and gain the support of your colleagues. The plan should outline the current state, next year’s goals, and short-term future goals, along with the key strategies, tactics, and resources required for the plan’s implementation.

- **Annually assess the plan and provide to key stakeholders and decisionmakers** a high level summary of progress towards the goals outlined in the “draft” enrollment plan, along with the challenges.

By providing this information, over time decisionmakers may understand your department’s significant contribution to the institution’s vitality and financial health, along with understanding the added value a comprehensive enrollment management plan brings to institutional strategic planning.

**Individual Leadership Traits:**

- **Unlocking the Door to Success**

  While the vision may be clearly articulated and embraced by the campus community, to achieve institutional goals rests upon the actions of individual leaders within the organization and their teams. The following characteristics apply to all leaders within the organization, whether a program manager, lead counselor, associate director, or vice president. When hiring opportunities arise, look beyond the technical expertise or professional experience for:

**ABILITY TO FORGE COLLABORATIONS ACROSS THE INSTITUTION**

The enrollment plan requires input from different areas of expertise within enrollment departments (e.g., admissions, financial aid, registrar, etc.) as well as across the institution (e.g., academic, student life, facilities, etc.). The following are keys to building effective collaborations:

- **Take Time to Build Relationships:** While achieving tasks and assignments are important, it is just as important to spend time on building relationships. Identify those individuals who will help you achieve the goals in the enrollment plan, and take time to get to know them as individuals as well as what they hope to achieve on your campus. By understanding their hopes and aspirations, you may find a way to help them achieve their goals, and in the long run, they may be more willing to support your goals.

- **Build Your “Trust” Bank Account:** Your track record will speak volumes, as it is based on your integrity and the consistency of your actions. Ways to build trust include helping others achieve their goals, giving away the credit for successes, meeting commitments and deadlines, and insuring that your actions support your words.

- **Be Proactive:** Take the initiative rather than waiting for things to come to you. In building collaborations, step out of your comfort zone and meet with a colleague to discuss a new idea, seek someone’s support, or ask another to join your project.

**HOLISTIC PERSPECTIVE**

While understanding your operation is important, it is also necessary to understand the big picture and the long-term goals. Look for the inter-relationships among goals and tactics, and strive to find ways where your operation may support others.

**COMMUNICATION STYLE — BECOME A FACILITATOR**

The challenge for many is that as we have progressed up the career ladder, our promotions were based on individual achievements. However, to gain the respect and confidence across campus, a more collegial style may serve you better.
Ask Probing Questions: Explore what is behind various viewpoints or ideas. Be open to new ideas.

Synthesize Information: When listening to diverse perspectives, develop the ability to synthesize what has been shared and then re-state the key ideas in a way to help others understand the salient points.

Teachable Moments: When things are not going well, instead of losing patience, use these times as teachable moments. Instead of judging others, use this as a moment to expand the team’s or individual’s knowledge.

Communication Conduit: Become a transparent communicator by sharing information in all directions across the organization. Only personnel actions and confidences should not be revealed.

ENERGY COMMITTED TO INSTITUTIONAL GOALS VS. PERSONAL ADVANCEMENT
While career advancement is sought by many, wise organizations promote the person focused on understanding institutional priorities, and who chooses to commit time and energy to their attainment. This is the person who willingly goes the extra mile for a student, or sees a problem and then pursues a solution that permanently removes the difficulty so others need not experience it.

Enrollment Management Plan: The Elements
The enrollment management plan outlines the key performance indicators to be achieved over a five or ten year timeline in support of the institution’s vision and priorities. At Seattle Pacific University, the key enrollment planning and assessment documents are:
- The Enrollment Plan
- Executive Summary with Strategic Enrollment Indicators
- Ten-Year Fall Term Projections (Headcount, Facilities, Strategic Indicators—inputs/outcomes)

THE ENROLLMENT PLAN
The enrollment plan outlines strategies, tactics, and resources required to attain specific enrollment goals. The goals should be closely tied to the institution’s vision and cover next year and future years. The enrollment plan should be comprehensive and clearly articulate the key performance indicators (goals).

The plan should cover each enrollment area for which you are responsible—undergraduate admissions, financial aid, advising—and state specific inputs and outcomes to be achieved. The plan should include:
- Current state (e.g., most recent Fall term)
- Goals to be achieved next year
- Goals to be achieved in five and/or ten years

To be effective in guiding decisions on strategies, tactics, and resources, the plan needs to be supported and understood by all enrollment leaders as well as key stakeholders on campus (e.g., academic affairs, student life). Buy-in is critical. Enrollment goals may include:

Size: Is the goal growth or to have the student population remain the same size? What’s the impact of this decision on other units of the institution?
- What is your Fall headcount goal for new and continuing students? For other terms? What is the goal in five years?
- From where will the growth come—undergraduate, graduate, continuing education, or other programs?
- Will growth come from increasing new student headcount and/or improving retention of currently enrolled students?
- What percentages of your students are full time vs. part time?
- What are other institutional factors that need to be considered when determining whether or not to grow enrollment?

New Student Profile: Student demographic information at entrance (inputs):
- What percentage of the undergraduates is entering directly from high school? What number is entering with advanced placement scores or college credits that will result in advance standing at your institution?
- What percentage of the undergraduates is transferring from another college? What number has earned a two-year transferable associate degree, a non-transferable two-year degree, or a number of credits?
- What are the intended majors or program of study? This information may impact the classes offered and/or advising sessions for the incoming class.
- Gender, ethnicity, age, state resident or non-resident status, home address (may influence commuter vs. residential status), financial profile (may influence financial aid status, and ability to pay), etc.
- What are the current entrance scores for new students? What would you like them to be in five years?

Enrollment Mix: Overview of entire student population; may break down by undergraduates, graduates, continuing education students, etc.
- Student demographics—number and percentage of men/women; ethnic diversity, age, live on-campus vs. commuter.
- Percentage of the students who are full time vs. part time; average number of credits taken by full-time and part-time students.
- Continuing student flow patterns by student level (e.g., freshman, sophomore, etc.) from one term to the next (e.g., flow pattern of spring quarter sophomores who return the subsequent Fall).
- It may be useful to know the enrollment mix for selected academic programs or majors.
Planning Assumptions: Outline the planning assumptions for achieving next year’s enrollment goals. Any assumption that will influence key strategies should be articulated and the impact explained, such as:

- Price increase and its impact on new student and continuing student enrollment
- Price increase factored into the planning for financial aid awarding and net revenue projections
- Headcount goals—new student, continuing student, etc. and impacts on faculty resources, facilities, student services, etc.

Key Strategies: State the key strategies that support the enrollment goals. This informs various departments of critical tactics to be employed for achieving enrollment goals along with where their contributions are important to the plan’s success. Strategies may include:

<table>
<thead>
<tr>
<th>Undergraduate Enrollment</th>
<th>Graduate Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recruitment and Admissions</td>
<td>Marketing (by Program)</td>
</tr>
<tr>
<td>Price</td>
<td>Price</td>
</tr>
<tr>
<td>Financial Aid</td>
<td>Service</td>
</tr>
<tr>
<td>Retention Strategies</td>
<td></td>
</tr>
<tr>
<td>Service</td>
<td></td>
</tr>
</tbody>
</table>

Consider creating a spreadsheet that will allow you to track key performance indicators. Table 1 on page 8 is an extract from the strategic enrollment indicators spreadsheet of undergraduate cohort data from 1995 through 2013. This multi-page document provides at my fingertips the historical data/trends, present state (Fall 2004), and future projections (five and ten years) for key performance indicators.

Assessment Process: Closing the Enrollment Planning Loop

After Fall term statistics have been finalized, enrollment leaders begin to analyze what transpired, and to answer the questions:

- Were the goals achieved?
- If not, why not? Should there be special actions implemented in the coming year to improve the result? Should the goal be altered?

When annual assessment becomes part of the institutional fabric, the results will be used to inform and influence decisionmakers. This information may result in the redistribution of existing resources or the investment of new resources.

How Does the Assessment Process Work?

Decide What Is to Be Assessed: Review your enrollment plan and look at the items listed as goals. If critical for achieving the institutional vision, then the goals and

Student Outcomes: While the student profile focuses on “inputs,” this category is looking at key factors that provide evidence that progress is being made on achieving educational learning or outcome goals.

- Persistence rates for first-time full-time freshmen
- Graduation rates
- Degrees and/or certificates awarded by major, minor, and/or program
- Time to degree (number of terms)
- Student debt load at graduation
- Student default rate

Net Revenue: This is a key concept for enrollment leaders to understand and embrace. One definition is noted below as an equation:

\[ Net\ Revenue = Gross\ Tuition - Discount \]

The discount is any institutional tuition dollars or other funding sources used to support student financial aid.

While achieving headcount goals are important, from a business perspective, and particularly for private institutions that are tuition driven, it is more important to hit the net revenue goal than the headcount goal. When the fiscal net revenue goal is exceeded, new resources become available for re-investment in institutional priorities. When the net revenue goal is missed by a significant margin, then central administration is likely to reduce expenditures to make up the difference, which may result in faculty or staff downsizing.

Executive Summary and Strategic Indicators

While the enrollment plan outlines the strategies, tactics, resources and key performance indicators, an executive summary provides a high level overview of the plan’s most critical components and clearly identifies each area of the plan (e.g., undergraduate, continuing education, graduate programs, etc.). The audience for the executive summary is typically senior administrators and should be written succinctly, drawing attention to the key factors of the plan.

Enrollment Drivers: On what will success be measured?

- Enrollment drivers will be unique for each institution, depending on its vision statement and market niche.
- At Seattle Pacific University, the undergraduate enrollment drivers are managed growth, new student profile (selectivity), six-year graduation rates, and net revenue.

Situational Analysis: What internal and external threats, challenges, and opportunities face your institution? Consider how the following areas may impact the enrollment plan if there are significant changes in the:

- Local economy
- State or federal regulations
- Curriculum (may lengthen or shorten time to degree; alter quality of learning experience, etc.)
- Competition for prospective students

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accompanying strategies should be assessed. Table 2 provides an example of one key performance indicator that is annually assessed—size. Through the strategy of managed growth, the university’s goal is to increase the undergraduate Fall headcount to 3,000 matriculated students. The subsequent cells demonstrate how frequently this goal is assessed, what is assessed, and the methodology or tool used in the assessment.

**Develop the Assessment Process:** After deciding what goals and strategies are to be assessed (remember, not everything needs to be assessed), then identify:

- How frequently will the assessment occur?
- What will be assessed?
- What methodology or tool will be used to conduct the review? Be sure these documents are maintained to demonstrate that your institutional process was followed.
- What results will influence future decisions about the enrollment plan? In the case of size, missing or exceeding the Fall headcount goals impacts faculty FTE, university housing, campus parking, etc.

**Recording the Assessment Results:** This information should be maintained for the annual accreditation visit. Decide how to document the process and record the outcomes.

- Were the annual enrollment goals outlined in the plan achieved? If goals were missed or exceeded, why did this occur?

- Based on the overall assessment, how are the goals and/or strategies to be revised? Whose approval is required to make changes to the plan?

**Enrollment Management: Staying Focused to Achieve Goals**

Regardless of whether you are creating your first enrollment plan or revising your current plan, challenges await for all of us as we navigate new ideas through our campus communities. No matter where you are on your path, I encourage you to:

- Focus on what’s important—Be Vision Centered
- Build strong working relationships with key leaders
- Focus on strategic indicators (institutional and enrollment)
- Annually assess and update enrollment plans
- Communicate successes to the community
- Finally, make a personal commitment to remain energized and open to change; take time to invest in yourself and others, including your staff.

**ABOUT THE AUTHOR**

Janet Ward is Associate Vice President for Information and Data Management at Seattle Pacific University (WA), and has been at SPU since 1988. She has over 20 years of experience in higher education administration, has been active in AACRAO since 1989, and was Past-President of the Pacific Association of Collegiate Registrars and Admissions Officers (PACRAO).
There can be no dispute that it is time for colleges and universities to stop using student social security numbers (SSN) as ID numbers. Even in states that have not enacted laws to prohibit this practice, it is clear that the risk of identity theft and the vulnerability of data systems dictate that institutions of higher education address the need for change in this area. Over the past years, breaches in computer systems, both within higher education and in the financial world, have kept the topic in the headlines and further support the need for the higher education community to address the problem. While it is appropriate and even required that colleges and universities collect the SSN for several reasons (e.g., federal financial aid and payroll), it is no longer acceptable practice to use the SSN as an ID number. So, how can colleges and universities undertake a successful conversion process?

At the University of Oregon (UO), an integrated computer system (Banner) has been in place since 1989. Students, faculty, staff, vendors, visitors, and others have all had records created in the system keyed to an ID number; and until 2002, typically that number was the SSN. Concern about this practice had bubbled to the surface occasionally over the past dozen years; students and staff who wanted to use an ID number other than their SSN were afforded the opportunity, but only if they asked. Over time, and with the growing number of stories about identity theft and about serious security breaches among institutions of higher education, the Banner Coordinating Group (BCG) on the UO campus decided to put together a task force to investigate the benefits and challenges of implementing the use of generated ID numbers at UO. The task force was led by the Computing Center and originally included representation from Student Financial Aid, Admissions, Registrar’s Office, Payroll, Human Resources, ID Card Office, Business Office, and the Library.

The task force came together in November 2001 to look at the feasibility and desirability of change and quickly concluded that the change should be implemented; only the question of resources would dictate how and how quickly the changeover could be accomplished. Key to changing the ID numbers of students, faculty, and staff was also changing their UO ID cards at the same time, as a myriad of UO business processes were tied to the ID number via the ID card (meal plans for students, card-entry access to buildings, library check-out systems, recreation center admittance, and time-card systems for some student jobs, to name just a handful). One concern was that aging ID card equipment could not handle the volume of recarding the entire university all at once; there could be disruption of services to students and faculty alike, and negative goodwill ramifications. Cost estimates for a one-time conversion came in at $90,000. Due to these concerns, a strategy for a phased changeover was recommended. Here’s what happened next.

**Gaining Necessary Approvals**

In mid-November 2001, the task force presented its report and proposal to begin a phased conversion to the BCG. BCG members asked for additional information about why UO could not implement a one-time change. The task force went back to the drawing board, did more investigation, contacted institutions that had managed an all-at-once conversion, recalculated the costs for a one-time process, and returned to the BCG in mid-December 2001 with the same phase-in recommendation. During Winter term 2002, BCG forwarded the task force report to central administration, and gained approval to move forward.

**The Task Force Becomes an Implementation Team**

Once approvals were in place, the UO Generated ID Committee began to meet on a regular basis, usually twice per month. Immediate goals were to begin the phased transi-
tion to generated numbers, remove the ssn's in the Banner system from view/use as much as possible, but still provide the ability for core office staff to locate records based on ssn if necessary.

