FACULTY ENGAGEMENT IN CAMPUS-WIDE ENROLLMENT MANAGEMENT ACTIVITIES: A GROUNDED THEORY

by

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APPROVAL

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This dissertation has been read by each member of the dissertation committee and has been found to be satisfactory regarding content, English usage, format, citation, bibliographic style, and consistency, and is ready for submission to the Division of Graduate Studies.

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DEDICATION

This work is dedicated to the three individuals in my life who have had the greatest impact on my success not only in completing this doctoral degree, but in whatever accomplishments I can claim in my personal and professional life. To my mother, Thelma (1925–1988), who taught me that a strong faith, a quiet patience, and treating people the right way can take one as far as he wants to go. To my father, Donald, who was a model for hard work and stubborn resolve. I have told many colleagues and friends that completing a dissertation has more to do with stubbornness than brains. To my wife, Vickie, whom I have leaned on for these past 25 years, thank you for loaning me your strength and encouragement when I was feeling weak and discouraged. This dissertation would not have been completed without you by my side. I dedicate to you three, this humble first attempt at scholarly work.

VITA

Paul Donald Kraft was born in Wessington Springs, South Dakota, in 1957. His parents are Donald and the late Thelma Kraft. He received a Bachelor of Science degree in sociology in 1979 and a degree of Master of Education–Guidance and Counseling in 1990 from Northern State University in Aberdeen, South Dakota. He has worked as a campus minister, family counselor, and in various positions in higher education, including as director of the Counseling and Career Development Center at Northern State University. He has also been chief student affairs officer at Northern State University in Aberdeen, South Dakota, and chief student affairs and chief enrollment management officer at the University of Alaska Southeast in Juneau, Alaska. He is married to Vickie G. Kraft and has two children, Danna Rochelle Molleda and Kellen Paul Kraft.

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ABSTRACT

Despite the urging of enrollment management experts to collaborate with the academic community when designing and implementing campus-wide enrollment management efforts, there are scarce resources or models to inform them as to what incentives, encouragement, or management structures might effectively support this effort. This grounded theory study utilized partially structured one-on-one interviews to investigate incentives, motivation and management structures needed in order for members of the faculty to engage in campus-wide enrollment management efforts. Twenty-five participants were interviewed for this study including 8 academic administrators, 4 student services administrators and 13 faculty members. The study was directed by the following research question: What conditions must be present in order for members of a university faculty to participate in campus-wide enrollment management efforts? The following subquestions further clarified the direction of the study: (1) What caused or influenced the faculty members to engage in the current activity? (2) What, if any, incentives or rewards were in place that made it possible or attractive to engage in this activity? (3) What personal or professional challenges or disincentives were encountered? Findings consisted of 25 themes. The major themes were the desire of faculty members to help students succeed, the belief that involvement with students outside the classroom contributed to the faculty member's personal and professional growth, the lack of any external incentives or rewards, and the challenge of lack of time. Ten recommendations that emerged from the study included the need to design recruitment and retention strategies to meet specific needs of the department, college or university, select faculty members based on student input and design multiple opportunities for faculty with varying levels and types of involvement. A conceptual model was developed that considered supportive and inhibiting factors to campus-wide enrollment management efforts.

CHAPTER 1

INTRODUCTION TO THE STUDY

Background

Recent history has been filled with multiple challenges that have brought pressure to university systems. Uneven demographic trends result in some states, such as California and Texas, having more students than the system is prepared to serve, while other states struggle to maintain sufficient enrollments (Keller, 2001; Martinez, 2004; Watson, 2002). Technology has brought improvements in accessibility and efficiency but also a hefty price tag that must be borne by the institutions (Hillstock, 2005; Ringle, 2004). Students today are more diverse and possibly less prepared than those of any preceding generation (Williams, 2003).

College tuition rates have consistently increased faster than disposable income, and students at some 4-year colleges are facing annual double-digit percentage increases in tuition and fees (Kantrowitz, 2002). While costs in higher education are going up, many states are reducing the amount of aid to their state public institutions (Boyd, 2002; Martinez, 2004). A study by Reindl in 2004 showed that state appropriations for higher education fell at an annual rate of 2.8% over the previous 5 years, and the trend is expected to continue. During this same time frame, enrollment management has evolved from its infancy in the 1980s to a maturing profession with a growing body of research, best practices, and organizational structures in place on most campuses (Dennis, 1998; Hossler, Bean, & Associates, 1990).

Enrollment management professionals have been given the leadership role in implementing strategies that will assist the institution in achieving enrollment and revenue goals. These pursuits usually involve the efforts of multiple offices and functions on campuses, including institutional research, admissions, marketing, financial aid, and the alumni office (Dennis, 1998; Hossler et al.,1990). A common theme of the enrollment management literature is the need to engage the entire campus community in order to achieve the desired results of recruitment, retention, and graduation goals (Dennis, 1998; Hossler et al., 1990; Tinto 1987).

Managing enrollment involves not only recruiting new students to the university but retaining those students who have enrolled and are progressing toward a degree. Research has shown that the faculty play an important role in improving student retention at colleges and universities (Nordquist, 1993; Pascarella & Terenzini, 1991; Tinto, 1987). Belchier and Michener (1997) presented evidence that the number of contacts a student has with a faculty member can impact his or her persistence toward a degree, even if that contact is in the form of informal conversations outside the classroom. Santos and Reigadas (2000) and Stith and Russell (1994) found that encouraging results were gained by purposefully engaging faculty members with minority or underrepresented populations such as Latino, Black, and Native American students and other students who have been identified as being at high risk for dropout. Schreiner, Henry, Piatt, Ullum, and Rupp (1988) and Campbell and Campbell (1997) found that pairing students and faculty in a mentoring relationship has been shown to increase persistence. A study by Jonides in 1995

showed that pairing students with faculty in undergraduate research partnerships was also found to have a positive impact on student retention.

Despite fairly conclusive evidence that the faculty can, and do, play an important role in retaining students, a review of the literature does not provide a clear understanding of the conditions that must be present in order for faculty to engage in these and other enrollment management efforts. As stated by the authors above, enrollment managers are encouraged to include the academic community as another available resource to recruit, retain, and graduate students. The focus of the faculty, however, is on teaching, scholarship, and service with a reward structure to support these efforts. There is an apparent disconnect between these two goals.

Nearly 20 years ago, Toy (1987) stated that faculty were key to improving retention rates on most campuses and described them as "a prized commodity" (p. 395). He went on to assert that "many more could be drawn into the fold with *proper incentives, encouragement, and management*" (italics added). Kemerer (1985) wrote that "there can be no substitute for faculty involvement because it is the faculty that develops programs, establishes articulation agreements with feeder institutions, publicizes departmental programs, and is directly involved with students daily through teaching and advising" (p. 5). He called any efforts to increase enrollment by other departments in the university without involvement from the faculty "shortsighted" (p. 5).

Rationale

It has been proposed that involving faculty in the planning and execution of enrollment management efforts at a university is the key to the success of these efforts

(Dennis, 1998; Kemerer, 1985; Toy, 1987). In spite of this, no empirically supported strategies or recommendations for engaging faculty could be located. No studies were identified which examined the conditions necessary for this involvement, only that such involvement was central to the enrollment management efforts. The lack of literature regarding the necessary incentives, and encouragements that must be in place in order for faculty to become involved in campus-wide enrollment management efforts has provided the rationale for further study.

Statement of the Problem

Despite the urging of enrollment management experts for enrollment managers to collaborate with the academic community when designing and implementing campus-wide enrollment management efforts, there are scarce resources or models to inform them as to what incentives, encouragement, or management structures might effectively support this effort. A study is needed that will explore the academic community's perspective on these expectations of faculty involvement in campus-wide enrollment management efforts. A better understanding of the perspectives of the members of the academic community—especially the faculty—will provide insights for enrollment management professionals and could

ultimately lead to improvements in practice as it informs those within the enrollment management profession.

Purpose of the Study

The purpose of this grounded theory study will be to generate and develop a theory as to what conditions need to be in place that will encourage the participation of faculty in campus-wide enrollment management efforts. At this stage of the research, involvement by the academic community will generally be defined as participating in student recruitment and retention efforts identified by the campus leadership team as being crucial to building and shaping enrollment at the university.

The general contributing factors to be investigated will be in the categories of (a) incentives, such as monetary reward or workload reductions, (b) encouragement, including intrinsic or extrinsic motivation, and (c) management, encompassing strategies used to introduce, build, and sustain the efforts.

Research Question

This study will be directed by the following primary question: What conditions must be present in order for members of a university faculty to participate in campus-wide enrollment management efforts?

The following subquestions will be used to further clarify the direction of the study:

1. What caused or influenced the faculty member to engage in the current activity?

2. What, if any, incentives or rewards were in place that made it possible or attractive to engage in this activity?
3. What personal or professional challenges or disincentives were encountered?

Introduction to the Literature and Conceptual Framework

Managing enrollment at university campuses is a fairly recent phenomenon with the first mention of the term "enrollment management" occurring less than 30 years ago (Coomes, 2000). The decision was made by this researcher to limit the search to enrollment management studies that were broad in scope and not investigate studies that dealt with results of various components of enrollment management, such as financial aid impact on student retention, college selection variables, and so forth. The available enrollment management literature that was included was primarily written by working professionals for working professionals with the focus on procedures and strategies that had proven to be successful (Dennis, 1998; Dolence, 1993; Hossler, et al. 1990).

Research- oriented literature was scarce, with only four studies found that dealt with campus-wide efforts in enrollment management and all four of the studies doctoral dissertations. Three of the studies focused on university campuses (Kelly, 1995; Tyler, 1995; White, 1995) and one focused on a community college (Murphy, 1999).

Including faculty in specific activities designed to improve either the recruitment or retention of students is believed to have positive outcomes for the university. Examples of involvement by faculty include meeting parents and

prospective students during campus visitation days, advising incoming students, mentoring programs, and even having informal conversations with students outside the classroom (Belchier, 1997; Bouman, Burcham, & Cairns, 2005; Field & Barrett, 1996; Mastrodicasa, 2001; Stith & Russell, 1994).

Some assert that impact by the faculty should go beyond involvement in student recruitment and retention activities and programs. A position paper written in 1999 by the Academic Senate of California Community Colleges suggests that because changes in student enrollment may impact the manner in which faculty teach (larger class sizes) or their teaching load (drop low-enrolled classes), the voice of the faculty should be included in any policy discussion involving enrollment management. However, some debate arose among authors as to the necessity or appropriateness of faculty involvement in this type of policy-setting, with opponents arguing that faculty are not equipped to provide input and the system is not set up to properly compensate them for the degree of involvement necessary (Heller, 1982; Miller, 2001; Morriss, 1998).

Because the literature was limited regarding faculty involvement with campus-wide enrollment management efforts, the scope of the literature review in Chapter 2 was broadened to include faculty participation in other campus-wide efforts. These efforts included teaching on-line courses, competing for external grant funding, becoming active in service learning programs, and teaching in learning communities. Special attention was paid to the incentives, motivation, and management that was used to encourage faculty involvement in these activities in the hope that relevance to enrollment management efforts would be found.

The conceptual framework used for this study was the Expectancy Theory that was originated by Vroom (1964) and expanded and modified by Porter and Lawler (1968). This theory was chosen because it attempts to explain how individuals are motivated and why motivation of individuals may differ based on their expectancy of receiving some type of reward. The theory takes into consideration the idea that some rewards are external or extrinsic and some are internal or intrinsic. It also considers the level of confidence individuals have in their ability to perform certain tasks and whether or not they believe it is within their role to do so. It was expected that the motivation for faculty to become involved in these campus-wide enrollment management efforts may include some, if not all, of these factors.

Significance of the Study

Managing enrollments at university campuses has increasingly become a concern in the past few decades as universities attempt to shape the student body to best fit the academic mission, meet increasingly tighter budgets, and attain performance measures set by external stakeholders. Enrollment management leaders have struggled with engaging the academic community—namely, the faculty—to participate in this effort. With a reward structure that does not encourage diverting time and attention from teaching, research, and service and a culture that resists top-down directives, it is difficult to enlist faculty in recruitment and retention efforts. The reward structure for enrollment managers is based upon achieving recruitment and retention goals. This creates a frustration within the university and provides an opportunity for study, understanding, and, ultimately, improved practices.

This grounded theory study investigated the claims of a medium-sized public university to have implemented an enrollment management plan with the success of the plan a direct result of its ability to forge a collaborative relationship with the academic community. By studying the efforts of this university, this study attempted to answer the question as to what conditions were necessary—or, to use the words of Toy (1987), what incentives, motivations, and management were needed—for faculty to engage in this important work of the institution.

Definition of Terms

For the purposes of this study, the following definitions were used:

1. Academic Community – Made up of those involved in the scholarship, teaching, and service activities of the university. This includes members of the faculty as well as those in administration tasked with providing leadership, such as the vice president of academic affairs, provosts, deans, and department chairs.
2. Enrollment Management – "An organizational concept and a systematic set of activities designed to enable education institutions to exert more influence over their student enrollments" (Hossler et al., 1990, p. 5).
3. Enrollment Management Professionals – Individuals in higher education with the responsibility, authority, and skills to take a leadership role in impacting the enrollment at their respective institutions.
4. Faculty – The group of academicians that includes full-time tenure-track, associate, and assistant professors but excludes the community of adjunct instructors.

5. Incentive – Rewards or benefits that are *external* in nature and incite a person to action, such as monetary rewards, special acknowledgement, and so forth.

6. Motivation – Rewards or benefits that are *internal* in nature and incite a person to action, such as an idea, need, emotion, and so forth.

7. Persistence – The successful progress made by a student toward an academic goal. This is usually defined as an uninterrupted succession of semester enrollments.

8. Retention – The retaining or keeping of the student at the university in which he or she is currently enrolled.

9. Shared Governance – A group of appointed or elected faculty members participating in problem solving, decision making, and policy making.

Assumptions/Limitations/Delimitations

Assumptions

This study was carried out with the following assumptions:

1. Shared governance is important to faculty.
2. Operational changes are essential for institutional survival.
3. The faculty has a managerial role in the operation of the college or university.

Limitations of the Study

The following were limitations of this study:

1. The focus of the study was limited to one institution and therefore is restricted to the experience of that particular university.
2. The study was limited by the skills of the researcher and his ability to pose questions that elicited relevant and complete responses.

3. Responses were limited by the willingness of the participants to be honest and open, as there may have been some hesitancy in disclosing information that may be negatively construed.

Delimitations of the Study

This study had limits that were chosen by the researcher:

1. Only two visits were made to the university the researcher studied.
2. For the purposes of this study, the criteria for involvement by faculty in enrollment management efforts was limited to the development of, or the participation in, one or more of the following core enrollment strategies that were outlined by Bontrager (2004): (a) recruiting of new students, (b)marketing and communications efforts to new students, (c) facilitating student transition and retention, and (d) attending to postgraduation aspirations of students.
3. The institution chosen to study was a teaching institution with less emphasis on research than what is found in many universities. This created a heavier teaching load but less time involved in research for most faculty.
4. The faculty members interviewed were currently or had recently been involved in campus-wide enrollment management efforts. These faculty members had volunteered to participate in these programs. No faculty members were interviewed that had declined the invitation to participate.

Research Structure Methodology

This grounded theory study utilized partially structured one-on-one interviews to investigate participants' perceptions of the incentives, motivation, and management needed in order for members of the faculty to engage in campus-wide enrollment management efforts. The research took place at California Polytechnic State University, located in San Luis Obispo, California. Approval for the study was secured through the Human Subject Research Board of California Polytechnic State University as well as from Montana State University–Bozeman, the degree-granting university. According to The Carnegie Foundation for the Advancement of Teaching, (2006) California Polytechnic State University is a 4-year or above, public institution with total enrollment of 17,582. The university is classified as "professional plus arts and sciences, with some graduate coexistence" under the classification of "undergraduate instructional program." The graduate classification is "postbaccalaureate comprehensive." The enrollment profile is categorized as "very high undergraduate" with the undergraduate profile listed as "full-time, 4-year, more selective." The university is categorized as a large, 4-year, primarily nonresidential institution. The basic classification is master's college and university (larger programs).

Interviews were conducted at the university during two week-long trips in the fall semester of the 2006-2007 academic year. The focus of the study was on members of the faculty who participated in campus-wide enrollment management efforts that were intended to positively impact the university through student

recruitment and retention activities. A second but equally important group studied was the academic decision makers, such as academic deans and provosts, to determine what involvement they had in making the current level of faculty participation possible. A third group consisted of the student services professionals who had developed the enrollment management activities and had actively recruited the faculty volunteers.

Analysis of the data remained true to the grounded theory tradition of qualitative research as identified by Glaser and Strauss in 1967. Open coding, followed by axial and selective coding, was used to incorporate all the categories identified. In this manner, the constant comparative method was employed to combine coding and the suggestion of a core category in an effort to uncover a new theory (Glaser & Strauss, 1967). This resulted in a conceptual model for the engagement of faculty in campus-wide enrollment management efforts.

The Researcher

The researcher has worked in higher education for more than 15 years with experience at three state universities in three different state systems. The majority of the work has been as a professional administrator in the division of student affairs, directing functions that provide support for students, such as counseling, disability services, career services, housing, health services, and so forth. More recently, for the past 5 years, the researcher has been in an enrollment management leadership position, responsible for the oversight of the development and implementation of an enrollment management plan for a small public university in Alaska. The researcher's

interest in this research topic springs from a growing awareness of the challenge in connecting the academic community with the planning and implementing of campus-wide enrollment management efforts.

Chapter Summary

Stabilizing enrollment is a concern for many universities in the United States with pressures coming from both internal and external stakeholders. The existing literature supporting enrollment management practices often points out the need for faculty to be included in the planning and implementation of enrollment management efforts. However, there are scarce resources or models to inform enrollment management professionals or academic administrators as to what incentives, encouragement, or management structures might effectively support this effort. The theoretical model that was used to ground this theory was Vroom's expectancy theory that has been modified by Porter and Lawler. The purpose of this grounded theory study was to generate and develop a theory as to what conditions need to be in place that will encourage the participation of faculty in campus-wide enrollment management efforts. A detailed review of the existing literature related to enrollment management and faculty involvement in enrollment management efforts is outlined in Chapter 2.

CHAPTER 2

REVIEW OF THE LITERATURE

Introduction

Despite the assertions that faculty play a significant role in enrollment management efforts of a university, there are scarce resources or models to inform enrollment management professionals or academic administrators as to what incentives, encouragement, or management structures might effectively support this effort. The purpose of this grounded theory study will be to generate and develop a theory as to what conditions need to be in place that will encourage the participation of faculty in campus-wide enrollment management efforts.

Chapter 2 presents a review of the literature relevant to this study and identifies the structural themes necessary to suggest this study of one campus's attempts to engage the faculty in campus-wide enrollment management. The structural themes consist of the past and current role of enrollment management activities at universities, the types of faculty involvement in these enrollment management actions, and the incentives and encouragements that were successfully used to support these efforts.

Accessing the literature primarily consisted of using the electronic search engine capabilities of libraries at three universities to which the researcher had access. The primary online search tool used was the Educational Resource Information Center (ERIC), but WorldCat (First Search), Wilson Education Full Text, LexisNexis

Academic, and Dissertations Abstract were used as well. The primary search terms used were “enrollment management,” “faculty involvement,” “faculty participation,” “student recruitment,” “student retention,” “higher education,” and “university.” These terms were used alone and in combination with other descriptors when suggested by the search engine tool. The sources explored included journal articles, books, on-line articles, and doctoral dissertations.

