Institutional Enrollment Factors and Strategies Influencing Enrollment at Four-Year Historically Black Colleges and Universities

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Dedication

I dedicate this dissertation to my Lord and Savior, Jesus Christ. Without His help, I would have never been able to physically nor mentally persevere. I am grateful for His abiding love that is more than words can express.

I also dedicate this dissertation to my husband, Bishop Joel H. Lyles, Jr. Thanks for just telling me to push when I wanted to give up. Your support is invaluable. To my daughter, Ashley, I dedicate this dissertation to you, my princess who was so supportive during this arduous process, especially during your formative years when I was away those long weekends.

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Abstract

Institutional Enrollment Factors and Strategies Influencing Enrollment at Four-Year Historically Black Colleges and Universities

This multi-case study explored influencing institutional enrollment factors and the enrollment management organizations at five purposefully selected historically black colleges and universities (HBCUs). The research questions were: What institutional factors influence enrollment of undergraduate students at four-year public and private historically black institutions? How are enrollment goals for undergraduate students at four-year historically black institutions developed? How do enrollment managers develop strategies to achieve short and long-term enrollment goals? How are the strategies prioritized by the enrollment manager? How are the enrollment management organizations and the enrollment challenges described? This study examines the enrollment managers' perceptions and uses the enrollment management organization as a unit of analysis. Data was collected by interviewing members of the enrollment management staff and reviewing institutional documents. Within- and cross-case analysis was used to develop themes.

The study's findings demonstrated that certain institutional factors have positive influences on enrollment, while other institutional factors have negative influences. The positive influencers are the institutions' geographic locales, affordable costs for in-state students, nurturing environments, legacy and HBCU history/culture, marketing efforts, and recruitment technology. These factors expanded the institutional factors in Cabrera and La Nasa's Model on Student Choice (2000). However, negative influences are potential threats to enrollment such as college saturation and competition, lack of

resources, leadership instability, student retention management, lack of financial aid and scholarship management, territorialism, and institutional identity affinity.

In this study, strategic planning and prioritization of strategies varied. Some HBCUs did not have written strategic plans. Consequently, enrollment managers mainly focused on the short-term goal of enrolling new students for a particular semester due to no strategic plan, limited resources, and leadership instability. Therefore, prioritization of enrollment strategies are based on, historical yields, the president's vision, the institutions' hierarchical structure, and available resources.

The enrollment management organizations operated as a division; however the enrollment management concept and key elements (Ward, 2005) were not fully actualized. The enrollment administrators appeared to manage recruitment opposed to managing recruitment and retention. At four of the institutions, no employee was responsible for managing retention.

Further research is needed to examine how student retention is managed at HBCUs. Leadership transitions need to be examined by position level to provide an understanding of leadership instability at HBCUs. Conducting further research on administrative cultures could determine how territorialism and institutional identity affinity impact other HBCUs, PWIs, and community colleges.

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CHAPTER I. INTRODUCTION

Growing enrollment at higher education institutions is critical to the operation and survival of colleges and universities (Whiteside, 2001). Enrollment outcomes generate revenue for colleges and universities and insufficient revenue threatens the quality of the institution's academic programs and campus operations (Hossler & Hoezee, 2001). The enrollment management component led by an enrollment manager is responsible for ensuring sufficient headcount and full-time equivalent (FTE) enrollment to meet the institution's net-revenue goals (Hoover, 2009). The enrollment manager establishes goals and develops strategies, ideally, based on the institution's mission. Understanding how enrollment managers use institutional factors to develop enrollment goals and strategies is imperative for higher education and particularly crucial for institutions struggling with declining enrollments.

Historically black colleges and universities (HBCUs) have made contributions to the larger society by providing access to higher education for African Americans. HBCUs graduate African American leaders and produce graduates who aspire to obtain professional and terminal degrees (Wilson, 2007, Kim & Conrad, 2006). In spite of their contributions, historically black institutions are facing complex enrollment challenges. Of the 84 public and private four-year historically black institutions, over two thirds (67.9%) of the population has experienced a decrease in undergraduate enrollment over the last two years (USDE, 2013). In addition, of the population of HBCUs, over half (51%) of the institutions experienced a five-year enrollment decrease (USDE, 2013). Understanding the enrollment challenges facing HBCU enrollment managers and how

enrollment managers use institutional factors to influence enrollment is a focus for this study.

Undergraduate headcount enrollment outcome results from of a complex process involving new and returning students entering an institution for a specific semester. Therefore, understanding the enrollment process to identify the enrollment factors is critical to the survival of colleges and universities. Although new and returning student enrollment factors have been examined, a literature gap exists in how enrollment managers use institutional enrollment factors to develop enrollment goals and strategies (Hossler, 2006).

The term enrollment management has been used in the higher education community for over 30 years (Huddleston, 2000); the enrollment manager (EM) is the college administrator who leads the enrollment initiatives at higher education institutions (Hossler, 1984; Hossler & Bean, 1990; Stewart, 2004). "An enrollment manager's efforts are intended to shape and influence particular units that have significant impact on a student's decision to enroll, persist, and graduate" (Huddleston, 2000, p. 65). Enrollment managers are therefore, responsible for the development and implementation of enrollment plans including recruitment and retention strategies. Although enrollment managers typically lead the enrollment effort, institutions may vary on the enrollment manager's title and responsibilities. For the purpose of this study, the enrollment manager is the person who supervises the Admissions director and any additional office or function related to enrolling students. For small institutions, the enrollment manager and the Admissions director may be the same person.

This multi-case study utilized qualitative methods of inquiry to examine influencing institutional enrollment factors that contribute to undergraduate enrollment outcomes at four-year HBCUs as perceived by the institution's enrollment personnel. In addition, the study explored how the enrollment manager utilized institutional enrollment factors to develop short and long- term goals and how enrollment strategies were created and prioritized. As enrollment declines and institutions compete for students, it is essential to understand how enrollment strategies are developed and implemented at historically black college and universities.

This chapter summarizes the proposal and consists of sections that state the research questions, highlight problems in research and practice, and set forth the significance, definitions, subjectivity statement, delimitations, and limitations of the study. Chapter II reviews and highlights relevant literature that provides the history and background of the problem. Chapter III outlines the data collection procedures, research methodology, and analysis procedures.

Problem Statement of Practice

Enrollment managers at historically black colleges and universities (HBCUs) face tremendous challenges. Generally, college and university administrators have utilized enrollment management to maintain or grow enrollment, and to monitor and shape the characteristics of its student body (Hossler, 1985; Huddleston, 2000; Ingersoll, 1988; Penn, 1999). In addition, while maintaining growth, college administrators must strategically monitor the institution's financial position, including tuition, revenue, net tuition, and tuition discount (Brown & Allen, 2002, Russo & Coomes, 2000; Shin &

Milton, 2006). However, enrollment managers at HBCUs appear to experience compounding factors that impact enrollment outcomes.

An enrollment trend analysis utilizing Integrated Postsecondary Educational Data System (IPEDS) peer analysis tool comparing fall 2003 to fall 2007 enrollment of undergraduate degree-seeking students at four-year colleges and universities revealed that within the last two years, two-thirds (67.9%) of the public and private HBCUs experienced a decrease in their fall undergraduate headcount enrollment (USDE, 2013). In addition, within five years, the descriptive analysis showed that over half of HBCUs, 51.2%, experienced a decrease in headcount enrollment ranging from .72 percentage points to 56.8 percentage points (Appendix A: Five-Year Enrollment Trend by Enrollment Change). Specifically noted, four-year private HBCU enrollment decreased at a greater rate than four-year public HBCU headcount enrollment. Of the institutions with decreased enrollments, 67.4 % were private HBCUs and 32.6% were four-year public HBCUs. Private HBCU headcount enrollment is decreasing at a higher rate (USDE, 2013).

Undergraduate headcount enrollment includes part-time and full time students and a decrease in undergraduate headcount enrollment could be due to fluctuations in enrollment of part-time students. Therefore, the IPEDS data included calculated full-time equivalencies (FTEs)that provided standardization of enrollment. Based on FTEs, the data revealed that almost half of HBCUs experienced enrollment challenges (USDE, 2013). Of the public and private four-year HBCUs (48.8%) experienced a decrease in their FTE enrollment within two years (USDE, 2013). In addition, after five years, almost half of HBCUs, (48.2%) experienced a decrease in FTEs ranging from .5

percentage points to 57.9 percentage points. Similar to headcount findings above, more private HBCUs (67.5%) experienced an FTE enrollment decrease than public HBCUs (32.5%). Undergraduate headcount totals and FTEs enrollment support the assertion that four year HBCUs are experiencing enrollment challenges.

Based on the IPEDS 2008 Digest for Education Statistics (Table 193), fall 2007 undergraduate headcount enrollment consisted of 15,603,771 students; undergraduates made up 85.5% of all students enrolled in the United States. Therefore, higher education institutions remained dependent on undergraduates as the dominant group making up most of its enrollment outcome. Of the undergraduate students (15,603,771), 8,986,150 students (57.6%) attended a four-year institution; four-year institutions continue to enroll more students than two-year institutions (USDE, 2013). However, in fall 2007, of the undergraduate students attending a four-year public or private not-for-profit degree-granting HBCU institution, HBCU undergraduates (234,420) made up only 2.6% of undergraduates enrolled in any four year institution (USDE, 2013).

While HBCUs enroll a small percentage of undergraduate students, HBCUs contribute to the number of African Americans awarded bachelor degrees. Based on the total bachelor's degrees awarded in fall 05, HBCUs granted bachelor's degrees to 30,548 students, which is 2.1% of all bachelor degrees conferred in fall 05 (USDE, 2013). However, HBCUs granted 26,446 (18.6%) of the 142,420 bachelor's degrees to black students (USDE, 2013). Therefore, HBCUs continue to contribute to society by graduating African American students.

In spite of their contributions, historically black institutions face greater enrollment challenges due to five factors: (1) their dependence on the African American

student to maintain or grow overall enrollment (USDE, 2013; Sissoko & Shiau 2005), (2) the lower cost of two-year institutions (Baum & Payea, 2004; Ellwood & Kane, 2000: Heller, 1997; Thomas & Perna, 2004), (3) competition from predominantly white four-year institutions (Dorsey & Jackson, 1995; Hill, 1985), (4) the decreasing number of African Americans attending college— specifically historically black institutions (Deskins, 1991; USDE, 2013) and (5) limited human capital and financial resources influencing campus management (Flemings, 1984; Allen, Epps & Haniff, 1991; Kim & Conrad, 2006) . These factors are discussed in detail in Chapter II.

Problem Statement in Research

In the literature, researchers examined enrollment factors for new and continuing students. Three groups in the literature categorize influencing enrollment factors: student characteristics, external or environmental influences, and institutional characteristics (Ackerman & Shibrowsky, 2008; Cabrera & La Nasa, 2000). Researchers have studied external or environmental factors (parental characteristics) and student characteristics for new students within the extensive body of literature on student choice (Beckham, 1988; Cabrera & La Nasa,2000; Exum, 1983; Farrell, 1988; Fleming, 1984; Spence & Helmreich, 1983).

The studies on new student enrollment in higher education institutions have primarily utilized the student as the unit of analysis. These studies examined student characteristics, motivational or external factors behind a student's choice to attend a college or university in general, or the student'- choice to attend a specific college or university (Fuller, Manski, & Wise, 1982; Hossler, Braxton, & Coopersmith, 1989; Perna, 2006; Paulson, 1990). New-freshman student characteristics such as race, gender,

grade point average, SAT or ACT scores, academic preparation, socioeconomic status of student and/or family, student motivation, and aspirations have been found to influence enrollment in postsecondary education. Cabrera & La Nasa's (2000) model included student characteristics, and external factors, as well as institutional characteristics such as college information (marketing and advertising), cost of attendance, and college admission requirements. However, from the perspective of the enrollment personnel, institutional characteristics, based on Cabrera & La Nasa's model (2000), have not been examined at HBCUs.

Researchers have studied retention (continuing student enrollment) for over 30 years. Institutional factors that influence retention are size, selectivity, academic and social reputation, student engagement and satisfaction, cost, financial aid and campus based retention programs (Ackerman & Schibrowsky, 2008; Astin, 1975; Braxton, 2000; Braxton, Hershey & McClendon 2004; Helland, Stallings, & Braxton, 2000; Kuh, 2001; Pascarella & Terenzini, 1991, 2005; Tinto, 2000). This study examines how institutional enrollment factors contribute to enrollment goals and strategy development at HBCUs. In addition, enrollment strategy development has not been examined in the enrollment management literature; as a result, understanding of the enrollment (recruitment and retention) process is limited. The institutions' administrators are capable of influencing enrollment, and exploring how this influence occurs is the focus of this study.

Purpose of the Study

This multi-case study examined influencing institutional enrollment factors that contribute to enrollment outcomes at four-year HBCUs as perceived by the institutions' enrollment personnel. In addition, the study explored how the enrollment manager

utilizes institutional enrollment factors to develop short-and long-term goals and how enrollment strategies are developed and prioritized. The study answered several questions.

Research Questions

1. What institutional factors influence enrollment of undergraduate students at four-year public and private historically black institutions?
2. How are enrollment goals for undergraduate students at four-year historically black institutions developed?
3. How do enrollment managers develop strategies to achieve short and long-term enrollment goals?
4. How are the strategies prioritized by the enrollment manager?
5. How are the Enrollment Management Organization and enrollment challenges described?

Significance of the Study

This study is significant for college administrators and society at large if HBCUs are to remain a viable option. Studies comparing HBCUs to predominantly white institution (PWIs) concluded that HBCUs continue to contribute to society. HBCUs have been recognized for providing African American students access to higher education and creating an African American middle class (Allen & Jewell, 2002; Fleming, 1984; Gurin & Epps, 1975; Kim & Conrad, 2006; Mykerezy & Mills, 2004, 2008; Wenglinsky, 1996; 1997). Graduates from HBCUs are more likely to pursue degrees in graduate or professional schools in fields such as such as science and engineering where African Americans are underrepresented (Wenglinsky, 1996, 1997). In addition, HBCU spending impacts their host communities. The total impact of spending for HBCUs in 2001 was 10.2 billion dollars (Humphreys & Korb, 2006). Although this study's design is not to

compare enrollment managers at HBCUs with those at PWIs, this study provided the foundation for such a comparison.

Regardless of HBCUs' contributions, decreased enrollments threaten the institutions' existence. Declining enrollments affect revenues, and many HBCUs are underfunded despite increases in federal aid (Title III); education and general expenditures per student are lower for both public and private HBCUs (Redd, 1998). In addition, endowments are lower, while deficits at some HBCUs are higher (Redd, 1998). This study included the enrollment management perspective on influencing enrollment factors that have not been well addressed in the literature. This study focused on the enrollment process -- factors, goals, and strategies -- and provided an understanding of what occurs in enrollment management organizations at historically black colleges and universities. This study added to the literature on HBCUs and enrollment management by examining the enrollment managers' perceptions of institutional enrollment factors and how these factors are used to develop enrollment strategies.

Overview of Conceptual Framework

Many factors influence undergraduate enrollment outcomes. This study's focus has been narrowed to examine institutional factors and how these factors are used to develop institutional enrollment strategies at HBCUs. The conceptual framework includes models relative to institutional factors for new and returning students and the concept of enrollment management including organizational structure and planning. The conceptual frame for examining institutional factors of new student enrollment is derived from the Cabrera & La Nasa Student College Choice Model (2000). Institutional characteristics that influence new student enrollment are components of this model. In

addition, Swail's geometric model on minority student retention emphasized institutional factors that influenced enrollment of returning students (Swail, Redd & Perna, 2006). Swail's model included minority students and focused on how the institution supported the student's academic and social integration (Swail et al., 2006). Ward's enrollment planning concept emphasized institutional traits as a key element and can be applied to understanding enrollment planning (goal and strategy development) at HBCUs (Ward, 2005). The models and their applications will be discussed in the Conceptual Framework section in Chapter II.

Overview of Research Methodology

The study employed a multi-case qualitative design to explore institutional enrollment factors and answer the study's research questions. The research design will be discussed in detail in Chapter III. Five HBCUs were purposefully selected from the population of four-year public and private HBCUs. The enrollment manager and enrollment personnel were interviewed to obtain rich data. In addition, the researcher reviewed institutional documents (strategic planning, recruitment and retention plans and advertising documents) to triangulate the data. Data analysis relied on coding to develop themes and patterns using the conceptual framework to answer the research questions.

Definition of Terms

Enrollment

A student who is registered for classes in a particular semester and counted in the official numbers submitted to IPEDS.

Enrollment Manager

A universal title for the chief enrollment manager does not exist. Titles for the chief enrollment management officer vary from Vice President to Associate or Assistant Vice President to Dean or Assistant Dean (Noel Levitz, 2004; Stewart 2004). Nevertheless, the job responsibilities remain similar; the responsibilities of the enrollment manager typically include recruitment and retention. However, some institutions have hired a retention expert (coordinator or director). Although there are traditional offices and functions for which the chief enrollment manager has been responsible, each campus' enrollment management organization develops its enrollment management structure based upon the institution's context. For the purposes of this study, the chief enrollment management officer is the highest-ranking person who is responsible for an additional function or office other than recruitment and admissions.

Enrollment Management

Enrollment management is defined as "an organizational concept and a systematic set of activities designed to enable institutions to exert more influence over their student enrollments" (Hossler & Bean, 1990, p.5). Historically, colleges and universities employed an admissions management approach that limited the institution's effectiveness in shaping its student body. The admissions management approach, or "frontloading," utilized prospective students as the major population in order to ensure enrollment stability (Hossler, 2006; Penn, 1999). Hossler and Bean (1990) stated that "many colleges and universities have used the term *enrollment management* but in practice they only focused on marketing and recruiting" (p. 145).

Enrollment Strategy

An enrollment strategy is any event or activity used to influence enrollment outcomes. A typical enrollment strategy is hosting a campus open house or conducting campus tours. Short- term strategies are developed to influence outcomes for one year while long-term strategies are developed to influence outcomes for more than a year. Long-term enrollment projections have been developed in certain states using a 10 year range.

FTE Enrollment

The number of FTE students is calculated on the basis of fall student headcounts as reported by the institution on the IPEDS enrollment. The full-time equivalent count of a public institution's part-time enrollment is estimated by multiplying .403543 times the part-time headcount. The results are then added to the full-time enrollment headcounts to obtain an FTE for all students enrolled in the fall. The full-time equivalent count of a private not-for profit institution's part-time enrollment is estimated by multiplying .392857 times the part-time headcount. This formula yields an annual FTE listed in the Digest of Education Statistics.

Historically Black College or University (HBCU)

The Higher Education Act of 1965, as amended, defines an HBCU as "...any historically black college or university that was established prior to 1964, whose principal mission was, and is, the education of black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary [of Education] to be a reliable authority as to the quality of training offered or is, according

to such an agency or association, making reasonable progress toward accreditation." Federal regulations (20 USC 1061 (2)) allow for certain exceptions to the founding date.

Retention Coordinator

This person is primarily responsible for implementing strategies to increase or maintain undergraduate student continued enrollment. Titles may vary across institutions. For some institutions, retention may not be the direct responsibility of the enrollment manager.

Undergraduate Population

The undergraduate population consists of students who attend the university or college without having obtained a bachelor's degree. This data was obtained from IPEDS.

Undergraduate headcount enrollment

The total number of students enrolled in a bachelor's degree program.

Delimitations and Limitations

Enrollment factors are complex and include external, geographical, student and institutional factors. However, this study's scope is narrowed to institutional enrollment factors and further narrowed to focus on the perspectives of persons responsible for enrollment at four- year historically black institutions. Lastly, the study focused on the enrollment factors for undergraduate students only; graduate student enrollment factors were not included in this study.

Therefore, the scope, the sample and the research design limited generalizability of the study's findings. The study's sample consisted of purposefully selected four-year historically not-for-profit black college and universities; therefore, the findings are

limited, and not applicable to non-HBCUs, two year colleges, professional schools and for-profit institutions. In addition, the case study research design limited this study; findings cannot be used to generalize to other populations.

Summary

This study examined goals, strategies, and institutional enrollment factors at five HBCUs. This chapter provided an overview of the proposed project's statement of problems in practice and in research, purpose of the study, research questions, significance of the study, overviews of the conceptual framework and the research methodology, definition of key terms, and delimitations and limitations of the study.

CHAPTER II. LITERATURE REVIEW

The purpose of this chapter is to examine and synthesize literature relevant to this study; therefore, it is divided into the following topics: (a) historically black colleges and universities (HBCUs), (b) enrollment challenges of HBCUs, (c) influencing institutional enrollment factors, (d) enrollment management, (e) developing enrollment strategies, and (f) conceptual frameworks.

Historically Black Colleges and Universities

After the abolishment of slavery, HBCUs were established to address society's need to educate free black men separately from the white race (Allen & Jewel, 2002; Redd, 1998). Prior By 1865 over 100 HBCUs had been organized by missionary societies to educate blacks (Allen & Jewel, 2002). Until 1954, segregation in education was the norm. However, after *Brown vs. Board of Education 1954* and other federal acts, Black student enrollment in non-HBCUs surpassed black student enrollment at HBCUs (Sissoko & Shiau, 2005). Consequently, policy makers have called on HBCUs to justify their continued existence, raising questions as to whether HBCUs have outlived their usefulness (Lemelle, 2002; Minor, 2008; Sum, Light & King, 2004; Wenglinsky, 1996, 1997).

Addressing these questions, researchers studying HBCUs concluded that HBCUs continue to make valuable contributions to the larger society. HBCUs have graduated many prominent African American leaders (Gray, 1998; Jackson, 2002; Kim & Conrad 2006; Wenglinsky 1996; Wolf-Wendel, Baker & Morphew, 2000). HBCUs enabled students to continue their education at the graduate level; HBCU graduates are more likely to pursue graduate education in areas where thy have been underrepresented such

as business, science, and engineering (Carter, 1999; Redd, 2000; Wenglinsky, 1996; 1997). In addition, HBCUs have had a major economic impact on their local communities (Humphreys & Korb, 2006). Although HBCUs have made contributions to society, they must maintain sufficient enrollment to continue to operate.

Enrollment Challenges for Historically Black Institutions

There are 84 public and private not for profit four-year HBCUs. Of the 44 private HBCUs, over two thirds (68.2%) have undergraduate enrollments of less than 1,000 students (USDE, 2013). Although all public HBCUs (40) have undergraduate enrollments over 1000 students, no public institution has an undergraduate enrollment surpassing 10,000 students (USDE, 2013). For fall 2007 the average undergraduate enrollment for four-year public HBCUs was 3303 students (USDE, 2013). In fall 2007, Florida A&M had the largest public undergraduate student enrollment, 7526 students, while Cheyney University (PA) had the smallest public undergraduate enrollment, 1038 students (USDE, 2013).

Historically black institutions are facing complex enrollment challenges due to the following factors: (1) the dependence on the African American student to maintain or grow overall enrollment (USDE, 2013; Sissoko & Shiau, 2005), (2) the lower cost of two-year institutions (Baum & Payea, 2004; Ellwood & Kane, 2000; Heller, 1997; Thomas & Perna, 2004), (3) competition from predominantly white four-year institutions (Hill, 1985; Dorsey & Jackson, 1995), (4) the decreasing number of African Americans attending college (Deskins,1991), specifically historically black institutions (USDE, 2013) and (5) limited financial and human capital resources (Allen, Epps & Haniff, 1991; Kim & Conrad, 2006).

Based on enrollment numbers (USDE. 2013), HBCUs are becoming increasingly dependent upon African American students to maintain their enrollment. In fall 2005, the number of non-African American students attending four-year historically black institutions decreased from 42,260 (17.6%) in 1990 to 34,636 (12.7%) of the total enrolled students in a four-year HBCU (USDE, 2013). By fall 2005, African American students made up 87.3% (238,030) of the student population within four-year historically black institutions. Consequently, HBCU undergraduate enrollment has become more dependent on African American student enrollment. According to Sissoko & Shiau (2005), "the survival and growth of many HBCUs depend on their ability to maintain or improve their relative share of Black students, who traditionally represented their major source of enrollment" (p. 182).

In addition, African American students made up more of the total enrollment of two-year institutions than of four-year institutions. According to the latest NCES data (USDE, 2013), two- year colleges' African American student population was 13.9% (901,100/6,488,100), while African Americans made up 11.9% (1,313,400/10,999,420) of the population at four-year colleges and universities. According to researchers, African American students, who are more sensitive to price, are concentrated in lower-priced two-year institutions (Baum & Payea, 2004; Ellwood & Kane, 2000: Thomas & Perna, 2004). Therefore, two-year institutions are a major source of competition for four-year HBCUs.

Predominantly white institutions are another major source of competition for four-year HBCUs. As a result of civil rights legislation, predominantly white institutions began to open their doors to African American students (Brown v. Board of Education of

Topeka, Civil Rights Act, 1964, and Higher Education Act, 1965). Prior to 1976, two-thirds of all blacks attending postsecondary undergraduate education enrolled mainly at a historically black institution (Hill, 1985). As a result of the desegregation efforts, African American students began to attend predominantly white institutions; consequently the number of African American students attending predominantly white institutions surpassed the number of African American students attending HBCUs (Allen, Epps, & Haniff, 1991). Based on the latest data available on African American student enrollment (USDE, 2013), for fall 2005 four-fifths (81.4% or 1,075,370) of African Americans students who attended college attended a predominantly white institution. For the same semester, less than one-fifth (18.1% or 238,038) of African American students attended an HBCU. Currently, of African American students attending a four-year institution, more than three-fourths attend a predominantly white institution.

To add to the challenges facing historically black institutions, competition for students will intensify on the basis of projected racial enrollment demographics. African American student enrollment is projected to be the lowest enrollment growth of the all minority groups. According to the National Center for Education Statistics 2016, African American student enrollment is projected to grow the least among all minority student groups. The projections show African American student enrollment growing at 29%, Asian and Pacific Islanders at 32%, American Indian or Alaskan Native at 34%, and Hispanics at 45% (USDE, 2013). Caucasian student enrollment is expected to grow by 8%.

Lastly, HBCUs have limited financial and human resources compared with PWIs, and this limitation influences campus management (Allen, Epps & Haniff, 1991;

Flemings, 1984; Kim & Conrad, 2006). Instructional expenditures are typically lower at HBCUs than at PWIs (Kim & Conrad, 2006). In addition, for some institutions, disparity in facilities exists as a result of unequal distribution of resources by state higher education systems (Sum, Light, & King, 2004). Therefore, the overall lack of financial resources provides challenges for HBCU administrators.

In conclusion, the above-mentioned challenges for HBCUs— the dependency on African Americans to maintain enrollment, the increased competition from predominantly white four-year institutions and two year institutions, the projected racial demographics and the lack of resources—provide the problems in practice justifying this study to examine enrollment management at four-year historically black colleges and universities. This study explores how enrollment managers utilize institutional enrollment factors to develop enrollment strategies at four-year HBCUs.

Influencing Institutional Enrollment Factors

Enrollment factors for new and continuing undergraduate students are divided into three major categories: student characteristics, external or environmental influences, and institutional characteristics (Ackerman & Shibrowsky, 2008; Cabrera & La Nasa, 2000). Although student characteristics and external influences have dominated the literature, institutional characteristics have not been well addressed. Therefore, this study focused on how enrollment managers utilize institutional factors to develop enrollment goals and strategies (Hossler, Braxton & Coopersmith, 1989; Hossler, Schmit & Vesper, 1999; Litten, 1982; McDonough, 1997; McDonough, Antonio, & Trent, 1997; McPherson & Shapiro, 1989; Perna, 2000; Tierney, 1980).

For the purpose of this study, this literature review addressed institutional characteristics that have the potential to influence enrollment. Institutional characteristics are fixed or fluid (Chapman, 1981). Fluid characteristics, such as admissions requirements, financial aid and academic support services can be changed by the institution while fixed characteristics such as location, size, or institution type are more difficult to change. In addition, the enrollment management organization is a fluid institutional characteristic that can be modified on the basis of the institution's structure and enrollment demand (Kemerer, Baldridge, & Green, (1982).

Therefore, enrollment managers have the potential to influence enrollment. However, researchers have not addressed how the enrollment managers influence enrollment. This study examined how enrollment managers use institutional factors to influence enrollment outcomes of undergraduate students.

Institutional Enrollment Factors Influencing Undergraduate Enrollment

Size and Selectivity. Size and selectivity of the institution influenced college choice of new students and retention of continuing students (Pascarelli et al, 2012); Saupe, Smith, & Xin, 1999; Sjoberg, 1999; Titus, 2004). In college choice decisions, institutional size shaped the student's perception of the institution's ability to provide social and academic interactions (Kuh, Kinzie, Buckley, Bridges, & Hayek, 2007). Small institutions with lower faculty/student ratios and small classes tend to engage students better than large institutions (National Survey of Student Engagement, 2004). Titus (2004) utilized both the institution and the student as units of analysis and found that size and selectivity were the only institutional variables that influenced student persistence.

Academic Reputation. Researchers found that academic reputation of an institution as an influencing enrollment factor varies by socio-economic status (SES) and a student's level of academic preparation. The academic reputation of an institution includes quality of faculty and staff, professors' reputation, perception of academic rigor; research opportunities, institutions' prestige and name recognition, intended major programs' reputation, and graduates ability to attend graduate or professional school (Canale, Dunlap, & Britt, 1996; Comm & La Bay, 1996;; Galotti & Mark, 1994; Grunig, 1997; Wanat & Bowes, 1992). On the one hand, academically talented high school students and students from families with high SES (over $100,000) selected an institution on the basis of the institution's academic reputation (Comm & La Bay, 1996; Galotti & Mark, 1994; Wanat & Bowes, 1992). On the other hand, students who are underprepared academically or from low- income families selected a college on the basis of the institution's surroundings, social life, extracurricular activities, and cost (Delaney, 1998; Flint,1992; Zemsky & Oedell, 1983).

Institutional Enrollment Factors for New Students

Student college choice literature has focused on enrollment factors that influence new student college attendance. College choice has been defined as "a complex, multistage process during which an individual develops aspirations to continue formal education beyond high school, followed later by a decision to attend a specific college, university or institution of advanced vocational training" (Hossler, Braxton & Coopersmith, 1989, p.234). Hossler and Gallager (1987) identified the college choice stages as predisposition, search, and choice. There have been attempts in the literature to simplify the complexity of the college choice process utilizing college choice models.

Cabrera and La Nasa's (2000) college choice model offered a schematic presentation of the process and the linkages between the various interrelated stages. The 11 processes were categorized into student characteristics, parent characteristics, and institutional characteristics. The student characteristics include the student's educational and occupational aspirations, the student's ability, student peers and the student's saliency of potential institutions and college choice. The parental characteristics include the parental collegiate experience, parental encouragement and involvement and the parental education, occupation and income (Hossler, Braxton & Coopersmith, 1989; Hossler et al., 1999; Litten, 1982; McPherson & Shapiro, 1989; McDonough, 1997; McDonough, Antonio, Walpole and Perez, 1998; Perna, 2000; Tierney, 1980). However, this study focused on institutional factors that influenced student enrollment outcomes. According to Cabrera & La Nasa's model (2000), the institutional characteristics that influence enrollment of new students are (1) available information about college-marketing and advertising, (2) cost of attendance and financial aid, and (3) college qualifications. In addition, location is a factor that influences new student enrollment (Chute, 2006; Mattern and Wyatt, 2009; Pryor et al, 2005; Pryor et al, 2007).

College Information-Marketing and Advertising. In general, high school students develop perceptions or mental pictures of institutions that impact their matriculation to higher education (Choy & Ottinger, 1998; Hossler, Schmit, & Vesper, 1999; McDonough, 1997; Tinto,1993). Studies in the 1980s on student access to information were prior to wide spread use of the Internet; such studies found that low-socioeconomic students relied on high school guidance counselors to provide college information (Tierney, 1980). By contrast, upper-socioeconomic students used a variety

of sources to choose a college including "parents, students, catalogues, college representatives, and private guidance counselors" (Cabrera & La Nasa, 2000, p.10).

One major source of information for prospective students is the admissions viewbook. A recent content analysis study on 46 admissions' viewbooks found that the viewbook continues to play a major role in the decision process of prospective students (Jaschik, 2005; Hartley & Morphew, 2008). Viewbooks are marketing tools or strategies basically designed to make the "sales pitch similar to commercial advertising" (Hartley & Morphew, 2008, p. 11). On the one hand, the view book has been useful; on the other hand, the viewbook design may create an unrealistic expectation of college life. No study has examined the enrollment manager's role in the development of view books.

To date, there are few current empirical studies that examine marketing strategies; however, "colleges and universities are aggressively employing marketing tactics" (Hartley & Morphew, 2008). Goldgehn (1990) surveyed 791 college admissions officers and the effectiveness of 15 marketing strategies: publicity, target marketing, market segmentation, advertising, program development, market position, market research, access, marketing plan, pricing, marketing committee, advertising research, consultants, marketing audits, and marketing director. Goldgehn (1990) found that admissions directors used a marketing strategy technique but failed to consistently use a particular strategy. According to Hossler (1984), enrollment managers were responsible for student recruitment and marketing. However, no study has examined how enrollment managers use institutional factors to develop marketing and/or advertising strategies and how the strategies are prioritized.

Cost of Attendance and Financial Aid in Student Choice Literature.

Econometric models in student college choice literature focuses on the student as the unit of analysis and examines the impact of expected cost on access to college. Student expected costs includes tuition or net tuition (tuition minus financial aid), room and board, and miscellaneous expenses (Heller, 1997, 1999; Hossler, Braxton, & Coopersmith, 1989; Leslie & Brinkman, 1988; St. John, Paulsen & Carter, 2005). Findings conclude that college access remain stratified by socioeconomic status due to colleges' cost of attendance. Consequently, low-income, African American and Hispanic students are less likely to enroll in college due to cost and other factors (Perna, Rowan-Kenyon, Bell & Thomas, 2008).