Analyzing the Process and Developing a Strategy

Of first priority was to cease creating new records in the Banner system using ssn's. Beginning July 2002, no new records were created in Banner using ssn's. The UO Generated ID Committee identified all offices that typically created new records or uploaded new records directly into the system. All processes, both manual and automated, were reviewed and revised to create records with a generated number.

The few previously generated numbers at uo already in the system began with 950 and were one-up. The UO Generated ID Committee decided to continue to use that series of numbers in a one-up (rather than randomly generated) method; the 950 numbers do not conflict with ssn's, they do not contain alpha, and they are the same length as an ssn. (By the way, other Oregon University System universities are also assigned a generated number series, e.g., 940, 930, etc.) There was some initial concern that if uo implemented a one-up system, that current staff and students getting a new number might be able to guess the uo id number of a classmate or colleague in line next to them. However, because there are so many offices and processes that create new records in Banner, this did not pose a problem.

Banner forms beginning with version 5.4 were modified so that all new records could only be created with generated numbers. As a failsafe, Banner was also modified so that a record with a generated number could not be changed back to an ssn, nor could one generated number be changed to a new generated number without computing center help. The UO Generated ID Committee identified all offices that create “person records” in Banner and documented those processes. Both manual and automated (tape load) procedures were modified in order to begin assigning generated id numbers to new records. While tape load procedures (uploading financial aid records; gre, sat, act, toefl test scores) had to be re-written and tested prior to implementation, several offices were immediately asked to begin creating manual records with generated numbers.

A Dual Process: Inputting New Records and Changing Old Records

By fall 2002, Banner 5.4 was installed and all new processes and procedures needed for implementation were in place. The Admissions Office had begun to process applications for fall 2003, and were assigning generated id numbers to all applicants. Of course, most applicants were already in the system as recruits with ssn's, but admissions staff changed those numbers to generated numbers and informed applicants of their uo id number in their initial letter. Other new records were also being created in the system for new staff, new non-matriculated students, and others, all with generated numbers. Once new records were no longer being created with ssn's as ids in Banner, it was time for the UO Generated ID Committee to turn its attention to converting over all current records.

Updating their id card at the same time was key to converting current staff and student id numbers. Unless both could be accomplished at once, staff would be unable to get into locked buildings, students would not be able to eat meals in the residence halls, patrons would not be able to check out library books, students would not be able to enter the rec center, and some student employees would not be able to use their timecard systems.

The UO Generated ID Committee decided it only made sense to create a one-stop process whereby the staff/faculty or student could get both a new generated number and a new id card in the same place at the same time. A new Banner form was created just for the ID Card Office to support this process. Staff and students who were ready to change would go to the ID Card Office, turn in their old card, get a new number and a new photo id, complete with a new photo, on the spot. Staff with key-card access additionally made a single phone call to the Department of Public Safety to ensure their building access was current; students with meal plans made an additional stop at their housing desk to ensure that their meal plan was updated to their new card.

With this new Banner form ready to go, the UO Generated ID Committee considered several factors when planning their next strategy:

- There are considerably more students in the system than there are staff.
- Students have a regular and natural attrition out of the university; about 4,500 students graduate each year.
- Students lose their id cards at astounding numbers; data indicated about 5,000 replacement cards were made each year for students.
- Staff are more likely to take action when asked/invited to participate in the process.

For these reasons, the UO Generated ID Committee focused next on two cohorts: students who lost their cards and faculty/staff. The first part of this plan came naturally; when students visited the ID Card Office to replace a lost card, they were automatically given a 950 number. Only rarely was a student upset about this process; most understood the risks involved with using ssn's and appreciated the University's efforts to make the change. Prior data indicated that this process alone would take care of about one-fourth of the student population in the first year.

The Staff Phase

To get started with the staff phase, members of the UO Generated ID Committee volunteered their office staffs as guinea pigs, and in December 2002, staff from these core offices began visiting the ID Card Office on designated days.
The process was painless; the entire time commitment (including walking time to the Erb Memorial Union and back) was about fifteen minutes. By the end of that month, all core office staff, including student employees in those offices, had new generated ID numbers and ID cards. This trial period gave the ID Card Office an idea of how much traffic they could handle on a given day.

Two UO Generated ID Committee members (from the Payroll Office and from Human Resources) created a plan to invite all university staff, department by department, to change to new ID numbers. An initial letter was sent to all 150 academic and administrative departments informing them of the overall plan; those who were next in line were then invited to visit the ID Card Office in particular weeks. Invitations were sent to the payroll officers in each department; those persons were responsible for getting the message out to their colleagues.

The invitation applied to faculty and staff, but not to graduate teaching assistants or student employees. Invitations continued to be rolled out throughout the year with a very high compliance rate. Academic departments were slotted in during the academic year when faculty were more likely to be on campus and able to participate. Administrative units such as Athletics, the Library, and other service offices were invited during the summer. Orientation periods and the first two weeks of classes each term were “blackout dates” and no invitations were extended; student traffic was heavy during those time frames (due to new student cards during orientation and replacement cards during the first two weeks of classes).

Simple data warehouse queries enabled committee members easy access to data about conversion progress during the staff phase. By the end of 2003, virtually all staff and faculty had been through the conversion process. Even staff who worked shifts at times opposite those of the UO ID Card Office managed to find time to go and get their new numbers and cards. By the end of 2003, only a small number of adjunct and emeriti faculty still had SSNs as IDs. Ultimately, these last few numbers were changed by the Payroll Office and the employees were informed via e-mail.

THE STUDENT PHASE

Once the staff phase neared completion, the attention of the UO Generated ID Committee turned to the student phase. From the time the process first began, thousands of new student records had been created with generated numbers; thousands more students had graduated and left the university; and still thousands more had lost their ID cards and subsequently received a generated number with their replacement ID card. By January 2004, about 12,000 of the currently
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enrolled students already had generated numbers. That left another 8,000 plus students still using SSNs.

While UO wanted to work quickly through this remaining population, the UO Generated ID Committee did not want to create a stampede at the ID Card Office. So, in a plan similar to the staff phase, the UO Generated ID Committee member from the Registrar’s Office devised a calendar for inviting students individually. Because the Registrar’s Office has a strong network of departmental partners, a department-by-department approach was implemented. Departmental partners were contacted with information as their turn came up; however, in the student phase, the Registrar’s Office sent the invitations to the individual students via e-mail. Central invitations using data from the Student Data Warehouse gave a consistent message to students and saved departmental partners the need to find the correct population to be invited. Beginning early 2004, approximately 450 students were invited each week to visit the ID Card Office to get their new ID card and number. The following week, a second invitation/reminder complete with a short FAQ section was sent to the prior week’s list (to those who had not already changed) and a new group of students were invited.

Over the course of Winter term 2004, over 4,000 e-mail invitations were sent directly to students. A surprisingly low number of e-mails bounced (about 4 percent). A pattern quickly developed in which very few students complied with the first invitation the first week, with considerably more students taking action following the reminder e-mail. Still, students did not in general, respond as well as staff. After three months, only about 1,500 students had made the change, leaving 6,500 students still needing to get their new numbers and cards. Of these students, about 75 percent were juniors and seniors. Many students, especially the seniors, responded to the invitation with a “Thanks, I’d rather not…I’m graduating pretty soon and I don’t want to have to remember another number…I’m emotionally attached to my ID number and I don’t want to have to turn it in.” A few students replied with a sincere thank you for offering the opportunity.

Several other unexpected results occurred: One student’s newly assigned number included a series of three “6” digits. The student adamantly refused to have 666 in her ID number. Since it was not possible to simply create a new number for her, the computing center was called upon to reassign a different number to her. The Law School ran into issues with registration time (registration priority is assigned by the last three digits of the ID number) and needed to update their database.

With spring break on the horizon and the Spring term 2004 about to begin, invitations to students were suspended. The Card Office expected to change a large number of student numbers due to lost cards following spring break. Beginning in mid-April, the remaining students were sent invitations and a new “annoyance” message was implemented on the Web. Students still using their SSN as an ID were presented with a reminder/how-to message each time they logged into the Banner Self-Serve system, DuckWeb. This message was very effective in reminding the remaining students to change or be changed!

While the goal was to have all students changed before Fall term began in 2004, the slow student response made that doubtful. The UO Generated ID Committee decided to give students one final term to change their IDs and then change them manually. Messages on DuckWeb and e-mails to students continued until January 2005. At that point, there were only about 500 students still unchanged. Staff in the Registrar’s Office changed those remaining student numbers manually at a clip of 50 per day. E-mails were sent to the students, telling them how they could find their new number in DuckWeb and reminding them to go get a new ID card.

Now that the currently-enrolled student phase is completed, the UO Generated ID Committee has additional work to do. There is a groundswell of sentiment on campus that all records of prior students and staff in the system be converted. Current information indicates that there are over 500,000 records in Banner with SSNs as IDs. A significant number of these records are recruits, some of which can be purged. However, several hundred thousand records are those of former students and staff. The UO Generated ID Committee will be discussing ways to automate the change of these records and hopes to complete that in the near future.

Other Interesting Sidelights

Early on, it was apparent to the UO Generated ID Committee that several core offices would need regular reports listing all staff and students who had changed their numbers. Such a report would support necessary business processes dependent on the UO ID number by allowing departments to sync paper and non-Banner data systems. For example, the Registrar’s Office stores some paper records in student file folders; as students changed their ID numbers from SSNs to generated numbers, the Registrar’s Office wanted to update the file folders with the new labels. The health center wanted to update both their paper and electronic records housed in a stand-alone system. The library also has a stand-alone system and needed to update their database.

A report was written in Banner and access to that report was given to appropriate individuals. Some offices chose to run the report daily (the health center, for example). The Registrar’s Office ran the report weekly, merged the data (in Excel), printed new labels, then updated the file folders. This was labor-intensive and time-consuming work even for one office. Universities cannot overlook the impact that this change process has on other university offices and the resources required to keep up with the changes in a timely fashion so that services are not denied.

A related issue was student financial aid’s filing system. Traditionally, UO’s Financial Aid Office filed their paper files...
by terminal digit (last four digits of the SSN). While financial aid offices have legitimate need to collect and use the SSN in their work, UO’s Financial Aid Office decided to cease printing the SSN on student files, and therefore, to cease filing by terminal digit. Considerable time and expense was spent in re-labeling and re-filing thousands of financial aid files in alphabetical order.

UPDATING PAPER FORMS
A concerted effort has been made to include the term “UO ID” in lieu of “SSN” on all paper and electronic forms, instructions, help text, in printed catalogs, schedules, and Web sites. The only exception was in cases where the SSN was specifically requested. Core offices who served on the UO Generated ID Committee were able to begin addressing this issue early on; most business office, student forms, and printed matter were updated quickly. This process, however, took longer for academic and other administrative offices. Members of the UO Generated ID Committee agreed to keep an eye out for old language on printed and Web forms and then simply pointed this out to offices as cases were discovered. Because all staff ID numbers were converted first, staff have been more than willing to follow suit with the core offices and have changed their materials to reflect the new desired terminology.

Conclusion
For those of you who have not stopped using SSNs as identifiers, you may want to consider undertaking a change process soon. As you can see from the University of Oregon’s experience, the change can be a long and laborious process and not without cost. However, the end result is a more secure identification system that is FERPA compliant and protects your students, faculty, and staff.

ABOUT THE AUTHOR
Sue Eveland has been Associate Registrar at the University of Oregon since July 2001. Prior to that, she was Assistant Director of Enrollment Services at Iowa State University, where she served for seventeen years in a variety of roles including with the registrar’s office, admissions, and enrollment management. Sue is President of ORACRAO (Oregon ACRAO) and is also active in PACRAO, currently serving on the Local Arrangement Committee for the 2005 annual meeting and conference.
Chronologically, you are at mid-career. Please describe your professional journey, beginning with your graduate work and culminating with your current vice presidency position at DePaul University.

I entered higher education administration right after my undergraduate studies because in the most general sense I was just naturally drawn to life in an academic setting. As a philosophy major, I had become intrigued with what happens to young adults as a result of the college experience—especially in how people develop in levels of moral reasoning and critical thinking—and I was interested in how colleges could be more intentional about shaping that experience and thereby improving student learning and development.

I began as a researcher inquiring about students, their experiences, their backgrounds, attitudes, opinions, enrollment patterns, and developmental changes during college. As I was completing my masters program in Higher Education Administration at The Ohio State University, I published results of some research I had completed there on the impact of residential communities on student developmental outcomes. That research brought me in touch with Dr. Charles Schroeder, who was then the chief student affairs officer at Mercer University, and was engaged in similar research. Charles, more than any colleague I've ever known, was a leader with a real passion for data. He was driven to use information, data analysis and research in improving the quality of campus life, student programs, student learning outcomes, enrollment profiles, and the entire institutional experience.

As a result of our common interests and inclinations, I joined his team—first at Mercer and then at Saint Louis University—to develop an institutional research function focused solely on students: student development, student programs, student characteristics and experiences, enrollment patterns, and so on. In the early 1980s, he and I built a comprehensive and innovative research program recognized nationally as a best practice model of student-centered assessment and analytic inquiry in a student affairs organization.

As my research agenda grew and my own interests broadened, I began doing market research, admissions validity studies, geo-demographic analysis, retention research, and financial aid leverage analysis—all the kinds of things now considered fundamental parts of enrollment management, but which in the mid-1980s were far from common. We were doing this innovative analytic work before there was much discussion at all about enrollment management in higher education.

It was also at this time, while working at Saint Louis University not only in leading that research function but also co-leading the implementation of campus-wide student information systems, that I also completed my doctoral work in public policy analysis, studying particularly with Drs. Jim Gilsinan and Brian Nedwek. My doctoral studies helped to both broaden and to undergird my understandings in two areas that have shaped all of my subsequent work. First, my studies addressed how social, economic, political, demographic, and market realities create a context within which complex organizations—including colleges and universities—exist, survive, and thrive. Second, my studies and my dissertation focused...
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on how information is used in policy and decision processes in complex organizations, and how information can be used to lead organizational change. I think anyone who has worked with me or heard my conference presentations can easily see the continuing influence of those graduate studies in how I approach the enrollment management challenges of the campuses where I work and where I consult.

In the late 1980s, Fr. Larry Biondi became the president of Saint Louis University. President Biondi was interested in a more aggressive enrollment plan as part of his vision for the University. So he turned to Dr. Schroeder (who was vice president for student affairs at the time) and asked him and his team to develop an enrollment management model—again something that was still very new in higher education. Between them, they concluded that as a policy and data analyst and researcher, I seemed to know more about the dynamics of our student enrollment than anyone else. They charged me with researching and developing a model and an organizational structure for enrollment management, and subsequently asked me to lead SLU’s first Division of Enrollment Management. So it was that foundation in research and analysis that led to my first senior administrative role and assignment—a foundation that still characterizes my approach to enrollment management today.