In order to present the most relevant research and writings for the current study, there was an effort to limit the searches to literature that had been written during the past 10 years. However, in order to include relevant historical perspectives, the searches were expanded to include some earlier publications. An effort was also made to limit the searches to information specific to 4-year universities, as the proposed study will take place at such a university. However, the reader will note a few references to activities or findings from community colleges that were deemed sufficiently relevant to the topic where no similar information specific to universities was located. Finally, the literature review was limited to resources written in the English language and pertaining to higher education in the United States.

The chapter begins with a discussion of the history of enrollment management from the late 1970s to the present time, followed by various definitions and components of enrollment management. The first theme of enrollment management concludes with a review of case studies of enrollment management efforts in higher education. The second theme of faculty involvement begins with an overview of the literature findings regarding faculty involvement, with some of the components of enrollment management mentioned earlier in the review. This is followed with

various views on what role the faculty governance should play in managing enrollment on college campuses.

The review continues by looking at incentives and disincentives for faculty involvement in other "outside the classroom" activities in higher education. These may inform the researcher on similar actions when inviting faculty to involve themselves in enrollment management activities. Finally, the review concludes by introducing the literature that presents the theoretical model used in developing the theoretical model for this study.

History of Enrollment Management

According to Coomes (2000), the profession of enrollment management has its roots in three forces that were in place in higher education in the mid 1970s. First, there was a growing awareness of the need to improve access and choice for a wider population of students which was supported by a complex set of federal, state, and institutional aid programs. Second, and perhaps as a result of these programs, there emerged a growing body of empirical research on the college choice process and the factors that influenced student attrition. Finally, there were projections of a significant decline in college enrollments in the upcoming years as the baby boomers finished their university educations and smaller numbers of students were expected to replace them in the classrooms. From these forces, a need for managing enrollments began to emerge.

Penn (1999) cited two external forces that have had a significant impact on the "business of higher education" (p. 3). The first was the changing demographics,

which led to a decline in the numbers of eligible students and prompted a fierce competition among universities. The second circumstance was the "general public's erosion of trust in all types of public institutions, precipitated by a series of highly publicized events" (p. 1). The response of legislators was to require greater accountability, to implement performance-based funding, and to mandate reports of specific statistical measures (Penn, 1999).

Several authors (Coomes, 2000; Henderson, 2001; Hossler, Bean, et al., 1990) credit Jack Maguire at Boston College, a faculty member in physics who was drafted into an administrative position, with coining the term "enrollment management" in the late 1970s. To respond to the economic crisis the institution was facing, as new dean of admissions, Maguire and new executive vice president Frank Campanella restructured the way in which Boston College handled enrollment planning and gave it the title of enrollment management. A new organizational structure emerged for the first time with departments that had formerly reported to various deans—admissions, financial aid, research, and registrar; now all reported to a dean of enrollment management. A few years later, in 1984, Peter Ewell commented on the importance of merging functions when he wrote, "When regarded as a sum of its parts, enrollment management is really nothing new. Institutions have recruited, admitted, tested, enrolled, advised, promoted, dismissed, and graduated students since their inception. The problem is that each of these has been developed independently" (p. 4). Maguire also believed the goals of enrollment management were closely related with marketing to the appropriate students, as this would impact the university's retention rates (Henderson, 2001).

Tom Huddleston at Bradley University is also credited with having a major impact on the early development of enrollment management as a concept and practice (Henderson, 2001). Huddleston promoted the use of market research as a way to identify needs of prospective and current students and then align the components of the university with the needs of the clients. Huddleston also saw the importance of linking the academic areas of the university with the marketing efforts and developed the first office of student retention.

In 1981, Kruetner and Godfrey published an article about their enrollment management efforts at California State University–Long Beach that resulted from an unexpected but significant enrollment decline. The authors emphasized the importance of matching college attributes to the interests and needs of students, tracking potential students through the enrollment stage, involving academic departments in retaining students, and using ongoing research to inform future planning.

In the early 1980s, Kemerer, Baldridge, and Green (1982) wrote of the importance of using enrollment management strategies to assertively address the declining enrollments many campuses were facing in order to achieve and maintain institutional vitality. Communicating across campus, integrating functions, and eschewing the quick-fix solutions were all part of their counsel.

Don Hossler (1984) suggested that enrollment management went beyond the admissions office and needed to involve the entire campus, including academic departments and their leaders. Hossler also emphasized the need for enrollment managers to use research and planning and to become comfortable with institutional

research techniques. An associate of Hossler, John Bean (1990) emphasized the importance of strategic planning for enrollment managers and the process of integrating strategic planning and enrollment management for the ongoing fiscal health of the institution.

Dolence (1997), one of the most recent authors on the enrollment management scene, has placed a greater emphasis on linking the academic programs of an institution to a process that he identified as strategic enrollment management. This shifted the focus from marketing and recruitment to the classroom or other teaching and learning environments, which placed it squarely in the academic center of the university mission. Dolence identified a set of primary goals that all enrollment management systems would share, regardless of the unique features of the institution: stabilize enrollments, link academic programs to the enrollment management plan, stabilize finance, optimize resources, improve services, improve quality, improve access to information, reduce vulnerability to environmental forces, and evaluate strategies and tactics.

Enrollment Management Defined

The term “enrollment management” has been in practice for more than 20 years, but that should not imply that there is unanimity in the definition of the term, even among those who write about it as a concept and a model. In 1982, Kemerer, Baldridge, and Green gave one of the earliest definitions of enrollment management, identifying it as both a concept and a procedure. As a concept, enrollment management “implies an assertive approach by an institution to ensure the steady

supply of qualified students necessary to maintain institutional vitality" (p. 21). As a procedure, enrollment management is a "set of activities to help institutions interact more successfully with their potential students" (p. 21).

Expanding on this definition, a few years later Kemerer (1985) defined enrollment management as a "holistic approach that consists of a number of interdependent activities. These activities include the clarification of institutional mission, long-range planning, academic program development, marketing and recruitment, retention, and career planning and placement" (p. 5).

The emphasis on the interconnectedness or comprehensive nature of enrollment management continues as a theme throughout the early years of its development. Rainsford in 1985 surmised that enrollment management could not be concerned only with managing new student enrollment through the admissions process but instead must encompass all of the functions involved in "recruiting, admitting, funding, tracking, retaining, and replacing students as they move forward, within and away from a college and university" (p. 34).

Hossler et al, (1990) expanded on this definition and described enrollment management as the following:

> …an organizational concept and a systematic set of activities designed to enable education institutions to exert more influence over their student enrollments. Organized by strategic planning and supported by institutional research, enrollment management activities concern student college choice, transition to college, student attrition and retention, and student outcomes. (p. 4)

Lessons learned from careful study of impacts of processes were then to be used to continually improve and guide institutional practices in areas of "new student

recruitment and financial aid, student support services, curriculum development and other academic areas that affect enrollments, student persistence, and student outcomes from college" (p. 5).

Dennis (1998) began her definition of enrollment management by stating first what it is not. "Enrollment management is not a bag of tricks or a series of quick fixes. It does not hold only one administrator responsible for a school's enrollment success or failure. It does not ignore the campus culture or the faculty" (p. 8). She went on to say that, however it is defined, enrollment management consists of having the information needed to know why students enroll at a school, why those who withdraw do so, and what the difference is between the students who leave and those who stay. Dennis also emphasized the importance of understanding the financial realities of higher education, including knowing both how students pay for education and what steps must be taken to strategically prepare to meet the future enrollment and financial needs of the university.

Since the mid 1990s the word "strategic" has found its way next to the term "enrollment management" often enough that focused attention will be given here to reflect this emerging theme in the literature. A definition was given by Dolence (1993) that strategic enrollment management (SEM) is a "comprehensive process designed to achieve and maintain the optimum recruitment, retention, and graduation rates of students, where 'optimum' is defined within the academic context of the institution" (p. 13). Dolence claimed this was a unique approach to dealing with enrollment issues in higher education. Although usually defined in the academic context of the institution, its comprehensive nature means it cannot be confined just to

the faculty and academic administration. Indeed, in order to be successful, strategic enrollment management must permeate all levels of the institutional culture, whether in academic affairs, student affairs, financial affairs, or the other various support functions including the groundskeepers union.

Black (1999) concurred with the blurring of the lines and responsibilities of SEM, stating that it is "an integrated institutional approach to establishing cultivating relationships with students from their first contact as a prospect through the completion of their educational goal" (p. 19). He went on to say that the goal of the blurring of boundaries has a purpose: "to provide seamless services and educational opportunities to students" (p. 19).

The literature regarding defining the scope of managing enrollment appears to be quite consistent in viewing the process as comprehensive in nature and not confined to a particular office or function within the university. The current emphasis in the field links the strategic plans of the academic units to the recruitment and retention efforts of the various functions across the campus. A successful enrollment management plan is a plan that has refined the marketing and recruitment strategies in such a way that the institution is able to identify and recruit the right number and right mix of students who have the ability to successfully complete their academic goals with the support of existing services. This refinement will require a great deal of cooperation and communication between units that typically have not been proficient in those areas in many universities.

Hossler et al, (1990) insisted that enrollment managers expand their vision of their role from serving as more than marketers and recruiters to also include functions

as diverse as assisting with financial aid, academic advising, and faculty development, to name a few. Other enrollment management professionals agree with a comprehensive list of the various components, including marketing, recruitment, admissions, financial aid, registration, new student orientation, campus activities and residence life, academic advising, institutional research, learning assistance, student retention, career planning, and faculty development (Becraft, 1997; Dennis, 1998; Huddleston & Rumbough, 1997). Each campus will not follow the same blueprint, however, as the unique needs and concerns of the individual university and its norms, politics, informal networks, and specific skills of its campus personnel will dictate the activities and structure of the local enrollment management systems.

Studies in Enrollment Management

Despite the amount of literature on the various strategies and components of enrollment management, there have been few published studies that focus on managing enrollments at universities. Three doctoral dissertations were located that pertained to various components of enrollment management at institutions of higher education. Kelly (1995) studied the challenges to implementing strategies used by the University of Toledo in response to declining enrollment. Among his findings was what he defined as inertia in higher education, with the structure in higher education making change difficult to occur. Also, communication among decision makers was deemed critical to the success of the process but difficult to accomplish and often lacking. A final challenge to achieving the success through strategic change was the lack of top management at the university.

White (1995) conducted a case study of a private Church of Christ university in the South, attempting to determine the critical factors involved in one enrollment management program. His data were synthesized into nine critical factors important to successful enrollment management at that institution: (a) pursuit of quality programs and excellent faculties, (b) campus-wide involvement in the enrollment management process, (c) long-range and strategic planning, (d) effective use of institutional research, (e) specific recruiting objectives, (f) adequate distribution and integration of financial aid, (g) planned programs to improve retention, (h) stability of enrollment staff and policies, and (i) pertinent and accurate evaluation and analysis of programs. The exclusion of any one of these factors would not destroy the enrollment management functions, according to White, but may render the process much less functional.

Tyler (1995) used qualitative and quantitative research methods to assess the match between the school's (Fordham University) mission and the composition of the student body. Results of the data indicated that there was a discrepancy between the stated mission of the university and the makeup of the enrolled student body that had been recruited and retained at the institution. The findings also indicated that the concerns of the admissions office differed from the administrators' concerns relative to student acceptances (quantity vs. quality). The research results also pointed out a need for university strategic planners to provide more guidance to the enrollment management team in order to shape future directions. This need for linking enrollment management with the strategic planning of the university and the

academic mission of the university with the efforts of the enrollment management team was discussed earlier in the literature review (Dolence, 1993).

Murphy (1999) conducted a dissertation research study focusing on a Midwest community college. This study attempted to discover the level of understanding and involvement by faculty of the enrollment efforts at that particular institution. Murphy found that faculty members were interested in knowing information about current students but had little interest in the makeup of future classes of students. A similar lack of interest was shown in engaging in activities that were directed at prospective students; faculty chose rather to use their time interacting with the current student body. Career faculty or those who taught career/technical courses used information about the prospective students to assist in planning and developing lessons appropriate to the makeup of the incoming class. The academic faculty—those who taught nontechnical courses—did not express an interest in receiving or using the information regarding incoming students. Though the research was limited to one community college, it does show one example of a gap between the desired—an academic community engaged in enrollment management activities—and the reality at this particular institution.

In 1996, the American Association of Collegiate Registrars and Admissions Officers published a book entitled *Strategic Enrollment Management, Cases from the Field*, in which the enrollment management efforts of 13 separate universities are summarized and discussed. Even though the term “case study” was used in many of the writings, it is unclear whether the research met the rigorous criteria needed to qualify as case studies as defined by Creswell. Rather, the writings appear to be

summaries of the lessons learned and the best practices to emerge from enrollment management professionals as a result of specific challenges faced at the university at which they worked. Nonetheless, the compilation of studies does add to the enrollment management field, and a survey of the articles shows that 6 of the 13 studies do highlight the role of faculty in the respective campus-wide enrollment management efforts.

Beals (1996) discussed designing and implementing an enrollment management program that was initiated at Georgia State University in 1991. Georgia State University is a large, public, urban, commuter institution with an enrolled student body of 24,000. The conclusion from this study pointed to the importance of providing strategic information relating to recruitment, retention, service to students, and academic program offerings to people in positions of power and influence, including those in the academic decision-making arena, such as provosts and deans. Educating the faculty about the enrollment management philosophy and plan and soliciting heavy involvement of faculty members was described as an “essential element” (p. 31), and failure to employ this strategy was to put the enrollment management “at risk” (p. 31).

Irvin and Swanson (1996) wrote of the experience of California Polytechnic State University in the early 1990s when the leaders of the university simultaneously engaged in a strategic planning and enrollment management planning process for the university. The conclusions of the authors included the need to include faculty in all areas of the process in order to garner their support and benefit from their input.

Penfield (1996) wrote of the efforts of the admissions staff at Birmingham-Southern College to focus on promoting the university's curriculum when speaking with prospective students. The admission staff took the position that since the curriculum was central to the mission of the university, those responsible for promoting the university to prospective students needed to be intimately familiar with the curriculum. Significant and purposeful resources were expended toward that end. Not only did faculty meet with admissions staff to explain the curriculum, but they also wrote letters to prospective students and attended receptions and dinners for prospective students.

An enrollment management team was created at the University of Hartford and tasked with responding to the significant decrease in enrollment. According to Krotseng (1996), strong representation from academic deans as well as faculty senate representation on the team were considered important reasons for the successful outcome of the team's effort and ensured a steady flow of information from the team back to the university faculty.

The enrollment management experience at Arizona State University was quite different from the smaller universities discussed above. Wilkinson (1996) suggested that the responsibility for building enrollment at this large research university is seen as the responsibility of the student affairs department, while academic affairs—including the faculty—focus on instruction, faculty governance, curriculum development, and so forth. This results in the academic departments' viewing enrollment as a "support function rather than a priority" (p.152).

Dolence (1993) wrote of his experience at California State University–Los Angeles in the late 1980s when he led a strategic planning task force that consisted of 32 faculty and administrators. Stated outcomes of the experience included increased leadership from faculty both on the task force and in the implementation of the changes that resulted from the strategic planning project.

These studies vary in their focus, and only one—the Murphy study—was written with the specific intention of studying faculty involvement, while the other studies or summaries focused on a wider scope of enrollment management activity. Even though the theme of faculty involvement is prevalent in each study, there are few, if any, insights into how to engage faculty in enrollment activities, only that it is necessary to find success in these efforts.

Faculty Involvement and Impact on Students

In an article by Bouman, Burcham, and Cairns (2005), strategies were suggested that will help encourage faculty to become involved in one recruitment activity during weekend recruitment events. These voluntary events at Ferris State University were considered by the authors to be a major component for encouraging future enrollment of students, in part because faculty are able to meet with prospective students and their families. The authors identified five components to the success of faculty engagement in these activities. First was sharing with faculty the potential benefits for involvement—primarily, increased enrollment in programs. Second was tracking results of the events (number of students who attended these events and eventually enrolled at the university), and sharing these results with

faculty was important in garnering interest. Another important strategy was to gather feedback from the faculty about what information and training they needed in order to feel competent and then to provide it, as well as to tailor expectations to this input. A fourth strategy was to initially identify and work with those members of the faculty interested in recruitment activity. And finally, it was suggested that in order to encourage faculty involvement in voluntary activities, the university should find ways to honor and recognize those who volunteer their time for recruitment events.

Several studies have been conducted on the impact faculty have in the area of facilitating early transition of new students to the university**.** Kluepfel, Parelius, and Roberts (1994) highlighted the benefits of faculty involvement in increasing success of students in specific entry-level courses and the subsequent increase in retention that resulted. Special credit-bearing courses targeted at students in need of developmental course work were created in 10 different departments at Rutgers University. These courses were designed to increase faculty–student contact by requiring out-of -classroom interaction and allowing more faculty time with each student because of the smaller class size. Great care was taken to recruit faculty known for outstanding skills in instruction and a stated desire to work with students in developmental courses.

The benefits of faculty involvement in advising incoming freshman students affect not only the students but the university as well, according to study by Mastrodicasa (2001). This study showed that students benefited by getting the needed courses for their degree programs, resulting in positive customer satisfaction of

students and parents, and that the university benefited by more carefully and accurately responding to full classrooms by expanding sections and offerings.

Faculty role in improving student retention has received an increased amount of attention recently. One study by Belchier (1997) showed that the re-enrollment from first semester to second semester was best predicted by first-term GPA and that the second highest predictor of GPA (behind admissions index score) was the number of conversations the student held with the faculty, with more conversations related to higher GPA. This was true for minority students as well as nonminority students. A study by McShannon (2001) appeared to support the importance of faculty–student interaction when a 9% increase in student retention and achievement in selected engineering classes occurred after multiple interaction styles were used by faculty that related to specific learning styles of the students. The results were especially notable among Hispanic and female students in the engineering classes.

Several other studies confirm the positive role that faculty interaction has upon a student's decision to continue toward graduation. A study by Santos and Reigadas (2000) showed that faculty–student mentoring programs increased retention among minority students. Jonides (1995) studied research partnerships between faculty and students and discovered a positive correlation with retention. Faculty traveling to reservations and speaking to incoming Native students, especially when the visiting faculty member was also Native, made a positive impact on students' enrolling at the university and persisting toward graduation upon enrolling, according to Thomason (1999).

Positive correlation between student retention and quality of student–faculty interaction in the advising relationship was also shown in studies by Field and Barrett (1996). A study by Stith and Russell (1994) showed an increase in retention among African-American students who interacted with their faculty advisors compared to those who did not. Faculty are highly trained specialists in their academic fields but have little if any exposure to areas that involve increasing student retention and learning. The importance of providing training for faculty in the area of academic advising was highlighted by Kapraun (1992) and Jones (1998), as were the benefits of increasing interactions in class between faculty and students (McShannon, 2001).

There appears to be ample evidence that faculty interacting with students—both in and out of the classroom—during multiple periods of the students' time at a university has a positive impact on their academic career. However, none of the studies discussed the "how" of engaging faculty; rather they focused on the "what," or the outcome of the activity.

The Role of the Academic Leadership in Enrollment Management

In addition to the urging of enrollment management professionals to include the academic community in enrollment management activities, there are voices from within the academic community supporting the same idea. Professor Kemerer wrote in an article published in 1985 that "it is the faculty that develops programs, establishes articulation agreements with feeder institutions, publicizes departmental programs, and is directly involved with students daily through teaching and advising" (p. 5).