Researchers who study student price response developed a student price response coefficient (SPRC) to project changes in student enrollment as tuition increases (Heller, 1996; Leslie & Brinkman, 1988; Kane, 1995; St. John, 1990). Other researchers developed an SPRC to project student enrollment based on changes in financial aid offers (Jackson, 1988; Manksi & Wise, 1983; McPherson & Shapiro, 1991; St. John, 1990). Additional studies examined student enrollment and SPRC relative to race and financial aid (McPherson & Shapiro, 1989, 1994; St John, 1990; St John & Noell, 1989; St. John et al., 2005). These studies conclude that African American students are more sensitive to price increases (McPherson & Schapiro, 1994; St John & Noell,1989). Therefore, this study examined the HBCU enrollment managers' role in establishing the institution's costs. No previous study has examined whether enrollment managers have a role in setting institutional cost or how cost is utilized to develop enrollment strategies.

For the purposes of this study, institutional financial aid is discussed as an enrollment strategy to enhance enrollment in a specific institution. Although literature on financial aid focuses on various types of aid including federal, state, and institutional, federal and state financial aid is student-specific. Student-specific aid is issued to students who meet the certain criteria, and the student receives the aid regardless of the institution the student decides to attend. However, to receive institutional aid, the student must attend the institution where the aid is offered. Without institutional financial aid, college financial aid administrators serve only as custodians of federal and state funds, and the financial aid administrator's primary role is to ensure compliance with federal and state regulations. In contrast, institutional funding for merit or need-based aid affords the financial aid officer, typically under the leadership of the enrollment manager, an opportunity to shape the incoming and returning classes through financial leveraging or tuition discounting.

Tuition discounting and financial aid leveraging are strategies used to influence enrollment outcomes. Researchers noted that the original purpose of tuition discount was to provide financial assistance to students who had a financial need and thereby provide access for students (Goral, 2003; Redd, 2000). Duggan and Mathews (2005) developed a method to compare tuition discounting utilizing IPEDS peer analysis systems; they concluded that the original purpose of tuition discounting was access but that the purpose has shifted to ensure that highly competent students enroll regardless of their ability or willingness to pay. In addition, the funding source for tuition discounts has also changed from endowments to tuition revenue, and this shift has created concerns regarding the long-term financial welfare of institutions (Davis, 2003; Gage, 1999).

Financial aid leveraging is a strategy used by some institutions to ensure that the institutional aid resources are distributed on the basis of an analysis of admitted applicants. Factors of admitted applicants such as family income, ethnicity, residency, location determine the exact amount of aid needed to influence student enrollment (Goss, 1996). The goal of financial aid leveraging is to increase net tuition revenue (Day, 2007). However, the enrollment managers' role at HBCUs in the development of tuition discount or financial aid leveraging strategies is not well addressed in the literature.

College Admissions Requirements and Institutional Characteristics. College admissions requirements vary among four-year public and private institutions within a state. For public institutions, complying with admission standards entails an interrelationship between the institution's efforts to grow enrollment and the institution's ability to adhere to state policy (Ratcliff, Rawlings, Ard & Sherman, 1999). Private institutions' admissions standards are typically determined by their administration, with the approval of the board of trustees. College admission requirements traditionally include a high school diploma, an acceptable high school grade point average, acceptable scores on the SAT or ACT, student class rank, and other miscellaneous requirements as determined by the institution. However, the traditional requirements listed above tend to have an adverse impact on achieving institutional diversity goals and increasing access for minority students to predominantly white institutions. Therefore, alternative admission strategies have been used to increase diversity and provide access for students to predominantly white and historically black institutions. The alternative admissions strategies included summer bridge programs to enhance SAT preparation skills, proficiency- based admissions systems, preferential admissions including optional SAT

submission and top percentage of high school class rank (Alon & Tienda, 2007; Conley, 1994; Epenshade & Chung,2005; Robinson & Monks, 2004).

Diversity at an HBCU differs from diversity at predominantly white institutions. Traditionally, HBCUs' major source of enrollment has been African American students (NCES, 2007; Sissoko & Shiau, 2005). However, as a result of desegregation orders issued by the Office of Civil Rights, HBCUs have had to establish racial diversity goals thereby, increasing the non- African American student population (Brown, 2002). HBCUs have been able to increase non- African American enrollment when academic programs are not duplicated at surrounding predominantly white institutions (Shih, 2009). Though some HBCUs are more diverse, majority of the undergraduate student population admitted and enrolled at HBCUs remain African American. No literature has examined how the admission requirements are established, how alternative admissions strategies are developed or what role the enrollment manager plays in establishing admissions standards or admissions strategies.

Location. There is limited public research on location and student choice. Higher Education Research Institute (HERI) study (Pryor et al. 2005) based on a national college freshman survey found that 50% of first-generation students attended college within 50 miles of home while only 36 % of non-first generation students attended within 50 miles. Chute's study (2006) examined freshmen who lived in Alleghany, PA. The result of the study concluded that Alleghany County students (69%) stayed closer to home compared with the national rate of 56%. Chute's (2006) study limitations are generalizable based on the sample size. Pryor et al. (2007) conducted a trend analysis and concluded that the percentage of students remaining within 50 miles of their home (35.9%) in 1969 is

roughly the same in 2006 (35.3%). Mattern & Wyatt (2009) conducted a national study and included academic performance, ethnicity, and a comparison of home states. Their study found that 72% of students attend a college or university within their home state, 11.9 % attend within a bordering state, and 16% attend a non-bordering state. In addition, 51% of the students attended within 100 miles of their homes. Of the minority groups, Hispanics (average 39 miles) and Asian Americans (average 60 miles) attend college closer to home while African Americans (98 miles) and American Indians (average103 miles) have a tendency to attend higher education farther from home. An additional limitation to Mattern & Wyatt's results is that the dataset was based on 1999 high school graduates. If location influences enrollment, how do enrollment managers use this institutional factor to influence undergraduate enrollment?

Institutional Enrollment Factors for Continuing Students

For most institutions, continuing students make up the larger portion of the undergraduate student population. Therefore, projecting the persistence rate or student attrition rate to determine the number of students that need to be replaced (replacement factor) is a part of the enrollment process and is typically the responsibility of the enrollment manager. According to Wilkerson et al. (2007), the enrollment management program provides continuity for the retention program. Although researchers have studied student retention and attrition for over thirty years, how the enrollment manager utilizes institutional factors to influence retention has not been examined (Ackerman & Schibrowsky, 2008, Astin, 1975; Braxton, Hirschey, & McClendon, 2004; Cope & Hannah, 1975; Summerskill, 1962).

There is an extensive body of literature on student retention and attrition including models and theories (Bean, 1990; Braxton, Sullivan, & Johnson, 1997; Himelhoch, Nichols, Ball, & Black, 1997; Hurtado & Carter, 1997; Pascarella &Terenzini; 1991; Tierney, 1992; Tinto, 1993). Similar to new student enrollment research, the retention research is categorized into three types of factors that influence retention: student personal characteristics, institutional and environmental factors (Ackerman & Schibrowsky, 2008). For some institutions' administrations increasing retention rates is viewed as too difficult or nearly impossible. Therefore, according to the Habley and McClanahan's (2004) study, institutions are more likely to attribute student attrition to student characteristics (lack of motivation to succeed, inadequate financial resources, inadequate preparation for college, and poor study skills) than to institutional characteristics. However, key findings in studies on retention concluded that institutional characteristics, including program and policies influenced retention (Bohnam & Luckie, 1993; Feldman, 1993; Helland, Stallings, & Braxton, 2000).

Researchers have studied the relationship of institutional characteristics to student satisfaction and engagement. Astin's (1975) original work related student satisfaction to retention and later concluded that institutional characteristics such as curriculum, faculty, student peer group, residence, academic major, financial aid and student involvement influences student retention (Astin, 1993). Kuh's (2001) work concluded that institutional characteristics and campus programs that foster student engagement influence student retention and satisfaction. Student satisfaction surveys have been used to assess student satisfaction with enrollment services and other institutional characteristics (Noel Levitz, 2009). The HBCU enrollment manager's role in promoting

or assessing student satisfaction or fostering student engagement has not been well addressed in the literature.

The major institutional characteristic used to influence retention has been campus-based retention programs developed by the institution (Ackerman and Schibrowsky, 2008; Kuh, 2001;Pascarella & Terenzini, 1991, 2005; Tinto, 2000). The retention programs or services included orientation, first-year seminars, early warning systems, advising, campus residence, and a low ratio of student support service professionals to students.

There is controversy in the literature on the value of orientation programs which were developed to assist students with transition to college life. Studies on orientation concluded that institutions that provide an extensive orientation and advising program have higher graduation rates (Dunphy, Miller, Woodruff, and Nelson, 1987; Fidler and Hunter, 1989). In addition, students who attended orientation were more satisfied with their college experience (Kuh, 2005). To the contrary, Pascarella and Terenzini, (1991, 2005) after controlling for student characteristics, found that attending orientation was statistically insignificant to persistence.

First-year seminars, early warning programs and academic advising influence retention (Carstens, 2000; Nettles, Wagener, Millett, & Killenbeck, 1999; Tinto, 2004). First-year seminar programs vary; some programs incorporate orientation while others are based on an academic discipline and taught by faculty. Carstens (2000) found that students who completed a first- semester orientation course earned more credit hours per semester and were more focused on academics three years after enrollment than their peers who had not taken the course. Early warning systems are programs designed to

alert staff and faculty about students who struggle academically. Student retention and graduation at HBCUs are fostered when at-risk students are part of an early warning program (Nettles et al., 1999). Although researchers agree that academic advising is beneficial for students, the type and quality of advising has been debated (Cohen & Brawer, 1996; Kramer & Associates, 2003; McCormick, 2003). Tinto (2004) concluded that academic advising positively impacts retention ‘and graduation of first generation college students and students who have not decided on a major.

Living on campus has the greatest effect on learning outcomes, exceeding that of any other institutional characteristic, and it is associated with persistence and student success (Astin, 1993; Chickering & Reisser, 1993; Kuh et al., 2007). Students who live on campus generally interact more with members of the campus community (faculty and peers) and are more satisfied with their undergraduate experience (Pascarella & Terenzini, 1991, 2005).

Study findings on the ratio of student support service staff to students and the influence on retention vary (Astin, 1993). Researchers caution that it is difficult to isolate the effect of this ratio due to many confounding factors (Kuh, 2005; Pascarella &Terenzini, 1991). Regardless of the campus retention efforts, attrition rates have remained constant for over twenty years (Braxton, 2000; Braxton et al., 2004; Hossler, 2006). Therefore, researchers have developed evaluative studies to determine whether institutional efforts are indeed improving persistence rates and have found that campus-based retention studies were inadequate due to insufficient statistical rigor and use of theory to guide the studies (Hossler, 2006; Patton, Morelon, Whitehead & Hossler, 2006).

Though campus-based retention programs may be inadequate, campus administrators continue to develop such programs. Hossler (2006) asserts that the campus-based retention programs implemented on most campuses are based on administrators using a laundry list approach. Instead of a focused analytical approach, the college administrator implements campus retention initiatives on the basis of best practices without adequate institutional research and evaluative analysis of the program. According to Hossler (2006), the literature fails to examine how "enrollment management efforts are structured in the area of student persistence" (p. 14). It is not evident whether the enrollment manager is responsible for developing retention strategies, or whether the person who coordinates the retention efforts reports to the enrollment manager. An ACT survey entitled What Works in Retention, compiled by Habley and McClanahan (2004) concluded that only half (51.7%) of the campuses (degree granting, two- year and four-year, private and public institutions) have an individual who coordinates retention strategies, fewer than half (47.2%) of the campuses have an improvement goal of first-year to second-year retention and a third of the campuses (33.1%) have established a goal to improve degree completion.

Although, retaining a sufficient number of students each semester lessens the burden on the recruitment staff to replace students, retention plans may not be formally developed at HBCUs (Habley & McClanahan, 2004). Consequently, enrollment managers who are conceptually responsible for the integration of retention and recruitment efforts may not be responsible for developing or monitoring the retention efforts. Understanding the enrollment manager's role in establishing retention efforts, an institutional characteristic, has not been well- addressed in the literature.

Enrollment Factors and African American Undergraduate Students at HBCUs

As mentioned earlier, African American students make up over 87.3% of the four-year undergraduate population at HBCUs. Therefore, review of the literature regarding enrollment factors of African American students at HBCUs provided a context for this study. Student characteristics, external or environmental factors and institutional characteristics influence African American student enrollment at HBCUs. Comparing African American students who enrolled at HBCUs with African American students who enrolled at PWIs, McDonough, Antonio & Trent's (1997) study revealed that African American students at HBCUs have lower admission scores and this finding is similar to the findings of other studies (Allen, 1992; Gurin and Epps, 1975; Kim, 2002; Kim & Conrad, 2006; Nettles, 1988). In addition, African American students enrolling at HBCUs are religiously affiliated and come from lower socio- economic status (SES) families (Allen, 1992; Allen and Farley, 1987; Kim, 2002; Kim & Conrad, 2006). The external factors included projected demographic trends of black high school graduates, family influences, parental education attainment, and a relative's desire for the student to attend an HBCU (Freeman, 1999; McDonough et.al., 1997). HBCU students received college information from word-of-mouth through parents, relatives, and guidance counselors. Though student characteristics and external factors are beyond the control of the institution and beyond the scope of this study, these factors are related to African American student enrollment at HBCUs and provide a context in which to study institutional enrollment factors.

The institutional factors that influenced African Americans to attend an HBCU included social reputation of the institution, the religious affiliation of the institution,

location, price, and financial aid (McDonough et al., 1997). However, the institution's location did not prohibit enrollment; some HBCU students traveled more than 500 miles to attend the institution, suggesting that students are migrating from southwest regions (California and Arizona) to attend HBCUs (McDonough et.al, 1997). The campus climate is also cited in the literature as an influencing factor (Fleming, 1984, McDonough et al., 1997).

The economic and financial institutional factors included tuition changes and financial aid. Freeman (1997) looked at barriers to African American student enrollment in higher education and concluded that uncertainty regarding the ability to pay the college costs was a concern. On the one hand, researchers differed on whether African Americans are more likely or less likely to enroll once financial variables are controlled (Hearn, 1995; Hurtado, Inkelas, Briggs & Rhee, 1997). On the other hand, Heller (1997) found that due to their financial status African American students are more sensitive to tuition changes and financial aid than any other ethnic group. Several researchers have examined studies regarding student price ratio coefficients (SPRC) to determine the price elasticity on enrollment (Fuller, et al. 1984; Leslie & Brinkman, 1988; Savoca, 1990; Heller, 1997). Heller's (1997) critique of Savoca's findings cited as erroneous an assumption made by Savoca that tuition- setting behavior was independent of admissions policies. Heller's (1997) critique highlights a weakness in the enrollment demand literature and raises questions regarding how tuition changes are incorporated in the enrollment planning process on HBCU campuses.

In addition, financial aid has been an enrollment factor examined by researchers. St. John & Noell (1989) found that black students are more responsive to financial aid

offers than Hispanics or Whites. Jackson (1990) found that African American students receiving financial aid had a higher probability of enrolling in college while loans as a type of aid prohibited African American students from enrolling. Therefore understanding how the enrollment process impacts financial aid offers (tuition discounts) at HBCUs can add to the literature.

The remaining enrollment factors cited in the literature are based on the student perceptions of an institution's academic and social environment. Fleming (1984) noted the importance of strong supportive campus and social networks and concluded that Black students attending HBCUs achieve better social adjustments. Allen (1992) also reported that HBCUs provide Black students' with benefits that are manifested in positive psychological adjustments, more significant academic gains, and greater cultural awareness and commitment than they would find on predominantly white campuses. If HBCUs provide a better environment, then why do most African American students attend predominantly white institutions? Though this question is beyond the scope of this study, African American student migration to PWIs is a challenge for HBCUs. Based on the HBCU enrollment personnel perceptions, this study begins to explore the challenges HBCUs face in enrolling African American students.

Enrollment Management Organization and the Enrollment Manager

A comprehensive enrollment management organization comprises integrated recruitment and retention functions (Bontrager, 2007; Dixon, 1995:; Huddleston, 2000; Penn, 1999). This integration is critical; without integration, enrollment management would be synonymous with marketing or recruitment (Hossler, 1984; Huddleston, 2000). This overview of enrollment management will provide the purpose functions and

organizational structure of enrollment management and a review of the literature on the enrollment manager.

Enrollment Management Purpose, Function and Organizational Structure

As financial resources dwindle for public and private institutions, the higher education community wrestles with maintaining enrollment growth, academic quality, financial stability, and access (Bontrager, 2007). Colleges and universities have utilized enrollment management concepts (integrating admissions and retention) to monitor and shape the characteristics of its student body (Hossler, 1985; Huddleston, 2000; Ingersoll, 1988; Penn, 1999). In addition, the enrollment management concept has addressed issues regarding the quality and quantity of students, the quality of services and academic programs, tuition, and financial aid (Dolence,1990; Hossler, 2000; Russo & Coomes, 2000). Its guiding principle is that an institution's program and services are interrelated through intentional coordination of enrollment services.

From earlier studies in enrollment management, researchers agreed that the organizational structure of the enrollment management area can impact the above-mentioned integration, enrollment strategies, and enrollment outcomes (Black, 2004; Bontrager, 2004; Dolence, 1988; Hossler, 1984; Huddleston, 2000). Kemerer et al., (1982) conducted a national survey of 760 college presidents and 760 admissions directors. A high percentage, 73% of presidents and 70% of admissions directors, returned the questionnaires. Two-year and four-year institutions were included in the study. The study results categorized four major structural models of enrollment management: The Committee, The Coordinator, The Matrix, and The Division. The structural models are discussed in the Conceptual Framework Section.

The Enrollment Manager (EM)

This study's examination of the enrollment manager as the unit of analysis can provide greater understanding of the ways in which enrollment managers use enrollment factors to develop enrollment strategies. Currently, the EM as the unit of analysis is found only in two studies (Humphreys, 2006; Stewart, 2004). Stewart (2004) used content analysis to study vacant enrollment manager positions at 46 institutions. His findings included information on reporting lines, education background and work experience requirements, supervisory responsibilities, and compensation. Stewart's (2004) conclusion identified the major challenged areas and stated that "enrollment managers were expected to be able to interpret the information and provide direction for action from the data" (p.25). This "direction for action" is the development of enrollment strategies (Stewart, 2004). The enrollment manager's use of enrollment factors to develop enrollment strategies is the focus of this study.

Humphreys (2006) studied enrollment managers of research-extensive and research-intensive institutions in states anticipating an 11% growth in high school graduates, to determine how enrollment management organizations operate as the higher education landscape changes. Humphreys (2006) looked at external and internal factors that influenced the development of enrollment managers' strategies. The factors included awareness of contemporary issues in enrollment management to ensure the institution remained competitive (normative isomorphism). The internal influences of enrollment strategies included the enrollment managers' supervisor's vision, an expectation that the enrollment manager's effort will provide financial stability to the institution, increased revenue through student growth and a developed understanding of external markets.

Relative to this study are the strategies utilized by enrollment managers in Humphreys' (2006) study. The strategies included financial aid leveraging, revenue growth enhanced by student enrollment growth, tuition discounting, the market demand of the institution including rankings, the market demand of specific academic programs, and increased marketing efforts to counter-market the competition's marketing efforts. In addition, enrollment managers at research institutions in Humphreys' study employed normative and mimetic practices as new strategies were developed to compete with peers (Humphreys, 2006). Normative and mimetic practices are new processes that are developed as a result of professionals interacting with other professionals (Greve & Taylor, 2000; Humphreys, 2006). Hossler (2004) coined normative and mimetic practices; he criticized enrollment managers for relying solely on best practices and for not utilizing institutional research data to implement change. The strategies used by enrollment managers at HBCUs may differ due to HBCUs' targeted recruitment population and limited financial and human capital resources.

Enrollment Strategies and Planning

Empirical studies on institutional enrollment and strategic planning are sparse. Most of the literature focuses on "how to documents" as opposed to studying what actually occurs on college campuses. A review of the literature on institutional strategic planning and strategic enrollment management (SEM) provide a context for this study. The literature review shows that the enrollment strategies are developed by the enrollment manager. However, normative and mimetic practices have been used to develop strategies (Greve & Taylor, 2000; Humphreys,2006). Institutional data has been used as another means of developing enrollment strategies. After examining benchmark

data and establishing Key Performance Indicators (KPIs), the enrollment manager uses the data to develop enrollment strategies.

Institutional Strategic Enrollment Planning

Studies have examined how strategic planning occurs for a single institution (Sandmeyer, Dooris & Barloch, 2004). Humphreys' (2006) study was the first study to examine how enrollment managers from research-intensive and-extensive institutions develop enrollment strategies. Enrollment managers use normative and mimetic practices to develop enrollment strategies based on their peers' successful use of a particular strategy at other institutions (Humphreys, 2006). Hossler (2006) called this type of strategy development the laundry list approach and stated that enrollment managers should use institutional research or data to develop strategies. Ward (2005) suggested a method of enrollment planning that will be discussed in the Conceptual Framework section.

Enrollment Goals

Key Performance Indicators (KPIs), or enrollment benchmarks are data driven and have been used to guide recruitment and retention strategy development. KPIs are indicators used to assist the enrollment manager in developing the enrollment goal (Dolence, 1988; Smith, 2000). The KPIs' value is compared to prior years (Butler, 2007). The Scorecard Dashboard is a high level document that incorporates the KPIs and their comparison values and presents the data in a manner that quickly informs college administrators of significant changes and trends. This data is then used to develop enrollment strategies (Butler, 2007). This study examined whether HBCU administrators use KPIs or Scorecard Dashboards to develop enrollment strategies.

Situation analysis (S.W.O.T.) has been used to develop enrollment goals (Wilkerson, Taylor, Peterson, & Machado-Taylor, 2007). This study examined which method is used to establish goals and how the institutional factors are included in establishing the goals.

Enrollment Strategies

Enrollment strategies listed in the literature are divided into two groups: recruitment and retention strategies. These strategies are described in the literature and discussed below.

Recruitment strategies.

Recruitment strategies have been developed on the basis of the institution's context, and are extremely fluid (Hossler, 1999). Admissions administrators have an arsenal of strategies based on the two recruitment stages: developing the applicant pool and converting the applicant pool to admits (Hossler, 1999). The strategies include direct mail, developing an enhanced institutional visibility, print and electronic media, market and geo- demographic research, telemarketing, off-campus previews, on-campus visitation events, methods to communicate net price, the Web, "network marketing (marketing to high school counselors, high school faculty, alumni and parents), videotapes, radio, and television (Hossler, 1999, p.19). The timing and personalization of the strategy are critical for the desired enrollment outcome (Hossler, 1999). According to Hossler (1999), enrollment management is a means to integrate the other offices into the recruitment process. However, no study has examined how the enrollment manager develops recruitment strategies.

Retention Strategies.

Retention strategies (Habley & McClanahan, 2004) are campus- based programs designed to increase retention. The campus-based retention programs mentioned earlier include orientation, first-year seminars, early warning systems, advising and academic support, campus residence, and the ratio of student support service professionals to students. No study has explored whether the enrollment manager is responsible for coordinating the development of retention goals and strategies or monitoring and evaluating retention outcomes.

Conceptual Framework

Undergraduate enrollment outcomes are influenced by many factors, making enrollment a complex task. Consequently, this study's focus has been narrowed to examine institutional factors and how these factors are used to develop institutional enrollment strategies at HBCUs. Therefore, this conceptual frame will include institutional factors relative to new and returning students and the enrollment management organizational structure. The conceptual frame for new students is derived from Cabrera & La Nasa's (2000) Student Choice Model, and Swail's Geometric Model on minority student retention is used for returning students (Swail et al. 2003). In addition to institutional factors, this framework includes concepts on enrollment goal and strategy development. The conceptual frame for goal and strategy development is derived from Ward's Enrollment Planning Concept (Ward, 2005).

Student Choice and Retention Models Using Institutional Factors

Undergraduate students who enroll in higher education for a specific semester are categorized as either new or returning students to that particular institution. The College Choice Model (Cabrera & La Nasa, 2000) states that student, parent, and institutional

characteristics influence whether a new student enrolls in a particular institution. The institutional characteristics listed in the College Choice Model include "available information about college," "cost of attendance and financial aid," and "college qualifications"; these characteristics apply to this study. These concepts will be used to examine the enrollment personnel's perception of influencing institutional enrollment factors for new students.

To determine the influencing enrollment factors for returning students, this study uses Swail's Geometric Retention Model (Swail, Redd & Perna, 2003). Certain retention models (Anderson, 1982; Bean & Eaton, 2001; Tinto, 1975) have failed to address the relationship between the student and the college or university (Swail et al.. 2003). For example, Tinto's model (1975) supported academic and social integration but failed to address the role of the college or university in promoting integration. Conversely, Swail's Geometric Retention Model was developed for minority students and focuses on how the institution can support the academic and social integration of the student (Swail et al., 2003). Swail's model is represented by a triangle; each side represents a complex force on the student. The area inside the triangle represents the student. The forces outside the triangle impact the student's experience and contribute to a student's decision to remain or leave the institution. The three sides are cognitive, social and institutional factors.

The cognitive factors include the student's academic abilities, and social factors include the ability of the student to interact effectively with other people; these factors are beyond the scope of this study. However, the institutional characteristics refer to practices, strategies, and culture of the college or university that impact student

persistence and achievement. As noted in Swail's model, institutional characteristics include more than quick-fixed campus-based retention programs. In addition, as mentioned earlier, researchers questioned the effectiveness of campus-based retention programs (Hossler, 2006; Patton, et al., 2006). Therefore, the goal of Swail's model is for the three sides of the triangle to maintain equilibrium. This equilibrium is defined as persistence. Excessive force upon any side can cause an imbalance, resulting in attrition.

Therefore, the campus is responsible for providing services and support to assist students with maintaining equilibrium. The institutional factors include "faculty teaching ability, academic support programming, financial aid, student services, recruitment and admissions, academic services, and curriculum and instruction" (ASHE-ERIC Higher Education Report, 2003). The institutional factors of Swail's model provide a framework to examine influencing enrollment factors for returning students.

The Enrollment Manager and Enrollment Management Organization Structure

The Enrollment Manager. The EM is the key administrator responsible for monitoring recruitment and retention activities on the campus (Hossler, 1985; Hossler & Bean, 1990; Stewart, 2004) and ensuring integration of functions. Hossler (1985) stated that the EM must have direct responsibility for student marketing and recruitment, financial aid and pricing, academic and career advising, academic assistance programs, institutional research, orientation, retention programs, and student services. Researchers have found that the responsibility for the above functions may not, in fact, reside with the EM (Huddleston & Rumbough, 1997; Noel Levitz, 2004).

The Enrollment Management Organization Structure. In addition, from earlier studies in enrollment management, researchers agreed that the organizational

structure of enrollment management can impact enrollment strategies, and hence outcomes; they agreed that too, coordination and integration of enrollment functions are critical to a successful enrollment initiative (Black, 2004; Bontrager, 2004; Dolence, 1988; Hossler, 1984; Huddleston, 2000). Kemerer et al. (1982) national survey concluded that there were four major structural models of enrollment management: The Committee, The Coordinator, The Matrix, and The Division. A brief description of each structural model will follow.

The enrollment committee is typically comprises members of the campus community, including faculty. The advantage of the committee approach is that it increases awareness of enrollment issues. However, a disadvantage of the committee approach is that the committee does not have authority to impact change, alter organizational structure, or impact decisions. The committee plays an advisory role which limits its authority.

The coordinator model was supported by Fram's study (1975) which concluded that enrollment outcomes suffer from a lack of coordination resulting in confusion and duplication of efforts. Therefore, the coordinator's role is to ensure better communication among personnel of the key enrollment offices although the coordinator may not have administrative control over those offices. To ensure "referent power" (Fram, 1975, p. 225), the coordinator would report to a senior administrator, if not the president. The disadvantage of the coordinator model is that the coordinator has responsibility but no direct authority over the key enrollment offices. Therefore, the coordinator would need the interpersonal skills to persuade others to support initiatives (Kemerer et al., 1982).

The matrix model crosses divisional lines and links activities on the basis of functions and not the organizational structure. A senior vice president manages the matrix and focuses on activities that impact the enrollment cycle. The advantages of the matrix model are the participation of various departments in the enrollment management process, the coordination of primary enrollment functions, the involvement of a senior-level administrator, and the participation of faculty in the recruitment process (Kruetner & Godfrey, 1980). The disadvantages of the matrix model include lack of administrative authority, which could hinder collaboration. Individual employees who make up the matrix may rank the priorities developed within the matrix lower once they return to the department. Faculty could resent the additional responsibilities, particularly if the provost is not the senior administrator (Kemerer et al., 1982).

The enrollment management division model requires organizational restructuring and entails creating a vice president of the division. The vice president would have direct authority for the offices and the functions related to enrollment management, and as a result, directors will have the opportunity to collaborate and integrate enrollment efforts. The vice president is part of the executive team; therefore, enrollment issues will remain at the forefront of executive discussions and decisions. The disadvantage of this model is the resources it requires to create another administrative layer. Also, there is a reluctance to change and offices that reported to various areas must come under one area.

The models listed above have metamorphosed into varied hybrids to make for more "fluid and nimble models … to address institutional challenges and opportunities" (Black, 2004; Henderson, 2001). Currently, there are no studies that have examined enrollment management models as an institutional factor.

Enrollment Goal and Strategy Development. Higher education uses strategic planning to integrate the institution's mission with its vision and to establish goals and strategies to move the institution toward its vision. The Enrollment Plan is an additional document to ensure the achievement of specific institutional enrollment goals such as student body size and mix, and sufficient revenue (Ward, 2005). Key elements are required to establish a comprehensive enrollment plan: "institutional traits, individual traits and enrollment plan elements" (Ward,2005, p.7). Ward's conceptual elements were used to frame this study, so a brief explanation of the key elements follows.

The institutional traits of an enrollment plan include an institutional vision statement and a supportive campus climate (Ward, 2005). According to Ward (2005) the vision statement answers the following questions: "What are the goals and aspirations of the institution? What market niche does the institution serve or hope to serve in the future? What sets the institution apart from its competitors? Where does the institution hope to be in five, ten or twenty years?" (p.7). Once the vision statement has been established, the campus climate must be supportive of the vision. Three elements are necessary to determine the level of campus support for a comprehensive enrollment management plan: 1) enrollment benchmarks are established and reviewed annually, 2) the enrollment plan is coordinated with other institutional plans, and 3) budget planning decisions are based on vision priorities.

The individual traits are leadership traits of key institutional leaders and their teams. These traits include the ability to forge collaboration across the institution, to become a facilitator, and to understand the larger picture of the institution. Also needed is a commitment to the institutional goals rather than personal advancement.

The last key element relates to the development of an enrollment plan and highlights key components of the plan. The Enrollment Plan outlines current and future goals, strategies, and resources required to obtain institutional goals. At a minimum, the plan has goals related to institutional size, new student profile, enrollment mix, student outcomes, and net revenues. The plan's Executive Summary consists of enrollment drivers, situational analysis, planning assumptions, and key strategies. In addition, an assessment process is used to determine the effectiveness of the plan. The enrollment drivers are those components used to measure success. A situational analysis uses the strengths, weaknesses, opportunities, and threats (S.W.O.T.) to determine the potential impact of external and internal factors upon enrollment. Planning assumptions are used to influence key strategies which are documented to inform campus departments of the tactics to be used to achieve the goal. For the purposes of this study, the institutional enrollment plan is examined to determine whether the key elements are documented in the plan or articulated by the EM. This multi-case study examined influencing institutional enrollment factors that contribute to enrollment outcomes at four-year HBCUs as perceived by the institution's enrollment personnel.

Summary

New and continuing student enrollment outcomes comprise undergraduate student enrollment outcomes. Historically black colleges and universities face enrollment challenges; enrollment outcomes fluctuate for certain institutions while enrollment outcomes consistently decrease or increase for other institutions (NCES, 2007). Based on Cabrera and La Nasa' model for new students, the institution influences enrollment for new students by marketing and

advertising, adjusting cost of attendance, and by offering financial aid and alternative admissions programs (Cabrera & La Nasa, 2000). In the few studies conducted on new students and institutional factors, researchers have not examined the use of institutional factors to develop enrollment goals and strategies at HBCUs or whether the enrollment manager, conceptually responsible for recruitment and retention, is involved in developing the goals and strategies to influence enrollment outcomes. McDonough's (1997) study on HBCUs found that the institutional factors that influenced African Americans to attend an HBCU included location, price, financial aid, and the institution's social reputation and religious affiliation. However, McDonough's study does not address how the institution uses institutional factors to develop enrollment goals or strategies.

Although the studies on retention are extensive, researchers have questioned the effectiveness of the campus retention programs (Hossler, 2006). Conceptually, enrollment managers integrate the recruitment and the retention efforts utilizing fluid institutional characteristics to influence enrollment outcomes. Swail's model on minority retention includes institutional factors but the enrollment manager's role in retention has not been well addressed in the literature.

Enrollment management structure and enrollment planning (recruitment and retention) influence enrollment outcomes (Kemerer et al. 1982; Ward, 2005). Recruitment and retention planning documents make up the enrollment planning document that highlights the enrollment goals and outlines the enrollment strategies. No study has addressed how enrollment managers use institutional enrollment factors to develop short and long-term enrollment goals and prioritize strategies.