Since leaving St. Louis University in 1993, I have subsequently had the good fortune to lead the enrollment strategies and enrollment management activities at two fine universities with inspiring missions: Xavier University in Cincinnati and now DePaul University in Chicago. Both universities already had reputable and successful enrollment management teams and organizations in place. Both also had presidents and chief academic officers (Fr. James Hoff and Dr. James Bundschuh at Xavier and Fr. Jack Minogue and Dr. Richard Meister at DePaul) who were broad thinkers and bold planners, were not content with the status quo, and were looking for new perspectives that would take their institutions in new directions. I’ve been fortunate to have the opportunity to help lead those efforts.

Can you discuss further your career progression and the reputation you have for being one of the more innovative and influential voices in defining Strategic Enrollment Management in American higher education?

I think what is notable is that unlike most of my colleagues who have reached a leadership position in enrollment management, I have never actually done the professional work of any of the functions in the divisions I’ve been privileged to lead. I have never been an admissions officer, never worked in financial aid, never been an advisor, never been in records administration and registrar work, never been a career advisor, and certainly never done any kind of marketing or university relations work.

While some may conclude that makes me wholly unqualified to do the job I’m now doing, I think it actually gives me a particular and unique qualification to lead an enrollment management effort. Here are three examples why. First, it forces me to hire and retain top flight professionals in these functional areas who are able to direct and manage all those critical and complex activities. These individuals must have the requisite experience and background to be at the top of their profession because I can do so little to assist them, instruct them, or mentor them in their specific work. I believe the type of senior staff who works best with me are individuals who relish autonomy and independence in leading their units because inevitably that’s exactly what will occur anyway. I’m not remotely capable of micro-managing those functions, even if I was so inclined.

The second consequence of this atypical professional career path where I have not had any actual experience in functions reporting to me, is that I tend not to be blinded or bounded by some of the traditional perspectives that characterize certain professional efforts or activities. The value of any “profession” is that it offers a set of guidelines, procedures, and principles designed to standardize practice in that field. It is absolutely imperative to have these professional standards in place, especially in areas as complex as student records, financial aid, admissions, and others. When it comes to the broader enrollment management task, however, those very same professional lenses that serve us so well in some situations can become blinders in other situations. Our professional allegiances and alliances are valuable lenses that bring issues and problems and solutions into sharp focus but they simultaneously blur or block from our view the possibilities of other perspectives. When one sees the world only through the lenses and language of one’s profession, then one’s work is focused on solving the problems which those lenses help you see and which that language helps you articulate.

Many of the most significant and seemingly intractable challenges we face in institutions of higher learning today don’t fit readily within the parameters of existing professional frameworks; the real challenges and the corresponding opportunities are those that either transcend those traditional structures or result from a blending and/or bleeding across those boundaries. The fact that my foundational experiences were not originally grounded in any of those traditional professional tracks means that while I am not completely versed in the work done in those critical areas, I benefit from the naiveté that results, a perspective which I believe sometimes opens new vistas and new opportunities for innovation and institutional change.

The third consequence is that I believe this career path has enabled me to contribute a great deal to the defining and redefining of enrollment management in higher education. I have had the opportunity and privilege to keynote dozens of Strategic Enrollment Management (SEM) conferences sponsored by AACRAO and other organizations—and those presentations typically focus on how to conceptualize the nature of SEM. It’s quite natural that anyone’s primary allegiance is to their professional roots and EM leaders with backgrounds.
in admissions or student affairs or student records tend to reflect that background and heritage in the way they define, design, and do EM. Perhaps since I have no traditional professional allegiance or heritage, my focus is on SEM as SEM— viewing it and defining it independently of any of the specific functions that tend to comprise it.

So my professional career track has not been like moving up a ladder of professional responsibility in any traditional sense. And whatever reputation you kindly suggest that I have for bringing innovative perspectives to the national dialogue about this important work results in all likelihood from the fact that I have long been a bit out of my element in this work. As someone once said, it would hardly be a fish that would discover the existence of water.

I have known you to be working late at night, as well as early in the morning, sending e-mails at all times of a 24x7 day as an example. Describe how your day typically evolves at DePaul University.

Sleep is overrated! But it is not about long hours or any great volume of work to do, since I have no more or less to do than anyone else I know. I think my calendar has more to do with my personality. Part of it is because, as a night owl who does his best creative thinking late at night, I get everybody else in my family to bed and then I get back to work with a second wind after watching Jon Stewart on The Daily Show.

But what really creates the reputation for late hours is how I choose to use my time during the day. It is only during typical office hours that I have the opportunity to interact with my staff and my colleagues. If I were to fill up that time with writing memos, editing documents, preparing reports and doing all of that “solo work” that one has to do, I would miss the opportunity for interaction with colleagues. And that interaction is what the workplace is really all about. It is the social interchange throughout the day that gets things done and moves things along in an organization as complex as today’s university.

What characterizes my typical day is the access that I try to retain and the flexibility I fight to protect so that I can address things “on the fly” with staff and colleagues, so that we don’t have to wait two weeks for a regularly scheduled meeting just to discuss a new idea. Now, admittedly, maybe that is a lame rationalization for my inherited tendency to be hopelessly and completely disorganized. Despite the fact that I have a stellar support staff who keep things afloat, the single most productive moment for me is ‘the last minute’ since that’s when everything usually gets done. But I do try to keep my day as open as possible, trying to avoid too many committees and regularly scheduled meetings. I have one weekly staff meeting with my extraordinary senior leadership team, and of course I sit on any number of campus leadership councils and committees. But otherwise I try to keep the typical day open and flexible and responsive to walk-ins and drop-bys—which then results in a lot of the more “solo” work being done at night.

When reading your many articles or viewing your presentations, your impact on the profession can be seen and EM “comes to life” with words such as: challenge, change, goals, influence, innovation, leadership, market position, politics, risk, strategy, and transformation. Which speak most to your view of enrollment management? What do you feel are the major impacts you have made on the enrollment management profession?

Those are indeed many of the words that populate my speeches and presentations at campuses and professional conferences. However, when one looks over all of the presentations I’ve given at national conferences over the years, I think at the core of what I talk about and teach about are “mental models” and the process of “framing” policy or strategic issues. It’s all about trying to identify, clarify, and bring to the surface the dominant mental models underlying the work that we do, to recognize how deeply ingrained assumptions and concepts determine what we perceive as problems, what we consider to be relevant information, and what we envision as opportunities and possibilities. I believe that framing and reframing the mental models that define our work is at the crux of institutional leadership, of strategic change, and certainly of enrollment management. I think that’s the common denominator in what I have written, what I address in my presentations and consultations, and what is hopefully at the heart of whatever impact I have had in the institutions where I have worked.

For example, look at the sea change in the arena of financial aid as institutionally-budgeted grants and scholarships have been redefined as tuition discounts to be optimized, not expenses to be minimized. For the longest time, the debate raged between enrollment managers and university finance executives about this very topic because the dominant mental models in financial affairs—reflected in professional accounting standards—would not allow for the logic of leveraging aid as a tuition discount for revenue optimization. A number of us fifteen to twenty years ago were developing and introducing the analytical models that are now fairly common and which were intended to reframe what was the traditional way of thinking of how financial aid is used to achieve enrollment goals. It was only when the NACUBO accounting standards changed to report financial aid as a discount off tuition revenue that we knew that the fundamental mental model of financial officers had been transformed. Aid leveraging and discount management is not just some new enrollment strategy that has emerged in response to competitive pressures on colleges and universities—it is much more than that. It is a new way of doing business that reflects, requires, and results from a fundamental shift in the mental models underlying university pricing and finance.

As another very practical example, at DePaul we have re-framed the way we think about the role of a career center as a marketing and enrollment strategy, to conceive of it not only as a student service but as a means to create career networks...
and strategic intersections for students, employers, and faculty and alumni. I know that many career center staff say they teach networking skills and sponsor networking events, but my team reframed the core purpose of the DePaul Career Center to be the creation and cultivation of networks. Once this mental model takes hold with staff, a whole new set of opportunities, possibilities, and staff roles and functions begin to surface. But this first requires challenging the traditional “mental model” that a career center is primarily a service delivery function for career development or placement outcomes. Only by reframing its core purpose could our career center embrace an exciting new strategy for creating career networks for students, employers, faculty, and alumni—all as a means of strengthening the institution’s enrollment outcomes, brand promise, and market position. And that new concept underscores why and how a career center is more strategically aligned with an enrollment management model than a traditional student services model.

Lately, my focus has been on bringing a market-centered perspective to enrollment management, trying to bring to institutions I visit and to professional meetings where I speak a more systemic appreciation for what it means to have and hold a competitive position in the marketplace of higher education institutions. With my colleague Brian Zucker, president of Human Capital Research, I’ve been sharing information that I hope provokes a perspective that can guide our thinking about enrollment strategy and enrollment outcomes, one which begins with an understanding of how the competitive and comparative position in the marketplace in fact determines the very outcomes that institutions seek in an enrollment management effort. Retention and graduation rates or diversity and discounts, for example, can all be understood as the predictable outcomes of an institution’s market position rather than the results of any singular thing its admission or enrollment management offices do. This way of framing SEM as a market-centered enterprise seems to strike a chord with many institutional leaders—and is a particularly important perspective to cultivate with boards of trustees.

So the concepts of change, innovation, and transformation are certainly the underpinnings of how I view the role of a leader of enrollment strategy. But what I really try to focus on is understanding what the dominant mental models are that dictate how we view our work in higher education, the assumptions which in turn dictate how we act, how we respond to situations and challenges, how we plan and organize, how we allocate our resources, and how we define success. We all need to continuously tackle those deeply held beliefs, concepts, and assumptions as things to be regularly surfaced, analyzed, challenged, and transformed. I think that is the way to achieve lasting and systemic change in organi-
Some of us know that sailing on Lake Michigan has become your favorite pastime since moving to Chicago. What would be the parallels between sailing a boat and leading an enrollment management process?

Sailing and enrollment management are both about agility and responsiveness, reacting adeptly to ever-changing conditions. They are both about charting a course and envisioning a destination, then making steady progress toward that goal even when prevailing conditions work against you and may divert you from the most straightforward or apparently efficient approach toward your objective. In both activities, you learn that there are things you simply cannot control and cannot change but to which you can adapt and thereby overcome if you’re patient.

I think both sailing and enrollment management tease you to seek out every last bit of performance from very complex and dynamic systems—and both reward you handsomely when you succeed in doing so. You learn how much impact you can have not by making huge sweeping changes in what you’re doing but by making modest adjustments and improvements—like letting out some sail or falling just a bit off the wind. Even a modest change in the trim of the mainsail can improve speed and performance substantially—and the same can be said in most dimensions of enrollment management systems where relatively small changes can reap great advantage. In both you learn that excitement doesn’t come from moving along conservatively with the wind at your back but by beating into the wind, sailing full and by, right on the edge of what you can control, bringing your craft to the peak of its performance. And in both, you learn that it’s only when you are moving forward that you can control what you're doing and where you're going; you can't change course while sitting in irons or at anchor.

I think there are also important lessons about teamwork to be learned in both sailing and enrollment management. It is important that everyone on the crew understands how the overall system operates, to know what everyone else is doing, and to trust everybody else to do their assigned task. Everyone needs to understand the goal or destination so as to not be working at cross purposes. And everyone should be prepared to take the helm if necessary. And, finally, everyone needs to remember, as I believe Thucydides said, “A collision at sea can ruin your entire day.”

Some institutions struggle with enrollment management, and while your articles are intricate and full of “aha” moments for the reader, the concepts are nonetheless understandable. What advice would you give on how to begin creating a culture of enrollment management understanding for the novice individual or campus?

There is no roadmap or set of instructions for effecting a change of culture on a given campus. The kinds of behaviors and norms that we tend to describe as ‘campus cultures’ are, like the mental models I mentioned earlier, the outcomes of deeply embedded assumptions and views of the world that aren’t easily changed. However, in trying to shape new understandings, which is what strategic enrollment management is really all about, there is a lot of value in remembering the Gospel parable of the sower. We diligently sow seeds of change, and some fall in the thorns of institutional politics while some fall in the rocky terrain of harsh financial constraints. But sometimes the seeds of change fall on fertile ground and you begin to see the fruits of your labor and reap the value of your efforts over time. And the payoff is sometimes far off in the future, so distant in time and place that you don’t know the difference you’ve made.

One of the most powerful ways you shape culture and effect systemic change is through information, bringing information to institutional leadership about market realities, enrollment patterns, financial projections, changing student characteristics, and so on. The way you define, analyze, illustrate, and present data and analyses can reshape reality, and challenge the status quo—or the prevailing campus culture, if you will.

For me, that starts with understanding how information is used. The scholarly literature in the field of public policy analysis discusses how the predominant use of information is not in how it helps solve problems or helps make decisions, but how it helps frame and define problems in the first place, and how it challenges prevailing myths and assumptions. The scholar Carol Weiss states that information’s primary use and value in complex organizations is when it “percolates into the climate of informed opinion.”

That’s a powerful insight into how change occurs. I often meet colleagues who bemoan all of the effort they’ve put into research and analysis and wonder why nobody actually ‘used it’. But if all we look for is a discrete decision that is discernibly different because of those data, then we’re likely to be disappointed in our attempts to effect change. But when valuable, relevant, and interesting information begins to percolate into the climate of informed opinion and shape the terms, the vernacular, the language of our workplace, then it’s working its magic. And subtly, almost imperceptibly, there begins the kinds of shifts in mindset that over a period of time can and will change cultures.

I can give countless specific examples and illustrations of how research that we’ve done at the institutions where I’ve worked—research about market position, about student expectations, about the impact of financial aid, about factors affecting retention, about alumni outcomes—have over time infiltrated into the language, the perspectives, the conceptual frameworks, the mindsets of critical institutional constituencies like the faculty, deans, executives, trustees, and so on. It has indeed percolated into the climate of informed opinion and over time it becomes the intellectual capital upon which they draw in doing their work. And thereby change happens.
And sometimes, as the snail told the police after being mugged by a turtle, “it all happened so fast.”

In the “Politics of Enrollment Management” article, you discuss influence (p. 154) “…up, down, and across the organization.” A few pages later (p. 157) you write, “If everyone agrees on what to do and how to do it, there is no need to influence others...hardly ever the case.” How can an enrollment management leader best influence others?

I recall the insights of Dr. Bob Silverman, professor of higher education at Ohio State, as he reflected 25 years ago on the fact that student affairs as a profession was constantly grappling and groping with issues about how they could be more appreciated, more valued, more readily recognized as being at the core of the university enterprise. Bob wrote a very provocative article in the Journal of College Student Development about the value that comes from not being at the core of a large enterprise, but from being on its periphery.

I think that article should be a “must read” for all enrollment management leaders. Because in enrollment management—whether it is a function, a process, a department, a division, or a person—real influence comes not from being at the core of what we are all about in higher education but rather from staking out a position on the boundary. When you are on the boundary, you communicate and articulate to the external environment the internal values and purposes and priorities of what that organization is all about. Simultaneously, only on the boundary can you scan that external environment and bring intelligence and perspective and information back to the core functions. The boundary of an organization is an exciting place to be.