The Academic Senate of the California Community Colleges (1999) drafted a position paper in response to concerns of educational quality in the midst of enrollment challenges projected as a result of a predicted overenrollment of students. Local faculty senates are urged to be more involved in setting campus FTES goals, insisting on accurate enrollment projections, requesting that efficiency measures be applied to administration and staff, and developing campus-wide enrollment management plans. In addition to the above, the senate proposed that all of the following enrollment management issues be considered within the scope of collective bargaining and may have a significant impact on working conditions:

1. Timelines for notification of faculty that classes be cancelled.
2. Class changes that affect right of assignment.
3. Changes that involve seniority in assignment and bumping rights in cases of class cancellation.
4. Rights of refusal of faculty reassignment.
5. Retraining of faculty in cases of program discontinuance or reduction in classes of a certain kind or in a certain area.
6. Class-loads/workloads.
7. Class size.
8. Hours of work during the instructional day.

The paper closes with the exhortation to the local academic senate to work with administration “as a team to produce a plan that meets both the fiscal needs of the institution as well as the academic needs of the students” (p.15).

Another voice emphasizing the need for healthy working relationships between enrollment management professionals articulates it thus:

> For universities to meet their enrollment challenges, it requires the interdependence and cooperation of enrollment management professionals and the academic community, that is, those who work most closely with students. Failure to cooperate will not allow the university to maintain the policies and procedures needed to insure sufficient enrollment for organizational success. (Smith, 2000, p. 24)

An important consideration is what role the academic leadership should play in enrollment management. Beginning in the early days of the enrollment management discussions, the role of the academic leaders was a topic of conversation. Kemerer (1985) postulated that academic departments, their leaders, and faculty should be "intimately" involved in such functions as institutional mission clarification, long-range planning, academic program development, marketing, recruiting, admissions, financial aid, orientation, registration, retention, and career planning and placement.

Faculty Involvement in Nonenrollment Management Activities

Because there were no studies found that discussed the incentives and barriers to involving faculty in enrollment management efforts, other topics were chosen to review. These were determined to be relevant because each case involved significant effort by the faculty member in work that was outside the norm of the classroom. The six topics are (a) distance education delivery, (b) learning communities, (c) service learning, (d) college/university-wide research projects, (e) extramural funding, and (f)

new program development. In each of the following studies, motivators and barriers were identified.

The advent of providing education through distance-delivered modalities has had an impact on faculty and is expected to continue to expand (Hannafin, Hannafin, Hooper, Rieber, and Kinin (1996). A study (Cook & Ley, 2004) to determine what motivated and what discouraged faculty participation in distance education showed that the primary motivators are intrinsic—caring that their students learn or seeing an opportunity to develop new ideas, improve their teaching, and be intellectually challenged. However, extrinsic concerns are becoming more predominant; faculty workload, lack of release time, lack of salary increase, lack of merit pay, lack of monetary support, and lack of recognition were listed. The survey results suggested that intrinsic motivators continue to be important, but the results since 2001 are showing that there is shift toward extrinsic factors becoming more important. The suggestions are to avoid mandatory participation and instead encourage voluntary participation and provide extrinsic motivators along with administrative support (2004).

Another change in some faculty's teaching responsibilities is the introduction of learning communities. Learning communities vary greatly in design but generally involve a coregistration or block scheduling of two or more classes, allowing students to take courses together. By sharing a number of the same classes, students form relationships that are typically not common within the normal class schedule. The learning communities are typically team-taught by faculty from two different

disciplines or by a faculty member and a student affairs professional, and they generally revolve around a theme (Tinto, 1997).

A survey by Fine and Nazworth (1997) attempted to determine whether or not faculty believed that participation in learning communities was beneficial with regard to their careers. The results from this survey showed that there was considerable variation in the responses depending on rank, with full professors showing the most agreement that the experience was beneficial and instructors expressing the least agreement. The study concluded that the closer the faculty members are to retirement, the less importance they place on perceived benefits compared to their younger and untenured faculty colleagues. Additionally, the study offered that one reason for low faculty interest in involvement was the perception that there was an overall lack of support of the program by academic leadership.

In a study by Matthews, Smith, MacGregor, & Gabelnick (1997), it was suggested that interest level in teaching in a learning community may differ depending on where the faculty member is in his or her career. Targeting faculty who are more advanced in their professions may be a good strategy for inducing faculty involvement, as team teaching in a learning community can be presented as a welcome break from teaching the same set of courses year after year. Durrington and Bacon (1999) emphasized the importance of selecting faculty who are enthusiastic from the outset about the idea of team teaching in a learning community and using their enthusiasm to expand the involvement to other faculty.

Ward (1998) proposed that successful integration of service learning into the curriculum requires overcoming barriers and resistance to change. Because people resist what is unfamiliar, an awareness campaign must be a priority, finding ways to inform all units of the benefits and goals of service learning. Other suggestions are to use all available formal and informal committee structures and to tie the goals of service learning to other existing efforts on campus, such as undergraduate research programs.

Addressing faculty reward structures is also essential, according to Ward, and the author suggested introducing service-learning participation into promotion and tenure guidelines, starting with departments that are service-learning friendly and eventually expanding campus wide. A final suggestion was to use data about the benefits of the program to re-enforce strides made and sway reluctant nonparticipants.

A survey of Texas community colleges and universities revealed that course load reduction was the most popular incentive used to encourage full-time teaching faculty to serve as primary investigators in college/university-wide institutional research projects (Hardy, 2000). A reduction of 25% or one course was the most common incentive. The author suggested that a better incentive would require the institutional service components to be re-evaluated and increased to impact salary, promotion, and tenure.

A study of faculty members of the eight New Jersey state colleges was conducted to determine the incentives and barriers to faculty involvement in externally funded research. The most popular incentive was release time, followed by

the ability to engage in research and explore promising ideas, the opportunity to acquire needed equipment, and, finally, the hope that involvement would lead to building a stronger professional reputation. Other incentives included (a) consideration in the promotion and tenure process, (b) release time for developing proposals, (c) recognition in campus-wide publications, (d) the return of indirect costs to the department and/or college, and (e) help with identifying sources of funding in proposal preparation (Monahan, 1993).

The New Jersey study identified the barriers to faculty participation in extramural funding as (a) lack of time, (b) insufficient knowledge of the grant process and of grant resources, (c) lack of institutional resources, (d) inadequate equipment and facilities, (e) lack of administrative support, and (f) no systems of rewards. For universities that were not research institutions, the obstacles were a bit different: (a) heavy teaching load, (b) unawareness of the importance of grant activity in the tenure and promotion process, (c) lack of graduate students, (d) difficulty in attracting high quality faculty, and (e) limited contact with other professionals in one's field.

In 1998, Pennsylvania State University created an electronic distance-education, degree-granting campus to expand its mission from being simply a large, traditional, research institution. This was a significant departure and one that the university president stated would "change the shape of the land-grant university in the 21st century" (Ellis, 2000, p. 233). Courses are taught by faculty receiving no extra compensation. They do, however, receive release time from some of their on-campus teaching to design the courses taught in the on-line program. A study was conducted

to determine the major barriers to faculty participation, the leading incentives for the faculty who chose to become involved, and the major concerns among administrators of the impact that faculty involvement may have on their departments.

Barriers to faculty participation in this innovative program included (a) finding release time needed for faculty to develop courses for the campus, (b) lack of promotion and tenure process to reward additional teaching in this new program, (c) lack of money to pay for time and equipment needed in the up-front development of the courses, and (d) lack of any incentives or rewards for participating in this on-line teaching. It was reported that only tenured faculty should participate in this new venture, as it would have a deleterious impact on nontenured faculty in reaching their research and publication requirements.

In order for departments to encourage faculty to participate in the new venture, three incentives were requested from the university: release time from residential teaching to develop new on-line courses, new faculty lines in the departments or teaching assistants to replace the involved faculty, and the ability for faculty to connect their research topics/interest to what they would be doing in the new campus. Administrators and faculty shared concerns about the impact the new program would have on faculty research activities, whether or not the new campus would produce needed revenue, and the ability to assess the quality of teaching and learning in this new environment (Ellis, 2000).

Faculty Governance: Shaping the Campus

Another body of literature explored examined the role faculty play in shaping the overall direction of the university, including areas that impact student enrollment. Opportunities for faculty input in determining the future direction of a campus were typically found through some form of faculty governance, with faculty senates existing in 87% of institutions, according to a survey conducted by Tierney and Minor for the Center of Higher Education Policy Analysis (2003). However, this same survey showed that faculty participated in many other forms of decision-making forums as well, with the top three venues being academic departments, standing faculty committees, and ad hoc committees. According to research by the Center, there was widespread dissatisfaction with faculty senates, with research institutions' respondents showing the most disinterest in senate activities. Involvement in senate activities was not highly valued by nearly half the respondents of the survey, and there was criticism of the lack of goal clarification for the senate.

According to Tierney and Minor (2003), where the faculty have decision-making authority and where they do not is a point of contention on many campuses. The top three areas in which the faculty believed they had opportunity to exert influence were development of the undergraduate curriculum, determination of tenure and promotional standards, and setting of standards for evaluating teaching. The areas with the least impact by faculty were the evaluation of the president and academic vice president and the setting of budget priorities. This was consistent among institutions with collective bargaining agreements and those without.

There appeared to be general acceptance among some higher education researchers that faculty participation in strategic planning is a positive thing (Chan, 1988; Dill & Helms, 1988; Harvey, 1997; Marcus & Smith, 1996; Miller, 1996). A study by Morriss (1998) found that including faculty in strategic planning benefits the university, as it "facilitates ownership and commitment to the organization, promotes legitimacy of the processes, expands the number of ideas and alternatives proposed during decision making and encourages communication between faculty and administration" (p. 6).

Other benefits of faculty involvement in the governance process were found in studies by Miller, McCormack, and Pope (2000):

> greater investment by faculty in the work they do and are expected to do, greater organizational commitment, more and a wider selection of options developed in creating solutions to difficult problems, more open and creative communication among faculty, between faculty and administrators, among administrators, stronger dedication to the workplace, and even better teaching, research and service being performed. (p. 5)

Along with the general support for faculty governance, there are detractors as well. Morriss (1998) cited criticism that includes the difficulty of getting quality participation from faculty due to the fact that faculty often have narrow perspectives, that faculty participation involves a large time commitment, and that faculty are often reluctant to address complex issues or problems. Davies (1985) and Heller (1982) added several other reasons for lack of success in impacting positive change: (a) the inability of faculty to see the big picture, (b) lack of loyalty to the institution, with faculty being loyal only to their discipline, (c) strained cooperation among

departments competing for lack of resources, and (d) convoluted governance structures and authority. Miller (1996) adds to this list the following:

> a lack of trust among faculty groups, faculty and administrators, and among administrators who attempt to involve faculty, (2) increased requests for commitment and work production without corresponding increases in compensation, (3) over-workload requests which leads to burnout among talented faculty willing to get involved, (4) the abilities of faculty and administrators working in areas that they may be unfamiliar with, and (5) the commitment to additional time for making decisions and implementing these decisions. (p. 7)

Among universities with a culture of top-down administrative control, faculty senates are often seen as strictly ceremonial in nature and are unable to make any substantive changes (Helms, 2005). According to a 2001 study by Miller, college presidents "do not blindly support faculty involvement in governance" (p. 9), with the majority of the presidents surveyed reporting that they believed that faculty should focus more on teaching and curriculum development and less on institutional management.

Conceptual Framework

Because this study deals largely with the motivation of members of the faculty to become involved in activities that are outside the typical classroom or laboratory responsibilities, motivational theories were explored when considering a conceptual framework for the study. The works of Maslow,(1972) McClelland, (1985) MacGregor, (1985) and Herzberg (1966) were considered as they were significant contributors to the motivational literature. Their theories were ultimately rejected as conceptual frameworks for this study since many of their models were developed to

explain work that occurs in manufacturing, business, or industrial companies. The working world of higher education and its complex structure of advancement through the promotion and tenure process is significantly different from the production and manufacturing world of work.

Expectancy theory, as proposed by Vroom (1964) and modified by Porter and Lawler (1968) was based on the assumption that individuals are motivated to behave in a certain way in order to reach desired goals after going through a logical and rational thought process. This process consists of considering a wide range of possible outcomes and choosing the one that has the best chance of occurring.

In a work setting, Vroom believed that motivation to engage in behavior that would lead to a promotion, for example, occurred when the employee had high expectations that such behavior would actually result in this promotion. However, if the individual believed that engaging in the behavior would be ignored and not rewarded, there was little motivation to commit the extra resources to the project.

Porter and Lawler expanded on this theory by adding another expectancy called the effort/performance probability—that is, the probability that the effort expended will lead to a successful performance. When predicting whether or not the performance would be successful, two additional factors were included: the ability of the individual and the individual's role perception. In other words, does the individual possess the needed skills for the task, and does he or she believe it is consistent with his or her role as an employee?

Another addition to Vroom's expectancy theory made by Porter and Lawler was in the consideration of rewards. In the Porter and Lawler model, intrinsic and extrinsic rewards are differentiated. Satisfaction will occur if the reward is perceived as being fair, leading to a greater likelihood of repeating or continuing the behavior. Conversely, if the payoff or reward is perceived unequal to the amount of effort expended, it is likely the individual will not continue the activity.

Analysis, Synthesis, and Evaluation of the Literature

The strength of this literature review is in the amount of information about the components that make up the field of enrollment management. There is general agreement about what changes have taken place in higher education and the impact this has had on enrollment at many universities. There is also general agreement as to what constitutes the basic elements of enrollment management, with an acknowledgement that the unique cultures, missions, politics, and leadership at individual institutions will necessarily require different responses.

Nevertheless, there are several weaknesses within this review of literature. The field of enrollment management may be too young a profession to have developed models that can be used with some level of confidence, even within similar types of institutions. At least, the literature reflects that few if any such models exist. No literature was found that showed any attempt to confirm or refute different models.

Although there are several studies that suggest that faculty involvement with students plays a role in increasing student retention and student success, there was

only one article that discussed the role of faculty and their impact in the recruitment of new students. Rather, a list of strategies were presented, helpful for practitioners but of limited value to this study.

A major weakness of the literature review is the lack of research involving incentives or barriers to faculty involvement in enrollment management efforts, specifically student recruitment and retention efforts that occur outside the classroom. The available literature addresses the positive impact of faculty on students in an advising capacity, in teaching developmental courses, and in interacting informally outside the classroom. No mention is made about how these faculty members were encouraged, trained, or rewarded for such efforts.

Some relevant information was gleaned from reviewing the literature related to faculty involvement in work that was outside the norm of the classroom or laboratory. Although these studies did not deal specifically with enrollment management activities per se, it was informative to observe strategies for encouraging and rewarding such activities.

In addition to the weaknesses, there are also gaps in the literature. No studies were found that showed results of engaging faculty members in what could be deemed voluntary and unremunerated activities. Because many enrollment management efforts originate from administrative initiatives, it would have been helpful to find studies that cite successful engagement of faculty in such efforts.

There are several models or theories that attempt to explain motivation—specifically, motivation for employees in the workplace. No model or theory was

found addressed the complexity of the reward structure for faculty and how that might impact motivation to improve performance and job satisfaction. Porter and Lawler's expectation theory was chosen because it was thought to most closely explain the culture and context of higher education.

Conclusion

This review of related literature offers a summary of relevant research and writings of professionals in enrollment management and higher education leadership. The history of enrollment management was summarized and common definitions of the profession were outlined. A review of studies and best practices in enrollment management were given, with an emphasis on the role of faculty in these activities. Faculty involvement in areas outside of enrollment management was reviewed in order to explore helpful patterns that might relate to involvement in enrollment management activities. The role of faculty in university governance was investigated. Finally, the Porter and Lawler motivation model was discussed as a model that may have relevance in application to higher education organizations. This model has not been applied to the role of faculty and their involvement in campus-wide enrollment management activities but was considered for its relevance in this study.

Since no model was found that explains faculty involvement in enrollment management efforts, the next task was to gather the data necessary to construct a model or theory to help explain the incentives, motivation, and management necessary for the academic community to meaningfully engage in these activities. In

the subsequent chapter, an exploration of the methodology used to gather these data is offered.

CHAPTER 3

RESEARCH METHODOLOGY

Introduction

The purpose of this grounded theory study was to generate and develop a theory as to what conditions need to be in place that will encourage the participation of faculty in campus-wide enrollment management efforts.

The focus of the study was to critically examine one public, comprehensive university's effort to meaningfully engage faculty in addressing enrollment challenges in the recruitment and retention area. To frame the study, the research focused on three aspects of participation, namely (a) what caused or influenced the faculty member(s) to engage in the current activity, (b) what, if any, external or internal incentives or rewards were in place that made it possible or attractive to engage in this activity, and (c) what challenges or disincentives were encountered.

Research Design

In an effort to discover conceptual categories relevant to the conditions necessary for faculty involvement in campus-wide enrollment management and to suggest theory from data gathered, this study employed the grounded theory tradition of qualitative inquiry (Glaser & Strauss, 1967). This approach used a prescribed set of systematic techniques and analytic procedures to arrive at a scientifically sound theory. These techniques, combined with creativity afforded the researcher to ask questions pertinent to the data and to make comparisons that elicited new insights,

helped formulate and generate a theory relevant to the profession (Strauss & Corbin, 1990a).

Context of the Study

The setting of the study was identified as the California Polytechnic State University located in San Luis Obispo, California, one of the 23 institutions in the California State University System. The university studied was selected for several reasons. First, the university has received state and national attention for its efforts in engaging the academic community in recruitment efforts. It has developed the capabilities of all campus departments to communicate directly with prospective students and applicants in a "highly personalized fashion" through the use of electronic media. College deans, department chairs, and other faculty were involved in the project.

A second reason for selecting this university was the national recognition the university has received for efforts in student retention activities. Cal Poly Tech has developed a successful First Year Connection (FYC) program that supports first-year students in the residence halls. A key component of the FYC is the Faculty Associates Program that supports faculty–student interaction outside the classroom. A second retention program is the Living-Learning Program, which links each student to one of the six academic colleges. The program is designed to facilitate student interaction in the areas of "academic development and support, faculty interaction, career development and peer interaction and involvement" (http://www.housing.calpoly.edu/hall_desc/index.htm#llp). The third program at Cal

Poly is the Sophomore Success Program, designed to increase retention rates and academic competence through academic planning, community involvement, and leadership. This program also has a high level of faculty involvement.

A third reason for choosing this university as a research site was its accessibility to the researcher both in terms of its physical proximity (within a day's drive) and its favorable level of cooperation due to access granted by a gatekeeper at the institution.

As described on the university's official website (http://calpolynews.calpoly.edu/quickfacts.html), California Polytechnic State University is located in a community of 45,000 residents, 200 miles north of Los Angeles and 230 miles south of San Francisco. In the fall of 2005, the university had an enrollment of approximately 18,500 students and 1,180 faculty (including part-time), making the student-to-faculty ratio 19:1.

The university offers degrees in 66 bachelor programs, 24 master's programs, and 1 doctorate program. In addition to the majors, 63 minors and 8 credentials are offered. The university is accredited by 24 different agencies/bodies. It was founded in 1901 and began as a vocational high school, awarding the first bachelor's degree in 1942.

The student body is made up of 56% men and 44% women with the average age of the campus population at 21 years. More than 9 of 10 students are from California, with the greatest number coming from the San Francisco area (32%), and the second highest percentage coming from the next largest city in the area, Los Angeles (18%). The origins of the remaining students are fairly evenly dispersed

throughout California. Only .2% of the students are from countries outside the United States.

Cal Poly Tech enrolled 4,318 new students in the fall of 2005; of those, 3,420 were first-time students and 898 transferred from other institutions. The institution enrolled only 15% of the almost 29,000 students who applied to the university. The average high school GPA for first-time freshman students was 3.73, and the average SAT I score was 1204.