This literature review highlighted enrollment challenges facing HBCUs, studies relating to institutional enrollment factors of new and continuing students, enrollment factors and African American undergraduate students at HBCUs, the enrollment management organization, enrollment planning and strategy development, and the conceptual framework. However, how enrollment managers use institutional factors to develop enrollment goals and strategies is not examined in the literature. This study's design explores this topic.

CHAPTER III. METHODOLOGY

The purpose of this study is to examine influencing institutional enrollment factors that contribute to enrollment outcomes at four-year HBCUs as perceived by the institutions' enrollment personnel. In addition, the study explores how the enrollment manager uses institutional enrollment factors to develop short - and long-term goals and how enrollment strategies are developed and prioritized. This chapter will reiterate the research questions, and will present and discuss the study's research design, including conceptual framework and enrollment concepts, population and sample, instruments, data collection approaches, data analysis methods, and ethical considerations for the human participants of the study.

Research Questions

The following questions will serve as a guide for examining institutional enrollment factors that influence undergraduate enrollment outcomes, as perceived by enrollment personnel.

1. What institutional factors influence enrollment of undergraduate students at four-year public and private historically black institutions?
2. How are enrollment goals for undergraduate students at four-year historically black institutions developed?
3. How do enrollment managers develop strategies to achieve short- and long-term enrollment goals?
4. How does the enrollment manager prioritize the strategies?
5. How are the enrollment management organization and the enrollment challenges described?

Research Design

Qualitative research provides an in-depth understanding of an event, phenomenon, and/or human behavior in its unique natural setting (Creswell, 2003; Denzin & Lincoln, 2003; Merriam, 1998, 2002). A qualitative research design is most appropriate for this study the following reasons: First, through a qualitative strategy, the researcher is able to conduct an in-depth examination of the perceptions of enrollment personnel regarding influencing enrollment factors at selected HBCUs. Second, the researcher's interaction with and observation of the participants allows verification of the responses (Merriam, 2002). Third, the research questions focus on the perception of the enrollment personnel, and qualitative researchers seek an individual's reality or meaning of a phenomenon has for the individual. Although qualitative research is beneficial for this study's research design, it presents some limitations that will be addressed in specific sections below.

Population and Case Selection

The study's population includes all four-year public and private HBCUs. Currently, there are 85 such institutions. The selection of purposeful cases included five institutions, three public and two private, that varied on the increase and decrease enrollment continuum. Institution factors examined to select the cases were size of undergraduate enrollment, tuition, percentage of students receiving aid, percentage of students receiving loans, percentage of in-state residents, percentage admitted and enrollment (yield rate), percentage admitted (applicant rate); retention and graduation rates, average SAT (selectivity), and racial composition. Institutions are selected by enrollment increases or decreases and ranked in order. Institutions are sequentially targeted for participation on the basis of their ranking order.

In case study research, criteria are used to select a purposeful sample to obtain rich data (Merriam, 1998). Therefore, the sampling size is determined by variation of the factors above. In addition, the institutions' enrollment management organizations structure will vary in structure. Variation adds to the richness of the data. According to Merriam (1998), sampling within a case occurs intending to further narrow the focus. Therefore, to answer the research questions, enrollment managers might send the researcher to other offices such as the admissions director, the retention coordinator or even the provost or the president.

Recruitment and Sampling Strategy

As mentioned above, within case study research, purposeful sampling is used to select the sample within a case and a second set of criteria is used to "select whom to interview, what to observe and which documents to analyze" (Merriam, 1998, p.66). The researcher has identified the person who is responsible for enrollment management, admissions and retention through a review of the institution's web-sites. Although titles may vary at the institutions, enrollment managers are typically responsible for the admissions office and a minimum of one additional enrollment function (Noel Levitz, 2004). The researcher contacted the institution to verify the web information. The researcher contacted the enrollment managers or the president to determine whether the institution will be willing to participate in the study (Appendix E or F).

To participate, the enrollment manager gave a letter prior to the interview explaining the researcher's requests and the possibility that the researcher may need to interview others on campus (Appendix E). In addition, the enrollment manager must agree to provide the researcher access to institutional documents.

Instrumentation

Cabrera & La Nasa's College Choice Model for new students, Swail's Geometric Model on Minority Student Retention, and Ward's Enrollment Planning Concept will guide the interview protocol for this study (Cabrera & La Nasa, 2000; Swail, Redd & Perna, 2004; Ward, 2005). The models and concept will also be used as tools for data analysis and interpretation. A brief demographic information sheet will be developed to obtain the enrollment managers' background information and the institutions' background information; this information will provide additional insight during data analysis and interpretation (see Appendix D). The researcher used IPEDS and the institutions' website to obtain additional institutional background information. The primary instrument of this study, however, consisted of semi-structured open- ended interview that examined institutional enrollment factors and the influence of the factors on developing enrollment goals and strategies (see Appendix C). The researcher personally conducted the interviews with each enrollment manager using the instrument designed for the study. The interview approach allowed the researcher to explore and examine the enrollment personnel perspectives and experiences regarding the enrollment process. The use of interviews allowed the researcher to hear the interviewee's perspective (Patton, 1990).

The semi-structured interview protocol was developed using Merriam's (1998) general interview guide approach for case studies. This technique allows for specific information to be gathered from all participants while allowing the researcher to explore and probe the participant and provide the participant the opportunity to clarify his or her responses (Merriam, 1998). Furthermore, each interview question was related to the

research questions. The interview provided interaction between the researcher and the enrollment managers. The enrollment manager's responses should yield rich and thick data based on the interview questions.

Data Collection and Handling

Data was collected through semi-structured interviews and review of institutional documents. Several sources of evidences provide a holistic understanding of the phenomenon within a multi-case study (Merriam, 1998; Yin, 2003). Sources of evidence for this study included interviews and institutional documents.

Enrollment managers completed the Enrollment Manager and Institutional Demographic information (Appendix D). Two to four enrollment personnel at each institution including the enrollment manager were interviewed. The interviews were scheduled to last no longer than 60 minutes (Appendix C). The interviews took place at the enrollment manager's office or a conference room on the campus. Interviews were audio-taped using two digital recorders.

The researcher reviewed institutional planning documents. Several types of documents are listed in the literature: institutional strategic plans, enrollment management plans, recruitment plans, retention plans, action plans and recruitment publications including the website as additional sources of evidence. The researcher checked the institution's web site for any planning documents. For those institutions with no planning documents on the web, the researcher asked the enrollment manager for a hardcopy of the document. The enrollment manager was asked to verify the existence of the documents on the demographic sheet.

In addition, to recording the interviews and analyzing documents, the researcher made notes of issues and highlighted answers that seemed important. Furthermore, the researcher maintained a reflective journal as suggested by case study researchers by taking approximately fifteen minutes immediately after each interview session to write reflections, thoughts, and feelings regarding the interview and any details that could provide insight and address the research questions (Merriam, 1998; Yin, 2003). The researcher's journal ensured recognition of any personal biases and subjectivities that surfaced and provided the beginning of the data analysis. If a follow-up conversation is needed, participants will be contacted by telephone for further explanation.

In an effort to protect the identity and confidentiality of the enrollment personnel and the institutions in the study, an identifier code was used and affixed to each participant's digital recorded audiotape. Audio-taped interviews were transcribed verbatim using a professional transcription service, reviewed by the researcher, and uploaded into, Atlas-ti, a software program used for data management and analysis in qualitative research designs. In addition to ensure the confidentiality of the enrollment managers and the institutions, each transcript was coded.

The researcher organized the data collection by developing and maintaining logs of all types of data that identified the date, time, and place, indicating where, with whom, and how the data was gathered (Marshall & Rossman, 2006). The digital recorder and files, researcher's handwritten notes, reflective journals, the list of identifier codes linked to each participant, and the log of all gathered data was kept in a locked file cabinet or under a computer password lock in the researcher's home until the completion of the study. After the dissertation is complete, all audiotape files will be destroyed or deleted

and the researcher's notes as well as the list of participants' identifier codes will be shredded.

Data Analysis

Data analysis is a systematic process to make sense and give meaning to the raw data (Creswell, 1984, 2003; Merriam, 1998; Stake, 1995). For the purpose of this study, category construction analysis was used through the constant comparative method of data analysis (Merriam, 1998). The researcher used units of data as defined by Lincoln & Guba (1985). The unit of data revealed information relevant to the study while stimulating the researcher to reflect beyond the bit of information. In addition, the unit of data is interpretable without additional information but within the broad context of the study. The units of data were compared for recurring regularities and then assigned to categories. The category or theme development began with the first piece of data reviewed by the researcher. The researcher noted any units of data that were potentially relevant. After the review, categories were developed, named and grouped by the researcher. The categories reflected the purpose of the study, be exhaustive, mutually exclusive, sensitizing and conceptually congruent (Merriam, 1998). Each interview and document underwent the same comparative procedure.

To manage the data, the researched developed a case study database. This database was developed to organize the data for easy retrievable access during the data analysis. The database was organized by sources of evidence (interview or document) and then organized chronologically by interview date or document review date.

Transcripts were sent to the enrollment personnel to ascertain the accuracy of their statements and intended comments (Patton, 2002). If there are questions regarding

the transcripts, this member-checking clarified the interviewees 'comments. Furthermore, the study used multiple sources of evidence to triangulate the data thereby decreasing the researcher's potential to bias the findings.

Trustworthiness

Construct validity is testing whether the constructs in the study have operational definitions and measures for the concept being studied (Yin, 2003). Construct validity is established when operational definitions are corroborated, when triangulation occurs, and when key informants review the data (Merriam, 1998; Yin, 1998, 2003). To verify the operational definitions, two enrollment managers reviewed the questions to ensure that they were relevant and the concepts were understandable; they provided feedback to the researcher. In addition, the researcher used two sources of evidence: interviews and document reviews to examine the enrollment planning process. Using multiple sources of data, the researcher was able to increase the construct validity of the study. As a key informant, the enrollment manager had have an opportunity to provide member-checking to increase validity.

External validity establishes the "domain that a study's findings can be generalized" or is transferable (Yin, 2003, p.34). External validity, or the generalizability of case studies to the population is limited (Stake, 1998; Merriam, 1998; Yin, 1994). The cases selected were not random but represented a group that was of interest to the researcher; the sample was purposefully selected. Although external validity is difficult to establish with case study design, the generalizability of findings is enhanced in case studies by three strategies: (1) rich, thick descriptions allow the reader to determine whether his or her situation matches the case; (2) modal category allows for the

researcher to describe how typical the case is, and the reader can compare his/her case to the researcher's case; and (3) multisite design uses several cases "maximizing diversity" and allows the reader to apply his/her situation to a greater range of cases (Merriam, 1998, p. 212). This study's validity is established by the thick descriptions of the case and the multi-site design. Any reader will be able to review the case and determine whether his or her experience is similar.

Reliability demonstrates that "the operation of the study … can be repeated, with the same results" (Yin, 2003, p.34). Therefore, reliability in quantitative studies is defined by whether the study is replicable. However, in qualitative research, reliability is defined as consistency between the data collected and the results (Merriam, 1998). Therefore, to ensure the results are dependable, the researcher employed several techniques in the study: (1) The researcher's position is explained as well as any assumptions, (2) triangulation of data was used from documents and interviews to enhance reliability; and (3) an audit trail was used to describe the method of data collection, how categories were derived, and how decisions were made throughout the study (Merriam, 1998).

Ethical Considerations

The following measures were exercised to protect the privacy and safety of all enrollment personnel and the institutions that participated in the study: First, although the researcher did not foresee any potential risks or harms to the participants, enrollment personnel were read the statement regarding potential risks. Identifier codes corresponding to each participant was used for the audio-taped interviews. These codes were used for the researcher's reflective journals and field notes. All participants' data

was kept in a locked file cabinet at the researcher's home. This study's proposal was reviewed by The George Washington University's Institutional Review Board (IRB) to ensure the safety and well-being of the participants. At any time during the interviews, enrollment managers could have stopped the interview or refused to respond to a question. In addition, the researcher's contact information was provided to all enrollment personnel.

Subjectivity Statement

In qualitative research, specifically case study designs, the researcher is "the primary instrument for data collection and analysis" (Merriam, 1998, p.7). For this reason it is important to disclose any potential researcher bias (Merriam, 1998; Stake 1995). As a former enrollment manager at a historically black institution for over 13 years, I have knowledge of enrollment management processes. On the one hand, the language of enrollment management is familiar to me; on the other hand, I could nevertheless interpret a statement inaccurately. As an enrollment manager at an HBCU, I experienced many challenges due to the lack of resources. Therefore, enrollment planning was disjointed, and many times enrollment strategies were reactionary due to limited human capital and financial resources.

I used several methods to ensure that my personal experiences, thoughts, feelings, and biases do not invalidate this study or the data. As such, throughout the study, I kept a reflective journal of my reactions and experiences after each interview. In addition, my findings were discussed with my dissertation chairperson.

Summary

This chapter covered the research methodology. The case study's design including the population and case selection, recruitment and sampling strategies, instrumentation, data collection and handling data analysis is detailed in this section. The researcher addressed issues relating to trustworthiness, ethical considerations, and included a subjectivity statement in the attempt to decrease biased findings.

CHAPTER IV. RESULTS

This chapter presents the study's analysis on influencing institutional enrollment factors and describes the enrollment management organization at five historically black colleges and universities. This study explores influencing institutional enrollment factors, enrollment goal and strategy development, enrollment strategy prioritization, enrollment management organizational structure and challenges facing the institutions and the enrollment managers. The directors of admissions, financial aid, retention, career services and the chief enrollment managers (chief EM) were interviewed at the five HBCUs. To highlight the study's findings, the researcher used direct quotes that provide a rich context and developed themes that collectively examine each enrollment position and findings within and across the institutions.

Conceptual Theoretical Framework

Studying enrollment is complex because enrollment comprises new- and continuing- student behavior. The components of the conceptual framework/ models selected for this study include institutional factors that influence new- and continuing-student enrollments. Although models have used components of enrollment management such as financial aid or recruiting, no framework has examined the entire enrollment management organization's influence on enrollment; therefore, this study uses Ward's enrollment management planning concept (2005) to analyze the enrollment management organization's role in influencing enrollment at each institution.

Cabrera and La Nasa's Student College Choice Model (2000) is the conceptual framework used to examine institutional factors influencing new-student enrollment. The institutional factors in this model include —college information (marketing and

advertising), cost of attendance, and college admission requirements. These factors are used to guide the analysis.

Swail's Geometric Model on minority student retention emphasized institutional factors that influence enrollment of continuing students (Swail, Redd & Perna, 2006). Unlike other retention models, Swail's model includes minority students and focuses on establishing equilibrium between the cognitive, social and institutional characteristics. The institutional characteristics noted in Swail's Geometric Model include recruitment and admissions, financial aid, student services, academic services, and curriculum and instruction. Swail's model treats each enrollment component as a separate unit; however, in this study the enrollment units are examined comprehensively as the enrollment management organization. Therefore, this study incorporates Ward's Element Model (2005) to observe the enrollment management organization as a comprehensive unit and to examine its influence on enrollment. To date, no model has included the enrollment management organization as a comprehensive unit while examining its influence on enrollment.

Therefore, specific components of Ward's Element Model for building an enrollment management plan were used to explore the enrollment management organization and to review enrollment documents. Ward's Element Model (2005) includes three components: institutional traits, individual traits, and the enrollment planning element (Ward, 2005). The institutional traits include the institution's vision, presidential leadership, key leaders buy-in; and the enrollment management organization's structure, authority, and responsibility. The institution's vision statement guides the strategic plan, and the president leads the development of the vision statement.

Therefore, evidence of a strategic plan with a vision statement is included in this analysis. Key leadership buy-in is evident when campus leaders know the strategic institutional and enrollment goals and when the goals are annually monitored and strategies assessed to determine whether adjustments to strategy or resources are required to improve outcomes. In addition, evidence of key leadership buy-in occurs when collaboration about institutional plans involves all divisions to determine how one departmental plan's impact upon another department and when the budget process financially supports the enrollment goals and strategies. In addition, the enrollment management organization's structure, responsibility, and authority are institutional traits. The structure of the enrollment management organization is important; therefore, a description of the current enrollment management structure and any prior structures that were provided to the researcher are included in the analysis. According to Ward, the political environment can support or hinder enrollment outcomes; therefore, a description of the political environment is provided.

Ward's individual traits focus on those that a successful enrollment manager must possess (Ward, 2005). The chief EM must be knowledgeable and a team builder with a holistic approach that takes in the bigger picture, including the interrelationship of goals and strategies. This person also needs collegial communication and management style (Ward, 2005). Although this study did not focus specifically on the individual EM traits, the enrollment managers are part of the enrollment management organization, so the study's analysis includes findings of the enrollment manager's individual traits.

Enrollment planning documents should include institutional factors that influence enrollment. Therefore, this study's analysis includes a document review of current

enrollment planning documents at the time of the interview. Within the document review, the researcher searched for evidence as outlined in Ward's Key Elements (2005): 1) evidence of an enrollment planning document, 2) evidence of current data, 3) evidence of one-year goals, 4) evidence of long-term goals, 5) evidence of strategy, and 6) evidence of assessments.

The findings are presented in three sections: a) a profile of participating college/universities and b) within analysis to examine findings of all positions interviewed within an institution and c) between-analysis to examine findings across the institutions.

The Profile of Participating Colleges and Universities

The study's original selection process was modified. Initially, the researcher used fall2008 undergraduate student enrollment data to categorize four-year historically black institutions (40 institutions) into growth and non-growth institutions. The researcher developed a selection matrix that included institution type (public versus private) and undergraduate enrollment growth. To ensure that a variety of institutions would be selected, the researcher strategically selected institutions by growth, and ranked them (top, middle, low) on the basis of their 10-year enrollment percentage change rates. Subsequently, the researcher searched the institutions' websites and obtained the enrollment managers' contact information to begin recruiting enrollment teams from the selection matrix. After a few months, the researcher abandoned this process due to HBCU leaders' unwillingness to participate. Though five institutions eventually agreed to participate, many of the initial responses were negative; the enrollment managers or their presidents simply refused to participate.

As the researcher began recruiting participants, the political climate may have impacted the study. Jason Riley, a writer for the Wall Street journal published an article condemning President Obama's support of HBCUs, severely criticizing HBCU graduation outcomes, and recommending consolidation and/or conversion of HBCUs to community colleges. He stated that HBCUs were inferior and appeared "to retard black progress" (Riley, 2010, p1). This article may have contributed to the college and university administrators' reluctance to participate. In addition, some institutions refused to participate because they were in their enrollment team's peak recruitment season. Though the political climate impeded the researcher's progress, five enrollment teams agreed to participate; the study's findings added to the literature on enrollment at historically black colleges and universities.

Of the five enrollment teams that agreed to participate in the study, one college and four university enrollment teams were interviewed; two teams were employed at private not- for- profit institutions, and three teams were employed at public institutions. Most of the participants (18) were African American; one administrator at University D was Caucasian, and one administrator at University E was Caucasian. To protect the institutions' anonymity and the participating enrollment teams, pseudonyms are used for each institution. In addition, each institution's general profile is presented to provide a context for the data analysis. The general profiles include the institution's Carnegie Classification and size category, size range comparison with other HBCUs, 10-year growth rate (fall 2001 – fall 2010), location, type (public versus private), percentage of undergraduate enrollment, tenure of the enrollment manager, the enrollment management team's reporting and organizational structure, and whether the institution's graduation

rate surpasses the median graduation rate for African American students. Use of the graduation rate of African American students is justified because the five participating HBCUs' undergraduate enrollment remains predominantly African American. African American students constituted 74% to 99.1% of the undergraduate enrollments at the participating institutions.

The institution's actual size is not discussed to protect the participating institutions' anonymity. In fall 2010, the latest data available concerning four-year public and private HBCUs showed the undergraduate enrollment ranging from 216 students to 11,289 students (NCES, 2012). The median four-year undergraduate enrollment is 2,331. Therefore, the derived undergraduate size- range is as follows: HBCUSs with undergraduate enrollment from 100-1999 are small, from 2000-3999 are mid-size, and undergraduate enrollments 4000 and over are considered large institutions. The Carnegie Classification 2010 Size and Setting Data includes graduate and undergraduate enrollment. When categorizing the participating institutions on the basis of the Carnegie Classification, University's A, B, D, E are classified as medium sized while College C is classified as very small (NCES, 2010). Therefore, for the purpose of this study, the researcher used the derived size range based on the undergraduate student population.

The 10-year growth rate provides data on whether the institution's undergraduate enrollment has grown within 10 years and whether growth has been consistent, erratic, and/or non-existent. The 10-year range is typically used in enrollment planning and projections analysis. In addition, in this study, the number of decreases in undergraduate enrollment within 10 years is noted to determine the enrollment inconsistencies. Though

correlating the number of undergraduate student enrollment decreases or increases to other enrollment factors is not within this study's scope, this study begins to explore factors that influence enrollment, and its findings have the potential to raise additional research questions.

University A

University A is a medium-size, comprehensive public university located in the suburbs. University A's 10-year fall undergraduate enrollment percentage change growth rate is over 24% with a one-semester decrease in undergraduate enrollment within10 years. The undergraduate population makes up over 75% of the total number of students enrolled within the last three years. The fall 2004 cohort graduation rate for University A was 1.1% below the national average African American graduation rate at public institutions with similar admissions acceptance rates (NCES, 2012).University A has a comprehensive strategic plan on its website. University A's chief enrollment manager (EM) developed an enrollment management planning document (EMP) based on the university's strategic plan. He organized various sub-committees to develop the EMP; however, at the time of the interviews, the EMP still in its final stages, had not been approved. The EMP included the university's mission, vision, core values, and strategic planning goals, as well as negative and positive impacts from demographic, economic, education, and enrollment trends. Like this study, one of University A's objectives was to develop a model that would more precisely identify factors that influenced student enrollment. The three major objectives of the EMP included 1) enrollment growth infrastructure, 2) marketing and recruitment, and 3) retention and graduation. A section on assessment, accountability, and a projected budget were included for each of the

objectives. The EMP included a discussion of the university's market share and a chart of competitors based on a College Board Report.

The enrollment management organization has three offices: financial aid, admissions, and records offices. The directors of these offices report to the chief EM, who reports to the provost. The enrollment management offices operate much like the division model (Kemerer et al., 1982). However, the chief EM is not part of the president's cabinet. The chief EM's tenure in this position at University A is more than 15 years, while the president's and provost's tenure at the institution is five years or less.

University B

University B is a large, urban, private, research university. University B's 10-year fall undergraduate enrollment percentage change rate is a negative number, indicating that University B's fall 2010 undergraduate enrollment has not surpassed its fall 2001 undergraduate enrollment. Therefore, University B's enrollment has decreased. In addition, within these 10 years, University B has experienced three decreases in its fall semester undergraduate enrollment. In the last three semesters, the undergraduate population has accounted for over 65% of the total student enrollment. The fall 2004 graduation rate was 2.2% below the national average African American graduation rate for the private, not for profit institutions with similar admissions acceptance rates (USDE, 2013).

The University's strategic plan is outdated. Although there is an effort under way by the new administration to re-write the strategic plan, little progress has been made within the three- year tenure of the new administration. Consequently, the enrollment

management plan and many other institutional plans such as retention and recruitment have not been developed.

The enrollment management organization structure consists of the following offices: admissions, financial aid, records, the bursar and the cashier. University B's enrollment management structure is similar to the division model (Kemerer et al., 1982). However, the reporting structure is atypical; according to Noel Levitz's (2004) latest enrollment management survey. According to Noel Levitz (2004), more than half of enrollment managers (66.7%) at private institutions report to the president. However, the chief EM's position at University B reports to the institution's chief administrative/finance officer.

The prior work experience of University B's chief EM differs from that of the other chief enrollment managers, who had worked at HBCUs. Preceding employment at University B, the chief EM worked four years as the chief EM at a predominantly white institution (PWI) and at the time of the interview had served as chief EM for one year at University B. Prior to University B' hiring of the chief EM, this position had been vacant for seven years. The chief EM and the majority of the senior administration at University B is five years or less.

College C

College C is a small, private, liberal arts institution. College C's ten-year fall undergraduate enrollment percentage growth change rate is over 30%. Although the pertinent 10- year period, the college has managed to grow more than any other institution in the study, the fall semester undergraduate headcount enrollment for College C decreased four times, which is the highest number of semester enrollment decreases of

any institution in the study. College C does not offer any graduate programs, so its total enrollment consists of undergraduate students. College C's graduation rate is five percentage points below the national average graduation rate for the private not-for-profit institutions with similar admissions acceptance rates (USDE 2013).

College C's strategic plan is on its website but the plan does not have an expiration date. The goals specifically mentioned in the strategic plan are enrollment management, recruitment, and retention. The action plans are developed from the goals and the outcomes are submitted to the Planning Office as part of the college's reaccreditation process.

The enrollment management organization at College C includes the following offices: Admissions, Financial Aid, and Career Services. The directors of these offices report to the chief enrollment manager, while the enrollment management division reports to the vice president for finance. This reporting structure is similar to that of University B and is atypical according to Noel Levitz's study (2004). The chief EM, who has worked more than 30 years in enrollment management, has been employed at College C for over 20 years and is an alumnus of College C. The chief EM left College C to work for a PWI but when College C began to experience enrollment problems, the chief EM was asked to return to the alma mater to manage the enrollment. The senior administration has been at the college for less than five years.

University D

University D is a large, urban, comprehensive, public land grant university. The 10-year fall undergraduate enrollment percentage-growth change rate is a negative number, indicating that University D's fall 2010 undergraduate enrollment is below its fall 2001 undergraduate enrollment. During these years, University D experienced three

decreases in undergraduate headcount enrollment, notwithstanding that during the last three years, University D's undergraduate population made up over 75% of the total student enrollment. University's D fall 2004 cohort graduation rate is 11% below the national average African American graduation rate for public institutions with similar admissions acceptance rates (USDE, 2013) The president of University D appointed a consultant to develop the institution's Strategic Plan. The consultant held forums with faculty, staff and students. Neither the enrollment manager nor anyone from the enrollment offices served as a member of the Strategic Planning Steering Committee. The enrollment manager stated that the strategic plan was not developed with "buy-in". "It did not bubble up but was written down". In spite of the enrollment management staff's exclusion from the strategic plan development process, the strategic plan has an objective dedicated to student recruitment, retention, and graduation.

At the time of the interviews, the enrollment management organization included directors of admissions, recruitment, and financial aid, all reporting to the chief EM. The chief EM served as chief student affairs officer for four years and assumed responsibility of enrollment management for two years. Due to political pressures, University D's president was scheduled to vacate his position at the end of the academic year. The chief EM stated that during this time, the president was not leading the institution, and his failure to lead hampered the decision- making process. After the president's departure, the new interim president dissolved the enrollment division model. Currently, the university's organizational chart displays the financial aid director reporting to the vice president for administrative services/ finance and enrollment services reporting under

academic affairs. Currently, the new student affairs chief officer is not responsible for any enrollment services functions.

University E

University E is a rural, medium-sized, public land grant historically black university. University E's 10-year fall undergraduate enrollment percentage change-growth rate is over 30% with a one-semester decrease in undergraduate enrollment. During the last three years, the undergraduate population has made up over 85% of the total student enrollment. The fall 2004 cohort graduation rate is 3.7% below the national African American graduation rate of public institutions with similar admissions acceptance rates (USDE, 2013).

A review of University E's strategic plan revealed that only one objective referred to improving the enrollment process. The authors of the multipage document failed to specifically mention enrollment, retention or access outside of the aforementioned objective. In addition, University E's strategic plan had expired. University E had an interim president, and the institution had operated eight years under this expired strategic plan.

The enrollment management organization consists of admissions, recruitment, and records offices. The chief EM had been in the position at University E for one year but had managed enrollment for more than five years at a PWI. The chief EM supervises the admissions, recruitment, and the records directors. Financial aid reports to the chief administrative/finance officer. At the time of the interview the prior senior administration had been at University E for more than nine years. Currently, University E has an interim president.

Table 1

Institution Profile

Institution	Size Location	Carnegie Classification	10 Year Growth Rate of decreases	Average Grad Rate Compared with to AA National Graduation Rate
University A	Medium-Suburban	Public, Research	24:1	1.1% Below
University B	Large, Urban	Private, Research	0:3	2.2% Below
College C	Small Urban	Private, Baccalaureate Diverse	30:4	5% Below
University D	Large Urban, Land Grant	Public, Research	0.3	11% Below
University E	Medium Rural, Land Grant	Public, Masters	30:1	3.7% Below

Note: Retrieved from U.S. Department of Education. Institute of Education Sciences, National Center for Education Statistics website: www.nces.gov

Within-Case Analysis of Participating Enrollment Teams

The within-analysis highlights findings of each enrollment teams at the five institutions. The table below lists the enrollment team positions at the institutions. The chief enrollment managers' titles varied; therefore, to protect the institutions' and participants' anonymity the term, 'chief enrollment manager' (chief EM) is used. This within-analysis highlights the findings within each institution.

Table 2
Participants' Positions

University A	University B	College C	University D	University E
Chief EM	Chief EM	Chief EM	Chief EM	Chief EM
Admissions Director	Admissions Asst. Director	Admissions Director	Admissions Director	Admissions Director
Financial Aid Director	Financial Aid Director	Financial Aid Director	Financial Aid Director	Financial Aid Director
		Career Service Director	Asst. Chief of EM	Retention Coordinator

The research questions listed below guides the analysis.

1. What institutional factors influence enrollment of undergraduate students at four-year public and private historically black institutions, respectively?
2. How are enrollment goals for undergraduate students at four-year historically black institutions developed?
3. How do enrollment managers develop strategies to achieve short-term and long-term enrollment goals?
4. How are the strategies prioritized by the enrollment manager?
5. How are the Enrollment Management Organization and enrollment challenges described?

University A

Institutional Factors. The researcher interviewed the chief EM and, the admissions and financial aid directors. The researcher analyzed statements and the frequency of the statements to develop the themes. Location, academic programs, nurturing environment, affordable cost, and the historical and cultural influence of HBCUs are influential factors cited by two or more administrators at University A.

Location. The chief EM and the admissions and financial aid directors agree that location is an institutional factor that influences enrollment; however, the administrators differ in their definition of the term 'location.' Location in the literature refers to the institution's proximity to the student's home (Pryor et al., 2005, Chute 2006, Mattern & Wyatt, 2009). In this study, the financial aid director was the only administrator at University A to refer to location as proximity to home. She stated, "Because of our location, I think a lot of students… don't want to be too far away from home…" Conversely, the chief EM referred to 'location' as the institution's proximity to career opportunities and a specific metropolitan corridor. He stated, "Because we are half way between city [X] and city [Y], we are accessible. They talk about the benefits of being in this area from a professional standpoint by having access to the [X/Y] corridor."

In addition, the chief EM and the admissions director referred to University A's suburban locale as influencing student enrollment. The chief enrollment manager stated,"…that kind of links back to the location piece because we are one of the few HBCUs that are not in the middle of the city or in the middle of nowhere." The admissions director agreed, "One of the wonderful things about [University A] is its suburban campus."

Academic Programs. In addition to location, students are influenced to attend University A for its academic programs according to the chief EM and the admissions director. The admissions director touts how students attending University A receive a quality education based on its faculty and academic programs. He stated, "I think they [the students] get a chance to work with some very good faculty that provides great academic rigor and academic programs…. People are convinced and know they come

here for a quality educational experience." Though each administrator claimed the academic programs were strong and appealing to students, the most recent findings of the institution's accrediting body report cite University A as needing to provide evidence of an assessment process to determine expected student learning outcomes with the goal of improving teaching and learning. Therefore, without evidence of a student learning outcomes assessment, the strength of the academic programs remains dubious.

Nurturing Environment. The admissions director and the chief EM agree that students who attend University A benefit from a nurturing environment and this type of environment is extended to parents and significant others who visit the campus. The admissions director stated, "I think what they get a chance to experience is a lot of guidance from the staff. We are very much a hand-holding culture, making sure that things happen for you." The chief EM extends the nurturing environment to parents and significant others who visit the campus. He states, "We meet with the parents; we are accessible and open; the ones who make the decisions get that first contact."

Cost and Affordability. The rising cost of attendance at colleges and universities has the potential to dissuade students from attending post-secondary education. However, University A's financial aid and admission directors stated that University A's costs are affordable. The financial aid director declared, "I think the factors that influence enrollment here, particularly at University A, would definitely be the affordability." The admissions director concurred, "I think it [cost] has been good in terms of competitive advantages for some of our counterparts in the region…. [University A] is a very, very reasonable and feasible option for higher ed." Based on a report generated by University A's governing body, University A has the fourth lowest tuition among 11 of its

competitors. Therefore, the enrollment administrators' claims to University A's affordability appear plausible.

HBCU History and Culture. HBCUs' heritage, history, legacy and culture influence student enrollment. The chief EM believed students attend University A because it is the oldest HBCU in the area and the institution's seniority has created a legacy tradition. He stated, "They [the students] do get into the history of the university being the oldest HBCU in the [State]. They have had a legacy of the other people who come to [University A]." University A's undergraduate enrollment has been over 90% African American for the past two years; the dominant African American culture attracts and influences students to attend University A.

The financial aid director agreed that the HBCU status was appealing to African American students and is a factor that influences enrollment. She stated, "The fact that we are a historically black university sits well with a lot of students that are looking to stay within their own culture or gain from their own culture."

Campus Facilities. The chief EM was the only administrator who mentioned campus facilities as an influencing factor for enrollment at University A, asserting that the campus facilities' size and presentation both influence student enrollment. The chief EM stated that students are influenced by "facilities and the look of the campus. We used to always say that if we can get you on the campus you will come. Most people don't think of an HBCU as looking like we do."