In our industry, the faculty are at the core and will always be at the core of a university, and their primary activity is what higher education is all about, namely the functions of teaching, learning, and research. However, what Bob Silverman noted and what I’ve learned through my experience over the years, is that the core is not where real influence lies in an organization. Greater influence comes from being on the periphery, on the boundary. Enrollment management, by definition and in practice, is a classic example of a critical boundary-spanning activity. How we exert influence is precisely by not being at the core, but instead by being out on the edges of the organization, straddling the internal and external environments, striving to effectively translate one reality to the other.

In that same chapter you referenced I also tell of a story I once encountered about a university president who likened his campus to that of a cavalry regiment on the frontier in the old movie Westerns. He noted that real power at the fort didn’t rest with those who had all the trappings of power, who had the fullest breadth of command and held clear positions of authority. No, real power and real influence in the old Westerns rested with one person who had no obvious authority or apparent base of power at all and who wasn’t even part of the line of command—namely the scout. It was the scout who had none of the authority but all of the influence, since he was the one person who knew the terrain, who knew the enemy, who by living at the fringe of the organization had all the critical information and thereby the most sweeping influence. Those in formal command ignored the scout’s information only at their peril.

Strategic enrollment management is higher education’s equivalent of scouting, pure and simple. It’s about being attuned to market realities, about understanding students and parents and employers, about translating our internal and often arcane academic vernacular and idiosyncratic jargon to audiences that often speak an entirely different language altogether. It’s also about bringing to those at the core of the organization and those with the authority—be they the faculty or the executive leadership—valuable intelligence and insight about the competition and about the customer, market dynamics and demographic futures, about looming threats and new opportunities far off on the horizon or right around the bend. Therein lies SEM’s real influence and real value. And that’s also what makes it so much fun.

In “Tomorrow’s SEM Organization” you wrote of change (p. 188), using the book, Who Moved the Cheese? Instead of saying that it is the mice which resist change, you described the organization as most resistant. You explained how it is the rigidity of our staffing structures and the jobs themselves that are at the root of the challenges we face. Can you share a bit more about this organizational resistance vs. the individual resistance?

This comes back to the reality that organizations are the way they are due to how people think. To effect change in any complex system, you do not just move the boxes around on an organizational chart, or just manipulate goals and rewards. You start with the way people think about the work they do and as you shape the terms which frame the dialogue, challenge the prevailing myths, and offer alternative ways of viewing the challenges of the day, you effect change.

I fundamentally believe that work is a noble activity, and the specific work we do in the kind of industry we have chosen to be a part of is a particularly noble endeavor. And so I find it demeaning to liken it—even metaphorically—to mice in a maze, as has been done in the popular management literature. But the point you reference is my notion that the primary obstacle to change, to improving performance, or achieving goals is not that something’s wrong or deficient with the mouse or that something can be changed by moving the cheese (which represents the goals and purposes). Rather, it is the rigidity of the maze itself, it is the organizational structure itself that most often confines us and limits us to certain ways of approaching our work.

I went on to suggest that one of the unfortunate realities we face in our organizations today is that we are often seduced into thinking that a person’s primary purpose is
defined by their job. While it is important to do a job, the problem in many of our organizations is when you go from doing a job to being a job. When your role is solely defined in the context of a job description, you overlook many opportunities and fail to see many obstacles every day that do not fit squarely within the structure and focus of the job itself.

For example, when admission counselors think that their job is to recruit students, we need to remind them that while ‘recruitment’ may aptly describe much of their daily activity, that is not really their purpose. Their purpose is to work jointly with broader institutional efforts to enhance the university’s market position among high school seniors. The number of students, the quality of students, the diversity of students, the price that they pay and their discount, their mix across academic programs—are all a function of and reflection of the institution’s perceived value and position in the market. Student recruitment strategies are an important part of the enrollment process, to be sure. But to compartmentalize our staffs’ tasks within the confines of jobs defined as “student recruiter” ignores that in reality the freshman enrollment is a function and a reflection of so many other things. If you only define the enrollment management task or purpose so narrowly, you miss the opportunity for real strategic change.

In “Changing Places,” (p.34) you discuss the dollars generated from alumni paying tuition for themselves and/or dependents. At some institutions, such as DePaul, these tuition dollars exceed the amount of monetary contributions they donate to the institution. Would you share some insight into this, particularly the impact for enrollment management at the institution?

This is a great illustration of what we were just talking about, of how structures shape and sometimes stifle strategy and the need for malleability or pliability in our organizations in pursuit of our ambitions. Our alignment of Enrollment Management and Alumni Relations did indeed attract a lot of attention about five or six years ago. But the real lesson there isn’t the specific organizational alignment but rather the importance of having organizational structure follow strategy, of recognizing how sometimes we unnecessarily constrain ourselves by allowing, vice versa, strategy to be dictated by traditional structure.

At the time, DePaul’s leadership and our strategic goals were oriented toward an enrollment growth agenda—and we based our planning on the assumption that an institution that is 80 to 90 percent dependent on tuition for its revenue should try to align with its enrollment growth strategy many functions that otherwise might be focused on other outcomes. Alumni Relations was a great example. We considered that the most significant benefit to the University from its alumni—and vice versa—was in the core business of academic instruction and career advancement, not philanthropy. The reality of this supposition was reflected in the fact that we generated about ten times more from alumni in tuition revenue each year as they pursued second degrees with us than from their annual charitable donations.

Consequently, my team and I were asked to develop a market-centered approach to alumni relations that would dovetail with an institutional strategic goal focused on creating professional networks to drive enrollment and tuition growth. Instead of beginning with what the University needed from its alumni, we began by focusing on what they needed from us. In other words, start from a market orientation that looked to sustain and extend the relationship that first brought them to the University. Despite the university being 106 years old, approximately one-third of our 100,000 alumni had graduated since 1990 and most of them were working in metro Chicago. We quickly learned that these alumni preferred to connect and reconnect with DePaul around issues relevant to them today, not around reminiscences of days gone by, and their interests today are almost exclusively related to career and professional development.

Responding to the desire of alumni for a career-focused reconnection isn’t the dominant mental model among development and advancement professionals, who I’ve found tend to see alumni as “prior students/future donors.” The traditional and deeply ingrained mental model guiding alumni relations at many institutions is one of fundraising, which is a valuable and necessary perspective, but not the only way of framing the institution’s relationship with its alumni population. It is certainly not the most effective perspective if alumni are primarily seeking professional connections and career-advancing opportunities through their relationship with their alma mater.

So we explored and introduced new organizational models that aligned alumni relations with the career network initiatives I described earlier, as well as with our integrated marketing efforts in EM. We reframed the alumni strategy, shifting from an exclusive focus on traditional alumni clubs or associations designed for those who want to come back and reminisce together or rally around athletics, and focusing more on building alumni career networks where they could reconnect with the University around issues that are pragmatically relevant to their career today. And, as is typical of marketing and enrollment management approaches, we developed a comprehensive set of metrics much broader than the gift receipts previously tracked. The gains we realized in alumni participation, broadly defined and measured, were remarkable.

Recently, a new president and new board leadership are recognizing that DePaul has not taken fundraising as seriously as we should as part of our institutional strategy. One of the first things they are doing is affirming that if philanthropy is going to be more central to our strategy and our mission in coming years, various functions need to not only focus on that goal but be organizational aligned with it. DePaul will return to a more traditional development-oriented organizational structure that will build upon the new foundation my team created. But again, I think the real lesson here—and a great example of DePaul’s agility—is that
any organizational structure and organizational alignments follow from strategy, and not vice versa.

Steven Covey may promote “Start with the end in mind,” but based on your experiences and writings, can that really occur within enrollment management, a seemingly constantly evolving profession critical to the future of an institution? In essence, can there even be an “end” or is it part strategic planning, part good fortune, and part talent?

Of course it is paramount that we begin with an end in mind, but the end that matters isn’t an end in a temporal sense like a finish line, as you suggest. It is the end we all have in terms of the purposes that define us. What is the core mission that guides what we do? What is the overarching reason we have for doing what we are doing and being what we are being at our institution? The end that matters is not some distant or final objective but rather the end that we realize every day, and in every way.

Enrollment management is an enabling perspective and process by which institutions realize their core missions and fulfill their primary purposes. I have been fortunate to work at institutions that have noble and inspiring missions—and I’ve been very intentional about those choices. Being continuously clear about how that mission dictates all that we do in enrollment management is important to me and to my colleagues.

But what we do in enrollment management is not just support an institution’s pursuit of its mission. What we do is force ourselves, our colleagues, our executive leadership and our faculty to grapple with the consequences of mission-based values and visions. It is in and through our enrollment management strategies that we clarify how the university’s mission is manifested. It’s reflected daily in the decisions we make about the kinds of students we enroll, the kinds of academic programs we support, the way we price ourselves, the way we aid students, the kinds of services we offer, and the kinds of outcomes we celebrate. In all these things, enrollment management is the crucible within which we grind out what those principles and purposes are really all about.

Keeping the end in sight requires that you embrace the institution’s mission as something more than rhetoric. A mission is the litmus test for where you spend your dollars, who you are trying to enroll, and how you measure success in achieving enrollment goals and student outcomes. If you are holding out for some distant gratification when some final objective but rather the end that we realize every day, and in every way.

Well each and every institution and each and every vice president of enrollment management has their own particular set of challenges to be addressed—challenges that justify having a salary attached to these roles and responsibilities. Discussing those would be a book unto itself. But I often think the most persistent challenge I’ve faced and continue to face is resisting the push to make ‘enrollment management’ into something that it is not. When I hear EM defined as a profession in its own right, or defined as a set of tools and techniques, or even a prescribed skill set that actually warrants calling someone an “enrollment manager” as your question posed—well, I worry about what that suggests about the work we do.

I visit institutions that insist they are doing enrollment management because they are leveraging their aid, employing predictive modeling, implementing CRM systems, and so on. And we all know that there are ample consulting firms adding to this celebration of technique. While I recognize that in any endeavor the tools define the trade, is that really what we consider EM to be? And isn’t it critical to ensure that how a college or university pursues its optimal enrollment profile isn’t somehow delegated or relegated to someone called an “enrollment manager” and thereby disconnecting it from the fundamental academic enterprise? That’s what I’d identify as a challenge of the first order.

But your question about the dominant challenges facing enrollment management in higher education today really hits the nail on the head, recognizing that the most daunting challenges are not within but rather outside the institution. They lie and they lurk in the constantly shifting terrain, the ever-changing social, economic, political, and demographic landscape of higher education. The truly strategic enrollment management process continuously monitors that external environment and, like a beacon, focuses the institution’s attention on what lies ahead, on the challenges that are distant from the pressing demands of the immediate management crisis. A strategic orientation enables us to escape the tyranny of the urgent over our time and energy and attention, and to focus on less immediate but more insidious challenges. Your question should remind us that the primary threats we all face do not come from some sudden and perhaps unanticipated catastrophic events, like the recent tsunami. Rather, like global warming, the primary threats result from long term, almost imperceptible changes in our environment that can trip up both the complacent and the clueless.

For example, in terms of the access challenge in American higher education, our focus shouldn’t be on President Bush’s agenda and what it may do to Pell Grant eligibility. Rather, it must be on the slow but steady shift in this nation’s view of higher education from being a public good worthy of public investment to being a private benefit where the cost is primarily and appropriately borne by the student and/or parent.
More insidious than the threats posed by any current or specific legislation are the broader changes in how we view the benefits of higher education. And this is happening, ironically, when the broad economic returns to communities, cities, states, and societies of an educated citizenry are increasingly apparent.

A related example is the raging debate about U.S. News & World Report. The primary challenge isn’t in these rankings themselves that are now the compulsive focus for so many of our presidents and our boards. The fundamental challenge is what gives rise to such rankings in the first place and pre-dates U.S. News. It is the systemic reality of how our entire education system is in rabid pursuit of prestige, investing in an unrelenting arms race to improve prestige for its own sake, regardless of its effect on the quality of student learning. It is the long term and pervasive stratification of the higher education marketplace that heaps disproportionate attention and value on a few institutions that serve an extraordinarily privileged few students, institutions whose distinction lies in their exclusivity, and whose primary claim to fame therefore could be cynically described as their success in making silk purses out of silk.

There is a significant challenge for enrollment management in this regard, because those of us who lead these processes are culpable either by active intent or indifferent passivity, in perpetuating this perspective. Listen to the increasingly indignant protests about the commercialization of higher education marketing rising from professional gatherings of admissions professionals, financial aid professionals, high school guidance professionals, and the like. Or, read the voluminous literature on the condition of access in higher education and the diagnoses therein of the root causes of this persistent social dilemma. You will see and hear that many view ‘enrollment management’ and the marketization of higher education as the co-conspiring villains in the erosion of integrity, equity, and ethics in this arena.

These critics fail to see that these, like many of the other examples in your question, are the natural result of market forces shaping the academy. Perhaps invading the academy is a better descriptor for how many educators view today’s environment, suggesting that heretofore our institutions were citadels insulating the academy from the market. They aren’t that now, and never were.

In this sense, I would say the challenge we all face is what Robert Reich once pointed out: “In the corporate world, it’s dog eat dog; in the academic world, it’s just the opposite.”

What advice would you provide others who are considering a career transition to enrollment management, or preparing for an increased role within enrollment management?

It’s an interesting time in higher education administration right now for strategic marketing and enrollment management leaders. First, the practice and perspective of enrollment management has become common enough and valued enough over the last 25 years that universities realize the need for experienced leadership in this arena. The number of searches each year for leaders with significant years of relevant experience is growing. Since the number of searches exceeds the number of qualified candidates, one must conclude that it is a very promising career path.

But it’s clear that we’ve not done all we need to do to groom younger talent for EM leadership and create an environment that attracts them to leadership roles. We also need to broaden our reach to develop EM leadership from professional fields beyond admissions. It puzzles me that financial aid professionals, for example, are so quick to criticize EM practices and perspectives but they seldom choose to pursue the very leadership positions that would enable them to effectively shape that very practice. EM as a practice and a perspective would benefit from a greater diversity in the professional pathways from which we select our next generation of senior leaders.

Would it seem ironic, however, if I suggested in response to your question that one should begin by not seeing enrollment management as a career at all? EM is not a clearly bounded set of roles, responsibilities, tasks, talents or competencies. EM is a pretty richly variegated tapestry of professional roles and a fluid set of activities. I’ve long thought that the only consistent thing in EM across the terrain of American higher education is the inconsistency in how it’s conceived and practiced.

My advice would be that, like the scout in my previous metaphor, you always want to be in a position to anticipate and to respond well to change, taking advantage of opportunities as they come along. Enrollment management in American higher education today is such a fascinating and rapidly changing arena that any well conceived career plan is quickly rendered obsolete. Was it Eisenhower who said that “planning is everything but the plan is nothing”?