The college with the largest enrollment in the fall of 2005 was the College of Engineering (4,835), followed by the Colleges of Agriculture (3,738), Liberal Arts (3,062), Business (2,625), Architecture and Environmental Design (1,989), Science and Mathematics (1,824), and Education (573). Cal Poly claims that 92% of its graduates are either employed full-time or are in graduate school within 1 year of graduation. Of these alumni, approximately 8 in 10 (78%) are in the workplace, while 19% are attending graduate school.

Participants

As is customary in the grounded theory tradition, theoretical sampling was used. Theoretical sampling is based on identifying, developing, and relating concepts that are relevant to the evolving theory (Strauss & Corbin, 1990a. The site was chosen because executives and decision makers there have made choices and implemented strategies that will assist in building a theory from the emerging data.

The participants of the study were selected based on involvement in the enrollment management efforts over the past 5 years. The size of the participant list

was 25, with nearly equal numbers of faculty members (13) and administrators (12) participating. Special focus was placed on those in academic leadership and decision-making roles and those faculty members who have been impacted by decisions made as a result of the re-engineering of the processes and practices. In addition to the academic leadership and members of the faculty, and because the major focus was on recruitment and retention efforts, select offices and functions with responsibilities for these areas was also a focus. As expected, additional participants were identified as important subjects to be interviewed as the research project progressed. This occurred as a result of asking participants for referrals to other members of the university who had a perspective or information that was pertinent to the topic at hand.

The initial list of administrators and faculty members interviewed included the following:

1. Five of the six Academic Deans of the Colleges:
    a. Architecture and Environmental Design
    b. Business
    c. Education
    d. Engineering
    e. Science and Mathematics
2. Associate Dean of the College of Science and Mathematics
3. Assistant Vice President of Admissions, Recruitment, and Financial Aid
4. Vice President for Student Affairs
5. Associate Director of Residential Life and Education
6. Assistant Director of Residential Life and Education

7. Coordinator of the Learning Community/Sophomore Success Program
8. Faculty involved in the Faculty Associate Program (9)
9. Faculty involved in the Sophomore Success Program (4)

A table detailing this information as well as the rank of faculty volunteers and gender of all participants is included below.

Table 1. Study Participants

Study Participants														
Role	Academic Affairs				Student Services				Faculty					
Rank/Title	Dean		Other		Sr. Admin		Associate Dir/Coord.		Tenured		Tenure Track		Lecturer	
#	5		3		1		3		3		5		5	
Gender	M	F	M	F	M	F	M	F	M	F	M	F	M	F
#	4	1	2	1	1	0	0	3	3	0	3	2	2	3

Instrumentation

The grounded theory tradition typically includes in-depth interviews with individuals or groups that have experienced the phenomenon being studied and are willing to share their insights and experiences with the researcher (Creswell, 1998). The primary data was gathered through partially structured in-depth interviews. A common set of questions and common protocol (see Appendices A and B) were used; however, impartial prompting and follow-up questioning was used to ensure the flexibility needed to fully explore the major research question.

The interview protocol was peer-reviewed prior to presenting to the committee during the proposal defense committee meeting, with further revisions

based on the feedback of the committee. Upon acceptance by the committee, the protocol and a brief description of the proposed research project was presented to the human subject committees at both California Polytechnic State University and Montana State University–Bozeman.

Data Collection Procedures

Creswell (1998) stated that gaining access to the research site through the aid of a "gatekeeper" is an important first step in gathering sound data (p. 117). This step occurred through personal contact via e-mail and telephone. Rapport was established due to the gatekeeper and the researcher belonging to the same professional organization, sharing common acquaintances, and having had similar professional responsibilities. During the initial conversations, the researcher informed the potential gatekeeper of the costs and risks involved in the research in terms of time commitment, involvement of university resources, and potential attention to the university as result of the publication of the research.

In addition to the informal consent gained from the gatekeeper, formal consent in the form of a signed consent form was used with all interviewees (Appendix D). In keeping with Lincoln and Guba's (1985) suggestions, the form contained the following:

1. Name, address, and telephone number of the person seeking the consent.
2. A statement of purpose of the inquiry, including the role of the respondent, how the information was to be collected, and how it was to be used.
3. Specific information regarding consent and participation:

a. Intent to maintain confidentiality and anonymity.
b. Measures taken to prevent raw data or processed data from being linked with a specific informant (coding).
c. Measures taken to limit access to the data.
d. Notice of limitation of promise to anonymity (subpoena).
e. Right to withdraw from study at any time without justifying that action, and a right to have all data returned.
f. Specific steps to take should respondent choose to withdraw.
g. Notice that participation is entirely voluntary.

4. A sign-off space for the participant in which he or she acknowledges having read and agreed to the above as a condition for signing. A space for date signed was available as well. (p. 254–255)

An introductory email was sent approximately 2–3 weeks in advance of the interviews to the academic decision makers and identified faculty who had been involved in enrollment management efforts. Included in the email were a brief description of the study and a copy of the consent forms. Follow-up phone calls were made to each participant to answer questions, determine level of interest, and establish available times for the interviews.

Academic and student services decision makers were interviewed individually in 30–60-minute sessions. This depth interview format is a "highly viable research option," according to Miller and Crabtree (2004, p. 188), when the interview format is familiar to the respondents and when a large amount of descriptive data is available but when time, both for the interviewer and the interviewees, is limited.

Each of the interviews occurred in the administrator's offices or in a nearby conference room that provided privacy and minimal distractions.

Data was collected from the faculty members through the use of in-depth interviews as well. The interviews occurred during 20–45-minute sessions in the faculty member's office during time made available to the researcher. Each interview occurred in relative privacy, usually with the office door closed to limit the amount of distraction from noise due to student traffic outside the faculty office. One interview was conducted over the telephone, as the faculty member's availability did not coincide with the researcher's scheduled trips to the university campus.

The in-depth interviews occurred during two separate visits to the campus, each visit lasting 1 week. There was a 2-week time period between visits when the researcher reviewed the initial data and made strategic changes. This timeline also allowed for a greater number of scheduling options for potential respondents.

To collect the data from the interviews, a digital voice recorder was used during the one-on-one sessions, with a backup recorder available in case of mechanical failure. The researcher also took notes during each interview. The note-taking included descriptive and reflective notes, as recommended by Creswell (1998, p. 125). The notes served as insurance in case one or both of the voice recorders failed, an occurrence that thankfully did not occur.

The interviews began with a brief time of informal discussion, in an attempt to build rapport. The purpose of the research was briefly summarized, questions were answered, and audio recording equipment was put in place. The interview questions were asked with comments from the interviewer limited to clarification, heeding the

advice of Creswell (1998) to "be respectful and courteous and offer few questions and advice" (p. 125). At the close of each interview, interviewees were thanked for the time given and assured of the confidentiality of their comments.

A standard set of identical procedures was used for both faculty members and administrators (Appendix A) with minor differences in the interview questions to reflect the unique status of each of the participants (Appendices B and C). This allowed for direct comparisons from group to group. It should be noted that in addition to the standard set of questions, additional follow-up or probing questions were made that were different from group to group depending upon the discussion points that were raised. A final question was asked and was used as an attempt to help summarize the points the participants believed were most important to the topic.

Within 24 hours of the interview, a summary of the interview was made, noting anything unusual that may have occurred during the interview as well as perceptions of the subject's mood during the interview. The notes from the interviews were reviewed while there was still a memory of the responses, and an initial check of the quality of the audio recording was made to determine the need for immediate backup of more complete written notes.

Transcriptions of the taped interviews were completed within 2 weeks after the interviews concluded. Transcriptions were verbatim and not in summary or condensed form. Original audiotapes were downloaded onto the researcher's laptop with a backup made on CD disc. The copies and originals were kept until the research was finished, should there have been a need to refer back to the original recordings of the interviews.

Lincoln and Guba (1985) refer to the need for "establishing trustworthiness." This was accomplished through three methods: triangulation, member checking, and having an inquiry or external audit (pp. 317–320). To facilitate triangulation, the researcher sought corroborating evidence from multiple sources to clarify or verify a theme or perspective (Creswell, 1998, pp. 202–203). The most common corroborative source was other interview respondents, although the researcher's journal, other documents, and archival records also served as secondary sources. The documents and archival records included strategic planning documents, a training manual for Faculty Associates and Sophomore Mentors, documents given to the researcher from interview participants, and other official records that were made available to the researcher.

Member checking involved reviewing with the stakeholder group the data, interpretations, and conclusions to determine and ensure accuracy. According to Creswell, it involves "taking data, analyses, interpretations, and conclusions back to the participants so that they can judge the accuracy and credibility of the account" (p. 203). This is done continuously throughout the process, starting with paraphrasing the main points of the discourse as it draws to a close. Within 2 weeks of the campus visit, the copy of the verbatim manuscript was sent electronically to each of the interviewees with a note asking them to confirm for accuracy the researcher's efforts. In addition, summaries of the individual respondents' remarks and summaries of responses from the two separate groups—academic decision makers and faculty—were forwarded on to the respective groups with a request to check for errors of fact or interpretation. Finally, the major themes that emerged from the interviews were

sent to all of the participants with a request to confirm that their thoughts and observations were found within the 25 themes. These different forms of member checking gave each respondent, according to Lincoln and Guba (1985), an "opportunity to give an assessment of overall adequacy in addition to confirming individual points" (p. 314) and assured that the research findings "emerge from, and remain true to, the respondent's experience" (Manning, 1999, p. 24).

An external audit allowed a consultant, familiar with the nature of the study but not connected to the study, to examine both the process used and the product of the account, assessing for accuracy. The researcher invited a former colleague to serve as an auditor for the study. This individual was familiar with qualitative research, was an experienced higher education administrator acquainted with enrollment management theory and practice, and had worked closely with university faculty in a professional capacity.

The audit procedure followed the Halpern 5 phases—pre-entry, determination of audibility, formal agreement, determination of trustworthiness, and closure—as outlined in Appendix B of Lincoln and Guba (1985, pp. 385–392).

Data Storage

Immediately upon obtaining data, backup copies were made of all electronic files, reports, and so forth. A master list of types of information was developed at the outset and maintained throughout the data-collection process. Special care was taken to protect the anonymity of participants by "masking their names" in the data using pseudo names and codenames (Creswell, 1998, p. 134).

Data Analysis

Building theory from data using grounded theory includes a tactic proposed by Glaser and Strauss (1967) called the constant comparative method. This analysis or "coding" is a process by which data are "broken down, conceptualized, and put back together in new ways" (Strauss & Corbin, 1990b, p. 57). The research questions for this study provided predetermined categories from which concepts emerged. These categories included the motivations for faculty involvement as well as incentives/rewards used by the university as well as the challenges/disincentives encountered by the faculty volunteers when participating in campus-wide enrollment management efforts.

The first step of analysis occurred at the concept level within these predetermined categories. This was accomplished by taking apart observations, sentences, and paragraphs and giving each distinct idea or incident a name. All similar ideas or incidents were given the same name as every concept was categorized into an exclusive and distinct group. The analysis of the text from the interviews initially occurred line by line, until a number of categories emerged. Coding by sentence and paragraph was another strategy used to generate additional concepts to be examined and categorized. Glaser and Straus (1967) define this process as open coding, whereby the data are conceptualized and categorized. Open coding occurred primarily at the early stage of analysis but to some degree occurred throughout the entire process of analysis.

After concepts were discovered and categorized, the second level of analysis, known as axial coding, was used to determine the relationship between categories and the conditions that gave rise to it, as well as what actions or interactions were directed at managing the event.

Selective coding was the third step taken in developing a grounded theory. In this step, a core category is selected that relates to the other categories. According to Strauss & Corbin (1990b), the core category is the "central phenomenon around which all the other categories are integrated" (p. 116). Following the advice of Glaser and Strauss (1967), a story line was developed that related the core category to all the existing subcategories in a paradigm that explained conditions, context, strategies, and consequences of the event studied.

Some of the tools that were used to aid in this process were 3" by 5" lined index cards, a number of different colored highlight pens, and concept maps that were drawn showing hierarchical themes or relationships. The index cards assisted in the breaking apart of the concepts into individual units as well as in categorizing the information into themes during the open-coding process. Colored pens were also used to identify themes while reading through the transcripts and interview notes. Concept maps were useful in tracking emerging themes and the relationship they had with other major themes or subthemes.

Conclusion

This study examined the conditions needed to encourage the participation of faculty in campus-wide enrollment management efforts. Administrators and faculty

members at a university were the focus of this study, as there was evidence to support their claims that they had met with some success in this effort. The researcher has attempted to develop a theory by collecting data through partially structured interviews and by following the processes of grounded theory as developed by Glaser and Straus. These processes included the steps of open coding, axial coding, and selective coding. In an effort to ensure reliability and validity, peer reviews, member checking, and the use of an auditor were employed.

CHAPTER 4

RESULTS

Introduction

The purpose of this grounded theory study was to generate and develop a theory as to what conditions need to be in place that will encourage the participation of faculty in campus-wide enrollment management efforts.

The focus of the study was to critically examine one public, comprehensive university's effort to meaningfully engage faculty in addressing enrollment challenges in the recruitment and retention area. To frame the study, the research focused on three aspects of participation, namely (a) what caused or influenced the faculty member(s) to engage in the current activity, (b) what, if any, external or internal incentives or rewards were in place that made it possible or attractive to engage in this activity, and (c) what challenges or disincentives were encountered.

Participants

A total of 25 administrators and faculty took part in this study. The participants were nearly evenly divided between administrators and faculty members, with 12 administrators and 13 faculty interviewed. Of the administrators, 8 worked in academic affairs and 4 in student affairs. The 13 faculty members included 7 who were tenured or on a tenure track and 6 who were nontenured lecturers. The gender mix of the participants were as follows: 1 male and 3 females from student affairs, 6

males and 2 females from academic affairs, and 8 males and 5 females from the faculty with a total of 15 males and 10 female participants in the study.

A brief description of these administrators and faculty members who volunteered for this study is given below, using fictitious names.

Academic Administrators

- Dr. Don is a vice provost for undergraduate education where he has served for the past eight years after working at three different universities over the past 35 years as a faculty and administrator. Dr. Don has oversight of academic policy, curriculum, outcomes assessment, and accreditation to name a few of his responsibilities.

- Dr. Thelma has been in higher education for 23 years and has served as dean of the College of Education for the past 7 years.

- Dr. Gerald is in his third year as dean for the College of Business having also served as associate dean and department chair at other universities. Dr. Gerald has worked in higher education for 24 years.

- Dr. Keith has been the dean for the College of Architecture and Environmental Design for the past 4 years. For the previous 25 years, Dr Keith had been a part time lecturer at various universities on the west coast while working as a professional architect.

- Dr. Michael has recently joined the university administrative team becoming the dean of the College of Engineering just over a year ago. Prior to coming to Cal Poly, Dr. Michael has served 13 of his 23 years in higher education as a researcher and administrator.

- Dr. Randy is the senior dean at the university having served as dean for the College of Science and Mathematics for 24 years. During his nearly 40 years in higher education, Dr. Randy has served as faculty, associate dean and for short stint, vice president for academic affairs.

- Ms. Stella is the associate dean for the College of Science and Mathematics with oversight responsibilities of the college advising center among several other duties. Ms. Stella has been at Cal Poly for all 27 years of her higher education experience having moved to the current administrative role from her role as a tenured faculty teaching statistics.

- Mr. Marvin is responsible for student recruitment at the university and has been involved in some form of enrollment management position for more than 33 years. Mr. Marvin has been working at Cal Poly for 16 years and has earned a Masters degree and a certificate of advanced study.

Faculty

- Dr. Robb is a tenured professor and has taught electrical engineering courses for more than 20 years. Dr. Robb is in his first year participating in the faculty mentor program at Cal Poly.

- Mr. Steve has been at the university for 4 years as a non-tenure track lecturer in English and is in his first year volunteering as a faculty mentor

- Dr. Corey is a relatively young tenure track statistics instructor in College of Science and Mathematics. Dr. Corey is in his second year at the university and is in his first year meeting with sophomore students in this role as faculty mentor.

- Mr. Kellen has been on the faculty of the College of Engineering for 8 years teaching mechanical engineering and industrial engineering after more than 20 years working in the private sector. Mr. Kellen is in his first year of participation in the faculty mentor program.

- Dr. Alex has taught a number of courses during his 24 years as a tenured music professor. He has worked with first and second year students in the residence life faculty associate program for the past 10 years.

- Ms. Eileen has been a non-tenure track speech communication and theatre lecturer for 8 years and was a faculty associate for 1.5 years.

- Dr. Tim is an experienced, tenured professor in his 18th year of teaching literature and creative writing at Cal Poly. This is Mr. Tim's first year participating in the Faculty Associate program.

- Dr. Beth has been recently hired to teach Child Development classes and is in her second year in a tenure track position at the university. Dr. Beth is in her first year as a Faculty Associate.

- Dr. Bill has taught for four years as a tenure track Math instructor at Cal Poly and is in his second year working with freshman students as a Faculty Associate.

- Ms. Julie has been at the university for 3 years as a non tenure track chemistry and biochemistry instructor and is in her first year as a Faculty Associate. Prior to coming to Cal Poly, Ms. Julie was an instructor for 5 years at a community college.

- Dr. Brian is a tenure track instructor in Parks, Recreation and Tourism for the past 3 years and has been involved as Faculty Associate for the First Year Experience program for 1 year.

- Dr. Debra has taught as a speech communication instructor for the past 7 years and has been involved in various enrollment management efforts including the Faculty Associate program for the past 5 years. Dr. Debra was a tenured professor at another university before moving to teach at Cal Poly.

- Ms. Danna has been a lecturer for the past 8 years in Economics, Finance and Marketing. Ms. Danna has been a Faculty Associate for the First Year Experience for 2 years.

Student Services Administrators

- Dr. Gary is the senior student affairs administrators with responsibility fo oversight of the entire student services division including the enrollment management programs originating from the residence life division. Dr. Gary has been in higher education for 23 years and has been at Cal Poly for over 4 years.

- Ms. Betty has worked in higher education for 21 years and has served for 14 years as the Associate Director of Housing and Director of Residence Life and Education within the division of student services. Her duties include the management of on campus residential life and educational programs that serve 3600 students. Ms. Betty has Masters degree in College Student Development.

- Ms. Nancy is the Associate Director Residence Life and Education and has worked at this university for 15 years. Currently, she oversees three different academically based learning community models that promote student success and student retention of first and second year students. Ms. Nancy has a Masters degree in Education.

- Ms. Leigh in her third year at Cal Poly and is responsible for the development of Sophomore Learning Community initiatives, including the Sophomore Mentor program. Ms. Leigh has a Masters degree in student affairs.

Results Outline

The results of the study are presented below in an outline form so that the reader may easily refer to the study's various themes and subthemes. The data are divided in the 3 predetermined categories of motivation, incentives/rewards and challenges/disincentives. A fourth theme of Critical Components emerged from the data and was added to the predetermined categories. Within each of these four themes, subthemes emerged. In total, 25 distinct subthemes were identified from the participant responses.