Outreach. While the previously mentioned factors encouraged student enrollment at University A, there were also impeding factors that could discouraged enrollment. The admissions director complained that University A's lack of outreach negatively

influenced enrollment because senior administrators were unwilling to risk limited resources on new markets. Therefore, students living a few hundred miles from the campus were unaware of University A. In addition, television commercials were excluded from University A's advertisement portfolio. The admissions director remarked:

> HBCUs tend to stay within the markets that historically have yielded students. Therefore, if there is a market that can be tapped into, because of limited resources, it is often difficult to get the upper administration to invest in a market that may or may not yield students.

College Saturation. Over 60 college and universities surround University A and college saturation has the potential to negatively influence enrollment at University A. University A's enrollment administrators view their competitors as challenges to their institution's growth. With limited advertising resources to market the university, the admissions director bemoans University A's location among its many competitors: "They [students] are looking at the other regional institutions that are public and with the top 10 listed being the other HBCUs [that are] here and then it is peppered with the other state institutions." When specifically asked whether the competition was greater among the other HBCUs or the PWIs, he stated that three HBCUs and two PWIs in the area were University A's greatest competitors. He remarked:

> I would say for us [HBCU 1] is always high at the top of the list for us in terms of crossing test scores. [PWI-1] is in there pretty high and [PWI-2]; [HBCU-2] is there, and [HBCU-3] is on that list. So it is really that core of schools. I think everyone in this region is going to see [PWI-3] on their list.

College Information. Technological advancements in enrollment services dramatically transform how institutional information is delivered to prospective students. University A's admissions director says that traditional methods such as direct-mailing prospects have been replaced with Facebook, Twitter, and third-party enrollment

software systems that engage students in the enrollment process. This third-party system is used to provide information to prospects, applicants, and matriculating students. The chief EM affirms that the third-party system allows the admissions staff to provide tailored electronic informational tabs such as residence halls and financial aid information with colorful, interactive windows to meet the prospective students' needs. He said, "So you might have a financial aid tab. You may have an on-campus tab. And so it looks to capture the things that recruits want to know in order to make a decision …"

According to the admissions director, University A uses its recruiters, on-campus visits, and events to advertise the institution. Marketing and advertisements are limited compared with the other institutions in the area. University A places ads in one national publication on colleges and universities but does not have any television commercials. On-campus visits and campus events, including Open House, remain a method of recruitment and a means of advertising the institution. In addition, University A relies upon its recruiters. The recruiters communicate with students, parents, and counselors by visiting high schools, churches, college fairs, and other community events to advertise the institution while building relationships. He explained:

> Recruiters make info available to new students and they work to build relationships with school counselors and other college prep program directors…(It) is really important. So it is that first line and then the people with whom they have established relationships over time that continue to say this is the place we want to refer students.

Admissions Requirements. According to the CLSCCM (2005), admissions requirements influence enrollment and determine an institution's selectivity. At University A, the policy on admission requirements has not changed in 15 years. Nevertheless, one fall semester the admissions director raised the SAT standards. This increase in the admissible SAT cut-off score, requested by the newly appointed president,

raised the average SAT score, but the first-time freshman enrollment decreased, as predicted by the chief EM. "So we increased our SAT requirements, stated the chief EM, "but when we looked at that and presented the data, if we did this, then a significant portion of our demographic in our feeder market would … no longer be eligible to be admitted." Though University A has not changed its documented admissions requirement policy, this single semester's outcome is the only evidence for University A that admissions requirements influence enrollment.

Further exploration reveals that the static admission requirements may result from a lack of academic governance. A standing faculty committee on admissions is not part of the academic governance structure. As a result, faculty members at University A do not lead the discussions on admission requirements nor do they define for admissions staff the type of student that has proven to be successful at University A. According to the new enrollment management plan, this responsibility has been delegated to the admissions director. The chief EM concurs: "I think the plan laid out there is to have the director of admissions chair a group of faculty and other constituents to look at our current standards and to come up with a recommendation to the admissions standards."

Cost and Enrollment Management. The administration and finance division is responsible for determining costs, tuition and fees at University A without prior collaboration with the enrollment team. The chief EM and the financial aid director agree that the only input the enrollment team has in determining cost is submitting requested scholarship and financial aid data to the finance division. The enrollment administrators are not a part of a committee or involved in any strategy development

meetings to discuss how cost can potentially increase or decrease enrollment. The chief EM stated:

> I guess in the past few years here the tuition and fee decisions have primarily been driven by administration and finance. We do provide them demographics from a financial aid perspective, a scholarship perspective….Yeah. ..I don't think there's a concerted effort or input that drives that decision.

Financial Aid and Effectiveness. The chief EM and the financial aid director agreed that the financial aid process is effective, but the admissions director disagreed with the financial aid approach. The chief EM described University A's financial aid eligibility challenges regarding its relatively wealthy student population. He stated, "University A's student population are less needy than most HBCU populations. Many students from University A are not eligible for Pell grants because their family incomes are higher than the allotted earned family contribution federal guideline." The chief EM added that as a result of serving high-income families, University A's financial aid director must coordinate the merit- and need-based funds to influence enrollment and retention. He stated, "But I think the effectiveness comes, number one, in coordination of resources. Because, as we spoke earlier, we do coordinate the merit- based and need-based to try and directly coordinate [influence] the student's enrollment."

The financial aid director agreed that the financial aid process is effective. Similar to the chief EM, she stressed that coordination and cooperation of the enrollment offices contributed to an effective financial aid process. She stated, "We work very well with the admissions office. We work well with the registrar's office - the whole unit of enrollment management. We have a very good relationship."

Although the chief EM stated that enrollment management coordinates the financial resources, when asked about financial aid leveraging, he agreed with the

admissions director that University A does not leverage financial aid. Without financial aid leveraging, the admission director said the financial aid packaging process failed to strategically target any specific group to build the incoming class. He criticized this non-strategic approach to awarding aid– "We currently don't leverage any dollars in any particular way and I don't see any evidence of any strategy that targets particular groups that we want to enroll anyway. So it is pretty much a blanket approach."

Retention and Enrollment Management. University A's enrollment staff is not directly responsible for the institution's retention efforts. However, each administrator discussed his/her tangential role or argued that retention studies should inform the admission process. The chief EM prepares the institution's retention reports and develops the retention model in collaboration with the director of institutional research.

The financial aid director's role in retention is federally mandated by the U.S. Department of Education's policy on Satisfactory Academic Progress (SAP). Students who fail to meet SAP are placed on probation, and if corrective actions are not taken, the student is denied federal funds. For many students, denial of funds is tantamount to expulsion. The financial aid director stated that the SAP cut-off percentage at University A was higher than at other institutions, including their competitors, and her efforts to lower the percentage-passed rate increased retention. She said, "I rewrote the policy to lower it to 67%; when we did the actual running of the new policy, we dropped by close to 300 or so students, and it may be even a little more."

To influence retention, the admissions director requested data from institutional research to compare successful students with non-successful students. He concluded that

the institutional research office had neither the time nor the skills to produce reports that would inform the admissions process. He remarked:

> I think the admissions process is very critical to the retention of students. What I've asked of the institutional research office ...look at a larger profile of the relationship between students who are graduating...then that can help us design programs on how to recruit more students like that... But right now I think we again have a blanket approach that really targets headcount so as to get people in.

Financial Aid Offers. The admissions director stated that rolling admissions and the incongruent deadlines between University A's admissions deadline and campus scholarship deadline negatively impact financial aid offers. Rolling admissions is a policy that allows students to continue to be admitted until the first day of class; the purpose of rolling admissions is to increase headcount enrollment. Students admitted after the campus scholarship deadline but within the university's deadline do not benefit from scholarships that could influence enrollment and retention. To exacerbate the problem, students admitted the week before classes are not eligible for scholarships, and their financial aid awards are processed later in the semester. The admissions director stated:

> One of the issues related to financial aid for us is related to deadlines and rolling admissions and this is part of a larger enrollment management picture that I'm encouraging us to look at now. The priority deadline for (admissions) applications is April 1st; however the drop-dead deadline for you to be eligible for campus scholarships is March 1st... So we are a little out of alignment.

Scholarship can be offered in two forms: renewable or incentive awards. Students are offered renewable scholarships as long as they maintain the grade point average or meet other scholarship requirements. An incentive award is a one-year award that is used primarily to boost enrollment. The chief EM stated that students at University A are offered renewable scholarship; this practice/policy supports the retention efforts. Students

who maintain the required grade point average each semester retain their scholarship award.

Enrollment Goals and Strategies. Enrollment goal and strategy development include both retention and recruitment strategies. The administrators described the financial resources that were available to support the strategies**.**

***Enrollment Goals*.** Opinions vary among the enrollment team. Though the admissions and financial aid directors have specific goals related to each of their offices' operations, for the admissions team the chief EM disseminates the overall recruitment headcount goal. The chief EM in conjunction with the planning office develops the headcount enrollment goals. Faculty members are not involved in this process. The institutional researcher and the chief EM review enrollment trends, historical data, and modeling to develop the headcount goals. The chief EM stated, "We meet together with the office of planning, look at historical numbers, look at different models ... come up with a 10-year plan and then present it to the sub-cabinet, then present it to the Cabinet."

The chief EM gives the headcount goal to the admissions director, who uses it to establish internal goals for the office. The admissions director said, "Those are the only goals (headcount goals) that come directly to me. So internally, we create some other goals around that. So we look at those numbers. I look at what the undergraduate number is." The admissions director added that he refers to the current enrollment management plan that was recently developed, though the plan has not been approved. He stated that the enrollment management plan is more strategic and provides specific goals to shape the class. The financial aid director stated that financial aid department goals are established with the chief EM, her supervisor. Goals for the department are established

on the basis of funding and on staff needs. She said, "Financial aid goals are established in conjunction with my supervisor.… And we look at the funding that we receive from year to year. From a department standpoint, as a manager, I look at what my staff needs to get the job done." In summary, to establish the headcount goals, the chief EM uses data and collaborates with institutional research. The admissions director uses the headcount goal to establish recruitment goals by territory and historical yields. The financial aid director establishes goals with her supervisor and considers her staff's needs.

Enrollment Strategies. The enrollment strategies include both retention and recruitment strategies.

Recruitment Strategies. Prior to the hiring of the new admissions director, the chief EM stated that there was no recruitment strategies partly because there were no full-time recruiters; the admissions office lacked a strategic leader and an enrollment management plan. The chief EM said, "Well, our recruitment strategies prior to the new director coming in were 'Go out and get them.' So, they were not really coordinated and developed." The admissions director uses the institution's strategic plan, the proposed enrollment management plan and historical data to review the strategies. He explained:

> We look at what is in the strategic plan. We work from the proposed enrollment plan right now which has some very specific goals about how to grow honor students and where we want to go with international students, so we take that and look at historical data on each of those sub-goals and ask where can we make those changes.

However, when probed on how the strategies are developed, he stated that the recruitment strategies are developed from his Noel-Levitz training, prior negative experiences as a recruiter, prior strategies used in a former position, and from research and a review of

best practices. Noel-Levitz is an enrollment management consulting firm that provides enrollment tools such as financial aid leveraging to enrollment teams. The admissions director stated, "One of the great things that I had an opportunity to do while I was in California was to work with great consultants from Noel-Levitz. So I had a great experience; I took a lot from that experience." As a former recruiter, the admissions director experienced inequitable workloads. Recruiters are assigned geographical areas and are required to recruit in high schools located within the assigned area. In his experience as a recruiter, he was unfairly assigned very large counties in the state, while his colleagues were assigned smaller counties with fewer schools to visit. Such experiences helped shaped how he developed recruitment strategies. He stated,

> I laugh because when I was at University X as a freshman rookie counselor, my responsibilities were V City, Y County, W and Z Counties. If you think about what is happening in our region those are the four primary feeders …so we have to look at how we can make this equitable so that everyone is doing their fair share of making this class.

The admissions director implements a strategy that he used at another institution: an outreach program to prospective students. Faculty, staff, and current students would either call, text, or email prospective students. He stated, "… start with something that is reasonable, and the schools I worked for before were a fourth of the size of this … so if we can get 1,200 conversations by then …."

In addition, the admissions director said that recruitment strategies are developed from research, which supports the idea of campus visits: students who visit the campus are more likely to enroll. Therefore a recruitment goal is to increase campus visits and to develop strategies to support this goal. The admissions director failed to cite the source of

his research. He said, "… because we know the research says getting them to campus is really what helps us close the deal for most students."

Lastly, the admissions and the financial aid directors use best practices. However, the admissions director discovers best practices by distributing a reading assignment each week. He said, "Every week before our regular staff meeting, I spend time researching what's happening in our industry. Then everyone gets the same reading, and their assignment is always the same. It is really for discussion."

Alternatively, the financial aid director attends conferences and networks to determine whether strategies from others institutions are applicable to University A. Financial aid personnel are required to maintain knowledge of federal financial aid regulations and be advised of upcoming changes. Title IV institutions receive administrative funds to provide resources for financial aid personnel professional development training. Like the admissions director, the financial aid director uses research to find best practices. In contrast with admissions, the financial aid director and her staff network at local, regional, and national conferences to learn of best practices and stay abreast of the regulatory changes in financial aid. She remarked:

> I go onto other schools' websites. I talk to other colleagues at other institutions. I go to conferences, national conferences. I go to regional conferences, local conferences. I try to keep my foot in the door with all of our associations. And you just network and try to see what others are doing.

Retention Strategies. The enrollment management team at University A is not responsible for retention; therefore, another division develops retention goals and strategies. The federally mandated SAP policy for financial aid may have an impact on retention but University A has not studied the impact of SAP on retention. The

enrollment team devotes its time and resources to recruiting prospects and admitting new students.

Financial Resources to Support Strategies. The chief EM stated that the operational budget basically 'rolls over' from year to year. New initiatives such as hiring new recruiters, purchasing imaging software for financial aid, and procuring a third-party recruitment software system mentioned earlier are supported by Title III, a federally funded program to support HBCUs. The chief EM stated, "You give them an estimated cost on the new initiatives. We were able to do the imaging through Title III. We were able to do the recruitment software ... that's a Title III initiative."

In addition, a large portion of the institution's budget, not Title III, is used to support institutional need and merit-based scholarships. The scholarship funds support prospective and continuing students. The continuing student who maintains the required grade point average retains the scholarship, unlike other institutions' practices that provide an enrollment incentive award to prospective students for one year to boost headcount totals for that current semester. The chief EM said, "So really [we're?] just trying to capture other resources, because a lot of our operational budget goes in institutional [financial aid] funding."

The admissions director laughed when asked about financial resources. He implied that the budget request process was a formality and the budget amounts are the same from year to year. He said, "So this is my second-year budget. My interpretation of that process is that there is really not a lot of input into the budget, because I think the amount that we are given is going to be the same."

The financial aid director stated that the institution's budget team requests budgets, and eventually each department receives a budget. She referred to the departmental budgets as "magically appearing" because the budget team does not consult with the departmental leaders throughout the budget process. She stated, "The institution's budget team will send up a budget sheet; that's their way of getting our input. And then … we just get a magical budget. It just kind of comes up, and we know that we've been approved." Each of the enrollment team members agrees that the budget process is a formality, partially due to limited resources. Budget allocations remain the same from year to year. The Title III program funds new initiatives at University A.

Limited resources challenge the institution, and the chief EM described the possible impact of those challenges: "So the challenge is always going to be resources. So you've got to have survivability to maintain your buildings, to maintain your programs, to maintain your staff and faculty, and to grow an institution."

The enrollment management area receives priority due to its function, even when limited resources are allocated. Enrollment management areas, though part of the institutional budget process, tend to receive funds to ensure students will enroll at the institution. The chief EM said, "… and because we are an area that gets a lot of focus, we have been blessed in that, a number of our priorities have been funded."

Enrollment Strategies Prioritized. The chief EM uses 10-year enrollment projections, meets with the staff to receive their input into the enrollment strategies, and then forwards the recommendations to the upper levels of administration for approval. The priorities reach the campus community for input through the vice presidents' campus presentations. The chief EM remarked:

> But in that whole process, I guess it starts with staff feedback to the managers, feedback to me, me then checking with the different campus cohorts, and then sending the priorities to the provost. And then the budget priorities are only discussed with the VPs. Each VP makes a presentation to the campus…. Everybody in the audience has a chance to give their feedback, and then they go back and final decisions are made.

The chief EM stated that the institution faces challenges implementing new initiatives as the economic crisis burgeons. Currently, Title III funding provides new initiatives at University A; the operating budget is 90% personnel. Consequently, without external resources such as Title III, funding new initiatives would require a reduction in personnel either through furloughs or layoffs. The challenge to prioritization is the lack of institutional resources to fund new initiatives. He stated:

> I think the only challenge has been that in this day in time, when you see new initiatives, it's like, there's no new money. If there's no new money and this is a new initiative, and it's something we need to move forward with, then where do we get the money?

Enrollment Management Organization

The enrollment management organization at University A is fluid. Within the tenure of the chief EM, the offices/functions that constitute enrollment management have changed from six offices to three offices. The current offices in enrollment management are admissions, financial aid, and records. Student special services, counseling and student development, and career planning and placement offices had been part of the enrollment management division. As a result of new presidential leadership, the enrollment management organization changed and certain offices were moved from enrollment management to other areas.

The admissions director and the chief EM stated that the enrollment management organization could benefit from using a 'non-traditional' enrollment management model. The admissions director said that the current model is the traditional model focusing on

registering students. Therefore, he suggests adding academic advising, career services, and alumni affairs to enrollment management. He stated:

> I think our approach to enrollment management is those areas that are directly tied to getting the student registered. I don't think that our institution views it as holistically as some models. So under that umbrella, I think academic advising ... and career services [should be added].

The chief EM believes that enhancing the enrollment management organization would improve the enrollment process. He would add the orientation and international student office to the current enrollment organization structures. Although they have developed good working relationships with the staff in orientation and international affairs, including these offices in enrollment management, he believes, would enhance services. He stated, "I'd add the whole orientation, front-end programs, and I'd probably add the international student piece … they all need to be in the same unit to really coordinate this seamless enrollment process."

Enrollment Challenges

Each of the enrollment administrators cited enrollment challenges. The types of challenge varied for each administrator; lack of resources was the cause for some of the enrollment challenges, while other challenges related to the HBCU culture. The chief EM said that the budget crisis impacts employee morale. Employees' pay has decreased due to furloughs, and there has not been a cost-of-living adjustment or raise to compensate for the furloughs. In addition, the budget strategy that extends vacant positions to recoup resources requires current employees to work even harder to accomplish departmental tasks. He explained:

> When you have hard economic times … a furlough is a decrease in your salary. And as you have positions that are vacant that are not filled, what it means is that

> my employee is being asked to do more than what they would have done in the previous year for less money … you're going to have a morale situation.

The admissions director stated that the volume of documents he receives without adequate mail processors is his greatest challenge. Although the application is currently electronic, the supporting documents for many students are mailed into the office, and the number of required documents has increased. The admissions director said, "The number one challenge for me is managing the volume of documents. The office does not have a mail processing staff- so much like retention. The mail comes, and it is everyone's responsibility to make sure mail is processed."

Beyond lack of resources, some of the challenges mentioned by University A's enrollment administrators center on the campus culture. When that is explored it may add to the literature on enrollment and HBCUs. Although the chief EM stated that the viability of an HBCU education is a challenge, he failed to elaborate on this topic. He said, "I think another challenge is a challenge that all HBCUs are having: Are we a viable form of education?" Immediately following his viability question, he stated that institutional instability in leadership was a challenge for enrollment at University A. He said, "I think another challenge here is institutional instability. We have had the same president for the last five years, but we've had four provosts in the last five years. Institutional stability is a key."

The chief EM and the admissions director stated that departmental territorialism is a challenge at University A. The chief EM has worked at traditionally white institutions (TWIs) and stated that territorialism at HBCUs is worse than at TWIs. He stated:

> The challenge that we have at HBCUs is being territorial. As an enrollment manager, I have to work across all territories. I think that dynamic is more intense at an HBCU, when it comes to territoriality, than you see at a TWI.

The admissions director mentioned how some departments even within the enrollment management division work in silos when planning and are territorial. He cited two examples: 1) implementing document imaging and 2) transfer evaluation process. When implementing document imaging, each department within enrollment management worked in silos rather than coming together as a team to share knowledge and leverage procurement of scanner and computers. He remarked:

> I think institutionally we aren't at a point, at least from my perspective as still a relatively new person here, where we are looking at the entire picture all the time. We still see things very separate ... I think we lose out on that.

Two offices share the transfer evaluation process: Admissions and Records. He believes that one office should be responsible to better serve the student, but one of the directors refuses to cooperate. The admissions director stated, "We have some difficulty around territorialism for individual responsibilities…. Transfer credit evaluation is split between two offices … then it becomes a battle between the staff persons who manage those things."

The financial aid director indicated that lack of support from vice presidents at the institution creates an additional challenge for her and her staff. The financial aid director must deny some of the vice presidents' requests to assist students when their requests conflict with federal financial aid regulations. She said, "Sometimes I feel that there's a lack of support from some of our VPs. I feel that way because I don't think they understand the entire process of financial aid and how we are bound by certain rules and regulations."

University B

Institutional Factors. The researcher interviewed the chief EM, the assistant admissions director, and financial aid director. The researcher analyzed statements and the frequency of the statements to develop the themes: legacy, reputation, and financial aid offers are influential factors cited by two or more administrators at University B.

Legacy. The chief EM and the assistant director of admissions agree that contributing to University B's reputation is its notable alumnae and the fact that the University uses its alumnae in marketing efforts. The assistant director stated, "….a lot of significant individuals started at University B who have gone on to be first in a lot of different areas." The chief EM states, "And that's been one of the strategies with institutional advancement and really trying to capture the legacy and the impact of the alumni in bringing other students into the institution."

University B's reputation and legacy are so strong among African American students, according to the chief EM, that with minimal recruitment University B would still be able to enroll a freshman class. He stated:

> We still are very much branded in the African American community as being the place to go.... I think our legacy is our strongest value proposition for why students want to attend University B.… I can tell you that our recruitment efforts can be minimal; we would always get our class -- always without hesitation.

The assistant director agreed that University B's history attracts students. "I would say the history of our institution is significant to a lot of people because a lot of groundbreaking things have happened at University B." However, she strongly disagreed that the reputation of University B was so strong that there was no need to recruit. She stated that the reputation of University B causes misperceptions that need to be clarified, and recruiting allows the recruiter to dispel myths about University B. She remarked:

> I definitely think the [recruitment] efforts make a difference in the application pool because we definitely get to go to schools where students may have a preconceived notion about University B. Being able to visit these particular types of high schools allows us to clarify any misinformation about what University B was, what University B is, and where University B is going.

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Location. The chief EM and the assistant admissions director agree that University B's location influences students to matriculate to the university. However, location was described as the institution's proximity to community resources that potentially enhance the educational experience. The chief EM explained:

> And then the rest of it is the geographical location. Because, I think, when you have this state as your campus, you're exposed to a lot more, particularly of how you want to be involved and being able to access those resources on a regular basis to complement your educational experience.

The assistant admissions director said, "And then, although it's not directly institutionally related, our location is very ideal for students who are interested in certain career opportunities. Our institution is located in that ideal location, so that makes a big difference." The assistant admissions director and the chief EM agreed that some students desired to attend an urban HBCU and therefore were influenced to attend University B's metropolitan campus

College Information. University B uses technology and hard-copy documents to provide information to prospective students. University B's Fact Sheet provides answers to common questions. The assistant admissions director noted that the new generation of students is more technologically savvy; therefore, an institution's written materials must be concise. The admissions director said, "We use a fact sheet ... a lot. This generation, because they are so technology savvy, they're not interested in bulky, wordy documents. It's a really powerful piece." The assistant admissions director and the chief EM agree that the greatest medium of communication with prospective students is University B's website. However, the assistant admissions director thought that University B's website navigation is poor. He stated:

> I think it's (the website) very effective in terms of at least getting information once you're able to navigate. I think we do need to do some updates on how students can navigate because it can be a little bit more user friendly.

University B uses the modern advances in technology, including social media such as Facebook and Twitter, to recruit. Two popular modes used are online chatting and a webinar series that covers enrollment topics. The chief EM stated, "Then we have Facebook, Twitter accounts, so being able to get that information out, they love it. Yes, we do chat with the students. We host webinars once a month. It gives them a real opportunity to chat with us." Though technology is driving the recruitment process at certain points, the chief EM cited the traditional method: prospective students learn about University B "mostly through word of mouth and online."

Admissions Requirements. University B's academic program is structured in the traditional school model. The academic departmental faculty determines the admissions requirements for each academic school within the university. Students admitted to

University B must be admitted to a specific school such as the School of Business, School of Engineering, College of Arts and Science, or one of the other schools. The admissions office staff implements the faculty's admit decisions but does not have a role in establishing admission requirements, except for applicants who are considered marginal admits. The admissions staff serves on a committee to review these applicants. She stated:

> We (the admissions staff) don't have a matter of opinion. The faculty teaches these students, so we're just the communicators.... "They know what type of student would do well in their classroom from the beginning to the end, so we can't ... I cannot weigh my opinion as to "Oh, that's too hard, that's too easy." No, because it's what works for University B.

Cost and Enrollment Management. University B uses a matrix approach and appears to be inclusive and strategic when determining costs and which academic program or schools to retain. The financial aid director stated that an institutional committee chaired by the provost and comprising the academic deans, the enrollment manager, the financial aid director, the bursar, the controller, and student representative reviews revenues and operating costs per school. If a school or an academic program is losing money, the committee considers the school's or program's value to the institution. The committee also determines the tuition discount and reviews the impact of the discount on student enrollment and the institution's operating budget. The chief EM remarked:

> Our CFO now went back and said, "Let's go back to actual enrollment. How much tuition you're bringing in? How much revenue your faculty members are bringing in, etc. And so now it is itemized to the dollar. And so now we're getting to that point where we're very strategic about what type of data we collect and how we use those data points to inform decisions.

Financial Aid Effectiveness. The chief EM stated that the financial aid process needed modification due to the changing economic times. Most of University B's

financial aid has been merit-based versus need-based, excluding students who academically qualify but have limited financial resources to pay private school tuition and fees. He stated:

> All our financial aid programs have primarily been built on a merit-based approach.... So we're restructuring, trying to understand how we can provide a better balance between need and quality. What is the balance between access versus privilege? We're a privileged institution, but we have to be accessible to most -- not all, but most. That's the balance.

The financial aid director discussed how student data is used during the financial aid leveraging process and the tuition discounting. University B appears to be data driven. When asked how financial aid leveraging is completed, the financial aid director criticized sister institutions that use the shotgun approach to financial aid leveraging. He explained:

> We do it all in-house. For our actual packaging, we use the simple methodology, the federal methodology. But internally, in terms of how we allocate the aid, we do that in- house. And we do lots and lots of data. I will say what I've noticed at many other HBCUs, and dealing with our sister HBCUs. At HBCUs there's a dearth of data that's collected internally, at least to the detail to make informed – our strategic decisions – that have a long-lasting effect.

Retention and Enrollment. University B's enrollment staff does not monitor retention or attrition and plays no direct role in retaining students. When asked whether there was a person or persons responsible for retention, the chief EM's answer was 'no.' Juxtaposed with this answer, the financial aid director stated that a retention procedure and process is being developed; however, her sarcastic tone was noticeable when she mentioned the infamous retention committee. She stated:

> There's not one cohesive retention effort. It's usually kept in the schools and the colleges. The provost, the president is now trying to make that a university-wide effort. We in the past have had retention committees, but we know about committees….

Financial Aid Offers The chief EM and the financial aid director agree that the lack of financial offers did not negatively impact enrollment, but they cite different reasons. The chief EM said that University B has ample funds to offer need-based and merit awards to assist prospective and continuing students. The financial aid offers are adequate to meet the enrollment needs. The chief EM stated, "… So, I think that we've never dropped off significantly to say we can attribute it to financing, because we always find a way to get the students through the process."

The financial aid director said that lack of finances is not a major factor for students enrolling at University B. A study examining freshman students revealed that the number of students declining acceptance after receiving the maximum scholarship was increasing. Though students were offered a "full ride," many of them were not coming to University B; therefore, finances or lack thereof were not influencing students to enroll at University B. The Financial Aid director remarked:

> We did a study the year before last on our freshman scholars -- the ones that we offer those full rides to. And we noticed that our acceptance rate in terms of students who would return and say, 'I am coming,' based on the scholarship offer, was declining…. And we were wondering, why is it declining? Because the students definitely don't have an issue with money, because we're paying. And what we realized is, it was everything else. It was academic programs. It was location. There were other competitors, etc. Which means we lose some of our footing in the marketplace, of course, because something – branding is a bigger issue that has to be tackled by the entire institution. Your academic programs, as you know – dealing with faculty and deans, and – that's something else.

Enrollment Goals and Strategies

University B used historical yields, the president's verbal vision to develop its recruitment enrollment goals and strategies. The financial aid goals are developed using data, and financial resources are made available to assist with student enrollment.

Enrollment Goals. According to the chief EM, University B's administration does not have a current strategic plan. The institution's strategic planning documents were dated 1995. A task force appointed by the former president created the 2007 enrollment planning document, which expired in 2012. When questioned about the strategic plan and establishing goals, the chief EM stated that all of the upper administrative team has been at University B three years or less and are assessing the needs of University B; however, without a strategic plan, the enrollment plan has not been developed. The chief EM explained:

> Our key central players are all new ... what you might consider to be your S.W.A.T team. They're coming in and doing their analysis to understand where they're at and then make the assessment about where we want to go next.

When asked about the institution's strategic plan, the chief EM said that the president's agenda was to "stabilize the environment." He stated:

> I think that we're moving toward it, but I think the president's agenda initially when he came on, which has been about three years, is to stabilize the environment. And then we would have the right framework, or reference, on which to start building the strategic plan.

The chief EM said that he establishes goals on the basis of his understanding of the institution and his conversations with the president. Without a strategic plan, the chief EM uses his experience, intuition, and his interpretation of the president's vision to establish goals for the institution. The financial aid director appeared more strategic in goal-setting and making financial aid award decisions than the upper-level administration. He said that he uses an inordinate amount of data to make strategic decisions.

Recruitment Strategies. The admissions director stated that recruitment strategies are developed on the basis of the historical yield of freshman students. The

recruiters visit only high schools that have yielded applicants who convert to admits and eventually to enrollees. In addition, out-of-state recruitment strategies are developed on the basis of historical yield. The admissions director remarked:

> It's based on the number of what we call a feeder list. So based on those numbers, we will say, 'Wow, this is a good school and/or town that we need to go visit every year.' It makes no sense to visit a school where we're getting no applications or where there may not be the target student population that we're looking for.… So we are strategic by using the numbers.

The financial aid director also uses data and plans to develop a point system to package need- and merit-based aid. The strategies are developed from discussions among the financial aid staff and through adding programs. The financial aid director said, "And so, what we're looking toward is developing an internal point system based on merit, based on need.... We look at those types of things and try and develop it."

Retention Strategies. For University B, retention management is not included under enrollment management. University B has the traditional organizational model of colleges/ schools where the deans are responsible for retention.

Financial Resources To Support Strategies. The financial aid office is given a contingency fund to assist students who are struggling to re-enroll in University B. The financial aid director said that he receives funds to assist students who have special financial needs. Each case is reviewed, and the funds are used to assist students who do not match traditional categories. The financial aid director said, "On a day-to-day basis I have a fund that we operate -- it's about three to four million dollars -- to handle those students who may not fit into a category that we planned for."

The financial aid director stated that the financial resources were adequate to support the enrollment strategy. However, the way the resources are distributed needs

improvement. He said, "Yes, I definitely think so. Are they strategically distributed, or are they distributed as strategically as they could be? Not yet. But I definitely think the resources are there." The chief EM stated that the financial resources were available for him because his area is a priority for the president; however, for other areas, the resources are not readily available. He said, "Yes -- for me. Now, the institution itself, there's holds and freezes, and things all over. But enrollment management is a strategic investment for the president." As with University A, enrollment management has priority funding due to its functions and its value to the institution.

Strategies Prioritized. According to the chief EM, the president and the Board of Trustees prioritize the strategies. He stated, "They're prioritized based on what the president and board tell me to do. So, the focus right now is STEM and internationals because there are opportunities for us to grow in our engineering and architecture and computer science." Without an institutional strategic plan or an enrollment plan, the chief EM must rely on the president to establish the enrollment goals and strategies. University A's administrators develop and prioritize enrollment strategies using a committee and sub-committee structure, while University B, a private research institution, relies on the president and the Board of Trustees to prioritize the enrollment strategy.

Enrollment Management Organization

The enrollment management area operates as a division at University B. The directors and offices that report to the chief EM are admissions, financial aid, records, bursar, and cashier. The chief EM reports to the chief administration/finance officer. University B holds a distinct difference from the other institutions in that it has not had an

enrollment manager for seven years. Though the chief EM had been an enrollment manager elsewhere for four years, he is new to the enrollment management position at University B, where he was promoted from a director- level position in enrollment services to the chief enrollment manager. He stated:

> As an institution we have not practiced enrollment management for a long time. My position was vacant for seven years. So, I mean, you didn't have anybody bringing the focus to understanding, because you always got your students. So, if your numbers are there, you didn't ... the motivation was different. So, I think that's one piece of it.

The chief EM agreed that the enrollment management organization is adequate to support the enrollment initiatives, but he expressed concerns about a graduate application duplicate process. Any additional offices, even hypothetical, he viewed as additional work and was opposed to the idea. However, he stated that when the enrollment management division reporting structure aligns with the academic division, it is more beneficial. He remarked:

> I mean the reporting structure is still questionable. And everybody knows it, so it's not a secret. The position used to report to the provost. And then they created this [administrative/finance] position. So, now it reports to the [administrative/finance] position with the intent that it will probably go back to the academic portfolio at some point. But we just have to understand, organizationally, our framework ... But if we all work together it should be very seamless.