ABOUT THE AUTHOR

Dave Sauter is Assistant Vice President for Enrollment Management and University Registrar at Wright State University in Dayton, Ohio. While University Registrar at Xavier University from 1991 to 1999, he served as a member of the Enrollment Management Team reporting to Dr. Kalsbeek. Dave has been OACRAO President and has held leadership positions in both OACRAO and AACRAO, as well as presented at many professional conferences over the past twenty years.
Few phenomena in recent history have generated investment, debate, and analysis as online/e-learning. Whether by Internet, video network, or other means, online course and program delivery has been heralded—and dismissed—as a vehicle for revolutionizing teaching and learning in higher education. Now, after about a decade of start-ups, re-starts, and false starts, just how far has technology-mediated postsecondary education progressed in the United States? Is it a movement that is maturing toward the mainstream, an over-hyped trend likely to remain at the margins, or something in between? What does e-learning’s evolution mean for public policy?

Fortunately, our ability to analyze e-learning, track its development, and identify key problems and opportunities has improved significantly over the past several years. Several recent studies—one by the National Postsecondary Education Cooperative (NPEC), one by the Sloan Consortium, one by The Learning Alliance at the University of Pennsylvania, and one by the National Center for Academic Transformation (NCAT)—paint a picture of online/e-learning that is one of evolution toward maturity, but also one of growing pains and setbacks. From that picture emerges issues that campus leaders and policymakers will ignore at their peril in the years ahead.

Key observations include the following:

- **Participation in e-learning is on the rise, with no leveling off expected in the immediate future.** According to the Sloan analysis, an estimated 2.6 million students enrolled in at least one online course (a course in which 80 percent or more of the course’s content is delivered online) in Fall 2004, up nearly 25 percent over Fall 2003. This growth comes on top of a 20 percent increase from Fall 2002 to Fall 2003. Such a trend raises the question of whether technology infrastructure on the nation’s campuses will be adequate to accommodate sustained growth of this magnitude.

- **There are significant differences regarding the presence and centrality of e-learning according to institutional size and control.** Generally speaking, larger institutions and public institutions are more likely to be using online learning and are more likely to see it as an essential part of their strategic plans. The NPEC analysis includes data showing that in 2001, just under half (44.4 percent) of all postsecondary institutions offered some form of distance learning. Among four-year colleges and universities, 71.9 percent in the public sector provided online programs, as compared with 48.5 percent of private, for-profit institutions and 33.2 percent of private, not-for-profit institutions. Even more striking disparities emerge among two-year campuses. (See Figure 1 on the following page.) The data also reveal an extremely strong correlation between institutional enrollment and the existence of online programs, with larger institutions far more likely to be involved in e-learning.

- **The “digital divide” still exists at the pre-collegiate level, which could in turn hamper distance education’s long...**
term potential. As the Internet Age has unfolded, one of the key concerns in the policy world has centered around disparities in access to current computing technologies and the Internet according to income, race, and ethnicity, otherwise known as the “digital divide.” The NPEC analysis cites data from the 2000 Census and other federal sources showing that Black and Hispanic households still lag behind other groups in terms of home computer ownership and Internet access. For example, among children age 3–17, 77 percent of Whites (non-Hispanic) and 72 percent of Asian-Pacific Islanders had computers at home, as compared with just 43 percent of Blacks and 37 percent of Hispanics. Similarly, NPEC found through other surveys that schools in high poverty areas had fewer instructional computers, Internet connections, and trained personnel.

The caution here for campus leaders and policymakers is that a continuing “digital divide” along socioeconomic and racial/ethnic lines will mean disenfranchisement of large numbers from e-learning opportunities, thus reducing its potential reach.

Debate continues to rage over the quality and effectiveness of online/e-learning, but efforts to more fully realize its potential are now underway. In its analysis, the Sloan Consortium shows a largely positive assessment of e-learning’s added value, with nearly two-thirds (62 percent) of academic leaders at institutions surveyed stating that learning outcomes in online courses were at least as good as, if not superior to, those of face-to-face courses. By contrast, a study of campuses nationwide by The Learning Alliance at the University of Pennsylvania discovered that e-learning in many places amounts to little more than replicating face-to-face courses with technology aids such as PowerPoint lectures and Internet interfaces. Additionally, the NPEC analysis cites research showing higher dropout rates for online courses than for their conventional counterparts. The existence of these widely diverging viewpoints suggests two things: more and better research on e-learning’s outcomes is needed (a point raised by NPEC), and that online programs present a significant opportunity for academic improvement if they are used in ways that enrich the educational process, as opposed to simply “gadgetizing” it.

A number of current initiatives are aiming to boost that productivity and added value of e-learning. One such initiative is the National Center for Academic Transformation, a Pew-funded entity that is working with campuses and systems to redesign their core curricula to increase student performance and retention, as well as programmatic cost-effectiveness through improved use of technology. Of the 30 institutions participating in the initial phase of the project, 25 showed significant increases in student learning in core courses. Of the 24 campuses that measured persistence, 18 posted gains in course completion. Additionally, all 30 institutions reduced their instructional overhead for core courses, by an average of 37 percent.

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The quality/effectiveness debate carries an important message for higher education’s stakeholders—offering online/e-learning is one thing; offering it in a way that advances student and institutional objectives is another.

Amid all the punditry and prognostication regarding online/e-learning’s promise and prospects, one thing is relatively certain—it is here to stay. As a result, academic, governmental, and corporate leaders should focus their energies on products, policies, and practices that will bring the phenomenon more fully into the mainstream of American higher education. The nation’s competitiveness in the global marketplace will depend in no small part on the success of that endeavor.

ABOUT THE AUTHOR
Travis Reindl is Director of State Policy Analysis and Assistant to the President at the American Association of State Colleges and Universities (AASCU).
With a great deal of fanfare, the National Center for Public Policy and Higher Education released its national higher education report card, *Measuring Up 2004*, in mid-September. The report, the third in a biennial series, issues grades to the 50 states in five primary categories:

- **Preparation**: How well are young people in high school being prepared to enroll and succeed in college-level work? (Assessment based on college-prep course-taking, performance on national exams, secondary teacher qualification, high school graduation.)

- **Participation**: Do young people and working-age adults have access to education and training beyond high school? (Assessment based on college enrollment rates, likelihood of enrollment based on specific academic and economic characteristics.)

- **Affordability**: How difficult is it to pay for college in each state when family income, the cost of attending college, and student financial assistance are taken into account? (Assessment based on ratio of family income to net price, state aid efforts relative to federal effort, student loan indebtedness.)

- **Completion**: Do students persist in and complete certificate and degree programs? (Assessment based on credits per 1,000 graduates, persistence, and graduation rates.)

- **Benefits**: How do workforce-trained and college-educated residents contribute to the economic and civic well-being of each state? (Assessment based on educational attainment of adult population, economic and civic gains correlated with educational attainment.)

Additionally, the report card contains a sixth category, student learning, which is unable to be graded for lack of comparable 50-state data. However, *Measuring Up 2004* did contain the results of a five-state pilot of learning assessments, with plans for expansion to other states before the next scheduled release (2006). Also new to the 2004 edition was a ten-year evaluation of state progress in the five primary grading areas, which overshadowed the state grades in the Center’s release of the report.

The Center presented the report as a “wake-up call” for American higher education, drawing two primary conclusions from the data (particularly the longitudinal data):

- College affordability has slipped considerably over the past decade. The number of states receiving an “F” in the affordability category increased from 3 in 2000 and 12 in 2002 to 36 in 2004. In the ten-year analysis, seventeen states lost ground on all of the indicators in that category.

- K-12 has made considerable progress on college preparation, but higher education is not keeping up in participation and completion. Over the past decade, 44 states have posted gains on more than half of the indicators in the preparation category, as compared with 8 states in the participation category and 37 states in the completion category.

Underscoring these conclusions, former governors Jim Hunt and Garrey Curruthers (who sit on the Center’s board of directors), wrote that “…the fundamental finding is that the nation has stalled in the development of human talent through college opportunity. The substantial gains in the preparation of young Americans for college demonstrate that sustained leadership and commitment can raise the educational performance of schools. The message of this report card is that the country and the states must commit to parallel efforts and a comparable sense of priority and urgency in higher education.”

But in a higher education landscape bombarded with “wake-up calls,” “calls to action,” and “calls for renewal,” how does *Measuring Up 2004*’s rhetoric square with reality? In other
words, how does Measuring Up measure up? Generally speaking, the report card offers an articulate diagnosis of systemic failures and challenges for the nation’s colleges and universities. On some points, however, especially those pertaining to the preparation/participation/completion gap, the diagnosis seems to go beyond what the symptoms would indicate.

DECLINING AFFORDABILITY

Here, the Center offers a sound, if not surprising, conclusion. Policymakers, the media, and students and their families are now painfully aware of the increased financial bite of higher education, much of which can be traced to the recession and resulting state/federal fiscal slumps. The report’s conclusion that student aid (state or federal) is not keeping up with price increases is right on point, with three years of stagnation in the maximum Pell Grant and uneven increases in state aid (much of it going to merit awards). Measuring Up’s analysis in this category puts an exclamation point on the conclusion offered by a growing number of analysts, namely, that the “boom-bust” cycle of public higher education funding is exacting a toll on students and their families, with consequences for college participation and completion.

At the same time, however, a couple of cautions are in order. First, an “F” in affordability does not mean that college is not affordable in that state—it simply means that college in that state is significantly less affordable than top-performing peer states, and that policy choices in that state are leaving more students behind than in other states. That may seem a bit nitty-gritty, but it is important to keep in mind how this report is likely communicated by a sound bite-driven media to an already anxious public. Second, and more troubling, is the Center’s approach to remedying the affordability crunch. Center president Pat Callan prescribes that “Every state should re-examine college tuition and financial aid policies, and each should formally link tuition increases to gains in family income.”

An “F” in affordability often seems to go beyond what the symptoms would indicate. The Center’s rhetoric appears to be a bit more conclusive than its own research and that of others would indicate. Three points drive home this observation:

■ Course-taking and test performance do not necessarily equate to effective college preparation. First, research has drawn attention to the rigor of college-prep courses, particularly in districts that have been historically challenged with respect to out-of-field teaching. Moreover, lack of alignment between K-12 assessment standards and university admissions standards continues to dog the system, as indicated by the continued demand for remediation (especially in mathematics) in the postsecondary system.

■ The 2004 state grades do not seem to completely square with the trend conclusions in these categories. For example, in participation, only 24 states attained an “A” or “B” grade, while 26 states received an “A” or “B” in participation, and 33 received an “A” or “B” in completion. If such a gap has developed between preparation and participation/completion, shouldn’t that grade distribution be a little different?

■ High school completion rates, a component of preparation, leave a lot to be desired. Data released in September from the Organisation for Economic Co-operation and Development (OECD) make this clear, showing that the United States has slipped to 10th among industrialized nations in high school completion. Even if high schoolers are more prepared for college, there is not much that campuses can do with them if they don’t get their diplomas. This a crucial—and urgent—are for collaboration between K-12 and higher education.

In sum, Measuring Up is a useful tool for identifying and underscoring issues for the education policy agenda. It is, however, a blunt instrument, best suited to be the starting point for policy conversations but not the final authority. Applied judiciously, Measuring Up can focus attention and stimulate further state- and campus-level research and analysis. Wielded clumsily, though, it can unleash renewed rounds of finger-pointing and posturing that will only delay needed reforms and ultimately compromise the credibility and relevance of the Center and its work.

PREPARATION/PARTICIPATION/COMPLETION GAP

Measuring Up’s second major contention, that K-12 has made significant headway on college preparation while higher education lags in participation and completion, is less familiar in the policy arena and thus bears more scrutiny. In this area,
We all have held various roles on a team, be it a family unit, sports team, or a project-oriented team. When hiring new staff, we often look for traits that indicate the individual will be a team player. This article will explore some of the key reasons why it is important to focus on the team and will provide some steps to building your own dream team.

What are the benefits of working as a team? A team:

- Utilizes more resources, ideas, and energy than one person could provide.
- Maximizes people’s strengths.
- Provides multiple perspectives on how to meet a need or reach a goal.
- Keeps the group accountable for the established goal(s).
- Can simply do more work than an individual.

**Game Plan to Build a Dream Team**
The goal of building your dream team is worth pursuing; to accomplish this you should include the following in your game plan:

**RESOURCES**
Start with examining the physical office—is the staff set up in a healthy, ergonomic fashion? Are they using adequate office equipment? What capital improvements need to be made to the office? What additional items would help staff or student workers become more efficient? Check with your Human Resources department to elicit advice on how to analyze your office’s physical layout.

**PATIENCE AND PERSEVERANCE**
One must understand that change can take time. It takes time to build a team of people that functions well together. It can take time, possibly a few budget cycles, to acquire better resources for your office. Joe Torre, manager of the New York Yankees, in his book *Joe Torre’s Ground Rules for Winners*, states that it took him 4,272 games as a player and a manager to finally get to the World Series. His patience and perseverance has since paid off!

**K N O W  T H E  S I T U AT I O N**
Is your team young and just getting started, or mature and just requires fine-tuning? Good team builders know where the team is in its development and what the situation requires. The goals of the team need to be documented and reviewed often. Share the goals with your direct supervisor to include her in your team’s goals. As the leader, you need to paint the big picture for your people. Without the vision they will not find the desire to achieve the goal.

**K N O W  Y O U R  T E A M  P L A Y E R S**
When it comes to building a successful team, the players are everything. Know your staff’s professional skills and abilities, character, personal qualities, and their reliability under pressure. Utilize the gifts, talents, and interests of your staff. Honoring individuals makes them feel like valued members of the team.

**M A K E  T I M E  F O R  E A C H  P L A Y E R**
With all that is on a leader’s plate, it is hard to carve out the time for one-on-one dialogue with each staff member that reports to you. But the payoffs are worth it! Make time in your week to let employees know what you expect of them, help bolster their confidence, answer questions, respond to concerns, and offer your support or assistance, when needed.
Who Should Develop the Dream Team?

In a sense, you become the coach while building your dream team, which includes ensuring everyone embraces the “game plan.” As a group, establish what the goals are for the next year and what roles each member will fulfill.

When playing professional sports, not everyone gets drafted for a team. The same is true in higher education; not all employees are capable of keeping pace with their teammates or helping the group get where it wants to go. These employees are not very hard to identify—they can't keep pace with other team members, they won't work with the rest of the team, or they can't fulfill expectations for their area. A coach has two choices: train them or trade them. If the weak member’s performance doesn’t improve, other team members will end up helping the weaker members and their individual performance will becomes less effective. As a leader, you could lose the respect of the best when you don't deal properly with the weaker members.

Through a redesign in my office a few years back, I was asked to oversee the processing operation for undergraduate recruiting (data entry, mailing). I acquired a process that was buried in paperwork (boxes of recruiting cards were stacked around the office) and understaffed, which resulted in significant delays in data entry turnaround time. The staff member responsible for this operation was very discouraged. Co-workers began avoiding interaction with her, because the conversations were always negative or they assumed she did not work fast enough to meet the job expectations. My first task was to sit down with her to understand the processes and to discuss alternatives that would reduce the time delays (e.g., what data could be gathered electronically). Next, I looked for funding sources to hire temporary staff to help during the busy fall recruiting season. Together, we came up with a list of 50 recommendations for change—and all were approved and implemented. Within a few months the operations moved to a 48-hour standard turnaround on all recruiting received, and the employee regained her confidence and her morale soared.