I. Motivation for Faculty Involvement

A. Benefits to students

B. Benefits to faculty

C. Benefits to division/college/university/beyond

D. Consistency with philosophy of university

E. Reputation of program

II. Incentives and Rewards for Faculty Involvement

A. Absence of incentives and rewards

B. Promotion and tenure

C. Internal incentives or rewards

D. Professional

E. Public recognition

F. Stipends, release time, discretionary budget

III. Challenges and Disincentives to Faculty Involvement

A. Time pressures

B. Student success vs. higher education structure

C. Faculty is unaware of the need/opportunities

D. Program lacks prestige

E. Program is run ineffectively

F. Questions about student benefit

G. Faculty “discomfort zone”

H. Schedule conflict

IV. Critical Components

A. Get the right people involved

B. Build a program to fill specific needs

C. Build an exemplary program first—then market

D. Embed where possible

E. Connect with academic units

F. Include faculty nominated by students

Motivational Factors for Faculty Involvement

This section of Chapter 4 presents the findings concerning motivational factors for faculty involvement in the campus-wide enrollment management efforts of the university. The first question asked of participants from each of the three capacities (student services administrator, academic administrator, and faculty member) dealt with motivational factors. In the case of the administrators, the question was posed in this manner: What was the motivation of the department (in the case of the student services administrator) or college (in the case of the academic administrator) to encourage faculty participation in this project? The faculty members were asked to describe their motivation by responding to the following question: What caused or influenced you to be involved in this project? Five themes emerged from the answers given to this question; they are listed below in order of most respondents to least respondents.

Theme 1: Benefit to Students

All 13 of the faculty members interviewed mentioned the desire to help students in some manner as a motivation for involvement. Four student services

administrators and three academic administrators also listed this as motivational factor. The unanimous sentiment expressed by the faculty members is unique, as no other theme had such an overwhelming response. The most common reason for getting involved given—by 8 of the 13 faculty members—was direct response to a personal invitation or nomination by a student. When asked if it made a difference that he had been asked by a student versus an administrator, one faculty member stated that it did. If an administrator asked, the faculty member would expect to be compensated in some manner in exchange for his time. But when a student asks, "that's a different story."

A common theme was feeling honored by being nominated by students: "And so, in the invitation it said I was nominated by a student, and that also just makes you feel proud. So, I sort of felt honored." A similar statement from faculty mirrors this:

> Well, I think one of the answers is, when I am asked or invited to do these things, usually the invitation indicates that a student has given my name as someone they think would be good at this. So, right off the bat, I just try not to disappoint students. You know, when they think something like that, I try to indulge them where I can. So, that's the first thing. It's not just an administrator who doesn't know me inviting. It seems that students have done it, or at least one has.

The second most common reason given by faculty for choosing to participate was that involvement in the enrollment management program was perceived as an outgrowth of who they were as faculty members—that is, they cared about helping students and perceived it as their obligation to help them. Eight of the 13 faculty members mentioned some aspect of wanting to play a role in helping students

succeed; after all, as one faculty member stated, “That’s really what we’re here for.” Another faculty stated his belief that

> Faculty are student-centered. That’s what drives them to get involved in those types of programs. Faculty are concerned with student success, faculty who are concerned about students having a positive experience and having another layer of support beyond just what they get in the classroom. I think part of my attraction to being involved with the First Year Experience program is just knowing how critical it is to have students be successful that first year, wanting to keep them around for a second year.

Three of the faculty members cited their own experiences as college students. Two of the three mentioned the important role that professors had played in their success as students, adding that and now that they are members of the university faculty and the “generational wheels turn and [they are] on that side of the desk, [they] want to give some of that back.” The third faculty member had little opportunity for meaningful interaction with faculty while an undergraduate, as he graduated from a large research institution, but he saw the potential benefits of this and wanted to provide opportunities for his students.

The administrators from student services, the sponsoring department of enrollment programs, shared the view that faculty members were motivated to become involved out of a desire to see students succeed. Two of the five student services administrators emphasized the importance of the university recruiting faculty who enjoyed the classroom experience and teaching undergraduates rather than those with a research agenda. Having a faculty with a focus on teaching rather than research was described by one as a “heck of a step up” when it came to finding faculty to become involved in the enrollment management programs. An academic

administrator echoed that sentiment and gave credit to the dean of the college for setting the expectation of faculty for student involvement very early in the relationship, during the hiring process.

When asked the reason for involving faculty in enrollment management programs, two of the four student services administrators cited research findings as the basis for pursuing this strategy. One referred to it as "a typical Student Affairs thing with the research that shows that faculty involvement is an important thing for students."

Two of the student services administrators stated their belief that students benefited even more from faculty involvement when it occurred early in the students' academic life. When those students became comfortable with the faculty early on, the increased level of confidence allowed them to benefit from other aspects of "the things college has to offer an undergraduate." An academic administrator echoed the belief that early intervention was important and that she often saw the juniors and seniors "very comfortable with their interactions with faculty." The concern, however, was that fearful and shy students would not survive to graduation if they did not make these connections early.

Theme 2: Benefit to Faculty

A major theme of the student services administrators was the belief that faculty members benefited from involvement with the campus-wide enrollment management programs. All five who were interviewed mentioned this belief at least once, with two of them offering multiple examples of benefits to faculty.

One benefit mentioned was that the connection to the Student Affairs division put faculty members in touch with a number of available campus services that faculty, especially new to the campus, may otherwise be unaware existed.

> Because new faculty especially, like any new person in an environment unfamiliar to you, you are looking for connections. You're looking for comfort zones. You are looking for opportunities to make a difference. You're getting a sense of the climate, the culture of the place. You're looking for partners; you want to partner with folks, especially your own academic colleagues but others as well, to get your research underway. You're looking for, again, some success routes. So when we focus on the faculty member at first, we are focusing on a self-interest desire to get off to a good start.

A more common theme was the belief that there was a possible benefit to faculty from interacting with students outside the classroom in informal settings. Faculty members could gain insights into ways to make lectures or classroom experiences more of a learning opportunity for students as they discuss with students their learning preferences. As one student services administrator suggested, they can talk about what they like about their classes, what they don't like and hopefully get feedback from them about what works.

Another comment concerned the ability to understand the ever-changing nature of the incoming student body. It is possible to teach in the classroom for many years with the assumption that the students seated there are unchanged from those occupying those same seats 20 years earlier. Clearly, this is a myth, and meeting with students informally, outside the classroom, would help faculty stay in touch with generational changes, ultimately impacting how faculty members prepare lectures and other learning opportunities.

A graduation requirement for students at the university in this study was to complete a senior research project. A final perceived benefit to faculty that participants expressed was the opportunity to identify students in need of a senior research project and help match them with a faculty member early in the student's time at the university. This early pairing would additionally benefit both faculty and students, as it would provide faculty members with access to students over a longer period of time and would ensure that students meet the university requirements for graduation within a more relaxed time frame.

The faculty members interviewed in this study shared the belief that they benefited from involvement with the campus-wide enrollment management efforts. Ten of the 13 faculty members listed some form of benefit to self as a motivation for their involvement. Three of the 13 faculty expressed the hope that getting to know students outside the classroom would enhance their teaching skills. They anticipated that interacting with students in an informal setting would offer insights into how best to connect the subject matter to them. As one faculty member stated, "You can't teach people you don't know."

Two of the faculty members, both non-tenure-track lecturers, stated that more in-depth interaction with students was an opportunity to enhance their experience. One faculty mentor mentioned that because the classes he taught were general education classes and not specific to his professional field, an opportunity to interact with students in a more personal and meaningful manner would fill in a missing piece for him. The other faculty member mentioned that being engaged with students would help her feel better about her teaching experience, as she was a relatively new hire at

the university and the previous employer was a smaller institution with a great deal of faculty-student interaction.

Another motivating factor expressed by two faculty members was the surrogate parental roles they played by being involved with students. One had a child who was attending an out-of-state university and another couple had no children but viewed the students as filling the role of children. In both cases, this motivator was identified as a lesser one but existed nonetheless.

The enjoyment of interacting with students outside the structure of the classroom was mentioned by three faculty members. One professor specifically mentioned the desire to get to know students in situations where he was not required to pass judgment or hand out a grade for performance. He wished to interact with students in a "less hierarchical way, to see what they're doing and thinking, to tap into youth stuff." He said he has "seen too few situations in which faculty can interact with students without passing judgment on them," and he wanted to be part of such a situation himself. Another professor noted that it was important for him to have fun with students because it reminded him why he enjoyed being in the classroom. He believed the benefits were as much for him as they were for the students.

Two faculty members hoped their investment in time spent with students outside the classroom would eventually pay dividends inside the classroom for themselves and their colleagues. One mentioned the hope that spending time with underclassmen might break down barriers, leading to increased emotional maturity in the students, leading in turn to a better classroom experience for all instructors. A second faculty member cited his hope that time spent individually with students might

prompt greater critical thinking skills, an additional ingredient in a more fulfilling experience for instructors.

Theme 3: Benefits to Division/College/University/Beyond

The theme with the third highest number of responses to the question of motivation was the hope and expectation that becoming involved in enrollment management would bring some benefit to those beyond the individuals directly involved. Fourteen of the 25 participants cited the desire to benefit the division or college in which they worked the university as a whole, or even the community beyond the university.

Four of the five student services administrators emphasized the need to align the goals of their division to meet the needs of the individual colleges and, ultimately, benefit the university. They believed that involving faculty was a central strategy for achieving that goal. Specific examples of those university goals included improving student retention rates, increasing graduation rates, and connecting students with majors in the early stages of their academic careers.

One of the deans initiated a campaign meant to increase the number of hours students spent studying each week. The student services administrators identified this campaign as being in line with their objectives and offered their assistance.

> One of the first people that [the dean] could come to was us, and say, "Would you really pump this?" So, when we talked to the students during the opening day, we talked about this. We had banners up about it. We built it in to information that we put out to student leaders. We talked about it when they were ready to take leadership roles…. And so we could integrate this. And we talked to parents about this. We talked to a lot of people about it because we have the majority of the freshman class with us. So that's just an example of something we could do that [the dean] cared about. And it was great for us.

Supporting the efforts of the colleges brought credibility and appreciation to the student services division. There were other advantages to the student services division in working closely with faculty in the enrollment management programs as well, according to two student services administrators. Three examples given include building an advocacy group that "spoke up" for student services with other faculty, building a broader early-alert system as faculty identified students in need of additional services, and reducing behavioral and student discipline problems as a result of meaningful student engagement with faculty.

A further benefit to the student services division from working closely with faculty was an increased awareness and appreciation of the total student experience. Because student services professionals typically interact with students outside the classroom, there was an identified need to "become more knowledgeable and. . .become more, I hope, effective in reaching students and understanding the student experience."

Two of the seven academic administrators emphasized the critical role that faculty play in sustaining the profession that their students are preparing to enter. One dean stated his belief that student recruitment "has become almost a matter of long-term survival for the discipline." Both emphasized the need to reach beyond retaining the students currently enrolled and counted on faculty involvement with middle school and high school teachers, students, and parents long before the students enrolled at the university. One of these administrators expressed additional concern

for recruiting women and minorities into the discipline, saying, “It is even more critical.”

One academic administrator was hoping that as the faculty became more involved with students outside the classroom environment, important assessment questions pertaining to how students learn and how and why they believed they had a good education might be answered.

Finally, one faculty member and one academic administrator shared the view that the role of faculty-student involvement exceeded the walls of the university. The administrator believed it was not just service to the profession, but “it is service to the community, and service to the country as a whole.” The faculty member believed his involvement with students was “meeting the needs of the taxpayers, because that’s what we are charged to do in higher ed.”

Theme 4: Consistency With Philosophy of University

A fourth theme pertaining to motivation for faculty involvement in enrollment management efforts was a belief that such behavior was consistent with the overall mission or philosophy of the university. It was stated many times that the mission of the university was to be a teaching institution as opposed to a research institution. This teaching mission was central to the marketing of the university to prospective students, namely in stating that “students have access to faculty and are able to build relationships with faculty right from the beginning.”

Three of the faculty members indicated they volunteered because they saw their colleagues doing so and felt an obligation to contribute as well. One professor

stated that she knew that this action was supported by the university when she asked and answered her own question, “Does the university support this? Absolutely!”

Theme 5: Reputation of Program

At this particular university, one of the enrollment management programs had been in existence for several years while a second program was just beginning. A final theme pertaining to motivation for faculty involvement in enrollment management efforts that was mentioned by 4 of the 13 faculty members concerned the reputation of these programs or their belief that the program, as it was described to them, appeared to be a “worthwhile program.” One respondent had heard positive reports about the program from a faculty colleague who had participated the previous year. Another shared this confidence in those in charge of the program and said he thought “they were very well prepared, so I had a good feeling for the program.”

Incentives and Rewards for Faculty Involvement

The second question that was posed to the participants involved incentives and rewards. The student services and academic administrators were asked, “What incentives or rewards, if any, were used to encourage faculty involvement in this project?” Faculty members were asked, “What, if any, external or internal incentives or rewards were in place that made it possible or attractive for you to engage in this activity?” Student services administrators, academic administrators, and faculty all reported on the incentives and rewards that were in place and the role these incentives and rewards played in influencing involvement. Five themes that emerged were

absence of incentives and rewards, promotion and tenure, public recognition, internal rewards, and professional rewards.

Theme 1: Absence of Incentives and Rewards

The response with the highest number of respondents was that there were no incentives and rewards available to encourage faculty involvement. Ten of the 13 faculty members interviewed agreed there were no external incentives or rewards in place for those involved in campus-wide enrollment management efforts. Two of these 10 participants suggested that their involvement might be looked upon favorably in a promotion and tenure review in the category of service, but they were quick to point out that this was only a guess and had no bearing on their decision to be involved. One faculty member summarized it this way:

> I don't think there are a lot of incentives or rewards, other than just the sense that you are making a difference and those types of things that people get out of it. But I think most of the people that are drawn to it are drawn to it because it is something they are passionate about or feel strongly about, not because there is a reward system set in place or because they are mandated to do it.

Another professor seemed surprised at the question and responded

> No, that never entered my mind, but now that you mention it, we get periodic reviews. I wasn't going to include it in my list of accomplishments, but thank you, I'll sure include it now. (Laughter) Everybody, look at all the extra stuff that I do! Don't you love me? Yeah! But motivationally, that was not a consideration, although that may be a collateral benefit.

The lack of rewards and incentives was acknowledged by two of the five student services administrators and two of the academic administrators. As one of them said, participation "is really out of the goodness of their hearts." A third

academic administrator was unsure whether there was "explicit tangible evidence," that involvement led to any specific rewards, as he believed that because of the culture at the university, faculty were expected to put in the extra time supporting student success efforts.

Theme 2: Promotion and Tenure

The theme that tied with the second most respondents, with eight administrators and faculty members responding, involved the role that promotion and tenure may play as incentives or rewards. Two of the four academic deans interviewed stated that they put a good deal of emphasis on the service portion of the promotion and tenure system. There was an acknowledgement by one dean that it was problematic to capture the wide variety of activities that faculty participated in. The other dean stated that he attempted to reward faculty for service that will "enrich [students'] experience of being in the college." A third academic administrator mentioned the promotion and tenure process as a possible reward, but because he was not an academic dean, he was hesitant to weigh in on the specific motivating role it played.

One student services administrator recognized the potential role it could play and sought to increase the possibility of faculty involvement being recognized by the decision makers. This student services administrator mentioned that the deans and department chairs are notified about the activity and are asked to "understand this contribution as worthy of their package when they submit their RPT—retention, promotion, and tenure—package."

Three of the 13 faculty members indicated they did include documentation of their involvement in these programs in their promotion and tenure file. One professor was cautiously optimistic that it would be received positively, as indicated by his comments:

> I think somehow it must be looked upon favorably and indicates you know, as you say, there is an investment here beyond just coming in and teaching my classes and leaving. So, there is something of an incentive there that I think it's worthwhile, but I can't really qualify it. They probably just look at it and think, oh that's nice.

A fourth faculty member echoed this sentiment, stating that he was aware of the support it had, at least at the dean level, but this was not a reason for his participation.

Of the four respondents who mentioned promotion and tenure as playing some, albeit limited, role in their motivation to be involved, three were on the tenure track and one was a lecturer. Understandably, no tenured faculty cited this as a reason for involvement.

Theme 3: Internal Incentive or Rewards

The theme tied with the second most respondents was incentive or rewards that were internal rather than external. Five faculty members listed this theme, with two of the faculty members saying the rewards or incentives were "intrinsic" and "internal." A third said his incentives were to "have experiences that I would not have had if I didn't join this." A fourth faculty member noted that a reward for involvement had been mixing with other faculty members who were as student-oriented as she was. A fifth faculty member said, "You're not rewarded in any way,

shape, or form, either by getting tenure or a load release or a stipend, nothing. Nobody cares if you do it. You have to want to do it."

The student services administrators were depending on the incentives and rewards being internal in nature, as two of them acknowledged that though there were no monetary rewards to be offered, they believed faculty would be attracted to the programs for other reasons. Two reasons given were enjoying the positive energy that comes from working with students and seeing their participation make a difference in the students' lives. One added that they tried to honor the faculty's participation by making the experience an easy and positive one for those who volunteer their time.

Theme 4: Professional Incentive or Rewards

A fourth theme that emerged was the opportunity for faculty members to explore their own professional curiosity regarding student life and student success as it related to the academic world. One professor had studied and published on the topic of building community in higher education, and involvement in these programs gave him access to experiences and data for his research as well as a platform to help his professional colleagues think about how to integrate his findings into the classroom. A second faculty member had also been published on a related topic (integrating student development theory into teaching methods) and perceived involvement in these programs as an outgrowth of this professional curiosity. This faculty member also cited the importance for her as a professional educator to know the audience she was teaching.

Two other faculty members echoed this sentiment, stating that they were interested in learning more about the world of the students outside the classroom. This understanding of the student world would translate into better and more informed teaching. A fifth faculty member thought that involvement with students outside the classroom would make her classroom experience more rewarding as a new instructor if she was "better engaged."

Theme 5: Public Recognition

Three of the four student services administrators emphasized the importance of recognizing and rewarding faculty in public settings for their involvement in these programs. The rewards included public recognition at a banquet, title of "faculty scholar," framed certificate for first year involvement, a small gift (ink pen) with second year of being honored, and an additional gift (coffee mug) for the third year. A letter was sent to the provost, academic deans, and department chairs from the vice president of Student Affairs specifically citing the contributions of the faculty members.

It is interesting to note that although the student affairs administration put a great deal of emphasis on the importance of publicly recognizing and rewarding the efforts of the faculty members, no faculty members mentioned this when asked about incentives or rewards. One faculty member cited the public recognition of student services as the only recognition that was received, but no faculty named it as an incentive or reward for their involvement.

The lone administrator who mentioned public recognition confessed to having "mixed feelings about award programs," saying they were positive for the winners but possibly discouraging for those who may have also expended a great deal of effort but with no public acknowledgement.

Theme 6: Stipends, Release Time, Discretionary Budget

The final theme under internal or external incentives and rewards involved the role that stipends, release time, or other budgetary rewards might play in the decision for involvement. Two of the four academic deans mentioned these options at their disposal for incentives or rewards for faculty. It must be noted, however, that while these incentives were used to help meet or support specific departmental or college needs, they were not used as incentives or rewards for campus-wide enrollment management efforts. One academic dean mentioned that he would use his discretionary budget to encourage programs that would help the college meet its goals, stating, "The message is, oh, if I'm going to gain in the system, I'm going to produce more of these ideas for the dean."

A third academic dean specifically stated that with regard to rewarding faculty for participating in a campus-wide program (summer advising for incoming freshmen), he perceived it as a responsibility of the faculty and part of their job.

No faculty members made mention of stipends or release time in response to this question.

Challenges and Disincentives to Faculty Involvement

The third question that was asked of participants in this study attempted to investigate the challenges and disincentives that hindered or discouraged faculty involvement in campus-wide enrollment management efforts. The student services and academic administrators were asked, “What were some of the management challenges or disincentives that needed to be resolved?” eThe faculty members were asked, “What personal or professional challenges or disincentives have been encountered?”