Enrollment Challenges

As a private, large HBCU, the enrollment challenges at University B were related to lack of resources. These challenges included academic product identification, strategic decision making, technology software resources, financial aid distribution, decreased response time and dispelling myths about University B. Each of the administrators stated how these challenges had the potential to influence enrollment**.**

Academic Product Identification. The chief EM's greatest challenge is identifying the institution's brand, other than its great history, and identifying the best academic programs. He claims that he is uncertain of University B's product. The institution is known for being University B, but beyond this general knowledge there are no specific academic programs that resonate within the larger community. Based on a study conducted at University B, the admissions director agreed that certain recruitment strategies negatively impact enrollment. Recruiters cannot recruit at the program level because specific information that could sell the academic programs is not made available to them. University B's competitors, however, are recruiting at the program level, resulting in University B's losing some of its high-achieving prospects to its competitors. The chief EM explained:

> And we're thinking it's because of that -- because if you look at many other institutions now, especially the Ivy's, they're recruiting by program. We're recruiting by level -- undergraduate students ... we're not recruiting by program. And that's what many of our competitors were doing -- well, many of the other schools that we saw students going to were doing, and were actively doing it [recruiting by program].

Strategic Decision Making & the Chief EM. The length of time that the chief EM position remained vacant created challenges for the current chief EM. He stated that he had to make up for lost time. Although this extended vacancy created challenges, his experience with data as a director, informed and moved the enrollment team to making strategic decisions. He remarked

> But I'm catching up. For seven years it was vacant. See, I'm far behind. I mean the use of data in enrollment to inform our strategic decision-making was never done. Never done. So, when I was here before as Director of X, the four units reported directly to the Provost. So, there was not a central person, a centralizer for enrollment. And you do what you do to move that piece forward. And you collaborate well, which we did- but it wasn't strategic.

Technological Software Resources. Technological software resources were a challenge for the admissions director, though he has a technology team that reports directly to him to assist with their student enterprise system. However, even with a technology team and financial resources, University B's financial aid team has not implemented document imaging. Document imaging allows the financial aid staff to review an electronic folder with all necessary documents indexed to the student's record. The electronic folder with workflow technology allows documents to move electronically among staff for review and/or approval. The financial aid director finds that it is a challenge not having document imaging. She stated, "One thing that we haven't received yet, and we're working on it, is imaging. So, [we're] far behind in terms of getting rid of much of the paper."

Competing Philosophies on Financial Aid Distribution. The financial aid director stated that competing philosophies exist on financial aid distribution within University B. Should the institution provide financial assistant to meritorious students or should financially needy students receive assistance? The financial aid director stated,

> The other challenge is dealing with different philosophies from the university administration on aid. You have some people [who] are heavily merit-based. "If you get this GPA, this is what you should get. We shouldn't have a student out there with 3.75,
> or above who asks for anything, because we should be paying for it." Then you have the heavily need-based. And you know, "This family has a zero EFC, and they should not have to pay for anything." But we don't have the middle of the road. And so what my task is on a daily basis is to say; Okay, we can't have everything for everyone.

Timely Electronic Communication. The assistant admissions director pointed out that for the size of the admissions staff, timely electronic communication with prospective students is challenging. The admissions office receives on average 100

emails per day and responding timely created a challenge for the office. He said, "I think communication. There are not enough of us to communicate as quickly as I would like for us in terms of students who have questions."

Guidance Counselors Dispels HBCU Myths. The admissions officer stated that recruiters dispelled myths held by guidance counselors and students about HBCUs. Guidance counselors and their influence on student enrollment are factors mentioned in this study by other enrollment management administrators and in the student choice literature. The admissions director explained,

> You would be quite surprised as to what they [guidance counselors] think about HBCUs and what students they tell to apply to an HBCU. I mean we have people [who] think an HBCU one, should not exist. We have people who think an HBCU's education is equivalent to an associate's degree. We have people thinking that HBCUs brainwashes kids. These are counselors I hear these things from, brainwashes kids to make them become, you know, like a black power movement. I'm like, what? I will never forget this. I had a counselor that told me point blank that an HBCU is not a reflection of the real world, so I don't think my students should apply to your institution. So dispelling those myths and communicating the opportunities and the uniqueness and the great qualities of University B before you label it [an] HBCU, [it] is something that we [do] constantly and I think [we] do an amazing job changing the minds of many.

College C

Institutional Factors. At College C, the researcher interviewed four administrators: the chief EM and the directors of admissions, financial aid, and career services. Two or more administrators stated that institutional factors influencing enrollment included the size of the institution resulting in a low student/faculty ratio, its nurturing environment, and its legacy.

Size Matters. The small class size supports faculty and student interactions according to the directors of admissions and career services. The director of career services stated, "I think the one-on-one. They get small classroom ratio. So maybe for

every one professor you might have7 to 10 students. And some of the students say that they like that." The admissions director concurred and believes that small class size influenced these interactions. He said, "the size of the student body is a big factor because our students, what we have learned through the research and through the years, [is that] we do better in smaller environments where we can talk to our students individually."

Nurturing Environment. According to the chief EM and the admissions and career service directors, the nurturing environment at College C influences enrollment. To describe the nurturing environment, the administrators referred to 'one-on-one' interactions between students, staff and/or faculty at College C. The chief EM said, "I think the one-on-one the students get, the class sizes are small so it means they have more interaction with the faculty and staff here on campus." The admissions director, when speaking of the nurturing environment, shared his experience as an undergraduate student leaving College C to transfer to a predominantly white institution and subsequently returning to College C. He remarked:

> We are the only HBCU in the city, first of all, and there is nobody that can replace or provide what we provide to our students. See, our students are looking for academics, yes but nurturing is a good word. They can't get that anywhere. It is here. Nowhere. You see I did that too. I started at College C my first year. I thought I was missing something about being at an HBCU, and then I transferred to University X my sophomore year. Bad mistake! I got over there and I had gotten used to the nurturing. …Because when I got there, I found a campus that I did not fit into. I could not find an instructor to talk to. All my classes were too huge. There were 100 students or more. I was one of four African Americans in the class. The rest of them were lily white. I could not find anybody to study with or make friends with. I just did not feel like I felt when I was here. And nobody knew me most of all. Nobody knew me. I was just lost. I did the best I could. I made C's. But then the first opportunity I got to come back here. I came back after two semesters... You can't get it at [University X]. Every student gets it here. Every student that is part of our creed that is a part of our development here at the college. You can't get it anywhere else.

Legacy. The chief EM and the admissions director stated that College C's legacy influences undergraduate enrollment. "We have a lot of history here as it relates to the civil rights movement. The city itself being the only HBCU; we have a lot of legacies that attend College C." The admissions director gave more details about the legacy tradition. He stated:

> We have lots of students who have a legacy here. Their sisters and brothers went here, or their parents went here, or their cousins went here. That becomes a major factor because they want to follow their family. For me, for instance I am a College C graduate. Not only am I a graduate, I have three sisters and all three of them are College C graduates. So that plays a big factor.

College Information. College C markets the institution through advertisements, commercials, its website, and by the staff attending college fairs, hosting events on campus, and participating in community events. Admissions director said, "Well we do a lot of things. We do advertisements, we do T.V. We do radio. We do commercials on TV or radio and in print. We do all kinds of stuff." College C participates in the Tom Joyner Virtual College Tour and College View and the recruiters attend regularly college fairs, including the United Negro College Fund (UNCF) College Fair. College C's admissions director stated that hard-copy documents such as their college planning guides and viewbooks remain a part of the recruitment materials distributed at college fairs and high school visits. College C does not use technological recruitment tools contrasting other institutions in this study.

Guidance Counselors' Influence. College C hosts an on-campus event for guidance counselors to maintain good working relationships. The admissions director at College C believes that high school guidance counselors have the potential to influence prospects to attend College C; therefore, College C hosts an appreciation luncheon for

high school counselors within the geographical area. The admissions director stated, "Every year we do an appreciation luncheon for all of the guidance counselors. I am saying you have to do a number of things not only to make the connection but [also to] maintain the connection."

Community Events/Outreach. College C's has a tradition of contributing to the community and participating in community events. The admissions director explained the quid pro quo of community outreach, and he shared how College C contributes to its surrounding community. The admissions director explained,

> There is a notion and knowledge in this community; we have been here over 100 years. College C is an institution, not just a college; we are embedded deeply into the community. So we have all kinds of connections, networks and friends and associates and partnerships, etc.

Admissions Requirements. The admissions director and the chief EM differed on how the admissions requirements are established. The admissions director stated that the academic deans and vice president of academic affairs establish the admissions requirements. Alternatively, the chief EM stated that enrollment management is responsible for establishing the requirements, and faculty members who are on the president's cabinet have the opportunity to review the admission requirement recommendations made by enrollment management. The chief EM stated,

> Basically, we set our enrollment. We set our criteria for enrollment. We take it before the president's cabinet for approval, and then he takes it to the Board of Trustees. That is basically how we set our requirements for students applying for admissions….They [the faculty] get involved at the president cabinet level.

Cost and Enrollment Management. At College C, enrollment management reports to fiscal affairs and provides little input into the costs-setting decisions. Fiscal affairs personnel are responsible for determining tuition and fees. The chief EM explained, "I

mean I can make suggestions and that kind of thing and my boss takes them into consideration. The bottom line it goes to the finance committee". The enrollment management staff is not members of the finance committee. The financial aid director similarly stated that she has little input into establishing the tuition and fee costs at the institution. She remarked:

> Not a whole lot. A lot of times they will ask me about increases in loan eligibility limits…yeah on that part a little bit….I am not required to do any type of reporting, but occasionally when they are looking at increasing tuition they will come and ask me for those numbers and data.

Financial Aid Effectiveness. The chief EM explained that the financial aid process is effective at College C because financial aid and admissions personnel collaborate. However, technological upgrades in the financial aid area are necessary. She stated:

> Financial aid falls under enrollment management. That is one of my areas. So admissions and financial aid work very closely together. There are some computer kinds of things we need to upgrade but as far as the process itself it is working fine.

The financial aid director distributes federal and institutional aid to assist with the admission recruitment goals. However, the chief EM is responsible for managing new-student scholarship funds for certain majors and the scholarship committee manages continuing-student funds. The financial aid director said:

> For transfer and new students they come through the admissions office to our enrollment manager. She then based on the grid that they've sent forth for those scholarships, makes those awards and offers to students. For students who are already on campus or those that are returning that have scholarships, then we have a scholarship committee [to] review the scholarship applications and make those awards.

Strategic Planning. The admissions director initially stated that financial aid was effective and improving. However, later he cited an example of how the financial aid

office staff was not prepared to support a new academic program due to lack of human capital. He remarked:

> We just brought on a couple more financial aid counselors... It is very, very detailed— easier said than done. We had kind of a backlog there with students not getting their financial aid processed in a timely manner so they can validate specifically with the [X program]; there were so many that came in. So our timing and management of that process should be a whole lot more effective.

Retention and Enrollment. The directors of financial aid and career services and the chief EM each discussed their roles in retaining students. The chief EM stated that enrollment management plays a tangential role in retaining students; the student affairs division, not enrollment management, is responsible for retention. He said, "Now our area, we really don't work with the retention side of it. Usually retention on our campus falls under Student Affairs."

Admissions Role in Retention. The chief EM clearly stated that the role of admissions is not to recruit-to-retain. If the institution loses students through attrition, the chief EM emphatically agreed that the admissions office's role is to not to replace these students. She believed that the admissions office's objective should be to replace students who graduate, not those students who leave College C. She stated:

> No what we do is look at our graduation. When we get ready to recruit, we set a goal. We set our recruitment goal; we try to get 300 new students each year. We know we are going to lose at least 100 to graduation. But we try to replenish them because that is what recruiters are supposed to do. You are not supposed to retain to recruit. That is what a lot of schools think that I am supposed to recruit to [replace] those students who have stopped out, dropped out, or whatever. Recruitment [means] you are supposed to bring in a new class to replace the students who have graduated…When you work for an HBCU, they think you are supposed to recruit to retain… meaning that you are trying to recruit enough students to cover those students who have dropped out.

Career Services Role in Retention. The director of career services provides students with career opportunities, and she believes that her office influences retention by

improving students' satisfaction with their overall college experience. She referred to the utilitarian philosophy of higher education that students are basically enrolling in college to get a job. She stated:

> Well, from my end, from the retention end, I'm preparing students for the global marketplace. I feel that career services is an integral part of any university because when the students come, either they're coming to get a job when they graduate, or an internship while they're in school, or they're going to attend graduate school.

Financial Aid's Role in Retention. The financial aid director stated that SAP requirements by the federal government impact retention at College C. At the time of the interviews, the new proposed SAP regulations were becoming more stringent, requiring only two semesters instead of four semesters before a student could be denied financial aid. This new regulatory requirement advances the appeal time thereby increasing students' probability of being denied financial aid. If appeals are denied, students will not receive financial aid and in many cases may be forced to leave College C. The financial aid director stated, "It has a big effect on our retention—what we have looked at. And that is going to be changing here by July 1. They have some new regulatory requirements that schools have to meet now."

Financial Aid Offers. College C scholarships for freshmen are renewable if students maintain the required grade point average. If freshmen scholarships are not renewed, this loss of funds may impact students' ability to return to College C. The financial aid director sarcastically explained, "We don't front load or give full rides. The student's eligibility is pretty much what it is. The only thing if for some reason they don't qualify for renewal, it may have a little impact on them."

Enrollment Goals and Strategies. Enrollment goals and strategies were developed using various methods including discussions, collaboration, and historical goals and strategies.

Enrollment Goals. The chief EM determines the headcount enrollment goal through discussions with the enrollment management staff and collaboration with other divisions. She stated, "Enrollment management sets the goal. We set the goal. We bounced that off of our academics, our committee, and our dean of academics. In other words, it is a shared goal. It is a shared achievable goal." In addition, to manage enrollment growth, the chief EM meets with the academic deans; growth management is critical to College C due to its size and location. College C is land-locked and has limited abilities to expand. The admissions director expressed the need to manage growth. He remarked:

> You don't just grow. If we grow 500 new students, how are we going to service them? First of all, who is going to admit them? Do we have enough admissions folks? Who is going to processes their financial aid? Who is going to do it all? Do we have a place to feed them? Do we have enough instructors to service them? These are the questions that we are asking in the meeting and answering them. Do we have enough dorms for them? Do we have enough people to service them in whatever their needs are here on campus? Do we have enough parking slots? All of those factors influence how we grow, whether we grow.

In addition to using collaboration to establish the headcount goals, College C uses prior historical goals. The admissions director stated that the chief EM meets with the enrollment management division and collaborates with the academic division; the chief EM describes the process. He stated:

> We, collectively, the director and I along with the staff get together and we sit down and look at [the number]. We recruit realistically; we don't pull a number out of a hat and say this is how many students we are going to get. We look at the dynamics of housing, class room size, where are we going to put these students

> once we get them. We know that we are a small campus. Three hundred students each fall is a good number for us.

The second way to establish goals is to use a historical goal. The chief EM stated that she will give a headcount goal based on last year's headcount goal. When asked about the targeted goal of 300 new students, she said, "We try to reach that goal each year".

Recruitment Strategies. According to the admissions director, recruitment strategies have been revised. The recruitment strategies are revised each year; he connected the revising of recruitment strategies to the accreditation body, *Southern Association of Colleges and Schools* SACS, and its visit to the campus. However, he never addressed how the strategies were developed or revised. He stated:

> They are developed through the enrollment management area. It is not a new process. The recruitment strategies have been around for the length of the college. But we revise them every year. In fact we are in the middle of that process right now. We don't only revise the admissions strategies we revise yearly all of our… We are getting ready right now... You see we have to be SACS. And you know SACS. We are way ahead... Our visit is not until [X year].

Developing operational plans for the purpose of accreditation raises questions about plan development when there is no pending accreditation visit. Neither the financial aid director nor the admissions director made their operational plans accessible during or after the interviews. Although the admissions director did not address how the strategies are developed, the chief EM states that the admissions director develops the recruitment strategies. He remarked:

> Usually the "admissions director" creates the recruitment strategies and what they are going to use to recruit the student. They come up with a plan of where their target areas are going to be—what junior colleges, what local agencies. The admissions director and his group comes up with that—what the goals are—and then he shares them with me and we sit down and share them with our immediate boss, who is the vice president for finance.

Retention Strategies. Managing student retention at College C is the responsibility of two areas: student affairs and academic affairs. The enrollment management division is not responsible for retention. When asked whether retention management should reside within the enrollment management division, the chief EM pondered the idea but later concluded that the other divisions should continue managing retention. He stated:

> I think it would work, if and only if I would be given total autonomy of how I would run things. So I'm saying, I don't want to be over retention but advising center is still on the academic side and the academic achievement center is still in [another division]. Now those two entities would be under the umbrella of enrollment management; but no, not the way it is set up now. I like it just the way it is.

Financial Resources to Support Strategies. The chief EM stated that the budget process begins when she submits a budget request to her supervisor. Her supervisor takes it before the president's cabinet. When asked about a committee, the chief EM stated that the vice president of finance was the committee. She explained, "He is the VP for finance so he looks at it; he looks at our recommendations. Now he will take our recommendations to the cabinet, and the cabinet has to…approve this or whatever."

The chief EM stated emphatically that the resources are not adequate. She listed items that she would attempt to accomplish, if given more resources. However, she noted the priority funding for enrollment management. She remarked:

> Oh, heck no. We could use more, way more money, but because we…since my boss has been here, we have more money now than we ever had to work with as far as recruitment is concerned. What I am talking about is marketing—being able to do radio, TV, billboards, magazines ads. We were even in *Newsweek*. If I had some money, some real money enrollment management could do a whole lot of stuff.

Prioritized Strategies .The chief EM said that her directors prioritize the strategies. The directors, when asked about strategies, did not answer the questions; they were unable to articulate how the strategies were prioritized. However, the chief EM stated that the directors set the priorities. She explained:

> Well, let's see how do we do it? Basically when it comes to recruitment, I leave that [developing recruitment strategies] up to the director, he takes care of that. He looks at what he wants to do, where he wants to cover. That's his call. As it relates to basically all my directors, I leave them ... I give them the autonomy to do what they deem necessary and to set the priority and goals for each year of what they want to do.

Enrollment Management Organization

The enrollment management organization (EMO) functions as a division and primarily focuses on student recruitment and marketing. Though the EMO is fluid, administrators varied as to whether EMO and its reporting structure were adequate.

. It consists of admissions, financial aid, career services, and the enrollment management office. The chief EM reports to the vice president of finance. The director of career services, though currently under enrollment management stated that her office has reported to each division of the college. She remarked:

> Since I've been here, they keep moving career services. So when I first got here, I was under academic affairs. Then they moved me to student affairs, back to academic. Then I went to enrollment management. Then I went to institutional advancement, and now I'm back under enrollment management. So I'm like, what is it they're going to do to me?

The chief EM stated that though her division's financial needs are met partially because she reports to the finance division, she believes the enrollment management division should report to the academic affairs division. She said, "Well, really I think we should be under academic affairs, honestly. Being under fiscal affairs has its pros and cons, but, honestly, I think we really do need to be under academic affairs."

The admissions director stated that the enrollment organization was adequate to support the enrollment initiatives. However, the chief EM believed that the records office, currently under academic affairs, should report to enrollment management. She asserted, "I probably would take Records back. Records reported to me at one time. Now it is back under academic affairs."

In addition, the chief EM stated that her position is currently not part of the president's cabinet, and she felt very strongly that her position should be included. When asked whether it was politically motivated to exclude her, she disagreed and stated that her seniority and knowledge of recruitment make her a valuable player. She remarked:

> Being the 'chief EM' to me would make sense to sit on the cabinet. Because then that way I can give direct input and communication to the cabinet [that's] not being filtered through a third party….Well, obviously I have a history with the school I have been here for so long and … I am at an age where I say what I have to say.

Enrollment Challenges

The admissions director identified three challenges: 1) securing the resources to maintain the institution's positive image, 2) maintaining competitive academic programs, and 3) maintaining affordable cost by raising funds.

Securing Resources. Garnering resources for public relations is critical to maintaining College C's positive image. College C, the smallest institution in the study, used its limited resources to advertise College C using television commercials. The admissions director remarked:

> Admissions and recruitment...is the window that students come in or the door that students come into the college through. But it's not the only face of College C. The face of College C is about the entire college from a PR standpoint. So when the face of the college looks good, then we all look good. That is a challenge for us to maintain a very positive, high-visibility image in the community and nationally. That is the challenge for us to continue to do that. It is out there. But

> we have to continue it, and it costs money to do that. That is the biggest challenge, in my mind.

Maintaining Competitive Academic Programs. The admissions director stated that because students attend college primarily for academics, College C must ensure the academic programs meet the needs of the students. College C, due to limited resources, is challenged to maintain competitive academic programs. The admissions director remarked:

> The other thing I think is important is to make certain that we … have competitive, quality and marketable academic programs. Because students still select a black college like College C, primarily for academics. So we want them to have a quality academic [experience] because they want to go on and do other things—masters-doctorate-research, etc.

Maintaining Affordable Cost. College C is a private HBCU and receives no state subsidies, but it relies on tuition revenue and fundraising to survive. The admissions director stressed the need to maintain cost by increasing fundraising efforts. He said, "To keep our cost affordable, that's another big challenge … keep our tuition down. It is a private school, and we don't get state funding. So to keep our college tuition fees [affordable], we have to raise money."

Quality-Versus-Access Argument. The career services director and the chief EM were polarized on the type of student admitted at College C. The career services director noted that admitting low-performing students impact her ability to find jobs and internships for those students. Companies are requiring 3.0 grade point averages, and though admitting academically low-performing students may assist in meeting the institution's enrollment goals, these students pose a challenge for her office. She explained:

> Well, that's what I mean, how they generally recruit. If they recruit from low performance schools, then that's what we're going to get. So that means you've got to work harder to get them. If I'm am going to invite Price Waterhouse – and they're used to going to Harvard …I'm not saying we don't have students with high GPAs, but you have some [students] who do not, but they still come over here, and they want a job or an internship. And now for internship requirements, [students must] have 3.0 for most of them. So that's a challenge, I think. If they [College C] start from the beginning and [set] higher requirements instead of numbers—and I know it might hurt the numbers if [we] do that, but it won't be long. And then [we'll] get better quality students coming in, and then [our] numbers will still grow. And now we could really brag about the students and not just one or two of them or the three or four, you'll have 15 or 20 doing great.

In stark contrast, the chief EM stated that when the state system begins to require higher ACT standards, then College C, a private HBCU, will benefit from those students who were denied admissions to public colleges and universities within the State. The rejected students will be able to enroll in College C. She remarked:

> So the state requirements, state schools, now you've got to have a [X] score or better to go to school in the state of [X]. Which has helped the HBCUs in this state because we have what we call open enrollment but if you have a GPA of less than a 2.0 we have what we call an educational agreement plan. State schools are not even touching students with a less than a [X] score on the ACT so, if you have more than a [X] score then that means your GPA is going to be a 2.5 or better.

When asked what the state is doing for those students who are below [X score], she stated that they are being referred to community colleges. She remarked:

> They are referring them to the junior schools well a lot of kids don't want to go to a two-year school they want to go to a four-year school. So if you look at the enrollment trends across the country, you are going to see that for those liberal arts schools the enrollment is going to be higher because we are not set by state requirements [dictating that] the student can't come here because of this, this, and that. We are a little bit more flexible of who we can allow in.

Expanding to a Traditional Residential Hall Model. The chief EM explained that the maximum enrollment that the campus currently is able to support is 1,500 students and the institution's challenge is to expand to a traditional residence hall model. The chief EM stated, "We are trying to get new dorms built right now because of our

dorm situations. We have students in properties that we owned; we have to fix them up so that we have somewhere to put them."

University D

Institutional Factors. Four enrollment administrators were interviewed at University D: the chief EM, the assistant enrollment manager (AEM), and the directors of admissions and financial aid. There were three categories of influencing institutional factors that two or more administrators mentioned: cost, out-of-state students, and response time to inquiries. Two administrators differed on University D's competitors.

Rising Cost and Limited Financial Aid Resources. In contrast with University B's affordable costs, University D's enrollment administrators agreed that cost and limited institutional funds to support institutional financial aid negatively influence enrollment contributing to attrition and non-matriculates. The financial aid director stated that lack of resources influences enrollment. He remarked:

> I talked to a young man yesterday who came in and said, " You know, I just don't have enough money. I still owe 1,800 dollars, and I don't have any money. I thought "Okay we've got to figure out how to get you down… to get this money because he had every dime of [financial aid] eligibility.

The admissions director recalled his financial aid experiences in college. At one point, financial aid covered the full cost of attendance, but in recent years, students have been using other means to supplement their financial aid packages. He stated:

> When I went to school, and I never thought I would make that statement so to speak, but in '99 through around 2003-2004, financial aid was enough to cover the total cost of your tuition and fees for both semesters and you were able to get a refund. Now that's no longer the case. Financial aid covers probably just the tuition portion for the most part and students have to come up with room-and-board options and other things like that, so that is no longer the case.

Cost Negatively Influence Out-of-State Enrollment. Tuition, fees, and room-and-board costs prevent students from enrolling at University D and negatively influence the out-of-state enrollment. For most public institutions, out-of-state students must pay the full cost of attendance. The financial aid and admissions directors agreed that the cost of tuition for out-of- state students decreases high-ability out-of-state student enrollment at University D. He stated, "We have a lot of out-of-state students and their costs are significantly higher. They want to come but just don't have enough money …they come credentialed- ready as it relates to the ACT and high school GPA."

Delayed Response Time. In addition, most enrollment offices are processing units. The staff processes applications and other documents from prospective and continuing students. In this study, the admissions and financial aid directors mentioned response time as influencing enrollment. Each director expressed concern about a delayed response time and how lack of resources may impact the staff's ability to provide an expeditious response. Consequently, as a result of delayed responses from University D, prospective students might apply and enroll in one of the many surrounding institutions. The admissions director said:

> You have all these universities that are right here competing for the same students … it's not like from what I hear back in the day when African Americans were primarily going to go to an HBCU. Now they have so many choices.

To speed up response time, the admissions director uses technology to decrease processing time. Third-party recruitment software enhances communication with prospective students. He remarked:

> I think timeliness of responding to constituent requests, also processing, plays a big factor. I instituted a new process upon taking over admissions where we instituted a lot of technology to help us work smarter instead of harder. We

> looked at every process to determine how we can use technology to better this process. We subscribe to an enrollment management technology software system.

State System Technology Staff Impacts University D's Response Time. At the state level, University D is part of a university system, and technological resources are combined at this level. Each year University D's administrators wait for a system analyst to prepare the financial aid set-up modules, and these modules are distributed to the institutions within the state. The financial aid director stated that if the system analysts are delayed, then University D is delayed in awarding financial aid. She stated:

> Last year for the 2010/2011 years, it was probably April 1st before we got award letters out. Because there were some changes in the PELL tables and different things we were waiting on, and changes in how the institutional methodologies [were] calculated, and so forth. We understood from a technological standpoint, but we really wanted to get those letters out and awarding done.

College Information. The admissions director and the chief EM differed on how college information should be distributed to prospective students. The literature review highlighted hard-copy recruitment materials such as the admission viewbook as a major method used to recruit students (Jaschik, 2005; Hartley & Morphew, 2008). However, at University D, the traditional method has been challenged by technology.

*Technology versus Traditional Recruiting Methods***.** The chief EM preferred traditional methods of recruitment, while the admissions director preferred using technology. The chief EM stated that though University D employs traditional recruitment methods such as recruiting at college fairs, high school visits, and alumni involvement in the recruitment process, the admissions staff had abandoned mailing directly to prospective students and purchasing search names from testing agencies such as the College Board. The chief EM criticized the admissions director's technological emphasis and insisted that the admissions director purchase names from College Board.

In addition, the chief EM directed the admissions staff to mail out hard-copy letters to prospective students. The chief EM repeated a conversation that he had with the admissions director. He stated:

> It's just starting. It's just starting [referring to the technological emphasis in Admissions]. I will give you an example. We don't do any mail-outs. We haven't done any mail outs in years. Like, we bought search information for the first time this year in I don't know how many years. [The chief EM] said [to the admissions director], "so you don't identify populations that you want to target and mail them a letter to say "Hey, University D is here." [The chief EM answers], they haven't done that.

Outdated Recruitment Publications. For five years, the recruiters distributed outdated catalogs, brochures, and applications. The chief EM intervened and hired a third-party company to design and print a viewbook. Prior to the viewbook, the marketing materials consisted of a four-fold unprofessional brochure that the chief EM disliked. He remarked:

> There is a brochure that I have asked them to burn but they won't burn it because there are too many of them. And there's the bad thing that we did which was a four-fold but it was a stop-gap piece … because I said you've got to have something.

Technology to Decrease Response Time. Unlike the chief EM, whose main goal appeared to be increasing the number of students in the recruitment pool, the admissions director seemed more focused on decreasing the staff's response time to prospective students' inquiries. The admissions director explained:

> We subscribe to enrollment management technology software … and that helps us to automate our letter process, automate our labels with respect to folders, and also it has a communication plan. So when you're dealing with that [competition] you have to be the first to get to them so to speak and provide them with as much information as possible in a timely manner.

Federal Mandates' Influence on Enrollment. Although the chief EM's and the admissions director's recruitment methods differed, the financial aid director's

communication plan for prospective students was federally mandated. The federal government mandated that all institutions that receive Title IV funds provide a net-price calculator on their website. University D has complied. The financial aid director stated that the federal mandate for a net-price calculator opened communication with students. She remarked:

> Part of the Higher Education Reauthorization ACT (HERA) was a requirement for a college to have a price calculator. It allows a student or parent to come into [the institutions] webpage, click on a calculator, and put in some general information. It [then] spits them out a plan. Here's what you are looking at cost, and here's what your aid might be.

Admissions Requirements. The admissions director and the assistant chief EM explained that the State Board of Regents establishes the admissions requirements. Upon review of the Board of Regents (BOR) policy, the state establishes high school course requirements. The BOR, however, does not establish the acceptable high school grade-point-average score, nor does the BOR establish an acceptable standardized test score. Each higher education institution within the state establishes its admissible scores.

According to the chief EM and the admissions director, University D has a faculty committee that establishes the admissions requirements. To make changes to the requirements, the enrollment manager submits a request to the chairperson of the faculty senate. However, it appears that this process failed at University D. An example given is that the admissions requirements have an "or" clause instead of an "and" clause. In-state students who desire to attend University D must have a [certain ACT/SAT score] **or** a 2.25 grade point average or higher. Therefore, with the "or" clause, hypothetically, students could be admitted with a 2.0 grade point average or less if their ACT/SAT scores are high. For two years, the enrollment management team has submitted a request to

change the "or" clause to an "and" clause, but the faculty senate admissions committee has not reviewed their request. The chief EM stated:

> There is supposed to be a faculty committee on admissions, but the academic affairs folks can't determine who is on that committee, or who chairs it. And, so I have been asking the academic vice president for two years to get that change for us, and she gave it to the faculty senate. I think it kind of died there.

Costs and Enrollment Management. According to the admissions director, enrollment management does not play a role in establishing costs at University D; the costs, excluding housing, are determined by the State Board of Regents. The financial aid director stated, "The only thing that we set would probably be housing. It's kind of auxiliary type of funding….They set it (cost excluding housing) based on what the legislature is saying that they have to come up with, so to speak." Alternatively, the chief EM stated that the vice president of finance is ultimately responsible for submitting the cost and fee schedules, but the vice president of finance discusses potential cost changes with relevant employees or departments. The chief EM said:

> The VP for business and finance–we'll have discussions among us. She only talks to those who are relevant like me; he will talk to the VP of Academic Affairs, maybe about tuition. We will send our recommendations up to the Board.

Financial Aid. Though the financial aid process was improving, the chief EM was concerned about student behavior such as submitting late financial aid applications and applying for the maximum loan. The chief EM stated, "If we could get students to start earlier, we could be really good; we calculated the loan debt for the graduating class at $66 million in loan debt."

Out-of-State Students and Financial Aid. According to the admissions director, the financial aid process is very effective for in-state students but not for out-of-state students. He said that out-of-state students' lack of resources, limited knowledge of the

financial aid process, and family situations negatively impact their enrollment. He remarked:

> I think for an in-state student it's very effective, but for out-of-state students I wouldn't say so much. I think you have two factors: First of all, financial aid is no longer enough to cover that, but second of all we're dealing with a population of students that may be first generation, so to speak, and may not understand the forms. The parents may not be in the home, different things like that a lot of times, not every case. So there's a lot of confusion, learning curves with respect to it.

Streamlining Financial Aid Processing. The financial aid director explained that she had made significant changes to improve the financial aid process within the last few years. She attributed these changes to her corporate background and her ability to create a smooth-flowing process, eliminating bottlenecks and confusion. She stated that the financial aid office's goal was to assist admissions in reaching their enrollment goals. She remarked:

> I have made, I feel like some significant changes over the last couple of years. My background is corporate. Everybody else that I have come in contact with graduated and then started their job here the next day [*laughter*]. There's that perception and [I have] a different mind-set, different thinking and coming from a different background, coming from a different perspective with relation to processing and organization theory…changing the mind-set back here of our seasoned counselors if you will. You can't treat them all like they are your nephew or your niece. These are our customers. Our goal, my goal coming in as the director was to improve the ease of doing business.... So my objective was to eliminate any bottlenecks, any impediments, anything that prevented this part of the process from flowing smoothly.