In sports, championship teams always have great depth—their bench is indispensable! A strong bench gives the leader more options. Who are your bench players? For me, it is our student workers. I am always honored when I am able to fill a vacant staff position within my office with one of our graduating student workers.

Dream Teams Focus on Attitudes

Attitudes have the power to lift up or tear down a team. Each one of us is able to choose what our attitude will be. An excellent book that addresses the impact attitude can have at work is FISH! A Remarkable Way to Boost Morale and Improve...
Results, by Stephen C. Lundin, Harry Paul, and John Christensen. The FISH! Philosophy was developed by the employees of the fish market at Pike Place Market in Seattle, Washington. The FISH! Philosophy stresses four key points:

1. **Choose Your Attitude.** Every day you are able to choose what your attitude will be and how you will interact with the public.

2. **Play.** The “fish guys” have fun while they work, and fun is energizing!

3. **Make Their Day.** The fish guys include the customers in their good time. They engage their customers in ways that create energy and goodwill.

4. **Be Present.** When dealing with another person, give them your undivided attention.

More can be found on the FISH! Philosophy and the accompanying training materials at www.charthouse.com/charthouse/product_film_fp_home.asp.

**Dream Teams Are Effective Communicators**

As the leader, your communication sets the tone for the interaction among your people. Teams always reflect their leaders. The best leaders listen, invite, and then encourage participation. When communicating, remember to: be consistent, clear, courteous and inclusive. When communicating via e-mail, keep in mind that the message is void of non-verbal cues, so be extra careful about your tone.

**Team Values**

Take time to find out what is important to your team and what they value. Compare those values with current practices. Strive to achieve those values until they are institutionalized. If you praise and honor the people who epitomize the values of the team, those values will get embraced and upheld by other members. There is no better reinforcement.

One year ago, I asked my staff what they value about working in our office, which I have listed below. I review this list quarterly to determine if these values are being upheld.

- Communication
- Flexibility
- Relationships
- Family is more important than work
- Honesty
- Efficiency
- Consistency within office
- Fun!
- Reliability

- Giving great service
- Grace for each other
- Trust—for each other, trust to get the job done
- Priorities are on the whole person, not just the employee
- Cross-training—willingly help co-workers when overwhelmed

**Leading a Dream Team**

As a leader, you must make a conscious decision to build and invest in a team. Gathering the best team possible will help you achieve your goals. Building your dream team will take time, energy, and commitment on your part. If possible, build community amongst your team, by doing things together. Empower team members with responsibility and authority; through this you will be raising up new leaders. And to boost team morale, remember to always give credit for successes.

The following acronym, created by Nancy Singer, president and CEO in the Retail Credit Services Division of First of America Bank Corporation in Kalamazoo, Michigan, summarizes the benefits of teamwork:

| Together | Everyone Achieves More With Organization Recognition and Knowledge |

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**ABOUT THE AUTHOR**

Kenda Gatlin is the Associate Registrar at Seattle Pacific University (WA). She has presented on FERPA and staff development topics at both PACRAO and AACRAO meetings.
Australia: Education and Training

This latest addition to AACRAO’s International Education Series, authored by Edward Devlin, offers an overview of the content and structure of Australia’s education system. The seven-chapter guide details the primary/secondary framework and credentials earned in each of the country’s eight territories, looks at the relevance and impact of Vocational Education and Training (VET), and reviews key elements of higher education.

Admissions officers will find the author’s formal set of recommendations—reviewed and officially approved by the National Council on the Evaluation of Foreign Educational Credentials—indispensable in placing students in American institutions.

The book also profiles the offerings and grading systems of Australia’s degree-granting institutions, and includes 48 sample documents highlighting a variety of reports and credentials.

ITEM #9026 | $70 MEMBERS | $95 NONMEMBERS

The College Transfer Student in America: The Forgotten Student

Published in 2004, this 13-chapter book translates research into practical advice on attracting, retaining, and guiding transfer students of all types, including: traditional 2-year to 4-year, reverse, lateral, and “swirling” transfers.

Topics covered include: multiple strategies for orientation and advising; curricular issues; maximizing the effectiveness of articulation agreements; preparing community college students for transfer; non-traditional students as transfers; and developing alumni support from graduates who started as transfer students.

The book also contains a table of state transfer and articulation Web sites and a Joint Statement on the Transfer and Award of Credit (suggested guidelines released by AACRAO, the American Council on Education, and the Council for Higher Education Accreditation, for the evaluation of transfer credit).

ITEM #9022 | $55 MEMBERS | $80 NONMEMBERS

To order these and other AACRAO publications, call (301) 490-7651 or visit us on the Web at www.aacrao.org/publications.
After providing leadership to NEACRAO (New England ACRAO) for many years as treasurer and president, Joseph DiMaria, who retired in June 2004 as vice president for student affairs at the Community College of Rhode Island, was invited by his NEACRAO colleagues to present the keynote address at the Fall 2004 annual meeting. The text of his address reflects his wit, wisdom, lessons learned, and observations on leadership and career advancement.

I’m honored to have the opportunity to address an audience I know so well and respect so much. Like many surprises in my professional life, it’s an honor I would have aspired to when I started my career, but I would never have presumed myself to be worthy of the distinction. Since I’m retired, I’ll be vocal about the things that are important to me, the choices I’ve made, and the things that affect my happiness. A good keynote speech leaves the audience with something to think about and I’ll be pleased if you take away one or two ideas that will result in reflection or discussion as you consider your personal and professional goals.

The Early Years
I started in this profession at the early age of 24 when I was newly married with no children and in search of a career that would bring me joy. At that time a friend of mine tried to talk seriously to me about my life and my career, and I’d like to relate that story because it made an impact on my life.

We were sitting in my office at Rhode Island College. The walls were bare, the furniture was second or third hand, and the lamps that helped me read the fine print on computer reports didn’t match, but I had a window! This philosopher/professor made himself comfortable and set out to engage me in an academic discussion.

I was new and a bit uncomfortable in this environment, and I wondered if he was either attempting to test my academic liberal arts preparation from Providence College or, more to my liking, trying to get to know me. I thought he might be looking for a friend in this group of enrollment administrators who controlled the time his courses were taught and his room assignments. Whatever his motivation, the conversation began.

He proclaimed that the life cycle is divided into three distinct phases: sex, power, and spirituality. He explained that in the early years of our life, between the ages of 15 and 24, when we make our own decisions, we devote ourselves to finding a mate or partner with whom we will share our life and goals. All our energy during these early years is devoted to the task of seeking a soul mate.

Without interruption and with a real sense of purpose he continued to explain that during the second phase of our life the human spirit seeks to amass power. His said this is evidenced in the way people seek to build capital by investing in real estate, buying stock, or gathering works of art.

In the third phase of life people become more contemplative. They become more spiritual, even religious, as they examine how they have spent their limited existence. They ask questions of themselves that center around how they treated people, how they behaved in social and personal settings, and how they will be remembered.

I sat there impressed with this sophisticated educator and I began to examine my own life, but I wasn’t prepared for the question he asked: Where was I in the cycle of life? I thought for a fraction of a second and gave a challenging response declaring that I was in the spiritual or religious phase of my life. My guest was noticeably taken aback by my answer. It was as if I, this young 27 year-old man, was going to shatter a life cycle philosophy that he had contrived, tested, and published. Before he asked me to explain my answer, and sensing a need to achieve a better understanding, I simply told the
distinguished professor that at my young age I felt very religious because each day I prayed for both sex and power. We both laughed at my answer and he knew immediately that I was unwilling to get too serious about his philosophy or my reflection on life at this stage in my own life.

**Lessons Learned**

I can tell you now over 30 years later at the conclusion of my professional career that I don't pray for the same things now that I did at 27. I have become more spiritual and reflective, and in preparing for this talk I have developed some observations about professional growth and satisfaction that I'd like to share.

- Nothing stays the same. We all grow at different rates, but we all grow.
- As we look at the world around us, we must accept the fact that change is the only constant in our lives. No matter how much we want things to stay the same, nothing will remain the same.
- Motivational speaker Patricia Russell McCloud described life as an escalator where you can move forward or backward but you cannot remain still. I personally believe that our growth and satisfaction in life depends almost entirely on ourselves and not the external forces that some would like to believe or blame. I still play the lottery every week, but that decision is mine to make. I think there is some luck in life but most of what happens to us is the result of our work ethic.
- In our professional and personal lives, good luck is really based on our own initiatives. It's not a bad thing to be dissatisfied with our current situation because dissatisfaction causes us to examine what we are, what we want to be, and what we want to do. We can choose to change for the better or we can choose to wither away. The most successful people I know have worked to evolve into what they are.
- Reward from work is based on our attitude about the work we do.
- Throughout life we can choose to have fun or we can be miserable. We control that outcome.
- Interesting and interested people are fun to be with, and fun is what sustains us through the difficult times.
- No one but ourselves can prevent us from achieving meaningful goals.
- If we are honest with ourselves, we gain respect. We know what we need to do to be successful and we are happier as a result.

I've found that when most people are asked why they are not happy at work, they respond as follows:

- I'm never appreciated.
I always get the worst jobs or tasks to do.
I don’t find my work interesting.
I never get to pick the projects I think are worthwhile.
I’m not paid commensurate with my contributions.
I never get a chance to express my opinion.
No one listens to my ideas.
I can never break into the circle of decisionmakers.
Everyone gets more respect than I do.

The people who are happy in their work say things like:
- My work is interesting.
- I enjoy going to work in the morning.
- I have a chance to influence the organization.
- My pay is commensurate with my contribution.
- People have an appreciation for what I do.
- People respect what I do and my capability.
- I enjoy working with the people I serve.

If you have studied marketing and management, you know about business and product life cycles. Personally and professionally we all go through the same life cycle. We start at birth, dependent on others during our personal and career infancy. We require nurturing, which includes help to get started, help to get our foot in the door, and help to get the basic skills that earn us an entry-level position. Our ongoing development includes education and will determine if our growth is rapid or slow. Achieving the first or second promotion is based upon the skills we develop and the mentoring we get. If we ignore graduate school, job training opportunities or mentoring to help us up the ladder, we will exhaust our usefulness and become expendable.

I believe the real reason I chose to be motivated was survival. I adopted the personal growth life cycle so that we could survive in a competitive environment. Sure I wanted to have fun but ultimately I wanted to follow Proctor and Gamble’s lead and become “new and improved.” My success was simply based on the fact that I found interesting people and successful mentors who were interested in me and shared my goals. We more or less “prayed for the same thing.”

I believe ordinary people can achieve great things if they are self aware, analytical, servant leaders, and find joy in life. Based these observations, I’d like to develop each one of these tenets in more detail.

**Self-Awareness: Understand What You Know and Recognize Your Uniqueness**

Why do I feel it’s important to be self-aware? My professional colleagues and I were pretty honest with ourselves. We knew our strengths and weaknesses, we knew there were things to be learned, and we knew the areas in our personal and professional lives that needed improvement. My colleagues and I learned what motivated us to work including respect for ourselves, respect for each other, respect for our contributions, and the satisfaction that we were able to influence others. Ultimately we decided to spend time and energy to gain a reputation for knowing what to do and when to do it. We worked hard, earned advanced degrees, put in additional hours, and took on extra projects.

When I speak with people in our profession, I’m sometimes disappointed that they don’t realize how valuable a role they play in the success of their institutions. As professionals most of us evolved into our positions. There were no formal educational programs to prepare us for the profession, though some have since been developed. The professional skills we have developed are unique in themselves.

For example, how many people know the components of a student information system? Or how many people know how to interface technology with routine tasks like getting grades to students? How many people could schedule courses? Or determine the yield for admissions or financial aid? How many people understand the immigration laws that govern students coming into the country?

Consider that there are about 3,700 registrars and directors of admissions in the United States. Interestingly, a national survey revealed that the position of college president is one of the most highly regarded and respected professions in the country. Do we hold college presidents in such high esteem because they are capable of performing a unique set of tasks? Aren’t the tasks we perform just as important? Registrars and admissions professionals often do not recognize that the information that they collect and control is the essence of what defines an institution and what it can become. They don’t realize they are in a position to influence change. The concerted, cooperative effort of admissions, registrar, financial aid, and advising staff can be very powerful and influential.

In many institutions the enrollment services staff can establish tuition discounts, award scholarships, determine what programs and courses will be offered, and when and where these courses will be taught. In business terms enrollment professionals have the power to influence the product mix, the product design, the cost of goods, and the marketing strategy. Most people mistakenly believe that colleges or universities, which are non-profit, do not operate like businesses, but college presidents and boards make business operating decisions everyday. Most often, these decisions are based upon the numbers and statistics that registrars and admissions professionals provide. Enrollment professionals are the source of data and they are responsible for maintaining the integrity of the data used as the basis for decision making.

**Analytical Ability: Celebrate the Good Things and Fix What Needs to be Changed**

If you accept the fact that you can influence your institution’s leadership, that you have power, and that you are in a position to help run the institution, then consider these questions:
- Do you assume your role as a uniquely capable person who has access to privileged information?
- Do you recognize that you are a special person with special talents and skills, often unduplicated, on your campus?
- Do you constantly monitor your environment?

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I ultimately discovered the key people had developed skills that earned them the power to influence the organization. Their knowledge base was the currency that paid for their positions of power. I discovered that while responsibility is delegated from the top, the authority to make decisions, the real power, is something earned. This power is most effective when it’s based on the confidence and respect others have for your ability to make good decisions.

We learn a lot through simple observation. My life’s lesson on authority came from watching some children on the playground. On a sunny, brisk day at the local playground there was a handful of children playing on the swings. One youngster jumped from the swings and ran to the merry-go-round. All the other children on the swings followed. After a very short time on that apparatus, the same youngster left the merry-go-round and ran to the slide. All the youngsters followed to the slide. As I watched the migration from one place in the play yard to another I realized that this young leader had the power to influence the others because he found the secret to gaining respect.

The young leader was able to understand the needs of those he was leading, in this case a group of children having fun. The leader knew that to be complacent or satisfied with only one activity, he would lose the attention of the other children. The leader always provided a pay-off of fun as a result of his actions. The result was that the other children were willing to give themselves over to the leader for the purpose of fulfilling their needs. In essence they gave the leader the right to make decisions about how they would achieve their goal.

I found that the strongest power, the real power, comes from the respect that others have for your decisions. Never give up the search for something better. The people who are most successful are goal-oriented and work tirelessly for their goals. They do what it takes to succeed, offering solutions even when others they have offered are rejected. They offer outcomes that will benefit others and thus gain support for their goals.