There were a number of challenges and obstacles that were encountered by all three of the populations interviewed. A total of eight themes were compiled from the responses of the faculty members, academic administrators, and student services administrators.

Theme 1: Time Pressures

An overwhelming response from all participants was the belief that time constraints were a major issue when considering involvement by members of the faculty in campus-wide enrollment management efforts. Eighteen of the 23 participants in the study responded with this answer, making it by far the most popular theme. Eleven of the 13 faculty members interviewed cited this as an obstacle to be overcome, with only two tenure-track faculty failing to mention it.

Other demands competing for the faculty’s time included a heavy teaching load as well as work-related activities such as conferences and meeting with students outside the classroom for formal and informal advising. A faculty member who had

previously been involved in one of the programs but had opted out when asked to participate during the current year gave offered this explanation:

> One of the reasons. . .I chose not to do it this year is because I can't take huge loads, you know what I'm saying? So for me, if I teach four classes in the quarter, that's a big load for me because if I'm going to be involved in my students, in that classroom, that's a lot of me going out. I felt that one more need for me, for me to be involved with my students, wasn't really what I wanted to do. Any extra time that I had had to be my time so that I have the energy to go into a classroom and be involved.

Another faculty member expressed the belief that faculty were "expected to do 80% teaching, 70% research and then 30% service, and that just doesn't add up." Responsibilities beyond the campus were also cited, such as family obligations and community involvement activities.

Four of the seven academic administrators also mentioned the competing challenge of other time demands. A common theme among the administrators was that, in addition to the faculty carrying a heavy teaching load at the university, there was now an increasing pressure for them to produce in the areas of scholarship and service. They believed this was true of all faculty members but especially the young faculty who were attempting to gain tenure. One dean stated,

> The expectation, unfortunately, because of a variety of reasons, the complexity of technology and societal expectations, and the profession having more demands and so on, has really increased on the new faculty. We expect them to be actively involved in service. We expect them to be great teachers. We expect them to also be scholars. In terms of what the challenges are for us, it is in fact this new arena of scholarship.

There was also recognition by the student services administrators of the time challenges of faculty members, as three of the five listed this when answering this question. One administrator stated they were "competing for their interests, for a

portion of their time," and another said that she recognized this as well and tried to "make sure they're not overused because there are those that are superinvolved." A third student services administrator mentioned time constraints within her own division as limiting its ability to adequately assess the results of its efforts.

Theme 2: Student Success vs. Higher Education Structure

There were many statements made about the challenges of a structure in higher education that is not conducive to student success. Six of the academic administrators cited challenges that fell into this category. One mentioned that the manner in which funding was allocated to the university limited "all the things that anyone could accuse us of having as extras and force[d] us to focus on the basic instructional needs of the campus."

A common strategy to improve faculty–student contact is to develop small seminars or classes for incoming students with the belief that the smaller class sizes will improve student success. An academic dean stated his contention with these classes when he lamented the lack of budget in his college, saying their "budgets are all pretty thin, and if I am used to teaching this class with 40 students and someone says, well we want to have a special program, but you can only have 24, you have just doubled my cost."

Another structural challenge mentioned was the fact that in some colleges, faculty do not have contact with students until their junior or senior year as they are completing the general education courses in other colleges. Another concern raised

was the increase in workload grievances from the faculty union as faculty were being asked to do things outside the limits of their obligations.

Requiring or expecting faculty to participate in programs that are significantly different from their general classroom responsibilities had negative consequences, according to one administrator. Requiring students to participate in mandatory programs intended to increase their rate of success also has a cost. “Some young people are not interested in that at all, for a whole range of reasons. And all you do is you reduce the likelihood that they are going to be positive experiences for people, because they are hostages.”

A couple of the student services administrators acknowledged the challenges faced by the different colleges, saying, “[what] we really found is that we just had to find a way that we link with that college that makes sense.” Because each college’s needs were different, the programs needed to differ with each college, and the marketing of the programs to the leadership had to be tailored specifically to each college’s needs.

Two faculty members mentioned university structure as a disincentive, with one stating that the enrollment management programs were classified as the service portion of the tenure review but they “probably [fall] at the bottom of the pecking order.” Another faculty observed that the students who approached him to become involved in these programs invariably came from those classes that are sufficiently small in enrollment to allow interaction between the instructor and the students. As class sizes increased, the likelihood this would continue diminished.

Theme 3: Faculty Is Unaware of the Need/Opportunity

A theme that received a lot of attention from the academic administrators in particular was the belief that there was general lack of awareness by faculty of the needs and opportunities in the area of enrollment management. Two of the academic administrators gave answers indicating that they believed that many faculty members were unaware of the need to make changes in order to positively impact enrollment. One said that the faculty in the college were often resistant to such changes, saying they didn't "want to make decisions driven by budget." She went on to say that as an administrator, "that's what we do at this level."

A lack of awareness of the enrollment management programs was a second concern stated by two academic administrators and one student services administrator when they predicted that most of the faculty had little or no awareness of the programs that were in place to enhance student retention and recruit new students to the university. This belief was reinforced by two faculty members who admitted they knew nothing about the program until they were approached by students or the coordinators of the programs.

A third subtheme in this category was the lack of awareness among the faculty of how to act on a desire to improve student success. One administrator said, "[I]t's not hard to convince them that it is something they ought to do. They often just don't know how to do it outside the more traditional classroom setting." Another administrator gave evidence of specific advice he made available to new faculty on how to integrate student success strategies within the classroom, believing the typical

faculty member was willing but had never been shown how to be successful in this area.

Theme 4: Program Lacks Prestige

Even though some academic administrators expressed their support for faculty involvement in these programs, some faculty members still had doubts as to how much prestige these programs actually had. Four faculty members mentioned the lack of prestige that involvement in these programs had with their colleagues. As one said, "it doesn't have the same prestige as, let's say, being on the Academic Senate or some other service committee." Another echoed the sentiment, saying that "service does not rank right up there with publishing papers."

An academic administrator expressed his belief that a certain lack of credibility in the programs resulted from "the divide we have between academic and student affairs." He went on to say,

> But in terms of faculty involvement, which is what you're asking about, there is a divide there undoubtedly. I mean, there are exceptions but on the whole, the faculty don't pay a lot of attention to student affairs, don't have a lot of respect for student affairs, irrespective of what Student Affairs does. It is just the way it is.

A Student Affairs administrator acknowledged this divide but said that bridging this gap was, at least in part, a responsibility of those in student services , stating, "If we say that we are part of that educational process, and they see that to be the truth, then there is some respect there."

Theme 5: Program Is Run Ineffectively

A disincentive mentioned by 4 of the 13 faculty members was frustration or disappointment with their experiences thus far with the programs. One suggested that some of those running the programs did not understand faculty and "should appeal to their time frame and their subject matter and expertise a little better than they do," citing a specific example of being asked at the last minute to speak to students in a residence hall. Another said it would benefit him to have "concrete ideas of types of activities that the student and faculty could do together."

One faculty member said that she perceived a lack of commitment on the part of the individual running the program, as material had been sent out late, leaving her little time to prepare. Another said that even though she was enthusiastic in the early stages of involvement, she hadn't felt that she was "as helpful as what [she] intended."

One student services administrator acknowledged the key role of creating and administering a professional program, saying, "You try not to sell something you can't produce." She went on to say that once a faculty member had a negative experience, the likelihood of them returning again was not good.

The dependence upon students for the success of the programs was cited as a potential weakness. As one faculty member said,

> [I]t really depends on the RA (resident assistant) and how outgoing they are, and how many things they organize, and the types of things that they organize. So, I felt that the particular RA that I got last year, and that I got the same one this year, isn't as outgoing as maybe they could have been.

An academic administrator said that she saw a need to play a mentoring role with the student leaders responsible for planning events for faculty to interact with students. Regular meetings were scheduled for the student leaders and the academic administrators in order to coordinate and collaborate on upcoming events. The administrator acknowledged that these students "often have a lot of really good ideas, but then you can kind of ground them in what your experience has been with things like that before."

Theme 6: Questions About Student Benefit

Four of the 13 faculty members interviewed expressed concern about whether or not the program they were involved with was making the impact on students that they had originally hoped it would. Two other faculty members said that this was a potential concern, but they were too new in their involvement to determine if this was the case.

One of these four faculty members cited as evidence a lack of student attendance at a program for which she had spent hours in preparation: "Here I am going with all this enthusiasm, and then the students are just, 'whatever, some Psychology professor.' So, that was an aspect of it I hadn't really thought about."

Another faculty member expressed disappointment in the lack of involvement that had been requested of her by the student services worker. Others expressed doubts about whether a faculty member's presence at a social event accomplished the goals of the program, connecting students to faculty in a meaningful way.

> [I]t is a great way to get students and retain them. . .because they have made a connection. And I think that is really lost in education because we have taken

> personality out of it so much. But I don't know if you can artificially make that happen. You know, by me showing up at a barbecue, did that make that happen? I don't know.

One of the seven academic administrators echoed this sentiment and cautioned against expecting faculty to attend "evening events and meals and functions and welcomes and so forth" when the faculty are "not really convinced that the students benefit from this, or anything else." The result will be that "they quickly say, count me out."

No student services administrators expressed this concern.

Theme 7: Faculty "Discomfort Zone"

A total of six administrators and faculty members mentioned challenges that had resulted from meeting with students informally outside the classroom setting. One faculty member mentioned that during an informal function, students had made negative comments about a faculty colleague: "[The student said,] 'I wish you were my (subject) teacher. I have Dr. So-and-So and they are crap.' And, you're like, oh, okay. Well that's my colleague."

Two academic administrators and a student services administrator emphasized the importance of helping faculty who have volunteered for certain activities to feel comfortable in this informal setting. A faculty member also noted that some personality types would find these unstructured social events difficult: "There are some people who are freaked by it, and that sort of person who is freaked by it is not the person who would be best for a program like this, in my view, because it would make students uncomfortable."

Theme 8: Schedule Conflict

The final theme to emerge from the question centering around challenges and disincentives involves a challenge that is similar to the time pressures mentioned in the first theme. Schedule conflicts that result from the difference in lifestyle between faculty members and university students can be a disincentive for involvement for some individuals. These lifestyle differences impact the willingness or ability of faculty to get involved in activities at hours of the day convenient for students. The conflict was mentioned by two faculty members, one student services administrator, and one academic administrator. Faculty members at this university worked a more traditional 8:00–5:00 schedule, whereas students tended to be available for programs that were scheduled in the evenings and on weekends. One faculty member commented on her and her spouse's involvement with students, saying that "they're ready to do stuff at 10 or 11 o'clock at night. That's when we are going to bed. We like to do an early morning hike, but they are sleeping in. We are just, you know, in different stages of our life."

Critical Components

A fourth question that participants were asked as a wrap-up or summary question was added to the interview question list early in the interview process. The question was hypothetical in nature: "If you were responsible for putting together a program that was meant to increase faculty involvement in enrollment management efforts campus-wide, what would you make certain you included?" In addition to the

responses from faculty to this question, there were a number of statements made from administrators that naturally fit into the developing themes and were included. Six themes emerged from comments made by administrators and direct responses from faculty members. As with all the other categories, the following themes are listed in order of those receiving the most comments to those receiving the fewest.

Theme 1: Get the Right People Involved

The importance of getting the right people involved was the theme that received the most responses (12) from participants. Student services administrators emphasized the importance of finding the right faculty to get involved. It was stated on many occasions that faculty who were hired at this university enjoyed teaching students and were not focused on research. One stated,

> You know, we have had a lot of things that worked and a lot things that haven't, and there a lot of ways that we are 10 steps ahead of the average university to start with. And I give most of the credit…I give us credit for perseverance and ingenuity, and I give faculty on this campus a huge credit for caring about students to begin with, because without that, there is no overcoming it.

An academic administrator shared her view that because the majority of the faculty at the university enjoyed students, it was "more just facilitating it so it can happen. So I think it's in hiring the right kind of faculty"; she stressed the importance of "looking for people who kind of buy into that philosophy."

Three academic administrators noted that they believed the faculty who were the most likely to have this philosophy and get involved with students outside the classroom were the younger and most recent hires.

Another perceived key to success was having those individuals in positions of leadership support the enrollment management efforts. The individuals most often mentioned were the academic deans, although the provost and president were mentioned once each by two separate participants. The most often mentioned impact of a dean was that of being a role model and giving visible and verbal indications that participation in these programs was important.

Finally, having the right person in leadership positions in the programs was noted. As one faculty member said, a key was for the student services administrator running the program to exhibit "really energetic leadership, which I think the program does have."

Theme 2: Build a Program to Fill Specific Needs

Another theme that emerged from this question was the need to gather support from the academic leadership for enrollment management efforts that were developed by student services. Several participants believed that, in order to gain this support, the programs offered must address specific needs that had been identified by the academic leadership. Examples of the identified needs included enrolling the right number and quality of new students, assisting students in successfully changing programs of study, increasing student retention from the sophomore to the junior year, and improving student success through increased hours of study.

Examples given to address those needs included getting faculty input when developing selection criteria for the incoming student body, hosting study sessions in the residence halls, and marketing a college program aimed at raising awareness of

the average numbers of hours spent studying that are needed to be successful. One faculty member stated that when "faculty see those things working, and they see their relationship with students changing, if they see their student interest in course, if they see attendance in their classes changing, then I think they will be eager to…let me get some of this."

Another faculty surmised that an extra benefit to the increased awareness and enhanced image of the programs might be better opportunity for rewarding those faculty members who do participate in these programs.

Theme 3: Build an Exemplary Program First—Then Market

Three student services administrators, one academic administrator, and three faculty members all mentioned the importance of building a quality program and then marketing it to the campus community. There was an awareness that if the program was not user friendly, the faculty who initially participated would soon leave and it would be difficult to find others to participate.

Some examples of a program that was successful included providing training to the student staff on how to approach and talk with faculty, giving faculty tips on how to talk with students in informal settings, and providing ongoing opportunities for faculty to receive input, encouragement, and support from the student services professionals and fellow faculty members.

Theme 4: Embed Strategies Into the Classroom Setting Where Possible

There were concerns by two of the academic administrators that these special programs would be of limited success without finding ways to integrate the concepts

into the regular classroom or, at the least, keeping the costs of the programs sufficiently low. One administrator questioned the long-term sustainability of programs that were thought to have at least initial success. His advice for programs that required faculty to be involved outside the classroom was to "let these extra things be voluntary, be significant, and not too many of them."

A second administrator suggested the importance of using existing resources such as the course syllabus to help students succeed. He recommended using the course syllabus to clearly communicate expectations and give students specific advice on how to wisely and efficiently use their study time, and he advocated early and frequent grading to help students and faculty know how well the student is doing in the class.

In order for the majority of faculty to get involved with activities that would enhance student success, one faculty member stated, "I think if it's going to be successful, and it's going to be implemented, it needs to be easily digestible, things that people can do. Things that they can do without turning their course upside down or having to allocate 20% of their course back to it."

Theme 5: Connect with Academic Units

Four of the student services administrators noted that a key to the success of the enrollment management efforts was the ability of the student services professionals to effectively communicate with the faculty and academic leadership because of the support they received from the associate deans in the various colleges. A number of benefits from this relationship were cited, including increased program

awareness of the deans, encouragement of faculty to attend functions, collaboration on schedules and services, increased awareness of unique student cultures within colleges, provision of a mentor role to new student services professionals, and inside knowledge about specific skills and interests of members of the faculty.

Theme 6: Include Faculty Nominated by Students

A final theme that was mentioned by two of the faculty members in answer to this question centered around the important role that students played in the selection of faculty to become involved in these programs. This theme was also prominent in an earlier question (see Question # 1) when many of the faculty members admitted they probably would not have created time in their busy schedules had it not been for an invitation from a student. One faculty member summed it up this way:

> I definitely don't think a generic form letter to all the faculty will work. It has to be from a student who knows they work well with students and they have already developed rapport with them. Because, number one, you wouldn't want to let your Stats student down. And so, definitely, a targeted letter or a personal invitation from the person.

A student services administrator echoed this sentiment, saying, "It's like everything; it's the personal connection."

Chapter Summary

Chapter 4 presented the responses of 12 administrators and 13 faculty members who took part in this study on faculty engagement in campus-wide enrollment management efforts. Twenty-five themes emerged from the three questions that were asked in order to gain insight into the reasons to involve faculty in

the efforts, incentives or rewards for such actions, and challenges or disincentives for such involvement. In addition, a fourth question was posed which asked for recommendations for creating or improving programs in which faculty would be involved. Chapter 5 will present an overview of this grounded theory study and the answers to the research questions. A discussion of the findings, recommendations, and suggestions for further research will be presented as well. Finally, the data will be discussed in the context of an emerging theory that may help explain motivation for faculty members and present ideas for increasing the likelihood of further involvement.

CHAPTER 5

CONCLUSIONS

Introduction

The purpose of this chapter is to summarize the study's procedure and results, discuss conclusions, and present a theory/model that was developed to guide enrollment management professionals and other university professionals in creating effective strategies to engage the faculty in campus-wide enrollment management efforts. This theory/model is emerging and needs further testing. Suggestions for further research are also presented.

Overview

Statement of the Problem

Despite the urging of enrollment management experts to collaborate with the academic community when designing and implementing campus-wide enrollment management efforts, scarce resources or models exist to inform them as to what incentives, encouragement, or management structures might effectively support this effort.

Purpose of the Study

The purpose of this grounded theory study was to generate and develop a theory as to what conditions need to be in place that will encourage the participation of faculty in campus-wide enrollment management efforts.

Research Question:

The study was directed by the following primary question: What conditions must be present in order for members of a university faculty to participate in campus-wide enrollment management efforts?

The following subquestions were used to further clarify the direction of the study:

1. What caused or influenced faculty members in this study to engage in the current activity?
2. What, if any, incentives or rewards were in place that made it possible or attractive to engage in this activity?
3. What personal or professional challenges or disincentives were encountered?

Context of the Study

The site chosen for this research was a highly selective, public, midsized teaching university with an enrollment of approximately 13,000 undergraduates. The only graduate programs were within the College of Education. There were at least two conditions of this university that are possibly significant for the results of this study. First, because the admissions standards were those of a highly selective institution, the level of preparedness of the students and subsequently the student retention rate were higher than those found in an open-enrollment institution. And second, because this was a teaching institution, faculty had more opportunity for contact with students than is typically found in a research-centered institution.

Despite the high caliber of students, there was concern among the academic administrators that the quality of students remain high in order to achieve the academic mission of the university as well as to retain the ability to train and produce top graduates to meet the needs of industry and society. An additional concern was increasing the diversity of the student body.

A second consideration was the focus on faculty as educator. Because this was primarily a teaching institution, the faculty had a higher teaching load, presumably giving them more time in the classroom with a greater opportunity for student contact. This emphasis on instruction was possible because the research expectation was less rigid than at other universities, especially those with a Research 1 designation. However, more than one academic dean and faculty member mentioned that the university was undergoing changes in this area, with increasing pressure to produce in the area of research and scholarship.

Methods

This grounded theory study utilized partially structured one-on-one interviews to investigate participants' perceptions of the motivators, incentives, rewards needed in order for members of the faculty to engage in campus-wide enrollment management efforts. In addition, the study asked participants' perception of the personal and professional challenged that were encountered. The research took place at California Polytechnic State University, located in San Luis Obispo, California.