Retention and Enrollment Management. A retention committee does not exist, according to the chief EM, the financial aid director, and the assistant chief EM. On University D's campus, no one is directly responsible for retention. The academic affairs division is responsible for academic advisement and enrollment management is responsible for new-student orientation; however, the assistant chief EM stated that

retention is everyone's responsibility: "No, I wouldn't point to one office, because it's the university's responsibility."

The chief EM and the admissions director mentioned the College Completion Act and its implications on the University. Under the College Completion Act, a university's retention outcome is factored into state subsidy funding formulas for public institutions. The chief EM believed that University D's recruitment emphasis needed to shift to retention or find a way to balance recruitment and retention. In addition, the chief EM stated that raising the academic requirements could attract a better, more qualified student. He remarked:

> There are some alums out there and other people who recognize that we can't keep going this way. And so you look at who we are drawing—in-state, it's horrible. We get the dregs of the dregs of the state. And college completion is going to exacerbate this because [students] who are worth their salt are going to want to go to the large PWI for that state. They're not even going to want to go to [HBCU X]; they are not going to want to go to [HBCU Y] or any of these middling institutions. And my theory was that the bad students are going to drive good students out eventually. Because what you see across campus and in classrooms are people that are not ready for college, acting a fool. And people that are serious about college are going to go 'Why am I here?' So my theory – what I propose to the president—is let's go small intentionally. Let's plan to go small and then let's plan to go small with quality students and try to rebuild that way rather than just try to bring in warm bodies. See, the formula funding model before was warm bodies. It was supposedly "access" for as many students as you can get in before that cutoff date. You've got money? But they didn't care what they were bringing. Just, are they breathing?

Financial Aid Offers. The administrators discussed how institutional processes impact financial aid offers to students. The chief EM specifically highlighted four institutional processes that impact financial aid and influence continuing student enrollment: 1) the registration-purge process for lack of payment, 2) satisfactory academic progress (SAP), 3) lateness of student application, and 4) the scholarship/grant

awarding method used by academic departments to award departmental grants to students.

Registration-Purge Process. Students who enrolled in classes have 14 days to pay their bills or make arrangements through financial aid. If students fail to comply, then their registration is purged from the student enterprise system. These students are no longer able to enroll.

*Satisfactory Academic Progress (SAP).*The institution's academic progress requirements differ from financial aid's SAP requirements which more stringent than the university's requirements. This policy's incongruences may cause more students to be denied financial aid and thereby impact student enrollment. The financial aid director stated:

> Well, two other ways, too: satisfactory academic progress and university academic progress. We are finding that a number of students get to their sophomore year and may have not met the 66% threshold. They are no longer eligible for financial aid, and they have to pay for school themselves. "Pay myself That's it." They are out.

Student Financial Aid Behavior. Students completing the Free Application for Federal Student Aid (FAFSA) and turning in the required documents past the deadlines also impact the staff's ability to award aid. Financial aid staff must verify FAFSA applications by reviewing documents to determine the accuracy of the information on the FAFSA application. However, the chief EM stated, "….and lateness. Students are just late doing things."

Scholarship Awarding Philosophy. Scholarships and financial awards are not centrally managed at University D. According to the chief EM, coordination of financial resources does not occur in the academic departments, because faculty members are

reluctant to award departmental grants and scholarships. The financial aid director explained, "The academic departments often hold them [grants and scholarships] till the very last minute. We are into crisis [management]. You will hear people talk about saving students."

Lack of Resources. The financial aid director explained that University D does not have institutional funds to award students who have a high unmet need. Without an ability to pay, students are not allowed to continue. The financial aid director remarked:

> I think cost and funding obviously tied together are influential. We don't have that kind of institutional funding to package students that have high need. We can't meet them and it is disheartening when you have students sitting in front of you and you know their parents can't help.

Enrollment Goals and Strategies

Enrollment Goals. There appeared to be varied opinions about how enrollment goals are established at University D. Each administrator provided a different method.

Historical Enrollment Yield. The admissions director stated that their enrollment goals are established from historical yield. The staff reviews the previous yield numbers from the high schools and sets recruitment goals for those enrollment-yielding high schools. Also, the admissions staff targets high schools that have academic programs similar to University D's majors. The admissions director remarked:

> The recruitment team does research to see how many students they may have gotten from one school, and they pretty much target those schools because they know that there are some leads that are going to be there. We also have some high schools that have certain things, specialties so to speak, so we target those type of academies that they have within those high schools to try to get those students to actually attend.

Disagreeing with the admissions director's response, the chief EM stated that prior to his administration, there were no goals. He said, "Up until now it's just been get

as many as you can. There haven't been any goals." As the new chief EM, to establish recruitment goals, he began to ask questions, prompting a more strategic and data-driven approach. He stated, "[I] started asking questions. We have to develop a baseline; do we know what we are talking about? So how many college fairs do we do? Where are we spending our money and do we continue to invest in that?"

Uncertainty of Recruitment Goals. As the chief EM questioned the direction of the recruitment efforts, other members of his team were unaware of the recruitment goals. The financial aid director stated that she was not aware of the recruitment goals established by admissions. "We don't really get in the loop on their goal-setting. We know their general thought processes on it. In terms of, we are trying to expand our in-state stuff." The assistant chief EM contradicted the financial aid director's unawareness of recruitment goals. The assistant chief EM stated that the weekly enrollment management meetings conducted by the vice president informed all participants of goals and strategies of each department. When asked whether admissions shared the enrollment goals with financial aid so that they know what admissions is trying to accomplish each semester, the assistant chief EM stated. "Yes, in our enrollment management meetings, financial aid, admissions, recruitment, we discuss our yields, our admission deadline dates, financial aid deadline dates."

Financial Aid Goals. However, when specifically asked about establishing goals for financial aid, the financial aid director stated that she establishes goals based on improving or maintaining a process outcome such as decreasing award timing or ensuring that students who leave voice mail messages receive a returned call. The financial aid director said, "I try to set stretch goals. What is the best we've done and see if we can get

there and stay there; it has to do with turn-around time for paper work. It has to do with phone calls."

Individual Goals versus Departmental Goals. The assistant chief EM discussed how individual goals, including student enrollment goals, are established during an employee's evaluation process. The employee develops goals, and the vice president may add goals to an individual's performance evaluation. She stated, "Goals are usually set individually. We set individual goals, meet with our vice president, and then he also has goals that he will set that build off of those."

In summary, the four enrollment administrators used different methods to establish goals for student enrollment. The admissions director used data from historical yields to establish goals for recruiting new students. The chief EM stated that baseline data is needed to ask and answer questions regarding direction and mission. Therefore, the chief EM uses a Socratic method for establishing goals; through his questioning, he evaluates the current practices. The assistant chief EM stated that goals are established during the employee performance evaluation process at University D. During the performance evaluation, individual goals are established with input from the chief EM. The financial aid director uses brainstorming with staff to establish goals aimed at eliminating processing predicaments for students. Information received from attending professional development conferences augments the brainstorming exercises in financial aid. However, because the administrative cost is included in the general operating budget and is not managed by the financial aid director, the professional development opportunities for financial aid staff are limited. Referring to attending professional conferences, the financial aid director stated, "We are the last in the financial aid realm.

There are national conferences, federal conferences, state conferences; there are regional conferences, there are local." When asked whether the financial resources were available to attend these conferences, she stated:

> Not as much as we like but we work really, really hard to hang on to that money. The Department of Education gives us administrative cost allowance. In the school that I used to be at, it was kept in a separate fund, it was closely monitored and it was always used for training, for travel for new computers if I you need it. Here it is dumped into our general operating budget.

Recruitment Strategies. The admissions director listed several strategies including the enrollment checklist, and a comprehensive admissions packet as examples of recruitment strategies. He stated that the strategies were developed by reviewing past strategies, analyzing student surveys from their third party recruitment software, and receiving student feedback from one of the social media. The admissions director stated, "Well, I think it was based on…we did some surveys.... Then we… looked at our 'social media' page, and we kind of let students say what they need to say so to speak to get honest type of feedback."

Though the admissions director used historical yields as a strategy, the chief EM challenged this method and highlighted how viewing only previously yielding high schools prevents diversity at University D. The chief EM said that the recruitment efforts need to expand to include predominantly white high schools. He remarked:

When I met with recruiters initially, they don't go to East [X] [He asked them], "Why don't you go to East X? [They answered], "They aren't coming to University D." [He asked], "Why are they not coming to University D?" And when I drilled down, it's because they are white, and [they] aren't going anywhere white. We are going everywhere. That was part of the strategy, I guess. The other part of the strategy was I went to every alumni regional and I made a presentation to every alumni regional and I said we've got to change. And not only do we have to change how we do business, we have to change the students that we are looking for.

Retention Strategies. Retention units at University D are part of academic affairs, and the retention efforts are led by academic affairs. The enrollment management administrators are not directly involved in retention. However, once the College Completion Act is implemented, the funding formulas shift from recruitment to retention; therefore University D's subsidy from the state, according to the chief EM, will be based on retention outcomes. The admissions director and the chief EM explained the potential impact to University D if the College Completion Act is instituted. He stated, "We have to start looking at, how many of our students if the College Completion Act was in effect today, [who] would not have been admissible, and what type of cut [to enrollment would occur]?"

Enrollment Strategies Evaluated. According to the chief EM, the enrollment strategies have not been evaluated. The staff members recruit at high schools on the basis of traditional historical yields versus using a strategic enrollment approach that defines goals and new markets. He also stated that they attend any college fair that claims to be for HBCUs and that there are no formal evaluations of the enrollment strategies.

Financial Resources to Support Strategies.. The admissions director mentioned that financial resources are inadequate to recruit out-of-state students. Cost prohibits out-of-state students from attending University D. He stated:

> Students in the Midwest and Southeast love [University D] and we had a game, but it's like we go there and we recruit them, but they're going to be looking for money 'cause they're not going to be able to pay the out-of-state tuition. So I think in our recruitment strategy, [lack of] scholarships or the funding for out-of-state students is a big hindrance.

Enrollment Strategies Prioritization

Enrollment strategies are prioritized on the basis of funding, combining recruitment with other campus events, reviewing historical yields, and using alumni to recruit**.** The admissions director stated:

> [The enrollment strategy is] … probably based upon funding at the time. We piggyback off of a lot of [football games]. Like I said, they draw huge audiences, and then we go to high schools. We have recruiters that are designated in different areas across the state, and they go to high schools and try to recruit students based on the data that we have, and then we have our alumni in recruiting areas that we can't get to.

Enrollment Management Organization

The enrollment management organization was adequate at the time of the interviews. The enrollment management organization consisted of admissions and financial aid offices, and the directors reported to the vice president. However, since the interviews, the new president has dismantled the enrollment management division.

Enrollment Challenges

Compliance With Changes in the Law. Under the College Completion Act developmental courses would not be offered at four-year colleges and universities; therefore, students requiring developmental courses would need to attend a community college. The chief EM and the admissions director expressed uncertainty and concern about enrollment at University D because a large percentage of their incoming freshmen are required to take developmental courses. The admissions director stated:

> Well, there are things that we have to do. Because also part of college completion, four- year institutions will no longer be able to offer developmental studies courses. Seventy percent of our students are enrolled in developmental studies courses, so we will lose all of those dollars.

Leadership Instability. The chief EM stated that although University D had a president, the president merely held the title and did not function as the president. Politics at the system level precipitated the impending replacement of University D's president. Therefore, the president's departure was forthcoming, though he was allowed to stay in the seat for a year. The chief EM said, "And really, the institution is not ready to go all the other way. There are so many conversations that we need to have that we are not having in part because we don't have a functioning president."

Factors Contributing to Decreased Enrollment. The admissions director and the chief EM agreed that the decrease in enrollment in a prior year was due to several compounding factors including implementing Banner, their student enterprise system, a decrease in out-of-state enrollment, and negative press. The admissions director stated:

> We took a huge hit in [year]. I think a lot of that was due to a lot of different variables at the time, maybe moving to a new system. We were moving to the student information system. I think also we had a 20% drop in out-of-state enrollment so that may be the year that the bubble burst so to speak as it relates to financial aid being enough to cover a student's tuition for out-of-state. Well, there was an article at the time from consultants that based on their assessment, and it came out during the week of registration, so it may not have viewed us in a good light so to speak. Well we brought it in, but then somehow it was leaked to another entity and it was blown all up on the newspapers and—yeah bad press.

Staff Entrenchment at HBCU -- Institutional Identity Affinity. The admissions and financial aid directors and the chief EM stated that staffing was a challenge at University D. Though each of them expressed their challenges differently, the challenges were related to the HBCU culture and being a land grant institution. The chief EM mentioned that some of University D's professional staff members are alumnae of the institution and staff entrenchment and entitlement influences working relationships.

The chief EM discussed the "old versus the new guard". He had two staff members who were alumnae and had worked at University D for over thirty years. He said, "I probably worry too much about all of the alumni connections. Also the Greek letter connections are big here, too. That's also important. And so I have really tiptoed around them. Those are two folks that we work around." The financial aid director stated that replacing or moving people into the correct position is difficult if not impossible at University D. This difficulty is partially due to staff entrenchment and institutional identity affinity which will be discussed in Chapter 5. When asked about the challenges, she stated:

> …getting the right people in the right places. Because of the bureaucracy involved even if you have staff who aren't in the right place, it is very difficult to make those changes. Here particularly, not just for myself, but I'm speaking on behalf of other department heads. We have communicated this. When you have somebody who has been here and are vetted and been here for years, and they know everybody including God and their sister works over in that department and their uncle is here and their whole family went here even getting the cooperation from a human resources side to do what has to be done, to be successful to be efficient. It can be difficult. There is a real sense of entitlement when it comes to jobs here. [They will say], "But I graduated here and I have been here and I have done this and I have done and that's my job and that is my chair."

Staff and Technology Transitions. The admissions director stated that his greatest challenge was to transition the staff from manual processing to technology. He said "I think that the biggest challenge that I had initially was trying to get the staff members who had kind of been living in 1970's as it relates to processes to see that it can be done a different way."

Enrollment Leader and Ageism. In addition to this challenge, the admissions director, as an alumni and a young professional, supervises staff who once supervised him. He stated:

> And I think another thing being I think I'm young but confident too, so that's not really a challenge for me. I think it may be a challenge for other people because they see that I know. A lot of times initially when people meet me they think, "Okay, he's the director of Admissions?" Yes, so it's just like … but then when they kind of see what you know everything is good, but then you have people who felt that they could not report to you and they could not embrace the change.

University E

Institutional Factors. Four enrollment administrators, the chief EM, the retention coordinator, and the admissions and financial aid directors were interviewed; content analysis was used to determine the statements' frequency and the thematic categories. Influencing factors such as location, unique academic programs, nurturing environments, and beautification of the campus facilities were mentioned by two or more of the administrators.

Location. The admissions director and the retention coordinator stated that University E's rural location adversely influences initial enrollment but students eventually adjust to the environment. The admissions director stated, "We're more in the country, you know. …And it's a culture shock to them because there's actually a lot of space to walk around. There are actually little seasonal bugs …. But it takes them a while to get used to it." The retention coordinator's opinion about University E's location differed. The coordinator stated that the rural location was attractive to urban students and parents because the rural environment provides a perception of safety. She remarked:

> I think that they come for the location. Although a lot of people think that the location is a liability. I think that it becomes an asset if you are [from] an urban area. So I think that parental influence to have children close but in a perceived safe community and I think that this is a perceived safe community.

Unique Academic Majors. The chief EM and the retention coordinator agreed that University E has unique academic majors. To protect the institution's anonymity, the unique majors mentioned by the enrollment personnel will not be listed. The chief EM stated that the reputation of specific academic programs attracted students and University E's ability to be among the few universities offering specialized programs influences student enrollment. He stated:

> The university has a very good reputation with our X program, Y program, and our Z program. We're the only historically black institution with a Z school. So that is very attractive, surprisingly to not only African American students but to white students.

Nurturing Environment. The chief EM and the admissions director agreed that the nurturing environment of University E influences student enrollment. The chief EM stated, "… that nurturing environment is also something that allows us to attract a significant number of students in our area." The admissions director agreed that the nurturing environment was influential, but when asked whether he thought the nurturing environment was due to the small size of the university or its being an HBCU, he stated that the nurturing environment came from its being an HBCU. The admissions director explained:

> The staff, they actually kind of look after your students like they're their own. They [the students] don't get the notion that they're just a number when they come. They like the deal that they can stop by the professor's office at any time and get help. They can come to Administration no matter whether to the president or the vice president and get one-on- one attention. So that's a huge thing when it comes to the students….I don't want to be biased but I think it's because we're an HBCU. The love for the student is here.

Campus Facilities. According to the admissions director, the retention coordinator, and the chief EM, students attend University E because of its facilities and the beauty of the campus. Of those interviewed three fourths of the team agreed that

University E's campus was a factor that influences student enrollment. According to Green (2011), this institution is ranked as one of the top 20 most beautiful historically black campuses. The admissions director explained, "But once they get to the campus and they see how beautiful it is, they're sold. So if we can just get them here. That just the beauty of the campus itself is very attractive." The retention coordinator agreed, "And so I think that once they come to the campus. This is a beautiful campus. I think that makes a difference. I think that helps." Though the chief EM agreed, he challenged stereotypical views of HBCU campuses. He stated:

> We like to think visually that when people come here they are just taken aback by the institution. Now, you know I've heard people come and say, "Oh my God, the campus is beautiful. I was surprised." Well, I don't know if that's a good surprise or it's the stereotypical "I didn't think an HBCU could look this good." But whatever it is and for whatever reason, I think all of those factors play a significant role in our recruiting students that are from this area and that are probably within a 100-mile radius.

College Information. During the last two years, University E has been transitioning from traditional/manual recruitment methods to more technologically based recruitment methods. The admissions director and the chief EM agreed that students are changing in the way they receive, review and process information; therefore the methods of communication must change. The admissions director stated, "I've worked hard to keep us up with technology because the students are changing so much. They'd rather text you or they'd rather e-mail you and meeting them on that end, on their level has been very, very important." The admissions director explored additional technological methods including social media to communicate with students and criticized the traditional direct mailing efforts. He stated:

> This generation is too technologically savvy for us to continue to use one mode of operations, sending them some snail mail hard-copy of something and

> thinking that they're going to do back flips now that University E has sent me this letter.

Institutions' websites provide information to prospective students and the larger community. Like University B chief EM, University E's chief EM criticized his university's website. He stated that the website should be inviting, user friendly, engaging, a place to easily find information about the university. The chief EM complained, "Our website is horrible. It has to be improved … more visually friendly and [become] more [of an] informational friendly website. It's too content heavy. It's boring. [The website] is our window to the world."

Like University A, University E uses a third-party software system to attract and maintain an electronic relationship with students. Any inquiry once keyed into the software becomes part of the admissions communication plan with prospective students. The students receive postcards for upcoming events, email blasts, personalized urls, and colorful microsites that provide institutional information. The microsite becomes a one-stop information center for prospects. The admissions director explained, "We welcome them to the site. It's colorful. It's a lot more attractive than what we had. But it allows them to basically get all the information they need right there in one-stop-shop."

Though the use of technology is a priority for University E's enrollment team, the chief EM agreed that producing hardcopy recruitment documents, i.e., view books and search pieces would continue for parents. Parents are not believed to be as technologically savvy as their children. He stated, "But we—because many parents still like—see, the parents are not on Facebook. So that's why there's, as you know—you know we don't balance. And the parents still like to walk away with something tangible." University E has television commercials and a publication marketing team as a

part of the admissions office that reports to University E's admissions director. No other college or university in the study had a publication marketing team as a unit within the admissions office.

In summary, University E is transitioning from traditional methods of distributing college information to using electronic methods to advertise the institution and communicate with prospective students. Cabrera and La Nasa's model includes college information as influencing enrollment. However, this study's findings demonstrate that college information distribution methods are changing.

Admission Requirements. The chief EM stated that the admission requirements are established using existing student data. In addition, the chief EM meets with the academic affairs vice president and assistant vice presidents to discuss admission requirements though the admissions requirement dichotomy between access and quality exists at University E.

The chief EM added that the admissions team uses existing pre-matriculation data such grades, courses taken, the high school and/or community college attended by students to established trend data of matriculated students. This data is used to establish admission requirements. The chief EM said:

> We take that data, put it back in our feedback loop and say, this is our profile of students, and students who come from your school have been able to achieve this at that institution. And we look at your data in those types of ways.

The chief EM discusses the admission requirements with the academic affairs leaders and University E is the only institution in the study that included enrollment management as a standing item on the faculty senate agenda. He stated:

> I have a conversation with the vice presidents—vice president of academic affairs and then [name of person] who is the assistant vice president of academic affairs.

> We talk about these things to makes sure that the type of student that we're looking for has the academic rigors to be successful here in engineering, in [tough major], in [another tough major] and all of those particular areas. I go to the faculty senate meeting every week. In fact, they have a piece carved out for my [division]. So that way because I'm big on communicating, that way we can talk about new programs, services, all these things and they can also—we can also hear from them, they can ask questions, and those things.
> That enhances our communication to and from.

The admissions director mentioned the dichotomy between University E's historical mission of access and the pressures to become more selective. Like the director of career services at College C, he supports raising the admission requirement. The admissions director remarked:

> Well, they've [the requirements] changed a little since I've come in. HBCUs are pretty much known for giving students a chance who would not be normally admitted to an Ivy League institution or whatever. So generally most of our requirements are lower—you can't require only a C average and then expect them … then tell them they have to go above and beyond once they get out there…. And that's why I'm adamant about raising requirements, not that it's gonna get rid of all of it, but we just—you want more of a serious student who's going to graduate in four years or has a plan when they come. You know they need to come to the table with a whole lot more.

Cost and Enrollment Management. University E is part of a state system, and each university administration must select its tuition increase within the range established by the state. University E's administrators review financial aid data, mean salaries of matriculated students and families, and market share of matriculated students, and this data is compared to University E's competitors before increasing costs at University E. The chief EM, who is a vice president, is involved in setting tuition costs. He stated:

> Yes, we bring in financial aid profiles. We look at the actual market share of where students [are] coming from…. We look at the actual mean salary of individual household. All of those factors come into it. Listen, if we go 5%, we're going to price ourselves out of our market share, or we're going to price someone out of the opportunity for an education. So where [University X] and [University Y] and everybody else may be able to do 3-4-5%, we may, looking at

> our data … All right, let's not pull things out of thin air. Let's be data driven and the data says, you know what? We believe our students can live with a 3% increase. Balance that with, you know, everybody with salary raises, the cost of electricity is going up, and all of those things and so on and so forth.

The financial aid director, on the other hand, stated that he is not involved in setting tuition costs but is responsible for setting the cost of attendance used in calculating financial need.

Retention and Enrollment Management. The admissions director clarified his role as recruiting students who have the ability to achieve academically at the institution. However, he stated that retention data is needed to determine the type of student that would be successful at University E. This data would inform admissions of the type of student to recruit. He remarked:

> You know somebody in the faculty senate somebody who can bring the retention data from a specific program and key players who can sit around the table and we can all just kind of talk about what type of student we want to see from now… They haven't been happy with students' math skills. Some of their—you know they've had some issues with some of the students who come with a lack of reading skills, stuff like that. That's been a problem.

The financial aid director's role with the retention efforts has changed. The financial aid director currently serves on the institution's retention committee due to the chief EM's influence (Ward, 2005). Prior to the hiring of the new chief EM, the financial aid director was not on the retention committee. The chief EM's intervention is an example of the matrix model (Kemerer et al., 1982). In addition, the financial aid director stated that his office's involvement with the retention effort was related to a retention grant. At one point, he was given a financial aid counselor to work with at-risk students to prevent these students from dropping out. However, after the retention grant ended, this position was abolished.

The chief EM stated that his role in retention was to ensure that all parties that are directly involved with retention collaborate to improve the retention efforts and to review the data. The chief EM is a vice president and can collaborate at all levels of the institution to gather the necessary data. He remarked:

> See they have never looked at data. So if we have school X from X County and we know that we get a considerable amount of students from them, and we track those students once they get here and we see these students are not doing well, then all right what programs do we specifically need to develop, enhance, or expand to target these students to help them once they get here so that that first-year foundation is solid? I think better looking at letting the data to drive what it is we should be doing for particular populations of students … as opposed to saying we have this program.

The retention director's role in retention appeared hindered by the political environment of the campus. First, the retention office had been moved to enrollment management approximately two months prior to the interview. When reporting to her former division, the retention director did not have the autonomy to influence retention so she was delighted to be under the new division. In addition, she stated that the institution's retention committee did not have a cross section of campus constituents, and the members selected to serve were not those who could impact retention. She explained:

> We had a hand-picked, hand-selected retention committee, and I was supposed to serve as the co-chair. They do things on paper to make it look really good. But I really wasn't the co-chair. The people selected were all faculty. We need to have dining service, student activities and admissions. It was all academic affairs and selective individuals who would go with the program.

After she moved to student affairs, she was not invited to any retention committee meetings being held in her former division. She stated, "I don't know. I have not received any emails since we shifted over. I have not received any emails about it but they have been in existence for three years now."

Financial Aid Offers. Due to limited resources, institutional aid offered to students is inadequate; therefore, students are borrowing additional funds. Out-of-state student enrollment is impacted by lack of institutional funds for grants and scholarships. In addition, members of the institution differ on who should receive the limited institutional funds—the dichotomy between need-based and merit-based aid.

Loan Default Rate and Financial Aid as Social Welfare System. The financial aid director stated that lack of finances impacts student enrollment, and the student loan default rate for University E is high because students are borrowing not only for school but also to support their families back home. She said:

> We've talked about that because our default rate—we're the highest HBCU in [the state]. But with those students, we find that some students are in college but they're still trying to support those families back home. So say, "Yeah, I know my tuition fees are paid, but Grandma needs or Auntie needs or I got to pay my mom's rent, you know, that kind of thing."

Out-of-State Students Maximum Loan Rate. In addition, the financial aid director stated that out-of-state students are reaching the maximum loan amount allowed and are unable to re- enroll. The federal government has set limits on the amount students can borrow and out-of-state students reach these limits faster than in-state students. She stated:

> I think we have a very high number—and I don't have any hard data, but we do have a high number of students who hit that aggregate limit, especially if they take more than four years to complete their degree. Because when you're out-of-state and you have a zero EFC [Expected Family Contribution], you're generally talking a full-subsidized loan, the full un-subsidized loan, and the full additional subsidized loan … you know, so the out-of-state [student] in particular is very hard to finance.

Scholarship Awards: Need-Based versus Merit-Based. The chief EM agreed that the lack of finances impacts enrollment; however, he stated that University E needed to change its award type from merit-based awards to need-based awards. He stated that

80% of the awards given to students were merit-based, and he desired to see more need based awards. He remarked:

> When you look at the retention side of it, the bulk of our students have greater financial need and they don't meet a lot of the academic requirements to be in the top 10% of their graduating class. So those students are the ones who a year or two years in are in need of some financial support if they're going to keep going, and we've not gotten there to where I'm satisfied that the need-based should have a greater presence. I would like to see at least a 50/50 split.

Enrollment Goals and Strategies

Collaboration: Retention/Attrition Informing Recruitment. According to the chief EM, the Admissions office establishes the enrollment goals. The admissions director and the registrar collaborate to determine the replacement factor caused by attrition and graduation. The chief EM remarked:

> The Office of Admission…working with the Registrar's Office, they say, "Okay, listen, this is what we need for the incoming class to make up for students that we lost through graduation, who didn't return that next semester, so on and so forth." So we say, okay, we come up, we need to not only maintain our current enrollment status but to also make sure that we can deal with students who are going to fall out along the way for various reasons.

However, the chief EM's statement that admissions and registrar staffs collaborate develop the enrollment goals contradicts the admissions director's statement. He stated that the enrollment headcount numbers are given to him and that he does not collaborate with the registrar.

Role of Chief EM and Admissions Director in Establishing Goals. Though the headcount goal is developed by admissions, the chief EM develops the goals that shape the class and the goals to increase the admissions requirements. The chief EM explained, "What I want everybody to understand is that as we increase our admissions

requirements, we're going to take a dip in our enrollment, in our undergrad enrollment, which is natural; and we have to live with that as a university and move through."

Recruitment Strategies. University E's admissions director uses brainstorming and group evaluations to develop recruitment strategies. The strategies are developed by the staff. In addition, University E meets with the academic affairs division to learn about the academic programs. The chief EM believes that recruiters should be informed about the institution and the academic programs to better market University E. The chief EM stated:

> So when we assess our campus programs and so forth, that's the information that our recruiters use. They actually—well, they also meet with the academic schools to get a very thorough understanding in programs, the national ranking of faculty. All of those things are what they should be sharing—they better be sharing—with families, parents, potential students, guidance counselors, and so forth.

Retention Strategies. At one point, the retention strategies were developed by the chief officer of the retention director's former division and handed to the retention director who had no input into the strategy. With her area now placed under enrollment management and considering the new chief EM's style, the retention director hopes that she will have more autonomy in developing goals and strategies. She stated:

> I was a part of [my former division] and Dr. [X] left. He was not reappointed to his position. So within six months I received a new supervisor…. I was kept on but I had no power, no authority… all of those were taken out of my hand.

When asked about the retention area being placed under enrollment management, she expressed a sigh of relief and an appreciation for the transition partly due to the chief EM's management style and his knowledge of student development theories. She remarked:

> The difference is it feels like coming home. First of all, it's a beautiful thing. Because I feel like Dr. [Y] understands the ideology not only of retention but

> student development and being such a student development baby having been in the field for 30 years now, he understood my language immediately. He also trusted my judgment. He has asked my opinion. He has communicated with others what he sees my role as. I feel he actually values my contribution.

Financial Resources to Support Strategy. The admissions director stated that the budgets are inadequate and funds are not available for new initiatives. To supplement the recruitment budget, University E hosts an event. The admissions director said, "They come right here. And we charge for it, so that puts some money into the budget that we can use to take our professional development trips, because if it wasn't for it, we wouldn't have the opportunity."

The financial aid director discussed the tuition discount that University E uses to support student enrollment. The resources for institutional awards to students have grown to over a million dollars and this amount appears to be adequate according to the financial aid director. In addition, at University E, the president garners scholarship funds that may not have been used by a certain time from academic affairs and other divisions. He stated:

> At this point it's about $1.8 million. As a matter of fact, what we try to do this time of year is identify all the departments and other people that have unrestricted funds that they haven't awarded and then [the president] takes that money and puts it in my pot. So we're actually—right now we know that we could clear every zero EFC student balance with about $290,000.

Enrollment Management Organization.

Like University D's, University E's enrollment management division reports to a vice president for student affairs. Admissions and records report to the enrollment area, while retention and counseling services report to the student affairs area. However, each area reports to the vice president for student affairs. Financial aid and student accounts report to the vice president for finance. Although there is the division model for

enrollment management, University E's chief EM uses a matrix model. The chief EM expressed his belief in communicating and bringing people to the table. The financial aid director and the bursar attend meetings scheduled by the chief EM. The financial aid director stated that there is great collaboration between the two divisions. Collaboration occurs not only at the director's level but also at the vice presidents' level; all vice presidents attend a weekly meeting to discuss and negotiate. However, it appears that the vice president of student affairs, according to chief EM discourages other vice presidents from making work requests of the enrollment directors. He stated, "You know now one of the things that I have had to do since I've got here is kind of push back on some people and get their hands out of the enrollment piece."

Enrollment Challenges

Understaffing and Employee Morale. The admissions office is understaffed, according to the admissions director. Without adequate staffing, the response to an inquiry by prospective students or parents is delayed. He explained:

> We're understaffed. That's huge. We could handle a lot more and have a quicker turnaround. From our office standpoint, a quicker turnaround I think is definitely … necessary…. But we definitely need more recruitment staff. That's a hindrance to us. We need more people on the front end to put applications in.

The financial aid director agreed that understaffing creates a problem. Although he has financial aid counselors, his request for an assistant financial aid director has been denied. He was the assistant director, but when he became director, the assistant director's position was never replaced. The financial aid director stated, "My greatest challenge, I think, is the fact that I don't have an assistant director. I'm the only student service area that does not have an assistant director."

The admissions director affirmed that the lack of resources restricted staff compensation, though the staff, by working additional hours, remains committed to the HBCU mission. This inability to compensate staff adequately leads to low morale and unpleasant working conditions. He said, "Because we're always asked to do more with less, and we don't want to stress people out. Customer service is king—they [the staff] get stressed out at times. So I would say that is probably the top problem." The chief EM agreed that lack of staffing and lack of resources for staff compensation are challenging for him and the staff. He agreed, "I just think that staff size puts a lot of work and pressure on individuals with the number of applicants that we deal with and the traveling and the quick turnaround time that I'm expecting and all of those things."

Sharing Enrollment Success and Failures. The chief EM believes that enrollment outcomes should be equally shared by the campus constituents. The chief EM pointed out that everyone wants to share in enrollment successes, but the admissions staff bears the blame when enrollment decreases. He remarked:

> You know, one of the disappointing things about admissions and the enrollment piece is that when the university meets its goal, everybody is high-fiving and there's pats on the backs and so on and so forth. But when we fall short, everybody blames it on admissions.

Territorialism. The financial aid director stated that territorialism of the academic affairs division presents challenges for him and the institution. Certain faculty members who fail to collaborate are likely to make decisions that could potentially place the institution in jeopardy of non-compliance. He stated that federal regulation requires that all financial awards given to students be recorded in the financial aid office. In addition, offering courses in a new location requires approval from the Department of Education. The financial aid director remarked:

> If I'm gonna be very honest, I think one of our greatest obstacles is the territoriality of academic affairs. Student affairs and administrative affairs work very well together, but when you try to cross over into that academic arena, they're very territorial and very defensive.