**Servant Leadership: Provide Opportunities to Others**

Over the years, my supervisors and colleagues have asked why staff in my division stayed late, produced so much, and never seemed to tire. I attribute it to several things. Whenever I began to supervise a new group of people, I asked them what they liked and disliked about their jobs. Invariably there were people who liked to do certain things that others detested doing. I simply allowed them to trade tasks so that every day when they showed up for work, they were doing the things they enjoyed. The result was they stopped watching the clock, arrived for work early, felt they were making a valuable contribution to the institution, and maintained a good attitude. If they felt they had someone to hear their concerns and care about their issues, they were more productive and engaged. They also valued a job they enjoyed, there was less absenteeism, and they did their best to maintain the arrangement.
Another way to serve is to provide assistance to senior management who are often so far removed from the cause of a problem that they are unaware of its existence. They don’t care who identifies the problem and carries out the solution; they just want their organizations to be successful. Success breeds success and you can become the authority if you recognize your skills and distinguish yourself by making good decisions and contributions that make your institution a better place. Senior management will reward and appreciate the efforts of anyone who comes forward with good solutions.

Finally, remember that people need recognition and appreciation for their contributions. When they are recognized, they work harder. I made sure that anyone who helped me achieve a goal received the credit they deserved, not just from me but from those for whom I worked. The recognition by senior management was cause for others to volunteer to work hard. The cooperative effort was my reward for our accomplishments.

Enjoy Life: It Takes More Energy to Play than Work

I was asked to speak about how and why I stayed in higher education throughout my career and say something about my accomplishments. The truth is that anyone can do what I did. I was a typical young person fresh out of college. I hadn’t distinguished myself academically in college; in fact there was a large celebration when I graduated from Providence College. If there was any one thing that distinguished me from most of my graduation class, it was that I wasn’t satisfied with my major, accounting, or with my first job at Coca-Cola, or even about my decision to turn down a move to Atlanta when I was offered a promotion.

That dissatisfaction caused me to examine my personal and professional life. I became critical of myself and critical of things around me. There were areas of my life and my career to celebrate and others to fix. There were things at my institution that needed attention and others that needed to be lauded. My dissatisfaction caused me to experiment with what I wanted to do for work. I looked for a job that would allow me to interact with people. I needed to get away from behind the accountant’s visor and out of the cramped office where there was little personal interaction with others.

What can you do to become happy and productive and successful in your career? It takes more energy to play than work and yet when we play, time flies by in a way that lets us stay focused and deliberate because we simply find pleasure in our effort. So I looked for jobs that were so enjoyable, they were like play. If you approach each Monday with drudgery, find another job because you’ll never be successful if you’re not happy in your work. There are many careers at our institutions. Find the one that’s the right fit.

Conclusion

In conclusion, there are ten things I hope you will take away from this article.

- Find a job that you enjoy and recognize that your contribution is itself unique and worthy of respect.
- Be steadfast in your quest to find problems and offer solutions. Always be critical for the sake of improving things.
- Strive for the new and improved version of yourself and the institution you serve.
- Earn your own currency for entering the circle of decision-makers through your hard work, education, and presentation of imaginative solutions to problems.
- Share the glory and rewards when you are personally recognized for doing something right or special. It is the easiest way to earn the friendship and respect of co-workers.
- Make friends with people who are interesting and positive and who will share the “payoff” that comes from a good professional experience.
- Find someone whose imagination defines everyday events in ways that excite you.
- Attend meetings and conferences with colleagues who speak your language and understand your problems.
- Find a mentor inside and outside of your institution who will help you understand the environment including its opportunities and threats. I have been blessed to have so many mentors who have become life-long friends. They taught me how to work and laugh, and how not to take life’s bumps and myself too seriously. They taught me how to recognize opportunities and avoid the pitfalls that are ever present in life. They demonstrated that really good people get ahead in life, and that doing the right thing is really what life is all about. They taught me to sing and dance and to respect the “music” that others make.
- Stay focused on your goals, respect others, and respect yourself. Life is much too short for you not to have fun.

ABOUT THE AUTHOR

Joseph DiMaria began his career in higher education in 1969 at Rhode Island College as an Account and Assistant to the Controller. Two years later he took a position as Assistant Director of Records, when he began his work in the designing of a student information system for that institution. In 1983, he joined the Community College of Rhode Island as Registrar. Soon afterwards he was promoted to Director of Admissions and Records, later Dean of Enrollment Services, and finally as Vice President for Student Affairs. Joseph has earned a B.S. and M.B.A. from Providence College and an M.Ed. from Rhode Island College.
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Tinto developed a model to predict the attrition process. The model respects a longitudinal perspective and regards persistence as a function of the quality of a student's interactions with the academic and social systems of the college. Tinto asserts that the two primary factors related to student withdrawal are the personal characteristics of the student and the nature of the student's interaction with the college.

Webb (1988) reviewed the Tinto model for its applicability in understanding freshman persistence/exit from two-year colleges and concluded that the model is inadequate to identify potential dropouts at the onset of their academic careers.

The inability of Tinto's Model to detect potential dropouts may be explained in part by the model's rather narrow treatment of students' personal characteristics, i.e., intentions and commitments. To enhance this dimension of the model, the Locus of Control Scale by Nowicki and Strickland (1974) was included. It was hypothesized that this assessment would lead to earlier identification of potential dropouts.

Rotter, Seeman, and Leverant (1962) described persons possessing an internal locus of control as believing that their past, present, and future is a function of what they themselves have done, are doing, or will do. Internal persons believe that good things happen to them because they worked hard and skillfully to make them happen. They also accept personal responsibility for what happens to them. On the other hand, persons with a more external locus of control believe that what occurs is more related to external events. Positive and negative events happen because of luck, fate, involvement of other persons, or as "just one of those things."

Lefcourt, Martin, and Saleh (1984) described high internals as: (1) persons who have experienced frequent success, (2) high achievers (3) intellectual strivers with expected success, (4) those with better psychological adjustment, and (5) individuals who are generally more educationally successful.

The primary objective of this research was to investigate the addition of locus of control, emphasizing the importance of internality, as part of the personal characteristics in Tinto's Model (1987, 1993). It is hypothesized that internality will predict: commitment, academic integration, persistence, and achievement. Persistence was defined as completing the course; achievement was defined as the final grade in an introductory psychology course. Academic integration and commitment levels were assessed using an instrument developed Pascarella and Terenzini (1980).

**Method**

**Participants**

The participants were 641 community college students enrolled in introductory psychology classes. All students were high school graduates and slightly more than one-half were females (55 percent). The student population was ethnically diverse: 25 percent White; 25 percent Asian; 15 percent Latino; 10 percent Black; and 25 percent listing themselves as “Other.”

**Measurement and Instrumentation**

Gender, high school grade point average, and ethnic membership were obtained from a questionnaire the student filled out the first day of class.

Assessment of locus of control was measured by Nowicki and Strickland’s (1974) Locus of Control Scale (lower scores indicating internality).

Commitment, social integration, and academic integration levels were assessed using the Student Integration Scale developed by Pascarella and Terenzini (1980).

**Procedures**

At the end of the semester, 479 students (74.7 percent) persisted while 162 (25.3 percent) were dropouts. Persistence (completed vs. dropout), success (final course grade), and academic integration were analyzed as outcomes. For dropouts, a logistic regression was used to estimate direct effects in a
path analytic framework (minority status, gender, high school grade point average (HSGPA), and commitment were analyzed as mediating variables). The Wald statistic was used to test the significance of each predictor. For success and academic integration a simultaneous regression was employed with the same mediating variables mentioned above.

Results

Locus of Control

It was initially hypothesized that internals were more motivated academically, and as a consequence, would be more likely to succeed in an academic environment. In the context of the present study, it was expected that internals would be: (1) more likely to persist (2) achieve higher grades, (3) report greater institutional commitment, and (4) would be better integrated academically. Two of the four expectations were supported empirically. Internals reported higher institutional commitment and were more likely to persist. However, internals did not record higher academic integration scores. Surprisingly, externals achieved higher grades, contrary to our hypothesis. Though externals were more likely to drop out, those who completed the course achieved higher final grades.

In support of our initial expectations, externals were more likely to drop out. While this finding is in the direction expected, it should be noted that the strength of this relationship is very small (β = 0.07), and other individual difference variables clearly are needed to explain academic success when it is operationalized as staying in a course. Two such variables, being female and being minority, were significantly associated with greater dropout likelihood in this study. Females were twice as likely to drop out than males while minority students were 1.5 times more likely to drop out than non-minority students.

Commitment

Internality was associated with greater commitment as hypothesized. According to the model, commitment should in turn be associated with better academic integration, and it was in this study. However, in contradiction to the literature, commitment was not associated with greater academic success in the sample of students who stayed in the course. Even more counter intuitively, students who reported being more committed at the beginning of the semester were found to be more likely to drop out. We have no explanation for this unexpected finding, but it is clear that the utility of self-reported institutional commitment in logically relating to academic outcomes is questioned by these results.

Academic Integration

Because academic integration could not be assessed until the end of the semester, it was impossible to use this index as a predictor of the dropout index. Thus, this study offers only indirect evidence as to the usefulness of this well-known construct. Specifically, a very strong positive (β = 0.38) relationship was found between academic integration and success. Because it seems likely that students who receive higher grades in the course will more likely continue in their academic program, our interpretation of this finding is that it is strongly supportive of Tinto’s theory in reference to academic integration.

Social Integration

As discussed in the section immediately preceding, social integration could not be used to predict dropout status. Thus, the only indicator of its usefulness as a predictor of academic success was its direct effect on course performance. Better social integration was associated with performance, but in a negative direction. That is, better social integration was associated with poorer performance. Also noteworthy, internality was found to be associated with poorer social integration.

Discussion

This study addresses Webb’s criticism that Tinto’s model is inadequate for two-year populations if the intent is to identify potential dropouts as early as possible. By including externality as one of Tinto’s personal characteristics, community college dropouts were identified at the onset of the semester. It is recommended that the Locus of Control Scale be implemented as part of the mandatory matriculation assessment. The counseling office should track and, if necessary, intervene with those students who score as external locus of controllers. This scale, in addition to the other assessment instruments, could assist in decreasing the high attrition rate experienced in community colleges.

References


About the Authors

A. J. Guarino is a co-author of Applied Multivariate Research Design and Interpretation by Sage Publications. He teaches statistics in the College of Education at Auburn University and has published over 40 research articles and presented nearly 100 papers at national and regional conferences.

Dennis Hocevar has taught courses in measurement, statistics, and research methodology in the School of Education at the University of Southern California for over two decades. Most recently, he is working on the practical use of quantitative data in leader decision-making, accountability, performance assessment, standard-setting, and organizational/institutional evaluation.
The University of Phoenix processes over 1.5 million grades annually. At the time of project implementation, we had 50 grades staff and 8,000 faculty members across all 26 campuses (now there are over 11,000 faculty members). As it relates to this process, all campus locations are responsible for attendance and grade entry. The Registrar’s Office in Phoenix, Arizona, is responsible for ensuring the academic rules are supported in our student systems, performing quality control checks on grades processed, and processing all grade changes.

Prior to faculty grade entry implementation, grade processing time averaged 21 days from the course end date. Faculty would turn in their final grade rosters to their local campus, which would enter the grades in our student system. Our objectives with this project were to:

- Reduce overall grade processing time by 75 percent or 14 days.
- Make grades available on the Web.
- Streamline the process internally through bypassing the 'middle person' and allowing campus student services staff to grow at a slower pace and focus on more value-added activities.
- Utilize technology wherever possible.
- Reduce paper.

### Project Plan and Timelines

Our goal was to roll out our faculty grade entry process to everyone in September 2000. To accomplish this, we started working with our Information Technology department in February 2000 to begin defining the rules. The stakeholders and their role in this project included:

- **Registrar**—Project & Business Lead
- **The Provost, Senior Vice President for Academic Affairs and Senior Vice President for Student Services**—Overall approval and project support and sponsorship
- **Deans and Campus Directors of Academic Affairs**—Hone the academic and operational requirements and be responsible for faculty communication and training
- **Campus Directors of Operations**—Communicate this change to campus student services staff, hone operational requirements, and implement process changes
- **Information Technology Department**—Technical analysis, development, testing, monitoring, and modifications needed
- **Faculty**—Test the new system, provide feedback, and implement new process
- **Registrar’s Office Staff**—Business requirements contributor, testers, and quality control check the process for 90-day period

### Project Timeline

- Communicate project request volunteers and gather small committee to define initial requirements (Feb ‘00)
- IT develops prototype for review (Mar ‘00)
Gather stakeholders to kick off project and review proposed process (Apr ‘00)
Make modifications and establish implementation timeframe (Apr ‘00)
Develop communication plan, training plan, and all training documents (Apr ‘00)
Recruit faculty and campuses for testing (May ‘00)
Test new application and make modifications (May ‘00)
Extend pilot to larger faculty and campus population (Jun ‘00)
Send reminder communication, finalize IT requirements, and make internal changes to prepare for new process (Jul ‘00)
Install training and communication materials on Web (Aug ‘00)
Implement University of Phoenix-wide (Sep ‘00)
Monitor and quality control (90 days)
Work with new and existing campuses to ensure appropriate faculty training (ongoing)

Before faculty grade entry via the Web, grade entry was a five-step process; afterwards it became a two-step process. Here are the steps taken both before and after this project was implemented:

<table>
<thead>
<tr>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty entered grades on grade roster</td>
<td>Faculty enter grades directly on the Web</td>
</tr>
<tr>
<td>Faculty forwarded roster to their local campus</td>
<td>System provides faculty an e-mail grades confirmation</td>
</tr>
<tr>
<td>Local campus quality controlled and entered grades</td>
<td></td>
</tr>
<tr>
<td>Sent issues to faculty member, as needed</td>
<td></td>
</tr>
<tr>
<td>Campus forwarded original grade rosters to the Registrar’s Office in Phoenix for quality control</td>
<td></td>
</tr>
<tr>
<td>Rosters imaged</td>
<td></td>
</tr>
</tbody>
</table>

Communication Strategies

With 26 campuses across the country at that time, all communication was done via teleconferences. We held teleconferences monthly as we started the project rollout, and weekly meetings as we pilot-tested the process. We continued this process through the initial project-monitoring phase one month after implementation. Continued monitoring and communicating was done via e-mail as needed.

All campuses and faculty were key to the success of this project and were involved in every aspect of the product’s creation. Individuals from two campuses and several central administration offices worked together to create the look and feel of the application, and my office was heavily involved in the security and academic requirements to be supported. The recommendations were reviewed by all campuses and key faculty, and revisions made until a consensus was reached.

Implementation Plan, Monitoring and Measurements

Faculty were notified that by March 2001, all grades would need to be entered utilizing the Web grade entry process and that grade rosters would no longer be used. This three-month period between implementation and no grade rosters helped faculty adjust to the change.