Interviews were conducted at the university during two week-long trips in the fall semester of the 2006–2007 academic calendar year. The criterion method was

used for participant selection in this study (Creswell, 1998). Criteria required that the members of the faculty had either previously participated in or were currently participating in campus-wide enrollment management efforts that were intended to positively impact the university through student recruitment or retention activities. There were 13 faculty members who met the criteria and agreed to participate in the study

Two other groups were also invited to participate in this study. The first was the student services administrators, all of whom were involved in the development and implementation of the campus-wide enrollment management efforts or directly involved in supervising these functions. Four student services administrators were interviewed for this study. Eight academic administrators agreed to participate as well. Five of these academic decision makers had the title of dean and were in a position to provide or influence the incentives and encouragements that inspired faculty involvement in these activities. A total of 25 individuals participated in this study.

Data Collection/Verification

Data were collected using one-on-one interviews. Verification and trustworthiness were established through three different means throughout the collection of data, analysis of the data, and writing of the findings. The methods selected followed common practices for the qualitative paradigm—that is, member checking, peer auditing, and triangulation.

Through the use of member checking, participants were given the opportunity to verify whether their thoughts and observations were being adequately and accurately depicted in the collection of the data, the analysis of this data, and the writing of the findings. Within one week of each interview, a verbatim manuscript of the interview was sent to the participants with a request that they confirm the accuracy of the document. Shortly after, a summary of the main points of the interview was also sent to the participants with a request to check for errors of facts or interpretation. Finally, the list of the themes and subthemes was sent via electronic mail with a request that the participants ensure that their thoughts and observations had been captured within these areas. In each case, only minor edits resulted from these requests.

A peer auditor was employed to verify the trustworthiness of the collection and analysis of the data. The peer auditor was a colleague who had experience with qualitative research in general and grounded theory in particular. This individual also possessed experience in the subject matter, having had responsibility in her occupation for establishing student retention activities that required significant collaboration with the academic community.

The peer auditor was briefed on the study, and questions were answered about the method of data collection and storage. The auditor then reviewed the verbatim manuscript and the summaries of the manuscripts. To verify the legitimacy of the audit trail and confirm that the themes were legitimately drawn from the manuscripts, random themes were selected and traced back to the original manuscripts. Multiple sources were used to corroborate the data, with the most common source being other

interview respondents. The researcher's journal, other documents, and archival records also served as secondary sources. The documents and archival records included strategic planning documents, a training manual for Faculty Associates and Sophomore Mentors, documents received from the participant during the interview or sent immediately after the interview concluded, and other official records that were made available to the researcher. No data were included in the final data set unless it had been corroborated by at least two other sources.

Data Analysis

Data analysis progressed from particular statements to general themes. First, statements under each question were analyzed and placed into a predetermined category of motivators, incentives/rewards and challenges/disincentives. Second, the data in each category were thoroughly compared in order to fully develop themes. Data that did not fit into the previous themes were placed into a fourth theme of critical components. Finally, a theoretical model was developed from the study. This model is presented later in this chapter.

Results

The primary question for this study was, "What conditions must be present in order for members of a university faculty to participate in campus-wide enrollment management efforts"? The answer to this question is presented according to the primary themes that emerged from the data.

Motivation for Faculty Involvement

What caused or influenced the faculty member to engage in the current activity?

The overwhelming motivation for involvement was the desire to help students succeed and the perception that because the invitation had come from a student, the involvement was meaningful. In addition to this direct benefit to students, the faculty expressed a belief that their involvement in these activities would have an indirect benefit as well—specifically, that the experience of interacting with students outside the classroom would pay dividends inside the classroom and result in a more rewarding experience for faculty both personally and professionally.

Another motivational factor was the belief that their involvement contributed to the achievement of the goals of the department or college and was consistent with the philosophy of the university. Some even linked their involvement with supporting the needs of a particular profession or considered it a reasonable response to taxpayers' expectations.

Finally, the reputation of the program played a role in motivating faculty involvement, as it was important to have confidence in the activity in which they would be investing a valuable and limited resource—their time.

Rewards and Incentives

What, if any, external or internal incentives or rewards were in place that made it possible or attractive for you to engage in this activity?

There were few, if any, external incentives or rewards that encouraged participation by faculty members. The common reward structure of promotion and tenure was mentioned as a potential benefit, but no one believed their involvement would be criteria for consideration; thus, it was not a motivating factor when they agreed to participate. Academic administrators stated that faculty involvement in such activities was considered under the criteria of service but acknowledged that scholarship and instruction were probably given greater weight when considering promotion and tenure.

Faculty members responded to incentives and rewards that were internal or intrinsic in nature, such as the positive energy they received from students, an opportunity to get to know professional colleagues with similar philosophies, and the ability to explore their professional curiosity as educators.

The student services professionals rewarded faculty participants with public events such as appreciation banquets, awards, and letters of appreciation that were sent to faculty volunteers and copied to their supervisors. The faculty members appreciated these gestures, but they appeared to play no role in their initial or continued participation.

Challenges and Disincentives

What personal or professional challenges or disincentives have been encountered?

The major challenge for involvement was the shortage of time. With the professional pressures of heavy teaching loads, increased requirements for

scholarship activities, demands of committee work and meetings, and family and social obligations, little time was left for volunteer activity with students. A related concern was that time requirements for meeting with students were often in the evening and on weekends when the faculty members had left campus having concluded their work-related activities for the day.

There were questions from some faculty members about whether the programs were having the desired meaningful impact on students. Also, a few expressed their disappointment in the lack of support or guidance they received from the student assigned to them. With the resource of time in short supply, faculty were concerned that it be spent in such a way as to receive optimum results.

Critical Components

> If you were responsible for putting together a program that was meant to increase faculty involvement in enrollment management efforts campus-wide, what would you make certain you included?

Getting the right people involved was considered a top priority for the success of these student-retention programs. Faculty members who were enthusiastic about contributing to student success, academic deans who were supportive of these activities, and academic administrators (associate deans) with access to faculty and students were the major groups identified as desireable participants.

Gaining credibility with the academic units was accomplished by building programs meant to address the unique needs of the departments, colleges, or university as well as by supporting existing student success efforts within these areas.

The success of the programs relied on the ability of those sponsoring departments to communicate clearly, work cooperatively, and share the results of their efforts.

A final piece of advice was to solicit nominations from students for names of faculty members to invite to participate in the programs. Since students were the recipients and beneficiaries of these programs, it was believed that they could speak from experience in choosing which faculty members would best relate to the student population. The student invitation resulted in a high acceptance rate by faculty members who were asked to participate.

Comparison of Results to Literature

It was noted in Chapter 2 that there were no studies that investigated the "how" of engaging faculty; rather they focused on the "what," or outcomes of the activity. Nonetheless, there were some consistent themes found in the literature review and this study. The literature reviewed for this study included four primary themes concerning faculty involvement with students and the impact upon enrollment management: (a) faculty involvement and impact on students, (b) the role of academic leadership in enrollment management, (c) faculty involvement in non-enrollment management activities, and (d) faculty governance, shaping the campus. A fifth theme that was compared was found in the literature involving theoretical models involving motivation. Comparisons of the research results to the literature described in Chapter 2 are provided below. "This study" refers to the results of this author's study on faculty participation in campus-wide enrollment management efforts.

Faculty Involvement and Impact on Students

Bouman, Burcham and Cairns (2005) recommended five components to successful engagement of faculty in student recruitment volunteer activities. All five of the strategies suggested were relevant to this study. They were (a) highlight the potential benefits to the faculty member's department or college as a result of his or her involvement, (b) track the results of each event and share these results with the faculty after event has concluded, (c) identify areas in which faculty need support in terms of information and training in order to feel competent and prepared, (d) identify and work with those students interested in each activity, and finally, (e) honor and recognize the faculty volunteers.

This study shared similarities with a study by Kluepfel, Parelius, and Roberts (1994) in the area of selecting faculty for involvement. Both studies showed the importance of carefully selecting faculty known for outstanding skills in instruction who had an expressed desire to work with students in a specific activity rather than making a general call for volunteers. Both studies also relied heavily on student nominations as a selection method for faculty participants.

The Role of the Academic Leadership in Enrollment Management

This study revealed the importance of developing and maintaining a collaborative and cooperative partnership between the student services professionals and the academic community. This is consistent with the writings of Kemerer (1985) and Smith (2000). Both the leadership within the student recruitment function and those sponsoring the residence-life-based student retention activities cited the success

of their efforts as being intimately tied to the level of communication and cooperation with the academic community.

Faculty Involvement in Nonenrollment Management Activities

This study discovered that intrinsic rather than extrinsic motivation was a major factor for faculty involvement in these activities. This is consistent with what Cook and Ley (2004) found in their study with faculty participation in distance education—namely, a desire for students to learn and an opportunity to be intellectually challenged and to improve their teaching skills. There was also awareness by the participants of both studies that extrinsic factors—such as faculty workload and lack of recognition of their contributions by academic leadership—could play a determining role in their continued involvement.

A survey by Fine and Nazworth (1999) concluded that faculty members' proximity to retirement impacted their willingness to participate in a program that varied significantly from a typical classroom experience, the learning community. This was a topic mentioned by many of the participants in this study with no conclusions reached, as faculty member age and years of teaching experience were not a part of the data gathered. Two academic deans did comment that the younger faculty members entering the profession were more likely to volunteer for activities involving meeting with students outside the classroom environment. The Fine and Nazworth study concluded that faculty interested in gaining promotion and tenure would be more likely to be involved. This study does not support that conclusion as a reason for initial involvement, but data suggest that connecting faculty contributions

to the promotion and tenure reward system may play a positive role in sustaining faculty involvement over the long term.

The importance of selecting faculty members who embrace the activity became evident to Durrington and Bacon (1999) when finding faculty to teach in a learning community. The importance of selecting enthusiastic faculty was supported by this study as well. Word-of-mouth descriptions of the programs from faculty members to their colleagues played a role in expanding involvement in this study as well as in the learning community study.

Ward (1998) and Hardy (2000) recommended that changing the incentive structure would increase faculty involvement and more accurately reflect the importance of the contributions faculty members make to the academic mission of the university. They wrote that the service component of the promotion and tenure process should be re-evaluated and increased to more favorably reflect faculty participation in activities such as those described in this study. However, this study showed that participants felt some ambivalence toward tying a reward structure too closely to the activities as it may encourage faculty members to participate for motives other than to help students succeed.

Faculty Governance: Shaping the Campus

Another theme that was found in the literature and was a minor topic of conversation in this study was the role of faculty governance in determining the future direction of the campus. According to Tierney and Minor (2003), the scope of influence faculty believe they have is a point of contention on many campuses. In this

study, only two faculty members mentioned faculty union agreements in relation to their involvement with the student retention activities and then only to suggest that their involvement was voluntary and personally motivated and had nothing to do with union agreements. Only one academic administrator mentioned faculty governance, and it was not in reference to the specific programs under consideration for this study.

Theoretical Model Discussion

A final topic in the review of literature was the discussion of theoretical models that may have been helpful in explaining faculty motivation in becoming involved in enrollment management activities. The expectancy model put forth by Porter and Lawler (1968) was identified as potentially beneficial for this study. This model had been used to explain the relationship between job attitudes of managers and their performance at the workplace. The results of this study support some aspects of their model. However, there were significant shortcomings to the model when an attempt is made to fully explain the complexities of a higher education system using a model designed for the business world.

The aspects of the Porter and Lawler model that have the most significant support from this study are in the variable identified as "value of rewards." The creators of the model assert that before an individual—in our study, a faculty member—chooses to put forth effort, an analysis of the reward for such effort is considered. The rewards could be either intrinsic in nature, such as the satisfaction of helping a student, or extrinsic, such as receiving credit that would be beneficial when seeking tenure. All of the faculty members stated that the desired outcome of their

participation was some form of reward, although there was significant variation in the exact nature of the reward.

A second variable that must be present before effort is expended, according to the Porter and Lawler expectancy model, is the belief that putting forth the effort would, in fact, lead to the reward. In our study, there was less evidence of this being present at the initial decision stage, but it appeared to be present when faculty members were determining whether or not to continue to stay involved. The issue of time, or the lack of it, was also prominently mentioned as a challenge or disincentive. It is possible that some faculty members chose to participate while others did not because of the latter's belief that their particular rewards would not be gained by expending the limited resource of time in this manner.

The Porter and Lawler expectancy model asserts that success is dependent on the abilities and traits of the participants. While not using those words specifically, participants in this study mentioned several times the importance of carefully selecting faculty for the projects. First, it was a focus of the student services professionals to select faculty they believed possessed the necessary abilities and traits to positively impact students. Second, the reliance on student nominations for the selection of faculty members was an indication that students might be in the best position to make that determination. Third, many faculty members acknowledged a belief that they possessed an interest and aptitude that would benefit them in these activities. Fourth, several participants mentioned that because the university made a concerted effort to hire faculty with a desire to excel in the classroom, the pool of talented, student-centered faculty was larger at this university than at institutions

without that teaching mission. Finally, both student services professionals and some faculty members noted that the focus on providing initial and ongoing training for faculty was an important aspect of the project.

The Porter and Lawler expectancy model proposed that an individual will not be motivated to expend energy toward a goal without a belief that such action is consistent with his or her role within the organization. The consideration of whether the role of faculty member was consistent with the enrollment management activity as described to the faculty member was certainly a major variable in this study. Those faculty volunteers who became involved in the enrollment management efforts perceived it as being consistent with their role. The academic deans discussed this at some length but without general consensus as to specifically how faculty members' involvement in such activities fit within the larger scope of their university obligations.

The final variable of the Porter and Lawler expectancy model that was pertinent to this study dealt with the perception of the individuals that they had, in fact, received the reward they had anticipated at the outset. This study's findings appeared consistent with Porter and Lawler's, as many of the faculty members cited this as a necessary factor in determining their continued participation in the programs. The expectancy model allowed for two individuals having identical experiences, but because the value of the reward or the nature of the expected or desired reward differed, one employee may have been satisfied and chose to continue while the other may have opted out of future activities.

There were many overlaps between the Porter and Lawler expectancy model and the finding of this study, but significant limitations to the model also became apparent when attempting to explain the necessary conditions that would encourage faculty to become involved in campus-wide enrollment management efforts. One of the major shortcomings was the failure to account for the complex nature of higher education. This is certainly understandable, as the model was developed to explain motivation of managers in the private sector workplace.

The most striking challenge was in attempting to transition the model from the business world to higher education. The introduction of the promotion and tenure system, the relationship between faculty and academic deans, and the educational mission of the organization are all significantly different from the typical business system.

The theoretical model that emerged from this researcher's study acknowledges the need for collaborative efforts between academic affairs and student services in designing and maintaining effective programs that met the needs of the university. Also, this researcher's theoretical model recognizes that the success of these programs is dependent upon encouraging faculty to volunteer. The Porter and Lawler expectancy model was used to explain a very different structure, with activities that were not considered voluntary in nature.

Finally, the Porter and Lawler expectancy model explained the role that the performance of the individual played in determining success of the effort. The theoretical model that emerges from the current study does not address the variable of

performance, as the faculty volunteers were supervised or assessed on their activities in the enrollment management endeavor.

Emerging Theoretical Model

As discussed above, there were some areas of overlap between the Porter and Lawler expectancy model and the theoretical model developed by the researcher based upon the results of this study. The two models have five factors in common: (a) the importance of an internal or external reward, (b) the belief or expectation that effort will lead to gaining these rewards, (c) the important role that an individual's abilities and skills have in determining a successful outcome, (d) the belief that the requested activity falls within the individual's role as a working professional, and (e) the connection between gaining the reward and continued participation in the effort.

The theoretical model that emerged from the results of this study departs from the Porter and Lawler expectancy model as it takes a larger view of the organization than simply an employer-manager relationship and considers the role that academic administration and student services professionals have in determining motivation. This is a significant departure from Porter and Lawler, which would consider only faculty motivation. In order to expand upon this model, an emerging grounded theory model is proposed.

This theoretical model is depicted in Figure 2 and reflects inhibiting and supportive forces that operate to encourage and discourage faculty participation in campus-wide enrollment management programs. The level of faculty participation will be a direct result of the balance or imbalance between these two forces. If the

inhibiting forces outweigh or are more predominant than the inhibiting forces, faculty participation will be high. This model is evolving and needs further research. The model was developed based upon data from one institution that emphasizes teaching can not be generalized very broadly.

My grounded theory/model is based up the foundation that faculty will become involved in campus-wide enrollment management efforts when such efforts (a) are perceived as meeting identified needs of the university, (b) are created with input from all stakeholders, (c) are supported by academic leadership in visible and tangible ways, (d) are desired by the students and make a positive impact on their success, and (e) provide professional growth opportunities for the faculty participants.

A critical component of this theoretical model is the amount of collaboration and trust that must occur between all involved. The student services professionals sponsoring the activities must have a good working knowledge of not only the needs and challenges of the different academic units but the unique culture within each academic unit. Faculty must believe that any investment in building strong alliances with the academic leadership and any groups or individuals within it with responsibility for student success will not be wasted energy.

There must be collaboration between student services professionals and student leaders as well. In my theoretical model, student leaders play a significant role in the selection of the faculty and are the object of the efforts with the ultimate goal being the recruitment or retention of these students at the university. In addition to students' being asked to offer input in the selection of faculty participants, they are

often asked to host faculty at functions in the residence halls. Investing in training these students in being excellent hosts is also time wisely invested.

Inhibitors for student services professionals must be recognized and addressed as well. There is the constant challenge of the perception of being peripheral to the primary academic mission of the university with tenuous credibility given in functions that are perceived as academic in nature. This can be further compromised if the sponsors or architects of student recruitment or success programs are unable to point to evidence of a positive return on the investment of these resources. Relying on volunteer, inexperienced, and busy student leaders for the success of some programs can be a risky adventure as well. Attention must be paid to these potentially inhibiting forces when designing and implementing programs within the student services organization.

This emerging theoretical model addresses the forces that support faculty involvement with students in enrollment management efforts. The faculty in this study had an overwhelming interest in helping students be successful and responded to direct requests from students. In addition, these efforts were widely viewed as opportunities to grow as professionals, regardless of faculty rank. A common desire among faculty was to use their limited amount of time in a manner that would make the most impact.

The time limitation of these busy professionals played an inhibiting factor as well. Should the faculty volunteer perceive that there was a lack of reward, whether intrinsic or extrinsic, it was likely they would divert their time and energies to other personal or professional obligations. The limited resource of time and a perception

that their efforts were ineffective or unappreciated combined with the lack of a reward structure has the real potential of inhibiting any faculty involvement in campus-wide enrollment management efforts.

Those in academic leadership play a supportive role for successful faculty engagement with the employment of two major strategies. The first is to align the resources of the department in a manner that rewards such activity. This may include insuring that the promotion and tenure requirements acknowledge and value such efforts and using limited college or departmental financial resources as incentives to develop and establish activities that foster student success. The second supportive strategy to increase faculty involvement is for the academic leadership to visibly, verbally, and publicly support such activity and back those statements up, serving as role models by participating in such activities themselves.