Institutional Identity Affinity. The retention director agreed that territorialism exists at University E but she attributes territorialism to the university's family culture/nepotism. She believes the family culture destroys the cohesiveness and unity of the larger African American culture. According to the retention director, University E employees appear to treat those employees who are from University E or the surrounding community different from those employees who are considered outsiders. In addition, nepotism appeared prevalent at University E. She stated:

> The campus is one of the most unique campuses that I have ever worked on. If you are from here, a relative; we have a lot of relatives. Enrollment person is his first cousin and Ms. X is his first cousin. And then Dr. X supervises his wife, who is in [X program], and then you know somebody in this department supervises their sister. And people would come up to you and say, "I am not going anywhere because that is my cousin and I work here and such and such—we live here." It is that family thing that you are on the outskirts of, so that family thing gets in the way of the cultural unity of who you are, because you are family first, immediate family before people see you as a collective part of the struggle within society and our success as a people.

The chief EM did not graduate from University E and did not grow up in the surrounding community. He explained his views on the undying loyalty and commitment of many of the employees to University E and their fear of outsiders who could change the culture of University E. He remarked:

> But more so it's because many of the people here, like many institutions—not just historically black institutions—but I think more so at historically black institutions is that many of the people here went to school here. Now they work here and they bleed this university. It is everything to them, and I can appreciate that. And for someone like me who spent the bulk of his career at predominantly white institutions, you are not about to come in here and make this institution white.

The retention director agreed with the chief EM regarding the fear of outsiders. The retention director explained that the history of the institution, its land grant status, and its rural location contributes to the employees defining their identities with the institution resulting in territorialism on campus. Those employees who are from the area define their status in society on the basis of their jobs at University E; their identities are tied to University E. Institutional identity affinity, a finding of this study, will be discussed in detail in Chapter V. The retention director explained:

> This university was created as a land grant institution. So the employment became as important as educating African Americans. African Americans in this area were not - they were not going to get any jobs unless they worked for farms in the area. There was no status of employment or security here [in the local area]. So the individuals that founded the university also founded it with the possibility of providing status and education for those in the community, because now they can also go to college you see. If they worked here, then they also get their education through it and their children['s]. So we ended up with protection. So it is a whole legacy thing, so they are very guarded and protected here. And they protect each other. So if you are from this area, then you will be employed here. You will be employed and you will be promoted to status that others may not receive because they are threatening it when they come in. They [the outsiders] don't understand the struggle for what was created here and that is really the way I see it. And it is not … I don't think it is personal. It is just, "You don't understand what we had to do'. Because this is a very rural and poor community with no jobs, they still can't get jobs at the local four-year PWI [even] if they wanted it and they can have a Ph.D. … but the local white university is not hiring you if you are an African American unless maybe one or two, they will let through the door, but the local PWI, that is not going to happen; [at] the local community college that is not going to happen. It is a lot of racism in this community, and so that is how they take care of each other, and don't you come along from somewhere else and think you are going to change it. Don't try to change it. Definitely don't try to change and definitely do not try to take away from someone else who has been here 15 and 20 years because they understand what we are trying to do and we have to look out for each other and if we let you in, you can get in the way of that so yeah.

The retention director reiterated this point by stating that as an HBCU, University E has no 'collective commitment' to African American people or the causes that impact African Americans. She compares University E to other HBCUs where there has been a commitment to uplifting African American people. She said, "My sister, being from

another HBCU, an alum, and having spent time on other campuses that are HBCUs, [tells me that] the sense of cultural pride is not very strong here."

Between-Case Analysis

This analysis was conducted across the institutions to determine findings between the institutions. The researcher analyzed statements and the frequency of the statements to develop the themes.

Institutional Factors. The institutional factors that influenced enrollment across the institutions included: location, costs, nurturing environment, legacy, campus facilities, HBCU as type of institution, technology to enhance recruitment, and college saturation.

Location. An institution's location has been cited in the literature as a factor that influences enrollment. However, location has been defined in the literature as the proximity of the institution to the student's home (Mattern & Wyatt, 2009). Of those interviewed, University E's chief enrollment manager and University A's financial aid director agreed with this definition of location. University E's chief EM stated that their students, specifically their first-generation student, attend University E because the institution's location is near students' homes. He remarked:

> The third major factor for our first-generation college students is that they want and need to be near home because many of them are walking in dual worlds. They are about to enter this uncharted area called higher education, but yet they may have financial and personal obligations still at home which does not allow them to go out of state or five hours away, and so on and so forth. So we are a good look and a good fit for those students.

However, in this study's findings, location differs from this traditional operational definition. The geographical locales of the institutions influenced student attendance at Universities A, B, and E. The suburban, metropolitan, rural, and urban institution locales influenced student enrollment, according to the enrollment teams. University A's

chief EM and its admissions and financial aid directors stated that the suburban location of University A and its proximity to a metropolitan area influenced student enrollment. University A's chief EM said:

> There is still a significant cohort of students who want to partake in an HBCU, and it is interesting that that kind of links back to the location piece, because we are one of the few HBCUs that is not in the middle of a city or in the middle of nowhere. So the location plus the HBCU thing is very positive, so you sit out here in the affluent suburb of this area but you are also an HBCU.

University B's chief EM stated that University's B urban location influenced student enrollment. Both minority and non-minority students are attracted to University B because of its urban location. He said:

> So, I think that's still the biggest issue. And then the rest of it is the geographical location… Huge. So, I mean, the few students that we still, that are, you know, non- minority, they were raised in urban environments. So, their comfort zone is here more so than elsewhere.

The admissions director at University E views the rural location as a liability. However, University E's retention coordinator stated that its rural location is an asset. She doubted whether other staff or faculty would agree and on the basis of the interview responses, no other administrator at University E viewed the rural location as a positive influence. The retention coordinator maintained that the rural campus gives a perception of safety, thereby influencing parents who guide the college choice of their children. She stated:

> I think that they come for the location. Although a lot of people think that the location is a liability, I think that it becomes an asset if you are in an urban area. So I think that parental influence to have children close but in a perceived safe community and I think that this is a perceived safe community…. I think that makes a difference. I think that helps.

Enrollment administrators at Universities A and B think students are influenced to attend the universities because of the potential career opportunities within the districts and counties surrounding the universities. University A's chief EM stated:

> This is what they tell us, that our location is a prime factor in their coming to University A. Because we are half way between City [X] and City [Y], we are accessible. They talk about the benefits of being in this area from a professional standpoint by having access to the [X] / [Y] corridor.

University B's admissions director and the chief EM agreed that University B's location expands student career opportunities. The chief EM said, "And then although it's not directly institutionally related, our location is very ideal for students who are interested in certain career opportunities."

Costs—Prohibitive or Affordable. Costs, including tuition, fees, and room and board, have prohibited many students from attending colleges and universities according to University D's financial aid director. She mentioned cost and funding as an institutional factor that limits student enrollment and retention in general. She remarked:

> I think cost and funding obviously tied together are influential because, well, with financial aid we can assist students in helping to determine, with as much accuracy as possible, the Title IV type of aid they have. But being at an HBCU as opposed to, you know, [predominantly white large schools] where they have huge alumni support, investments and donations. We don't have that kind of institutional funding to package students that have high need, so if their federal aid won't cover their cost, be it their direct cost of tuition, books, and housing, and meal plan—all of those extra costs—we can't meet them, and it is disheartening when you have a student sitting in front of you and you know the parents can't help. I think the hardest ones for me are in-state students, whose mom's working two jobs so maybe she is making forty and they are living in a decent neighborhood because she does not want to live in a bad neighborhood because of the extra added pressure that comes with that for children and teenagers. But because she has taken that second job and [is] making a little extra money, he is not eligible for the assistance, but yet she is living at her income level; she does not have money to fund education for college for her student.

The admissions director and the chief EM at University D stated that out-of-state students cannot afford to attend University D. Out-of-state students attending state institutions are charged the full cost of education which virtually prohibits them from enrolling at University D. The admissions director stated:

> So those are factors that impact enrollment also. One thing we deal with is cost. That's a huge factor as it relates to our out-of-state students. Right now of course an out-of-state student pays about two times as much as an in-state student. So we're dealing with a lot of students who just don't have enough money to come. They want to come but just don't have enough money to come, and when it comes to our out-of-state population, they come credential ready as it relates to the ACT and high school GPA. They are ready, but we actually don't have the funding to provide to them, so that's an issue that we have.

The chief EM stated that to attract out-of-state students, the institution must provide scholarships as an incentive to solidify out-of-state student enrollments at University D.

> Also, the cost of attendance [for] out-of-state is $30,000. Who in their right mind, unless you are a legacy person, is going to say I want to go to University D and pay $30,000 a year without a scholarship. So frankly, all of our students who are out-of-state who are our stronger students, they are all looking for scholarship money. I want to come to University D, but I want University D to pay for me to come.

Administrators at Universities A and B and College C did not view costs as prohibiting student enrollment but stated that their institutions' affordability, compared with that of their competitors, influenced student enrollment. University A's chief EM and its admissions and financial aid directors agreed that lower costs attracted students to University A. The chief EM stated, "Another factor they talk about is cost because we are either the second or third most affordable institution in the System schools." The admissions director agreed: "Cost is important as well. I think we are relatively

inexpensive when you look at the other options in this region." The financial aid director concurred:

> When you look at our affordability, basically you can go here as a full time student for less—a little over $5,000, whereas other institutions in the area and outside of the area are much more costly. So you get a little more bang for your buck. So I think the affordability is a major factor when you start comparing us to other institutions within the area.

University B's assistant admissions director viewed both cost and funding as a benefit to the matriculating students. University B's tuition discount rate is over 30%; the funding support given to students and the low tuition costs for a private university compared with those of its competitors influenced student enrollment. The assistant admissions director stated:

> University B has [given students] a public school ticket price at a private school education. I mean, our tuition is just phenomenally low, like it's compared to other schools and … I'm just in awe that we cost this small number and we're still able to do all we do and offer students all that we can possibly offer.

College C's admissions director explained that one of their challenges as a small, private liberal arts college is to remain affordable. He said, "To keep our cost affordable, that's another big challenge. Keep our tuition down, it is a private school, we don't get state funding. So to keep, in other words, our college tuition fees, we have to raise money."

Nurturing Environment. In the literature, the term 'nurturing environment' as it applies HBCUs has not been defined from the HBCU employee perspective. According to University A enrollment administrators and the admissions directors at University E and College C, a 'nurturing environment' is 'a hand-holding culture' with 'one-on-one interactions' between the student and members of the campus community. University A's admissions director also defined it as a 'hand holding culture.' He stated, "I think what

they get a chance to experience is a lot of guidance from the staff. We are very much a hand-holding culture, making sure that things happen for you [the student]." University E's admissions director defined the nurturing environment as 'one-on-one attention' that students receive from any level of the administration. He said, "They like the deal that they can stop by the professor's office at any time and get help. They can come to Administration no matter whether you're the president or the vice president and get your one-on-one attention." In addition, the chief EM at University E stated how nurturing should be displayed in their recruitment materials. "I think that the recruitment piece [showing] that University E is going to provide that nurturing environment is also something that allows us to attract a significant number of students in our area."

The nurturing environment is not limited to prospective students, according to chief EM at University A, it extends to the parents through one-on-one interactions. He remarked:

> …support services on campus which again could be a subset of why the students want to be in an HBCU environment. But we meet—even as VPs and whatever—we meet directly with students when they come in for orientation. We meet with the parents; we are accessible.

Like University A, College C also extends its services to parents, according to College C's career service director. She stated:

> So we develop relationships with the students, even with the parents. Because now the parents know, they'll call. "My child's about to come here, freshman year, what do I need to do as a parent to prepare them? Will they get a job if they come to you? We saw your name on the brochure. How does this work?" So I love that. And sometimes we invite the parents to our events and activities as well.

College C's admissions director stated that the type of nurturing students receive at College C is not provided at other colleges and universities. He recounted how he

transferred as an undergraduate from College C to a PWI. After two semesters at the PWI, he returned to College C because he missed College C's nurturing. He stated, "I thought I was missing something [by] being at an HBCU, and then I transferred in my sophomore year. Bad mistake! I got over there and [found that] I had gotten used to the nurturing [at College C]."

Legacy. Legacy was mentioned by administrators as an institutional factor that influences enrollment. Depending upon the institution, the term 'legacy' was defined differently. University A's and D's chief enrollment managers and College C's chief EM and admissions director defined legacy as a student attending the college or university that his/her parent(s) attended. University A's chief EM said, "…you still had that family population that went to [University A]. So history is important to them; mom went here, dad went here, grandma went here, teacher in my school went here."

University D's chief EM cited legacy as the first institutional factor that influences enrollment. With a strong alumni base and as a southern institution, University D attracts family members of alumnae. The chief EM stated, "The number one factor I think is alumni. If you had a mother, grandmother, cousin or uncle who went to [University D], I think that influences more than anything else." In addition, at another southern institution, College C's chief EM stated that the legacies are strong at College C: "The city itself [having] the only HBCU; we have a lot of legacies that attend [College C]. So it makes a big difference." College C's admissions director agreed that legacies influence student enrollment. He stated:

> That becomes a major factor because they want to follow their family. For me, for instance I am a [College C] graduate. Not only am I a graduate, I have three sisters and all three of them are [College C] graduates. So that plays a big factor.

Unlike administrators, Universities A and D and College C, University B's chief EM defined legacy as the history, heritage, and reputation of University B. He stated that University B's reputation is so strong in the African American community that University B does not need to recruit. He remarked:

> I think the strongest is the legacy. We still are very much branded in the African American community as being the place to go. Coming from the southern states, I think you have the opportunity where you still leverage that institutional history, and the depth and breadth of what an HBCU meant to your parents and your grandparents and before.

University E's admissions director stated that there are no legacies at University E. No other administrator at University E mentioned student legacies as an influential enrollment factor. As a rural land-grant HBCU, it was noted that University E's legacy, using both definitions, is either minimal or non-existent. The retention coordinator complained that nepotism had replaced the infusing of African American history into the campus culture at University E; therefore, its legacy tradition is inherent.

Campus Facilities. Three out of the four enrollment administrators interviewed at University E claimed that the beauty of the campus influences enrollment. The admissions director stated, "But once they get to the campus and they see how beautiful it is, they're sold." The retention coordinator said, "And so I think that once they come to the campus … this is a beautiful campus. I think that makes a difference. I think that helps."

University D's admissions director and University A's chief EM were the only other administrators who mentioned their campus facilities as influencing enrollment. University D's admissions director stated, "We feel that we have a beautiful campus so to speak especially when it comes to other HBCU's." University A's chief EM mentioned

the campus' beauty and the sense of community that is perpetuated by the campus facilities. He stated:

> We used to always say that if we can get you on the campus you will come. Most people don't think of an HBCU as looking like we do. It is a large campus, but you have that sense of community.

HBCU: Institution Classification Type. A few administrators believe that their institutions' classification type as an HBCU influences enrollment. The chief EM at University A said, "They talk about our history because it is interesting. There is still a significant cohort of students who want to partake in an HBCU." The career services director at College C stated that they are the only HBCU in the area: "Well, because we're the only HBCU in this city. So I hear that they've always wanted to go to a HBCU." When asked whether the institution's size or its being an HBCU contributed to the nurturing environment, University E's admissions director claimed that being an HBCU contributed to the nurturing environment. He stated:

> I don't want to be biased but I think it's because we're an HBCU. A lot of alumni and other folks who have been to other schools or the PWIs, you know, have always felt like they've been treated as a number. It's just more of a business. You're expected to know more without so much help. And when they come to an HBCU, it's just the opposite.

Technology Enhancing Processing and Communication. A comprehensive between- campus study on technology and enrollment has not been conducted. However, in this study, it was noted that the enrollment services' technological efforts and gains were typically led by staff members in enrollment and not by information technology staff. In addition, this study finds that technology is currently used in enrollment services in two ways: 1) to enhance communication between the institution and the student, and 2) to increase office efficiency in the enrollment process. Furthermore, enrollment

administrators at University D and E stated that they prefer to spend funds enhancing technological resources rather than hiring permanent processing staff.

With limited resources, Universities A's, D's and E's administrators asserted that third- party enrollment software systems assist them with engaging prospective students and also with decreasing the admissions office's response-time to enrollment inquiries. University A's chief EM described how technology transformed their communication methods with prospective students. He explained:

> Well, I think it's through a number of efforts. Let's go back to the old-fashioned way of the printed materials, which are distributed at college fairs, or the bigger events, open houses. But primarily more so trying to capture the electronic media and getting information out through the Twitters, the Facebook, and Myspace. But we also have a bunch of things that we bought through [third-party software system]. And there are different modules in it, and one of the modules is a recruitment module. So that's the primary means now of our utilization of technology and getting information out.

The public institutions, Universities A, D, and E, use the same third-party software system. This software company declares that over 2,000 higher education institutions have implemented its software system. However, College C and University B, the smallest and largest private institutions in the study, respectively, do not use third-party enrollment software systems. University E's admissions director described their third-party microsites used to communicate with students. He explained:

> Well, we have reached out to them through something we call Search Campaign with the help of our marketing company. We created a microsite, an attractive site just for them. It's personalized. It's colorful. It's a lot more attractive than what we had… But it allows them to basically get all the information they need right there in one-stop shop. Housing if you haven't taken care of it, you can take care of it now. Registration for the summer? Here's the information right now.

According to the admissions director, the third-party system decreased University D's response time to inquiries. The communication plan is built into the modules which

use enrollment triggers to generate tailored informational tabs for prospective students. He stated:

> We looked at every process to determine how we can use technology to better this process. We subscribe to enrollment management technology software and that helped us to automate our letter process, automate our labels with respect to folders, and also it has a communication plan in it that's very comprehensive.

University A's admissions director described the challenges HBCUs face with limited capital resources and stated emphatically that he would rather use the resources to automate processes than hire new staff. However, he also stated that there are certain processes that were impossible to automate. He remarked:

> The number-one challenge and this is where there is a difference between whether I want technology or people. The number-one challenge for me is managing the volume of documents—number one hands down. The Office of Admissions does not have a mail processing staff. I can't automate mail processing. That is something that has to be done. Someone still has to physically touch those things and do something with it. I can't automate that.

University D's financial aid director has implemented several electronic systems to improve efficiency including document imaging, E-ticketing, Twitter, Facebook and online chatting. E-ticketing eliminates unnecessary student visits to the financial aid office. He stated:

> We work and we work smart, not hard. So we've just recently unveiled an electronic ticketing system where the students sign in via the computer when they come in. I've also ordered an iPad for our office so that we will have virtual financial aid office hours from7–11 p.m. a couple of nights a week. Counselors will just share the iPad. They'll take it home, sit in their pajamas, and answer students' questions.

The financial aid director volunteered his office as a beta site to test any new software proposed by the information technology office. He stated, "And so I said to them, 'We'll be the guinea pig for any technology that you want to try.'"

College Saturation. Universities A, B, and D are surrounded by many competitors, including HBCUs, PWIs, community colleges, and for-profit institutions. College C is the only HBCU in the city, though PWIs and community colleges surround College C. However, other HBCUs are located in the same state as College C. University E has a neighboring PWI and other HBCUs within its state. This study's findings demonstrate that African American students who chose to attend the HBCUs in the study had many choices.

University is the most selective institution in the study. Its chief EM shared the results of a campus study to determine why students who were offered full scholarships declined to enroll at University B. No single competitor dominated but several competitors emerged. He stated:

> We also looked to see which competitor institutions—I had our team call every single student who declined and sent them a survey -I collected a phone survey. I said [that] I want every single student who said that they're not coming; I need to know why they're not coming. And if they'll tell us where else they're going. And they did, for the most part. And what we found, which was even scarier, is we didn't have one single competitor or one single competitor profile. So, it was all over the place.

Strategic Planning and Enrollment Goals. An institution's strategic plan includes vision and mission statements that guide the development of subsequent plans including the enrollment management plan. In this study, the existence of a written strategic plan varied among the institutions. Two institutions, University A and College C, have strategic plans. However, University A was the only institution with a written enrollment management plan, though the plan had not been approved. University A's chief EM stated, "I have a draft of it … it has not been approved, as I understand it, internally, but it is a draft." University B and University E at the time of the interviews

did not have a strategic plan, or the plan was outdated. University B's chief EM said, "I think the president's agenda initially when he came on, which has been about three years, is to stabilize the environment. And then we would have the right framework, or reference, on which to start building the strategic plan." University D's strategic plan was written by a consultant with no input from the enrollment management team. The chief EM indicated that the strategic plan was not developed with buy-in from the campus. "It did not bubble up but was written down."

Enrollment goals can be developed formally through a strategic planning process or informally through collaboration among the enrollment staff. University A was the only institution that had developed measurable enrollment goals and documented strategies as part of its written enrollment management plan though the plan had not been approved. After reviewing historical yield data, the chief EM and the director of institutional research at University A collaborated to develop enrollment goals. University B's chief EM stated that he establishes goals based on his understanding of the institution and his conversations with the president. The chief EM at College C uses historical goals, though she meets with the enrollment staff and later collaborates with the academic deans. At University D, before establishing goals, the chief EM requests baseline data and poses questions regarding direction and mission. At University E, the chief EM develops the recruitment goals to shape the incoming class' characteristics. The admissions director and the registrar collaborate to determine the student replacement factor after students drop out, withdraw, or graduate.

The methods used to develop enrollment strategies varied among the institutions. University A's former recruitment strategy, before the new admissions director, was "Go out and get them." Their new admissions director has changed this method. He uses his

former Noel Levitz training, former negative experience as a recruiter, and prior strategies used in a former position; in addition, he reviews best practices and research to develop enrollment strategies. University B developed recruitment strategies based on historical yield. The admissions director stated, "So based on these numbers, we will say. 'Wow! This is a good school and/or town that we need to go visit every year'". At College C, the admissions director decides on a "target area" when developing recruitment strategies. University D administrators develop strategies by reviewing past strategies, student surveys, and feedback from students using social media and their third-party recruitment software system. At University E, the admissions staff develops the recruitment strategies using brainstorming and evaluations of former strategies. The admissions director stated, "We sit around the table and talk about what we encountered on the road….and how we can make improvements."

Prioritization of Enrollment Strategies. At University A, the enrollment strategies prioritization begins at the managers' level and moves hierarchically to the vice-presidents' level; lastly, the campus community is given the opportunity to review the priorities. The chief EM explained, "I guess it starts with staff feedback to the managers, managers' feedback to me, and then the budget priorities are only discussed with the VPs. Each VP makes a presentation to the campus." College C's chief EM stated that the directors prioritize the strategies. "I give them the autonomy to do what they deem necessary and to set the priority and goals for each year of what they want to do." However, when the researcher asked College C's admissions director how he prioritizes the enrollment strategies, he was unable to articulate his method. University D's chief EM stated that enrollment strategies were prioritized on the basis of funding,

historical yields and the combining of events to save funds. Prioritization is "probably based on funding at the time. We piggyback off a lot of [football games- NCCA Division]." University Enrollment administrators were unable to articulate their method of prioritization.

Enrollment Management Organizations. The enrollment management organization (EMO) is classified using Kemerer et al., (1982) classifications. Ward's Elements (2005) include the reporting structure of the EMO, the offices that make up the EMO, the chief EM's experience, and the chief EM's organizational level of influence.

Kemerer et al. (1982) classification of EMOs defines the organization as committee, coordinator, matrix, and division. In this study, the institutions' EMOs would be classified as a division. Each EMO has a chief EM and directors who report to him/her. However, the EMOs vary in terms of the offices that make up the EMO, the reporting structure, the chief enrollment managers' experience, and organizational level of influence.

At all institutions, the admissions offices were part of the enrollment management division. However, all financial aid offices in the study reported to the chief EM, with the exception of University E's financial aid director, who reported to the vice president of finance. The additional offices within the EMO varied: the enrollment management divisions that included records offices were those of Universities A, B, and D. The career services office was part of enrollment management at College C. At University E the retention office was in the same division as enrollment management but reported to the student affairs side of the division.

The size of EMOs varies. The enrollment management division consists of two offices at University E, three offices at University A and College C, and five offices at University D and University B. The number and type of offices can easily change (fluid). University A's chief EM stated, "The six at one point were admissions, records, financial aid which is the current organizational structure. And then I had student special services, counseling and student development, and career planning and placement."

The EMO reporting structured varied. University A's EMO was the only organization reporting to academic affairs, specifically to the provost. The EMOs at University B and College C reported to the fiscal affairs vice presidents. At Universities D and E, EMO reported to student affairs.

The chief enrollment managers' prior experiences and organizational influences varied. University A's and College C's chief EM have more than 10 years' experience as enrollment managers. However, neither has a seat on the president's cabinet which limits their input into campus decisions that could impact enrollment. College C's chief EM stated, "Being the [chief EM] to me [it] would make sense to sit on the cabinet. Because then that way I can give direct input and communication to the cabinet [without its] being filtered through a third-party." University B's, D's and E's chief enrollment managers were part of the president's cabinet. However, University E's chief EM appeared to have more organizational influence; he used the matrix model to manage enrollment. Though he did not directly supervise the financial aid director, he scheduled enrollment meetings, and all offices, direct and non-direct reports, were expected to attend. When asked how he managed enrollment without directly supervising financial aid, he stated, "Bring people to the table—now that sounds very simplistic. Well, the financial aid office is

having a sidebar with the registrar's office and registrar's office is having a sidebar with student accounts … stop that unnecessary chain of conversations."

The traditional EMO model was found at most institutions. However, University A's enrollment administrators desired a non-traditional model to include international students, orientation, academic advising, career services and alumni affairs. Though he enjoyed the perks in the finance division, University E's financial aid director thought that his office should report to enrollment management. He stated, "Strategically, it may be that we would be better placed in enrollment management." In addition, College C's chief EM also experienced certain benefits reporting to the finance division but stated that enrollment management needs to report to academic affairs. She stated, "Well, really, I think we should be under academic affairs honestly. Being under fiscal affairs has its pros and cons, but honestly, I think we really do need to be under academic affairs." University B's chief EM reports to the finance division but questions whether enrollment management should report to the provost. He said, "I mean the reporting structure is still questionable. And everybody knows it, so it's not a secret. The position used to report to the provost."

Enrollment Challenges

Table 3

Enrollment Challenges

Enrollment Challenges	University				
	A	B	C	D	E
1. Lack of Resources	X	X	X	X	X
a) Employee Morale	X				X
b) No Dedicated Staff for enrollment functions- Vacant Positions Not	X				X
c) Software Resources to produce timely communication		X			
d) For Marketing to Maintain Institution's Positive Image			X		
e) Maintaining Competitive Academic Programs			X		
f) Increase Donations to Maintain Affordable Costs			X		
g) Expanding to Traditional Residence Hall			X		
h) But Enrollment Management Area a Priority	X	X			
i) For New Initiatives	X				
j) To support Out of State Student Scholarships				X	
2. Institution Leadership Instability	X	X		X	
3. Territorialism	X	X			X
a) Within Enrollment Management	X				
b) Outside of Enrollment Management				X	X
4. Lack of Support from Other Vice Presidents	X				X
5. Institutions' Academic Program Brand		X			
6. Strategic Decision Making		X			
7. Financial Aid Distribution Philosophy		X			
8. Dispelling Guidance Counselors Stereotypical views of HBCUs		X			
9. Admissions Criteria- Access Versus Selectivity			X		
10. Nepotism- Family Culture				X	X
11. Staff Entrenchment-				X	X

The enrollment challenges are listed above. This section describes challenges mentioned by two or more administrators, thereby providing insight into the HBCU administrative culture and its potential influence on enrollment.

Lack of Resources. Most of the institutions' administrators stated that lack of resources was a challenge, and this study's findings support the literature (Allen, Epps, & Haniff, 1991; Flemings, 1984; Kim & Conrad, 2006). University

A's and E's administrators agreed that the current budget crisis impacts employee morale. University A's chief EM stated, "I think the other thing is employee morale. When you have hard economic times when people can't get a pay increase, or a cost of living, then you're going to have a morale situation." University E's admissions director agreed that limited staffing creates stress and lowers employee morale: "Yeah, because we're always asked to do more with less…we don't want to stress people out. [Because] customer service is king, they [the staff] get stressed out at times." University A's administrative decision to recoup institutional resources by leaving positions vacant decreases employee morale; current staff are required to work harder to compensate for those vacant positions.

Though University A's and B's administrators agreed that limited resources influence enrollment, they also agreed that their EMOs are given budget priority. University A's chief EM stated, "And because we are an area that gets a lot of focus, we have been blessed in that, a number of our priorities have been funded." University B's chief EM concurred: "For me, now, the institution itself, there's holds, and freezes, and things all over, but enrollment management is a strategic investment for the president."

Institutional Leadership Instability. Leadership instability is a challenge for three of the institutions. University A has had four provosts in five years. The chief EM stated, "We have had the same president for the last five years, but we've had four provosts in the last five years. Institutional stability is a key." University B's chief EM described the tenure of the senior administration. He stated, "Most of the administration here are all new. The president is three years; the provost is a year,

three months. The COO is a year, five months. So, your key central players are all new." University D's chief EM explained that the institution is not progressing due to uncertainties regarding the president's tenure. When discussing retention, he stated, "There are so many conversations that we need to have that we are not having in part because we don't have a functioning president. We just don't have the leadership."

HBCU Administrative Culture. This study's findings described the HBCU administrative culture that could potentially influence enrollment. A tenet of the enrollment management concept is collaboration (Ward, 2005). At Universities A, B, and E, territorialism impacted collaboration, potentially eroding the effectiveness of the enrollment management organization. University A's chief EM stated, "I think the challenge that we have at HBCUs is being territorial. I think that dynamic is more intense at an HBCU, when it comes to territoriality, than you see at a PWI." University B's chief EM stated, "…but when you add the historical culture of the Black dynamics to this, it becomes very personal. So then personal becomes territorial." University E's retention coordinator said, "This is a very territorial campus, very territorial campus." University E's financial aid director stated, "I think one of our greatest obstacles is the territoriality of academic affairs. Student affairs and administrative affairs work very well together, but when you try to cross over into that academic arena, they're very territorial and very defensive."

Institutional Identity Affinity. Some of the employees working at the HBCUs in this study have institutional identity affinity, a term developed by the researcher. Institutional identity affinity occurs when the institution becomes part of the

employees' identity and territorialism exists to protect this identity. The chief EM explained the territorialism that exists at University B. He stated:

> So then personal becomes territorial, because it's inbred in people's identities—very much so. I mean, we've had personnel problems because it challenges their identity. So, [you] can't say this is a job or the job expectation is this. No, it's your life because all your friendships were built here. Your relationships were built here. Your kids went here.

Administrators at Universities D and E viewed the same phenomenon. The financial aid director at University D described employees who had been at University D for 20 and 30 years and who claims the institution's furniture as their own. She stated:

> There is a real sense of entitlement when it comes to jobs here: "But I graduated here and I have been here, and I have done this and I have done that; and that is my job and that is my chair." No, it is all [University D's.]

The retention service coordinator at University E attributed this phenomenon to University E's status as a land grant institution. University E's existence in a rural, racist community has provided a higher social status to generations of African American employees. Therefore, employees are committed to protecting their jobs and University E in order to perpetuate their status. The retention coordinator said:

> This university was created as a land grant institution. So the employment became as important as educating African Americans. African Americans in this area were not going to get any jobs unless they worked for farms in the area. There was no status of employment or security here. So the individuals that founded the university also founded it with the possibility of providing status and education for those in the community because now they can also go to college. If they worked here, then they also get their education through it and their children's [education]. So we ended up with protection. So it is a whole legacy thing, so they are very guarded and protected here.

Institutional identity affinity polarizes employees to so that they see each other as insiders versus outsiders, and this polarization has the potential to impact collaboration that is critical to managing enrollments. University E's retention coordinator explained:

> So if you are from this area, then you will be employed here. You will be employed and you will be promoted to status that others may not receive because they are threatening it when they come in. I don't think it is personal. It is just, "You don't understand what we had to do." Because this is a very rural and poor community with no jobs, they still can't get jobs at the local four-year PWI, if they wanted it, and they [may] have a Ph.D. but the local white university is not hiring you if you are an African American. Maybe one or two they will let through the door, but the local PWI—that is not going to happen. The local community college—that is not going to happen. It is a lot of racism in this community, and so that is how they [the insiders] take care of each other and don't you come along from somewhere else and think you are going to change it. Definitely, don't try to change and definitely, do not try to take away from someone else who has been here 15 and 20 years, because they understand what we are trying to do and we have to look out for each other and if we let you in, you can get in the way of that.

Summary

Chapter Four highlighted the results of the study. The researcher presented a profile of the participating enrollment teams, the within- and between-case analyses. The findings included institutional factors such as location, cost, nurturing environment, and legacy that are discussed in the literature. In addition, this study found institutional enrollment factors that are not cited in the literature such as HBCU campus facilities and college saturation; in addition, the findings provided a description of the enrollment offices' transition from manual to technology-aided recruitment efforts. The traditional strategic planning used to develop goals and strategies is not used at most of the institutions in the study. In addition, the enrollment management concept of collaboration may be impacted by territorialism and institutional identity affinity. The enrollment management organizations and the enrollment challenges were described.

CHAPTER V. DISCUSSIONS, INTERPRETATIONS, RECOMMENDATIONS, AND CONCLUSIONS

Declining enrollments impact revenues and could potentially increase the number of HBCU closures. Many HBCUs are underfunded despite increases in federal assistance such as Title III. Education and general expenditures per student are lower at both public and private HBCUs (Redd, 1998); in addition, endowments are lower, while deficits at some HBCUs are higher (Redd, 1998). This study focused on understanding influencing enrollment factors from enrollment managers' perspectives which have been excluded from the literature. Gaining an understanding of the enrollment phenomenon could prevent HBCU closures. This multi-case study explored the enrollment managers' perspectives of the critical institutional factors influencing enrollment at five HBCUs—three land-grant HBCUs, one large private HBCU, and one small private HBCU.