Once faculty hit the “submit grades” button, all grades entered were posted directly in our system. Grades are available to students approximately ten minutes after faculty posting. Grade changes required once grades are posted must come through the Registrar’s Office utilizing our grade change cards.

We pilot-tested with six campuses and eighteen faculty for several weeks. We then expanded the pilot to six additional campuses for another three weeks. Adjustments were made as necessary, but we encountered no major problems. Faculty received communications via campus faculty meetings, e-mail, U.S. mail, and the Web.

Campuses had an implementation window between September and December 2000. In the first month, 31 percent of all grades were processed by faculty via the Web; after three months, the number increased to 82 percent. After 18 months, 97 percent of all grades were processed by faculty via the Web. Additionally, grade processing time changed from an average of 21 days from the course end date to eight days. This was significant as students appreciate having grade results as soon as possible after the class ends. See Figure 1 for the changes in grade processing time before and after the faculty grade entry project.

Summary/Lessons Learned

This project was significant in its breadth and scope, and we learned that ongoing and timely communication is key! From a security perspective, our IT department worked out a complete network and application security strategy for pro-
tection of the entire system. Project implementation was smooth thanks to the cooperation of all the campus locations and faculty members who were willing to take on this additional role. To counter any anticipated resistance, we focused on the benefits to the University, our students, and to faculty and staff by moving to an electronic process. We ensured they had the training in place and continuously updated them on our progress and results. Between implementation and 2004, we achieved a 97 percent Web grade entry rate. Since 2004, we maintain a 99 percent Web grade entry rate and are pleased with our overall results.

ABOUT THE AUTHOR

Tandy R. Elisala, Registrar/Associate Vice President of Compliance and Record Integrity, is responsible for all student records across all University of Phoenix campus locations and also serves as the Central Administration Americans with Disabilities Act (ADA) Compliance Officer. Tandy has worked at the University of Phoenix for 16 years and has served as Registrar since 1993. Tandy is also a faculty member teaching in the areas of human resources and general studies.

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Degree Mills: The Billion Dollar Industry That Has Sold Over a Million Fake Diplomas

Reviewed by Thomas D. Bazley, Ph.D.

While academia focuses on the great problems of the world and prepares students to address them, Allen Ezell and John Bear argue passionately, if not convincingly that the integrity of these noble efforts is being seriously undermined by a scourge they refer to as “degree mills.” They contend that over the past decade the sale of fake degrees has become a billion dollar industry. With an average cost of $1,000 each, a million individuals could be falsely touting their educational credentials. These estimates should not be viewed as mere hyperbole; the authors speak from knowledge and experience. Allen Ezell is a retired FBI agent who specialized in degree fraud for a great part of his law enforcement career and continues to provide consulting services on this issue. John Bear is a well known educational consultant and author of books on higher education. He has also been an expert witness in degree fraud litigation.

In fact, Ezell and Bear suggest they might be understating the breadth of the problem because of the conservative approach they take in defining what they consider degree mills. They clearly and repeatedly acknowledge that evaluating educational programs is fraught with difficulties and complexities and they ultimately leave it to the reader’s discretion to determine whether a school is a degree mill, an innovative educational institution, or something in between. However, even without the existence of any universally accepted definition for a degree mill, they do not shy away from offering their opinion in this respect. They describe a degree mill as an entity in which:

- Degree granting authority does not come from a generally accepted government agency;
- Procedures for granting credit for prior learning, and for determining the amount and quality of work done to earn a degree, do not meet generally accepted standards; and
- Those who make the decisions on credit and on the quantity and quality of work do not have the credentials, experience, or training typically associated with people performing these tasks.

It is within these parameters that Ezell and Bear provide a comprehensive and often disturbing discussion of the availability and use of fake degrees. They trace the history of degree mills from 700 A.D. to present, with emphasis on the relatively short period from about 1980 to 1991. It was during that time that Ezell, then an FBI Special Agent, headed an investigative effort aptly named “DipScam.” As a result, Ezell is able to provide rich details about an array of characters who have been involved in peddling fake degrees. Most impressively, he was responsible for dismantling 40 degree mills and convicting 21 individuals for selling worthless degrees (many of whom, nevertheless, reaped huge sums of money before being caught).

The authors also credit the joint work of two Congressional committees during this period for highlighting the fake degree problem. Committee investigators were able to procure a fraudulent Ph.D. in psychology for one of the committee chairs, the late Claude Pepper. When the degree was presented to him at a Congressional hearing, he became “Dr. Pepper.” (Note: At the time, the author of this article was a U.S. Postal Inspector and was temporarily assigned to Pepper’s staff as an investigator. He was instrumental in making the undercover purchase of the degree. Subsequently, in
Aside from whatever distaste arises from hucksters financially benefiting from selling worthless degrees, Bear and Ezell provide compelling evidence of an even larger problem, *i.e.*, the manner in which these degrees are being used by the purchasers. In an appendix appropriately titled “Time Bombs,” the authors provide a thirteen page list of real-life scenarios in which individuals possessing unequivocally fraudulent degrees (per Ezell and Bear), have occupied or are currently in responsible professional positions that normally require bona fide academic credentials. Among these scenarios are individuals currently employed as faculty and administrators at colleges and universities. Although no individuals are identified by name, sufficient information is furnished to determine the accuracy of these allegations. For this reason alone, higher education executives may wish to peruse this volume.

However, beyond ferreting out employees with fictitious credentials, there are additional important steps these executives can and should take. In their final chapter, Ezell and Bear present a wide-ranging discussion of what can be done to curb degree fraud. Given Ezell’s background, it is not surprising that a renewed law enforcement effort is among the recommendations. There certainly have been and probably will continue to be aggravated cases that warrant government intervention. Nevertheless, approaching the fraudulent degree problem from this perspective might be akin to addressing drug abuse solely from the supply side, *i.e.*, simply focusing on the prosecution of the traffickers and dealers, a law enforcement strategy that has not met with resounding success. Fortunately, Ezell and Bear make recommendations that address the “demand” side of the equation as well. In general their recommendations in this regard seek to diminish the value of fraudulently obtained degrees and it is here that administrators and executives at institutions of higher learning can play a critical role. For instance, these officials are urged to exercise informed judgment in making decisions about accepting degrees and/or credits for admission purposes so that fake credentials are not honored. In addition, they call upon human resource professionals, including the federal government’s own personnel agency, the Office of Personnel Management, to become more vigilant in accepting academic credentials for employment. If fraudulent degrees cannot be used to obtain further education at legitimate institutions or employment, the demand for these worthless credentials will subside.

Moreover, the authors call upon legitimate institutions of higher education to aggressively protect their good name. They provide several examples of degree mills copying or making slight modifications to names of renowned institutions of higher learning for the sole purpose of creating deception and confusion on the part of students and those who evaluate academic credentials for educational or employment purposes, thus adding value to these worthless documents.

The authors also urge state departments of education and the U.S. Department of Education to enact licensing standards for postsecondary educational institutions, which would limit the ability of degree mills to obtain any type of government agency approval. In part, they draw support for this recommendation from a doctoral dissertation entitled “Diploma Mills: What’s the Attraction,” authored by Robin J. Calote (2002, University of LaVerne). In this study, Calote found that purported licensure was the only statistically significant variable that influenced a group of students who were asked to choose among sixteen fictitious colleges for enrollment. Among her concluding remarks, she urged legitimate institutions to provide counseling to their students to educate them about academic accreditation, what state licensure and approval means, the existence and operation of diploma mills, and the professional risks taken by those who acquire and use fake degrees. In response to these recommendations Ezell and Bear state, “We could not agree more.” And nor can I.

**About the Author**

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**Toxic Emotions at Work: How Compassionate Managers Handle Pain and Conflict**

*Reviewed by Angela Runnals and Gaylea Wong*


Frost points out that we can’t entirely leave our personal lives behind when we enter the office. A range of problems, such as health issues, bereavement, or family problems may be carried along as emotional baggage. Once in the workplace, we are subjected to another set of toxins. From the stress of a reorganization to the death of a co-worker, pain is always there. However, although a certain amount of pain is an inevitable part of our working lives, he calls on us to assess what is inevitable and what is not—and how well we are handling it. As managers, we are responsible for acknowledging that emotional pain is a part of our working lives and finding ways to deal with it.

WHERE DOES TOXICITY COME FROM?

Frost gives its meaning as harmful or deadly. But who has not experienced toxicity in the workplace during their career? It is reassuring to hear that the author thinks toxicity, or emotional pain, is a normal by-product of organizational life. However, some toxins are not inevitable. Toxin generators harm their capacity as a U.S. Postal Inspector, he had occasional professional contacts with Allen Ezell.)

Aside from whatever distaste arises from hucksters financially benefiting from selling worthless degrees, Bear and Ezell provide compelling evidence of an even larger problem, *i.e.*, the manner in which these degrees are being used by the purchasers. In an appendix appropriately titled “Time Bombs,” the authors provide a thirteen page list of real-life scenarios in which individuals possessing unequivocally fraudulent degrees (per Ezell and Bear), have occupied or are currently in responsible professional positions that normally require bona fide academic credentials. Among these scenarios are individuals currently employed as faculty and administrators at colleges and universities. Although no individuals are identified by name, sufficient information is furnished to determine the accuracy of these allegations. For this reason alone, higher education executives may wish to peruse this volume.

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WHAT ARE THE EFFECTS OF THESE TOXIN GENERATORS, ANYWAY?

Frost says they are critical:

Toxicity, the outcome of emotionally insensitive attitudes and actions of managers and of the practices of their companies, doesn’t simply ruffle a few feathers. Rather, it acts as a noxious substance, draining vitality from individuals and your entire organization, potentially causing everything from missed deadlines to a mass exodus of your key staff.

Left unchecked, toxicity will seep into your organization’s performance and right down to your bottom line. Despite the pervasiveness of emotional toxins in organizations and their negative effects on people and on profits, no one will raise the subject since, as most of us have experienced firsthand, the discussion of emotion and pain in work situations tends to be seen as “weak” or “soft,” leaving those who do see it—and help to resolve it—with their mouths shut and their heads down.

HOW CAN WE CONTROL TOXICITY?

Leaders, Frost says, need to first of all acknowledge toxicity as a fact. Furthermore, they need to look beneath the surface and find out how toxicity is being dealt with in their organizations. Typically, they will find that some people have taken on the task of “toxin handling.”

WHO ARE THE TOXIN HANDLERS?

Many of these toxin handlers are simply compassionate people, at any level in the organization, who care about others. They have not been asked to take on this role—they simply see a need and stop to help. Some of their most important characteristics are that they are willing to listen and witness and demonstrate that they care. Other characteristics include “holding space for healing, buffering pain, extricating people from painful situations, transforming pain.”

If at all possible, managers should be toxin handlers. If they do not have the necessary skills themselves, they should identify those who have taken on that role and provide support for them. An important support is recognizing that toxin handling takes a significant toll on the handlers. Many do their work unnoticed and even feel guilty, because their work may not be recognized or valued. Often they take on others’ pain, and if they don’t have a similar support in place themselves, they may internalize the stresses, leading to disillusionment, burnout, and illness. Frost introduces the concept of stress-related illness owing to a depressed immune system and relates his own story of how, as a cancer survivor, he began to identify elements in his work life that were mentally and physically unhealthy. This was when he decided to do more research on the subject, resulting in this book.¹

HOW CAN WE LEGITIMIZE TOXIN HANDLING?

Frost calls on organizations to recognize the value of toxin handling and to give it legitimacy by naming it. Depending on the organizational culture, toxin handling can be referred to as “emotional intelligence,” “supporting staff through transitions” or “dealing with morale issues.” Whatever it is called, it is important for the work to be truly valued at the senior levels of the organization.

PAIN IN THE WORKPLACE

“Toxicity is just a normal by-product of organizational life,” Frost says. “All organizations and indeed all managers in organizations generate emotional pain as part of the normal process of conducting business....”

So pain is a normal aspect of working life. However, to control its potentially toxic effects, we must learn to handle it correctly. Organizations that want to stay healthy, says Frost, need to learn to handle toxicity effectively—or better yet, prevent it in the first place.

WHEN PAIN IS ACKNOWLEDGED AND EFFECTIVELY MANAGED, IT CAN BE A CONSTRUCTIVE FORCE FOR ORGANIZATIONAL CHANGE.

The source of pain might be other managers, organizational interventions, or simply change itself, if not handled well. The affected individual’s immediate reaction is likely to be confusion, disbelief and shaken confidence.

Frost focuses us on what is lost in times of pain. There is a personal loss, of course, but there is also a huge loss to the organization. What do employees do when they are suffering? First, they might not even be present in the workplace since absenteeism will increase during painful times. If they are present, they’re certainly not thinking constantly about productivity or the bottom line. A common reaction is one of withdrawal—the employee loses confidence that the organization is there for them. Such feelings do not lead to a creative workplace or a positive feeling about oneself and the job. Unhealthy responses can be those of paranoia, defeat, and failure; these are the extreme opposite of the fulfillment, happiness and success that we would ideally hope for in our work.

In almost all cases, it is “the human response to the pain that determines whether it becomes toxic or generative.”

SUCCESS IS HARD TO ACHIEVE WITHOUT BUY-IN AT SENIOR LEVELS

Frost believes that “the compassionate actions of leaders can contribute significantly to an emotionally healthy and energized workforce. First, leaders must be willing to place responsibility where it belongs, that is, with whoever in the

¹ If you are interested in pursuing the link between stress and physical illness further, we suggest When the Body Says No: the Cost of Hidden Stress by Gabor Mate, now in paperback.
organization is accountable for the toxicity or in whose territory the suffering occurs.” Also, achieving results depends on the willingness of senior administration to “take seriously and embed deep within the organization’s culture:
- the value that people matter in and of themselves
- the belief, often expressed but infrequently honored, that people are essential to the success of the organization; and
- practices that address people’s needs and expectations so as to realize their contributions to the organization’s bottom line.”

Overall, we feel that Toxic Emotions at Work is a convincing book, with dozens of case studies to support Frost’s contentions. We consider it a strong support for a compassionate approach to the workplace. Postsecondary institutions these days, needless to say, are rarely easy places to work. We are constantly challenged to respond proactively to a rapidly changing world:
- We have been responsive to local and global changes.
- We have dealt with changed funding models by creating more business-like environments, including looking to alternative funding sources and partnerships.
- We have adopted the language and tactics of business in many ways (for example, we now emphasize strategic planning and benchmarking).
- We are internationalizing our campuses and dealing with intercultural differences.

At the same time, we continue to deal with all the old challenges: competition between the academic and administrative sides of the institution for funding; overlapping responsibilities with faculties for recruitment, advising, and enhancing learning skills; and pressure to manage enrollment better. And with today’s tuition costs and the competitive workplace that awaits them, students are more pressured themselves and therefore demand more from us.

In the long run, the humane, progressive organizations get better results and their workforces are healthier and happier. Good staff are attracted and retained. People’s lives are better and business flourishes.

There are many lessons in humanity, compassion and effective business practices to be learned from this book. We recommend it to you and your institutions.

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