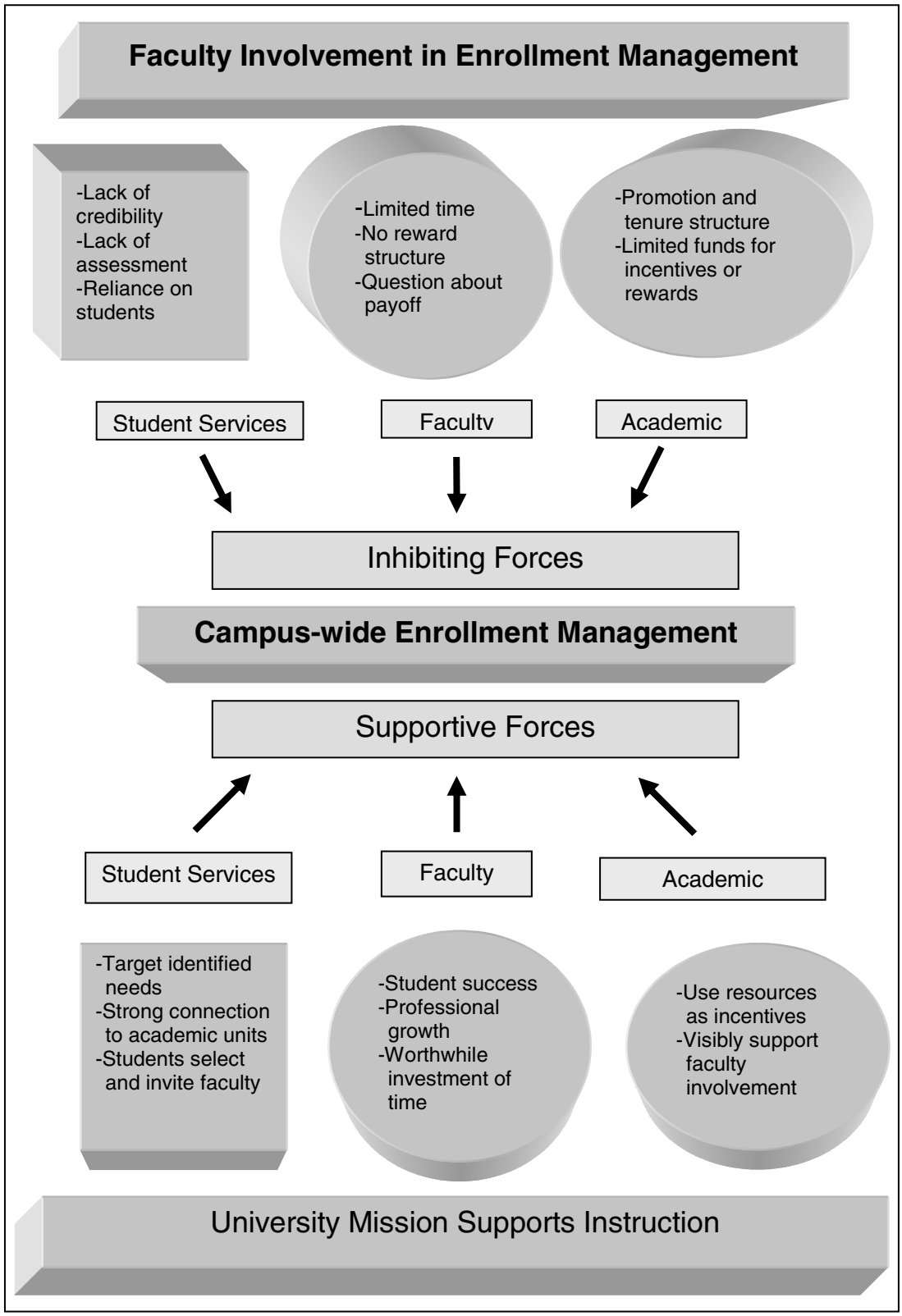
An inability or unwillingness to align existing reward structures such as promotion and tenure or a failure to provide financial incentives to develop programs will have an inhibiting effect on faculty involvement. As with the student services professional and the faculty, the more energy and attention are given to increase the supportive forces while effectively addressing the inhibitors, the greater the likelihood that faculty will be willing and able to participate in activities that have a positive impact on student success.

A final component to this model is the mission of the university. In this study, participants mentioned several times that, due to the strong educational mission of the university that strongly emphasized instruction (as opposed to research), spending time with students in and out of the classroom was expected. Therefore, when a

request was made to speak in a residence hall, mentor a student, or participate in some other method of connecting students and faculty, it was perceived as entirely consistent with the role of faculty on this campus.

This model is an emerging model and will need further refinement through additional research to modify and expand it for future use. Suggestions for possible research topics that will be beneficial in further testing and exploring this model are listed below in the Future Research Section.

Figure 2. Emerging Theoretical Model



Recommendations for Practice

The results of this study may provide some direction for future practices of enrollment management professionals, university administrators, and faculty members at similar institutions.. Eleven recommendations to create or enhance the conditions needed for faculty involvement in campus-wide enrollment management efforts are offered. While these are based upon an evolving theory that needs further research, inviduals at similar institutions may find them of some value when developing campus-wide enrollment efforts where the success of these efforts is largely dependent on the level of faculty involvement. Readers are reminded that the following recommendations are based upon data from one institution with an emphasis on teaching rather than research. The institution was also a highly selective institution primarily concerned with maintaining the academic quality of the incoming student body rather than increasing or stabilizing enrollment. The recommendations for practice are listed below with the theme from which they are drawn noted in parentheses. The reader may wish to refer to these themes from Chapter 4.

Faculty are motivated to become involved in part because they believe the possibility exists of an attractive outcome for them by participating in this activity. There may be as many perceptions of these benefits as are there are potential faculty volunteers. Therefore, the following recommendations are made:

1. When describing the program, explain potential benefits for the faculty participant. When listing the benefits of a program to the faculty member,

emphasize the intrinsic benefits to the faculty member that may result from his or her involvement. Quoting the feedback from faculty member colleagues who are currently involved in the program may be a good place to start. (Themes I-A, I-B, I- C, I-D, II-A, II-C, II-D, IV-A)

2. Design recruitment and retention strategies and programs to meet the specific needs of the department, college, and university. Use all available data to determine the needs of the unit and implement research-based best practices when designing and implementing strategies. (Themes I-C, IV-B, IV-E)
3. Design multiple opportunities for faculty members with varying levels and types of desired involvement. Faculty members participate for a variety of reasons and a "one size fits all" approach will leave many talented and interested faculty members without an appealing option. (Themes II-D, III-A, III-B, III-G, III-H, IVB, IV-E)
4. Create an advisory team with representatives from all impacted areas. Time invested early in the process determining who should be "at the table" will save significant time, wasted efforts, and frustration in the future. Examples to consider are representatives from the dean's office, academic advising function, residence life, student clubs, and so forth. (Themes IV-A, IV-C, IV-E)
5 Carefully manage expectations of faculty members. It is important to not oversell the program, especially if the program is new and untested. Avoid the tendency to promise more than can be reasonably expected. Enthusiastic

faculty will become quickly disillusioned when expectations are significantly unmet. (Themes I-E, III-E, III-F, IV-C)

6 Develop an assessment or evaluation system. It is important to determine if the goals of the program are being met and, if not, provide insight as to how to modify the approach. All assessment results should be shared with those in positions to support the activities (student services and academic administrators) and those involved in the activities (faculty members, student leaders). Positive assessment results that show substantial success in meeting the needs of the campus could increase the likelihood of consideration of faculty involvement during promotion and tenure reviews. (Themes I-A, I-C, I-E, II-F, III-C, III-E, III-F)

7. Select faculty members based on student input. Since the recipient or audience of the programs is typically students, it makes sense to tap students as a resource when selecting faculty for the activity. When inviting faculty participation, clearly communicate to the individual that he or she has been nominated by a student. (Themes I-A, IV-F)

8. Invest significant time in training students. This is primarily relevant to those programs that rely heavily on student volunteer leaders for success. Students who are hosting the various programs need instruction on how best to respectfully and effectively utilize the time and talents of faculty members. This information should provide instruction on how the student should contact, plan activities with, and host the faculty at sponsored activities. (Themes I-E, III-E, III-G, IV-F)

9. In order to expand faculty involvement as broadly as possible, seek ways to embed or integrate student retention activities within existing structures and forms at the university. Examples might include using syllabi to present strategies to students for academic success, infusing community-building activities within a classroom setting, and taking advantage of student clubs that are sponsored by departments. (Themes III-A, III-B, III-G, III-H, IV-D)
10. Work with the academic leadership to increase the likelihood that faculty involvement in enrollment management activities will be acknowledged in the reward structure of the college. (Themes II-B, II-D)
11. Show appreciation to faculty and staff volunteers. Award banquets or other public recognition events are important avenues to express gratitude to those who play a role in making the programs a success. Official letters of appreciation to the individuals from high-ranking administrators are important as well. Be sure to send a copy to department chairs and deans in order to alert them of the valuable contribution made by the faculty or staff member. (Themes II-A,II-B, II-C, II-E, III-B, III-D)

Recommendations for Future Research

The results of this study may provide direction for future research. The following suggestions are offered.

1. This study occurred at a 4-year, public, highly selective university that emphasized instruction rather than research. Further research should be conducted at other types of institutions to determine if similar themes arise. It

is likely that further study conducted at a large research university, a community college, a small liberal arts college, or a private university may produce different results as the mission of the institution and, subsequently, the reward structure that is in place to reach that mission may differ from those of the university chosen for this study.

2. Compare and contrast the motivation of those faculty members who had been invited to participate in campus-wide enrollment management efforts but had declined. This study was limited to those who had accepted the invitation to volunteer for these activities.
3. Use quantitative research strategies to support or negate the results of this qualitative study.
4. Compare and contrast the attitudes and level of involvement between faculty who are adjunct or non-tenure-track lecturers, tenure track, and tenured professors. No significant difference was found in this study, but it was not designed to focus on this issue.
5. Compare and contrast the attitudes and level of involvement of faculty members with different levels of experience. In this study, some participants indicated that faculty members who were more recent hires were differently motivated than those with more experience.
6. Further investigate the supportive role and influence that academic leadership has on the level of faculty involvement in enrollment management efforts.
7. Investigate other literature to determine if greater insight can be gained regarding this topic. Examples include, but are not limited to, faculty

engagement in activities within their discipline or organization, campus-wide efforts to implement teaching improvement strategies, and impact of campus politics on organizational change. Other literature to be explored with the potential for enhancement to the model includes human developmental psychology and organizational change.

Recommendations for Improved Methodologies

In order to increase the likelihood of discovering more information about this subject, the following three recommendations are made for the improvement of methodologies for future studies.

1. Include students as subjects to be interviewed. Gaining the perspective of students will be helpful in understanding the role faculty play in student recruitment and retention efforts in programs similar to those investigated in this study.
2. Use focus groups as an investigative tool. This study relied on interviews with individuals, but adding data gathered from focus groups made up of academic leaders, student services professionals, and members of the faculty may be beneficial in gleaning additional useful information.
3. Stay longer in the field. Due to the time limitations of spending only 2 weeks on site, it is possible that important and useful information was missed. With the busy schedules of academic administrators and faculty members, potential resources were unable to be tapped.

Chapter Summary

The purpose of this grounded theory study was to generate and develop a theory to explain what conditions would need to be in place in order to encourage the participation of faculty in campus-wide enrollment management efforts. A theoretical model was developed based upon the results of this study. Enrollment management professionals, student services administrators, academic administers, and other university officials may find these results of some benefit when developing campus-wide enrollment management efforts where the success of these efforts is largely dependent on the level of faculty involvement.

The purpose of this chapter was to summarize the study's procedure and results, discuss conclusions, and present a theoretical model that was developed upon the results of this study. Suggestions for further research and improved methodologies were also presented.

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APPENDICES

APPENDIX A

INTERVIEW PROTOCOL

Prior to Interview

2–3 weeks prior to interview:

- Make initial pre-interview contact to set up the interview—by telephone or email.
- Meeting time is specified.
- Location is selected, typically an office for individual interview, small conference room for focus groups. Space will have good lighting, minimum of external disturbances and privacy.

3–4 days prior to interview:

- Confirm time, place, and brief overview of purpose of the interview through email or phone call.

Day of Interview

- Arrive 10 minutes prior to scheduled interview.
- Check equipment—extra batteries, supply of blank tapes, informed consent forms, and note-taking materials.

Start of interview

- Introduce self by name and role (graduate student doing research for dissertation).
- Explain purpose:
    - Determine what factors contribute to faculty members being involved in campus-wide enrollment management efforts.
- Explain selection of respondent:
    - Faculty involved with such efforts or administrators allowing or encouraging activity.
- Assure anonymity.
- Obtain informed consent:
    - Read and sign informed consent form.
- Discuss note taking, recording, and anticipated length of the interview:
    - Note taking as back up of audio tape and to log interviewer's thoughts.
    - Audio tape to ensure accuracy of responses.
    - 30–60 minutes for in-depth interview, 1–2 hours for focus group

Interview

- Begin with first of the "grand tour" or main questions
- Follow up with any "mini tour" questions or probes that will help elaborate or clarify the main question:
    - What else?
    - Where?
    - When?
    - How?
    - Why?
    - What is the difference between ___ and ___?
- Continue to next main question and follow up probes until completed.

Close Interview

- Summarize main points and ask for correction or further clarification.
- Explain next steps:
    - Summary to be sent with request to confirm for accuracy.
- Ensure anonymity.
- Thank respondent(s) for their participation.

After Interview

- Send summary of comments to each participant.
- Request any additional insights or comments in written response.
- Thank again for participation in study.

APPENDIX B

INTERVIEW QUESTIONS (FACULTY)

INTERVIEW (FACULTY)

Project: Faculty Involvement in Enrollment Management

Time of Interview:
Date:
Interviewee:
Position of Interviewee:

Questions:

1. What caused or influenced you to be involved this project? (New student recruitment, First Year Connection, Living-Learning program, Sophomore Success program)

2. What, if any, external or internal incentives or rewards were in place that made it possible or attractive for the faculty member to engage in this activity?

3. What personal or professional challenges or disincentives have been encountered?

(Thank individual for participating in this interview. Assure him or her of confidentiality of responses and potential future interviews.)

APPENDIX C

INTERVIEW QUESTIONS (ADMINISTRATOR)

INTERVIEW (ADMINISTRATOR)

Project: Faculty Involvement in Enrollment Management

Time of Interview:
Date:
Interviewee:
Position of Interviewee:

Questions:

1. What was the motivation of the department/school to encourage faculty participation in this project? (New student recruitment, First Year Connection, Living-Learning program, Sophomore Success program)

2. What incentives or rewards, if any, were used to encourage faculty involvement in this project?

3. What were some of the management challenges or disincentives that needed to be resolved?

(Thank individual for participating in this interview. Assure him or her of confidentiality of responses and potential future interviews.)

APPENDIX D

CONSENT FORM

Consent Form

Paul Kraft
4343 E. Soliere Ave. # 2035
Flagstaff, AZ 86004

California Polytechnic State University has been involved in significant enrollment management efforts that have impacted recruitment and retention of students to the university. According to university publications, faculty have played a significant role in the success of these efforts. I have chosen this case as an opportunity to study the incentives, motivations, and management that was used to engage the academic community in these enrollment management efforts. It is my belief that there is much to be gained from a careful and thorough investigation for California Polytechnic State University as well as other institutions of higher education.

You have been identified as one of the many key decision makers who have played a role in this campus-wide effort and therefore are being invited to participate in this study. Your signature on this Consent Form indicates your willingness to participate in the study, which includes any comments you make will become part of the data to be studied, analyzed, written, and perhaps published.

It is the intent of the researcher to maintain your confidentiality and anonymity except in cases where this confidentiality and anonymity are specifically waived. Measures will be taken to prevent raw and processed data from being linked with a specific individual. These measures will include the use of letters or numbers in place of names, and generic positions or campus status such as faculty, administrator, or student will be used in place of specific title. Access to the data, even in coded form, will be limited to a need-to-know basis.

Anonymity of all research subjects cannot be absolutely guaranteed since inquiry records have no privileged status under the law and can be subpoenaed should a case emerge. Throughout the process you will reserve the right to withdraw from the study at any time, without justifying the action, and have the right to have all data returned to you. A signed request with your name, title, address, and date of the interview should be submitted within 30 days of the interview in order to ensure the data does not become part of the completed body of research.

Your signature below signifies that you understand that participation in this study is entirely voluntary and that you understand and agree with the above stipulations.

Signature_____ Date _____

Printed Name _____

APPENDIX E

INSTITUTIONAL RESEARCH BOARD REVIEW

MONTANA
STATE UNIVERSITY

INSTITUTIONAL REVIEW BOARD
For the Protection of Human Subjects

960 Technology Blvd. Room 127
c/o Veterinary Molecular Biology
Montana State University
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Chair: Mark Quinn
406-994-5721
mquinn@montana.edu
Administrator:
Cheryl Johnson
406-994-6783
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MEMORANDUM

TO: Paul Kraft

FROM: Mark Quinn, Ph.D. Chair Mark Quinn MJ
Institutional Review Board for the Protection of Human Subjects

DATE: October 27, 2006

SUBJECT: *Faculty Engagement in Campus-Wide Enrollment Management Activities: A Grounded Theory*

The above research, described in your submission of October 23, 2006, is exempt from the requirement of review by the Institutional Review Board in accordance with the Code of Federal Regulations, Part 46, section 101. The specific paragraph which applies to your research is:

___ (b)(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices such as (i) research on regular and special education instructional strategies, or (ii) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

_X_ (b)(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (i) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (ii) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability, or be damaging to the subjects' financial standing, employability, or reputation.

___ (b)(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (b)(2) of this section, if: (i) the human subjects are elected or appointed public officials or candidates for public office; or (ii) federal statute(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

___ (b)(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available, or if the information is recorded by the investigator in such a manner that the subjects cannot be identified, directly or through identifiers linked to the subjects.

___ (b)(5) Research and demonstration projects, which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (i) public benefit or service programs; (ii) procedures for obtaining benefits or services under those programs; (iii) possible changes in or alternatives to those programs or procedures; or (iv) possible changes in methods or levels of payment for benefits or services under those programs.

___ (b)(6) Taste and food quality evaluation and consumer acceptance studies, (i) if wholesome foods without additives are consumed, or (ii) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the FDA, or approved by the EPA, or the Food Safety and Inspection Service of the USDA.

Although review by the Institutional Review Board is not required for the above research, the Committee will be glad to review it. If you wish a review and committee approval, please submit 3 copies of the usual application form and it will be processed by expedited review.

Dear Paul,

I am pleased to inform you that your proposal, "Faculty Engagement in Campus-Wide Enrollment Management Activities: A Grounded Theory Approach", has been conditionally approved under the criteria for "Minimal Review".

Please note that, unlike the IRB at MSU-Bozeman, we do not consider you exempt from the federal guidelines for research with human subjects because your case study approach with a small sample size and limited pool of "administrator" subjects will facilitate identification of your Cal Poly respondents. Even if they are not identified by name in your dissertation or other reports, the respondents' and university's reputation is at risk should you report findings that are viewed negatively, either on- or off-campus.

We consider your research to be "confidential" rather than "anonymous" because you will know "who said what", though you have promised not to divulge this unless required by law. Another approach you may want to consider is a non-confidential survey in which you will report who said what. If you change to non-confidential interviews, you will need to modify your informed consent form to indicate this.

Attached is a modified informed consent form that is acceptable to the Cal Poly Human Subjects Committee. A condition of Cal Poly HSC approval is that you use the attached version. If the attached version is unacceptable to you, please contact me so that we can work on a compromise before you begin to recruit subjects at Cal Poly.

Although not a condition of Cal Poly Human Subjects Committee approval, I would recommend that you attempt to schedule interviews well in advance. Administrators and faculty at Cal Poly are extremely busy, and are unlikely to be able to give you 20-45 minutes of their time on a drop-in basis.

Thank you for following the Cal Poly Human Subjects Committee review procedures, and best wishes for successful dissertation research.

Sincerely,

Steven C. Davis, Ph.D., RCEP
Chair, Cal Poly Human Subjects Committee