This study explored the enrollment process that included factors, goals, and strategies and provided an understanding of the enrollment management organizations' culture at historically black colleges and universities. This study adds to the literature on HBCUs and enrollment management by examining the enrollment managers' perceptions of institutional enrollment factors and how enrollment strategies are developed. In addition, the institutional factors identified in Cabrera and La Nasa's model (2000) are expanded as a result of this study. The study's findings demonstrated how HBCUs' strategic planning processes (establishing goals and strategies) vary among the institutions. .

Enrollment is a phenomenon comprised of new and continuing students. Administrators recruit new students and retain continuing students to maintain or increase

student enrollment. Consequently, to be able to successfully manage the enrollment, enrollment teams must understand institutional factors that influence enrollment. Understanding and managing enrollment is critical to HBCUs' survival because headcount enrollment is tied to full-time equivalent (FTE) enrollments, revenues, and operating budgets. Within the past 10 years, the institutions in this study experienced decreases in their undergraduate enrollments; three of the five schools experienced two or more undergraduate enrollment decreases.

Student choice literature has focused on student and external characteristics (Fuller, Manski, & Wise, 1982; Hossler, Braxton, & Coopersmith, 1989; Perna, 2006; Paulson, 1990). Higher education administrators typically do not influence the characteristics that students bring with them to college. Similarly, fixed institutional factors such as building or campus locations remain the same or are extremely difficult to change (Chapman, 1981). However, administrators can influence fluid institutional factors that can change. Academic requirements, college information media, and enrollment management organizations are examples of fluid institutional characteristics that can change. This study explored how institutional factors, both fixed and fluid, influenced HBCU undergraduate student enrollment.

The enrollment administrators in the study described institutional factors that influenced enrollment. The study's findings expanded institutional factors listed in Cabrera and La Nasa's Model (2000) for new student enrollment (college information, admission requirements and cost) and Swail's Geometric Model on retention (faculty teaching ability, academic support programming, financial aid, student services, recruitment and admissions, academic services, and curriculum and instruction). Two

areas from Swail's Geometric Model were examined in detail: financial aid, and recruitment and admissions. In addition, unexpected outcomes of the study are an in-depth view of internal operations of HBCUs' administrators and the HBCU administrative culture.

Research Question 1: What institutional factors influence enrollment of undergraduate students at four-year public and private historically black institutions?

The institutional factors that were mentioned by two or more institutions include location, rising cost and affordability, nurturing environment, legacy and HBCU history/culture, campus facilities, college saturation and competition, college marketing information and technology, retention, admissions requirements, financial aid and scholarship management, guidance counselor relationships, and community events. However, the enrollment management organization as a unit was never mentioned as influencing enrollment. The enrollment management organization was viewed separately as consisting of either recruiters or financial aid staff, but it was never viewed as a comprehensive unit with authority to influence enrollment.

The traditional operational definition of location as the proximity of the student's home to the institution was expanded to include the geographical locales of the institutions. The suburban, metropolitan, rural, and urban institutions' locales influenced student enrollment according to the enrollment teams at Universities A, B, and E. In addition, an institution's location near a specific metropolitan area provided career opportunities for students, and these potential opportunities influenced student enrollment according to the administrators.

Costs (tuition, fees, room, and board) according to the literature have prohibited many African American students from pursuing higher education (McPherson & Schapiro, 1994; St John & Noell, 1989; Perna, et. al., 2008). However, most of the participants in the study did not view costs as prohibiting in-state student enrollment but stated that their institutions' costs were affordable compared with those of their competitors. Consequently, this affordability influenced student enrollment. Conversely, out-of-state student costs were not affordable, and the institutions' scholarship funding source was not sufficient to recruit out-of-state students, who typically have higher grades and SAT scores.

Though students and researchers have defined nurturing environments in the literature (Fleming, 1984; Allen 1992) as having strong support services, this study defined the term from the enrollment managers' perspectives. In this study, the administrators defined nurturing environment as "one-on-one interaction" between the student and members of the campus community, "a lot of guidance", a "hand-holding-culture," and "looking after students like they are [your] own."

Legacy, defined differently by the various institutions in the study, was tied to the institutions' reputation within the African American community. Universities A, D and College C defined legacy as students attending the college that their parent(s) attended. University B defined legacy as the history, heritage, and reputation of University B. University B's reputation was so strong in the African American community that recruitment is not necessary to enroll the incoming class. Though the institution's academic reputation has been cited in the literature as an institutional factor that influences enrollment (Comm & La Bay, 1996; Galotti & Mark, 1994; Wanat & Bowes,

1992), only two of the 18 administrators mentioned the institutions' academic reputation as an influencing factor.

An HBCU as an institution type influences enrollment. Some students identify with the HBCU culture and will attend only an HBCU. Though students may not attend the same HBCU that their parents attended (traditional definition of legacy), some students attend another HBCU, demonstrating their commitment to the HBCU legacy and tradition. HBCU campus facilities influence enrollment, according to the enrollment administrators. The literature does not include campus facilities in the list of institutional influential enrollment factors for HBCUs. Due to decades of underfunding by state systems, HBCUs have not been able to maintain buildings and grounds or they lack leadership, according to the literature (Hoffman, Snyder, Sonneberg, 1996; Allen, Jewell, Griffin & Wolf, 2007). However, the participants in this study and the researcher concurred that most of the campuses in this study are well maintained and attractive. Two of the institutions have been listed in an article, "The 20 Most Beautiful Historically Black Colleges and Universities" (Green, 2011).

College saturation has a negative influence on enrollment at their institutions according to the study's participants. It is a concern for three of the institutions that are surrounded by many colleges and universities, including other HBCUs. All of the institutions have another HBCU in the state or have two or more HBCUs within a 200-mile radius. The competition for one of the institutions was over 60 higher education choices, including both private and public four-year HBCUs and PWIs, community colleges, and for-profit institutions. College saturation was viewed as a negative influential factor because it has the potential to decrease enrollment as prospective

students explore their numerous options. Therefore, for most of the institutions in the study, competition for prospective students is a challenge.

College information is a component listed in Cabrera and La Nasa's model (2000). However, this study's findings revealed that the means of communication used by HBCUs to provide college information to prospective students differ. For some institutions, admissions viewbooks and hard-copy brochures have been replaced with recruitment software. Recruitment technology engages prospective students and assists admissions staff by decreasing inquiry response time. The public HBCUs in the study had implemented third-party recruitment software while the private institutions did not use any recruitment software. Federal Title III funds provided the resources for the public HBCUs to purchase their recruitment software. Although the small private HBCU received Title III funds, College C used its funds to purchase document imaging. University B does not receive Title III funds, and though it is the largest most selective institution in the study, University B has not implemented document imaging or any recruitment software.

The enrollment management concept includes managing new and continuing student enrollment**.** However, in this study no enrollment manager was responsible for retention**.** Only one university had a retention coordinator within the same division but this administrator was not under the enrollment management area. The enrollment management organization at each of the institutions in the study focused on new-student recruitment. Academic advisement and support services offices were located in academic affairs. Only one institution had a retention committee that included enrollment team members. The statement, "Retention is everybody's business" was mentioned, but when

asked if there was a single person responsible for retention, only one institution's enrollment manager could provide the name of the responsible person**.** Therefore, the practice of enrollment management at HBCUs in this study differs from the enrollment management concept. Conceptually, the enrollment manager is responsible for enrolling new and continuing students. However, in this study the enrollment managers manage only half of the enrollment—the new student. The practice of excluding retention from the enrollment managers' responsibilities appears to negatively influence enrollment outcomes. Enrollment managers are not informed of the number of students needed to replace graduates and drop outs or they do not believe it is their responsibility to recruit to replace these students.

The admissions requirements influence enrollment. Universities A, D, and E wanted to raise the admissions requirements to attract a more "qualified" student. However, admissions requirement remained the same at most of the institutions in the study perpetuating student access, an HBCU mission. One fall semester, University A's administrators raised the admissions requirements resulting in a lower number of new-students enrolling that semester. University A's and D's chief EM believe that HBCUs need to raise the admissions requirements to enroll a more qualified student.

Financial aid offers influences enrollment according to the administrators and the literature (Jackson, 1988; Manksi & Wise, 1983; McPherson & Shapiro, 1991; St. John, 1990). However, this study's findings describe, from the perception of the enrollment administrators, the impact of limited financial aid offers particularly for out-of-state students who desire to attend an HBCU. Therefore, scholarship management to ensure

students receive the best financial aid package can influence enrollment according to Universities A's and D's administrators.

Community outreach including maintaining the guidance counselors' relationships influences enrollment. College C's and University B's administrators stated that community outreach is critical to their institutions; therefore, their administrators co-sponsor events with community organizations. College C hosts an event for guidance counselors to maintain those relationships, while University B administrators use their relationships with guidance counselors to disband myths that some counselors may have about HBCUs.

Research Question 2. How are enrollment goals for undergraduate students at four-year historically black institutions developed?

An institution's strategic plan includes the vision and mission statements that guide the development of goals and strategies. The strategic plan is the primary document from which all other plans, including the enrollment management plan, are developed (Ward, 2005). In this study, institutions varied on whether a written strategic plan existed. Two institutions, University A and College C, had written strategic plans, but University A was the only institution that had a written enrollment management plan, though the plan had not been approved. University B's and D's strategic plans were outdated, and University D's plan was written by a consultant with no input from the enrollment management division. Without a strategic plan, enrollment management plans and other institutional plans were not developed.

Even without formal written and current strategic plans, the enrollment managers when asked how enrollment goals and strategies were developed indicated the following

methods: brainstorming, best practices, research, and collaboration. University A's staff was the only institution that used the institution's strategic and enrollment management plans as part of their day-to-day operations. Strategic plans and enrollment goals at College C were developed as a result of the institution's impending accreditation.

Brainstorming was used at the institutions to develop enrollment goals. The staff would meet to discuss their former activities and outcomes, attempting to determine if the same strategy would be used or whether a new strategy was needed. This method was used within the enrollment management unit, as well as, within departments such as financial aid and admissions.

Best practices and research were mentioned as methods to determine goals but how the enrollment manager determines best practices or conducts the research was not always articulated. One institution's admission director requires staff to read articles on best practices and makes the articles discussion items during their staff meeting. Another institution's administrator worked with Noel Levitz's consultants and garnered best practices from them. Yet another chief EM collaborated with the director of institutional research to determine the institution's 10-year enrollment goals and to adjust the yearly headcount goals.

To determine enrollment goals—specifically head count goal—enrollment managers variously collaborated with their staffs, the enrollment management unit, institutional research directors, their supervisors (vice presidents), or the president. The enrollment headcount goals impact the entire institution because of their connections to full-time equivalents and funding. However, the circle of collaboration is extremely small at all the institutions in this study when considering the magnitude of the impact if

headcount enrollment goals are not met. Revenues and state subsidies decrease when enrollment goals are not reached, thereby creating budget deficits. Therefore, Ward's element (2005) of key buy-in is not demonstrated at most of the HBCUs in the study. According to Ward (2005), collaboration should include the enrollment management organization and a cross section of all key stakeholders. University B was the only institution in the study that had collaborated across all divisions.

Based on the enrollment management concept (Hossler, 1984; Hossler & Bean, 1990), shaping the student body characteristics is a goal of enrollment managers. However, this study's findings reveal that this long-term goal (shaping the student body characteristics) was not the focus of the HBCU enrollment managers' because they needed to influence enrollment and ensure that their institution reached the revenue projections for that year (short-term goal). Certain enrollment procedures, such as rolling admissions, support this short-term goal, thereby prohibiting strategic planning that could shape the incoming class. Financial aid leveraging is not a process used at the HBCUs in the study to build the incoming classes. At the only selective HBCU in the study, the enrollment management staff uses the institution's reputation to build the class because this institution did not have a current strategic plan.

The lack of stable leadership is a critical issue impacting strategic planning development. Knowledgeable, experienced leadership at HBCUs is critical. This study revealed that when the president and provost positions are vacant, or frequently vacated, these vacancies impact the enrollment managers who report to these positions. HBCUs had stable leadership during an era when HBCUs' presidential tenure was 20 years or

more, but due to the retiring of many long- sitting HBCU presidents, instability in leadership appears to influence enrollment management.

Some people view HBCUs as a homogeneous group—one voice fighting for equality and supporting disadvantaged African American students by providing access to higher education. However, this study revealed that within some of the HBCUs a dichotomy of purpose exists between whether the enrollment outcomes should reflect the HBCUs' mission of access or the selection of a "higher quality" student. At two HBCUs administrators were polarized as to whether the admission requirements should be raised to improve student retention or whether admissions standards should remain low to ensure that African American students are educated. A second dichotomy related to quality and access exists on how financial aid should be distributed. Merit-based aid supports students who have the academic qualifications warranting a scholarship, while need-based aid supports students who have a financial need but may or may not have the academic qualifications to receive a scholarship. More than one campus stated that members of their campus communities including board members reflect on their own economic hardships as students and therefore attempt to influence the institution's spending to support need-based aid rather than merit-based aid.

Research Question 3: How do enrollment managers develop strategies to achieve short- and long-term enrollment goals?

The methods used to develop short- and long-term enrollment strategies varied at the institutions. Development of new enrollment strategies was limited because institutions either did not have a strategic plan or lacked the resources to support new strategies. Therefore, long- term goals were mentioned only by University A; the chief

EM stated that he develops the 10- year enrollment projections that are submitted to the state governing agency. It appears that long- term planning in the study was also impacted by the instability in leadership.

The admissions director developed University A's short-term enrollment strategies on the basis of his experience, his review of best practices, and his review of research. To develop the enrollment strategies, he uses his prior Noel Levitz training, prior negative experience as a recruiter, and strategies used in a former position. University B and College C use historical yield and targeted markets to develop strategies. University D administrators develop strategies by reviewing former strategies, student surveys, and feedback from students who use the institution's social media and who use the third-party recruitment software system. At University E, the admissions staff develops the recruitment strategies using brainstorming and evaluations of former strategies.

Therefore, an enrollment managers' experience in the position is critical to enrollment strategy development at HBCUs. The enrollment managers' abilities to review historical yields, evaluate the impact of current strategies, and brainstorm with the enrollment staff are important to strategy development. This finding supports Ward's (2005) elements of enrollment planning concept, which includes the enrollment managers' individual traits. This study found that the enrollment managers' individual traits have the potential to influence enrollment.

Research Question 4: How are the strategies prioritized by the enrollment manager?

Prioritization of enrollment strategies varied and was based on hierarchical structure, historical yield, EMO directors, the president's vision, and resources. At

University A, the enrollment strategy prioritization begins at the managers' level and moves hierarchically to the vice-presidents' level; lastly, the campus community is given the opportunity to review the priorities. University D prioritizes enrollment strategies on the basis of historical yields, funding, and the combining of events to save money. College C's chief EM stated that the enrollment directors prioritize the strategies. University B's strategy prioritization is based on the president's vision being communicated to the chief EM. University E prioritizes strategies on the basis of resources. The researcher reviewed documents and websites, noting that the current enrollment strategies at all of the institutions have been used from year to year. This repetitive use of strategies may be due to budget constraints. Open houses, guidance counselor receptions, high school visitations, and hosting and attending college fairs are strategies used in prior years. This apparent inability to create new strategies may contribute to similar enrollment outcomes each recruitment cycle.

Enrollment strategy development and prioritization is impacted by lack of resources. Enrollment managers do not have the resources to be creative, to implement best practices, or to develop strategies for new markets. Budgets roll over from year to year; therefore, it appears that strategy development and implementation follow the same budget pattern. The Title III program—a federal government initiative—has provided resources for new initiatives at the public HBCUs and the small private HBCU in the study. However, without new funding, prioritization remains the same from year to year. Ward (2005) explained that resources and the enrollment managers' experiences provide the base for strategic planning.

Research Question 5: How are the enrollment management organization and the enrollment challenges described?

The enrollment management organization as a unit of analysis and its influence on enrollment has not been studied. The findings in this study raise questions as to the effectiveness of the enrollment management unit at the five HBCUs in this study. At each institution, the enrollment management organization functioned as a division. However, University E's unique structure includes a matrix component. The chief EM, as a vice president and a member of the president's cabinet, meets weekly with other vice presidents to discuss issues and negotiate solutions. These meetings allow relationship building at the vice president level, thereby

reducing mistrust and territorialism at that level. Although, the chief EM at University E would schedule meetings with staff members in other divisions, it appeared that territorialism remains at other levels.

A tenet of the enrollment management concept states that if offices/functions are not aligned within the same division, there must be collaboration to ensure that strategic enrollment planning occurs (Hossler, 1984; Huddleston, 2000; Ward, 2005). Most of the institutions' administrators stated that their enrollment management organizations' structure was traditional consisting of only the admissions and/or financial aid offices. However, three of the administrators desired to expand their enrollment management organizational structure toward a more holistic organizational structure that would have the potential to influence enrollment. They recommended adding other offices to the enrollment management organization, including orientation, financial aid, academic

advising, international student services, records and registration, institutional research, and alumni affairs.

Major Challenges

There are five major challenges that were discussed by administrators at three or more institutions in the study: 1) lack of resources, 2) leadership instability, 3) territorialism, 4) lack of support/collaboration, 5) staff entrenchment/institutional identity affinity.

During the interviews, lack of resources was discussed in three areas: a) scholarship funding, b) employee morale, and c) technology. Though most institutions' financial aid directors complained that there were not enough institutional funds to meet the needs of the students, University B's financial aid director had millions of dollars in a discretionary fund to assist students. But University A, with a wealthier student population and using the federal government's eligibility requirements, could not provide need-based aid to over 60% of its student population. Unlike Universities A and B, Universities D and E and College C stated that additional resources to assist students with both merit- and need- based funding could influence enrollment. In addition, polarization exists in three of the HBCUs as to how institutional funds should be distributed; this polarization resembles the dichotomy on these campuses between access and quality.

In addition, lack of resources impacts employee morale and available technology. Staff is asked "to do more with less" while being furloughed and being required to produce extra work as a result of unfilled vacancies. Lack of resources impacted the private HBCUs as it related to recruitment technology. Private HBCUs did not have

resources to invest in third-party recruitment software and/or document imaging software that could have decreased their response time to prospective students.

Leadership instability, as mentioned above, was a major challenge for four universities in the study. Since the interviews, two of the institutions have acquired new presidents. In addition, one of the most experienced enrollment managers has resigned. The enrollment division at University D has been dismantled and the chief EM has been demoted. Instability in leadership has become a major challenge at HBCUs since the long-tenured era for HBCU presidents ended.

An unexpected outcome of this study was the revelation that two institutional factors or phenomena threaten enrollment management organizations' efforts at the HBCUs in this study: territorialism resulting in lack of collaboration, and institutional identity affinity. A majority of the institutions referred to territorialism with the HBCU administrative culture. Particularly at the land grant institutions where alumni are powerful and employees have been employed for over 20 years, territorialism impacts the institutions' operations. In the study, territorialism was mentioned at various levels with enrollment management and across the divisions (student affairs versus academic affairs.). Territorialism impacts collaboration, and based on the enrollment management concept, has the potential to negatively influence enrollment. Collaboration between enrollment management and other areas existed at some of the institutions or within the division, but administrators at Universities A, D and E gave examples of the need for more collaboration. Compounding the effects of territorialism is lack of stable leadership according to University A's chief EM.

Institutional identity affinity or staff entrenchment is a factor that has the potential to negatively influence enrollment. Each of the institutions had employees who had been in their administrative positions at that institution for 20 years or more. The institutions provide security and social status for employees, and the institution becomes part of the employee's identity. Their lives revolve around the HBCU; many of their family and friends either attend or work at the institution. This staff entrenchment creates the need to protect one's identity and territory. At Universities E and D, the terms "insider" versus "outsider" was used to describe the polarization of the HBCU administrative culture.

Critique of the Study

This section acknowledges constraints and limits of the study. Any researcher who attempts to replicate this study should consider these weaknesses. There are three areas in which this study could have been improved: data collection, enrollment management theoretical framework, and limitations to generalizability.

A single researcher may lend to single source bias when conducting data collection (Merriam, 1998). A single researcher interviewed all participants, collected and analyzed all data. A different perspective or analysis is possible when there are multiple researchers. In addition, the researcher as a former HBCU enrollment manager may have both contributed and served as a source of researcher bias.

The enrollment management theoretical model serves as a concept and a practice (Hossler,& Bean, 1990; Hossler, 2000). At the HBCUs in this study, applying the theoretical model that included recruitment and retention appeared a futile exercise because in practice the enrollment management administrators in the study managed only new student enrollment or recruitment and not retention. Therefore, the enrollment

management theoretical framework did not thoroughly explain the current practices of HBCUs in this study.

This exploratory, multi-case study may not be generalizable to other HBCUs and particularly not to enrollment management organizations at other HBCUs. This study included three purposefully selected public HBCUs, one small private HBCU and one large private HBCU. The originally intended method of selecting institutions by growth trend was abandoned due to the potential participants' unwillingness. However, the institutions' profiles were described, and institutions with similar profiles may observe similarities.

Implications

Although the findings cannot be generalized to all HBCUs, the findings can be used to highlight possible implications. For policy implications, this study's findings suggest that low retention rates at HBCUs could be a result of how enrollment management organizations operate on these campuses. Enrollment management, conceptually in the literature, places the responsibility of enrolling new and continuing students with the enrollment manager. However, at most of the HBCUs in the study, neither the enrollment manager nor a single identifiable person was responsible for retention. Each of the institutions in the study had graduation rates below the national average African American graduation rate of institutions with similar admissions acceptance rates. Policy makers at the federal, state and institutional level must explore how enrollment is managed and determine how enrollment management structures can be adjusted to include retention and other office/functions that would improve the enrollment processes.

Technology in enrollment services was evident at the three public institutions; the two private institutions had not implemented third-party recruitment software. The small private institution has implemented document imaging purchased with Title III funding. Policy makers should consider creating technology resource centers to provide assistance to HBCUs to purchase and implement new recruitment and retention technology or that they expand Title III Part B to include all HBCUs restricting certain funds to be used for improving enrollment processes. Several HBCUs do not receive Title III Part B funds.

Leadership instability at the HBCUs in this study had the potential to influence enrollment. Policy makers need to examine executive leadership transitions at HBCUs to include the president, provost, and vice presidents positions. How often do the people in these positions change at HBCUs compared with those at PWIs within the same geographical area? Is there a conspiracy by state system administrations to close HBCUs by selecting weak leaders as asserted by Evans and Evans (2002)? Further research is needed to answer these questions.

In addition, further research is needed to examine retention at HBCUs to determine how retention management influences enrollment. Also, the HBCU administrative culture needs to be further examined to see how territorialism and institutional identity affinity impact the institution. A comparative case study on institutional factors and enrollment management organizations at PWIs could reveal additional information about how the enrollment management organization as a unit influences enrollment, and it could illustrate differences between HBCUs and PWIs. Lastly, this study could be replicated with community colleges to determine which

institutional factors influence enrollment and whether institutional identity affinity influences the campus' operations.

Conclusions and Recommendations

This study examined how institutional factors influence enrollment, how the enrollment planning process occurs, and how the enrollment management organization operates to influence enrollment. There are four major recommendations as a result of the findings of this study: 1) recognize the importance of hiring experienced enrollment managers; 2) restructure the enrollment management organization to ensure its effectiveness; 3) ensure comprehensive strategic planning development to guide the enrollment management plan and other institutional plans; and 4) explore new funding sources including expanding Title III Part B to support the enrollment efforts.

Institutions must seek to hire experienced enrollment managers who will be able to develop an enrollment management plan. According to Wards, (2005), individual traits of the enrollment manager are critical to creating an enrollment management plan. University A's and College C's enrollment managers each had 15 years or more experience as an enrollment manager. The admissions directors at Universities A, D and E and the financial aid director at University E had experiences using software systems that enhanced their office operations. HBCUs must hire enrollment personnel who are knowledgeable about enrollment processes including data mining, and have experience with the latest software that can assist with improving office efficiencies.

The enrollment management organizations should be restructured to ensure effectiveness. Collaboration is a key element within the enrollment concept and if collaboration is not occurring the enrollment—recruitment and retention—efforts are

impacted. One way to lessen the impact of territorialism is to move from a traditional enrollment management model to a restructured enrollment management organization, placing all offices and functions that can potentially influence new- and continuing-student enrollment under one division. Thus, restructuring based on functions and not on employees' rivalries or personalities. To assist with this restructuring, HBCU presidents can hire a consultant to review business processes and align the organization's restructuring with the consultant's recommendations.

Strategic planning development is critical to the development of the enrollment management plan. Therefore, new presidents of HBCUs should be required to attend leadership training that would include training on developing institutions' strategic plan and other planning documents. Although any new president of college or university would probably benefit from leadership training, this study's findings indicate that HBCU presidents appear to face different challenges. Therefore, HBCU leadership training could include strategic planning with limited resources, developing data retrieval systems to make data driven decisions, hiring an experienced executive team, fundraising, and so forth. Leadership training could be provided through the White House Initiative on HBCUs, or the National Association for Equal Opportunity in Higher Education (NAFEA), or the leadership training could be connected to funding sources such as Title III Part B. This training could incorporate former successful HBCUs presidents who could share their experiences with the new HBCU leadership. This leadership training could be extended to include the HBCU executive teams—the provost and the vice presidents of finance, administration, student affairs, enrollment management and technology.

Title III Part B is a federal funding source to strengthen HBCUs. HBCUs must apply for the funds. The current program description is to provide "financial assistance to Historically Black Colleges and Universities (HBCUs) to establish or strengthen their physical plants, financial management, academic resources, and endowment-building capacity" (USDE, 2013). Although Title III activities include student services, how much of the Title III Part B funds at the institutional level are used to improve enrollment office efficiencies, recruitment, or retention is unknown. An analysis of Title III Part B could reveal HBCUs' priorities and determine where the enrollment management organizations exist within these established priorities. To begin to ensure that enrollment management organizations are included in Title III Part B, the term "enrollment management" could be listed in the program description. The findings contribute to a greater understanding of institutional enrollment factors, enrollment management organizations at HBCUs, and the HBCU administrative culture.

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Appendix A: HBCU Enrollment Trends

UnitID	Institution Name	2003 Und. Total	2007 Und. Total	1 year % Change	5 year % change
106306	Arkansas Baptist College	375	602	51.7%	60.5%
107600	Philander Smith College	887	561	-2.1%	-36.8%
106412	University of Arkansas at Pine Bluff	3136	3099	1.5%	-1.2%
100724	Alabama State University	5020	4647	1.3%	-7.4%
101073	Concordia College-Selma	851	555	-32.0%	-34.8%
101675	Miles College	1660	1210	-31.8%	-27.1%
101912	Oakwood College	1787	1824	3.0%	2.1%
102270	Stillman College	1200	915	8.3%	-23.8%
102298	Talladega College	468	350	-16.0%	-25.2%
102377	Tuskegee University	2391	2515	4.0%	5.2%
131520	Howard University	7059	6998	-4.4%	-0.9%
131399	University of the District of Columbia	5006	5137	-3.3%	2.6%
130934	Delaware State University	2992	3374	2.4%	12.8%
132602	Bethune-Cookman University	2794	3395	10.8%	21.5%
133526	Edward Waters College	1301	811	-2.4%	-37.7%
133650	Florida Agricultural and Mechanical University	11164	9490	-5.7%	-15.0%

133979	Florida Memorial University	2176	1669	-5.3%	-23.3%
138716	Albany State University	3169	3606	2.9%	13.8%
138947	Clark Atlanta University	3920	3533	-3.8%	-9.9%
139719	Fort Valley State University	2291	2467	16.6%	7.7%
140553	Morehouse College	2859	2810	-4.3%	-1.7%
218399	Morris College	1007	871	4.7%	-13.5%
140720	Paine College	972	917	0.4%	-5.7%
140960	Savannah State University	2595	3041	-2.6%	17.2%
141060	Spelman College	2063	2343	2.6%	13.6%
157058	Kentucky State University	2166	2510	7.9%	15.9%
158802	Dillard University	2312	956	-7.3%	-58.7%
159009	Grambling State University	4175	4754	4.1%	13.9%
160621	Southern University and A & M College	7571	6974	-4.8%	-7.9%
160630	Southern University at New Orleans	2794	2133	14.8%	-23.7%
160904	Xavier University of Louisiana	3145	2322	1.6%	-26.2%
162007	Bowie State University	3988	4285	5.3%	7.4%
162283	Coppin State University	3232	3242	-2.1%	0.3%
163453	Morgan State University	6005	6351	6.6%	5.8%
163338	University of Maryland Eastern Shore	3326	3615	-2.5%	8.7%

177551	Harris-Stowe State University	1911	1882	0.7%	-1.5%
175342	Alcorn State University	2662	3004	-0.4%	12.8%
175856	Jackson State University	6292	6823	4.8%	8.4%
176044	Mississippi Valley State University	2980	2574	-3.8%	-13.6%
176318	Rust College	988	979	6.0%	-0.9%
176406	Tougaloo College	940	856	-6.1%	-8.9%
197993	Bennett College for Women	429	678	16.6%	58.0%
198507	Elizabeth City State University	2282	2875	11.2%	26.0%
198543	Fayetteville State University	4359	6068	15.3%	39.2%
198862	Livingstone College	1005	960	5.3%	-4.5%
199102	North Carolina A & T State University	8715	9048	-7.3%	3.8%
199157	North Carolina Central University	5362	6326	-5.4%	18.0%
199582	Saint Augustines College	1629	1284	2.3%	-21.2%
199643	Shaw University	2446	2656	-0.5%	8.6%
199999	Winston-Salem State University	3929	5458	3.3%	38.9%
201690	Central State University	1611	1997	15.5%	24.0%
177940	Lincoln University	2910	2952	0.9%	1.4%
206491	Wilberforce University	1180	826	-2.7%	-30.0%

207209	Langston University	2873	2531	-0.9%	-11.9%
211608	Cheyney University of Pennsylvania	1251	1322	-13.7%	5.7%
213598	Lincoln University of Pennsylvania	1530	1904	2.9%	24.4%
217624	Allen University	565	651	21.4%	15.2%
217721	Benedict College	2850	2641	3.9%	-7.3%
217873	Claflin University	1577	1679	0.3%	6.5%
198756	Johnson C Smith University	1474	1463	-0.5%	-0.7%
220598	Lane College	952	1766	41.6%	85.5%
220604	Le Moyne-Owen College	796	592	-15.3%	-25.6%
232937	Norfolk State University	6039	5368	-0.6%	-11.1%
218733	South Carolina State University	3585	4323	13.5%	20.6%
218919	Voorhees College	876	587	-14.0%	-33.0%
220181	Fisk University	858	761	-16.3%	-11.3%
221838	Tennessee State University	7184	7132	0.3%	-0.7%
225575	Huston-Tillotson University	666	727	3.3%	9.2%
225885	Jarvis Christian College	654	712	5.7%	8.9%
227429	Paul Quinn College	858	567	-25.3%	-33.9%
227526	Prairie View A & M University	6042	6118	5.0%	1.3%
228486	Southwestern Christian College	220	201	-0.5%	-8.6%
228884	Texas College	1035	741	0.8%	-28.4%

229063	Texas Southern University	8920	7572	-16.6%	-15.1%
229887	Wiley College	707	926	9.1%	31.0%
232265	Hampton University	4947	4886	-5.0%	-1.2%
233499	Saint Pauls College	475	700	4.0%	47.4%
234155	Virginia State University	4033	4230	-1.9%	4.9%
234164	Virginia Union University	1517	1193	-3.0%	-21.4%
243665	University of the Virgin Islands	1439	2176	-6.7%	51.2%
237215	Bluefield State College	3511	1804	-3.4%	-48.6%
237899	West Virginia State University	4944	3175	-5.9%	-35.8%

Appendix B: Interview Protocol for Enrollment Personnel

Interview Protocol for Enrollment Managers
(60 Minutes)

Research Question 1: *What institutional factors influence enrollment of undergraduate students at four-year public and private historically black institutions, respectively*? (20 min)

Enrollment Factors: Interview Questions

A. Describe the institutional factors that influence new student undergraduate enrollment.
B. Describe how information about the institution is made available to prospective students
C. Describe how admission requirements are established. What role does enrollment management play?
D. Describe how costs are determined at the institution. What role does enrollment management play?
E. How effective is the financial aid process to ensure student enrollment goals are obtained? What role does enrollment manager play?
F. .What is your role in retaining students? How do you monitor retention/attrition?
G. How does financial aid offers or lack thereof impact continuing student enrollment?

Research Question 2: *How are enrollment goals for undergraduate students at four-year historically black institutions developed*? (10 mins.)

Enrollment Goals: Interview Questions

A. How are enrollment goals established for undergraduate students?

B. What method do you use to establish goals for new and continuing student enrollment?

Research Question 3: How do enrollment managers develop strategies to achieve short- and long-term enrollment goals? (10 min)

Strategy Development: Interview Questions

A. How are recruitment strategies developed?
B. .How are retention strategies developed?
C. How are enrollment strategies evaluated? Are results from evaluation used to adjust enrollment strategy?

D. How financial resources are made available to support the enrollment strategy development?
E. Are financial resources adequate to implement the enrollment strategies?

Research Question 4: How are the strategies prioritized by the enrollment manager? (10 min)

Strategy Prioritization: Interview Question

A. How are enrollment strategies prioritized?
B. Describe challenges that the institution faces in establishing prioritization for the enrollment strategies.

Additional Questions: Enrollment Management Organizations and Enrollment Challenges

(10 min.)

A. Describe the enrollment management organization at this institution?
B. Is the enrollment management organization adequate to support the enrollment initiatives?
C. Describe the enrollment challenges the institution is facing. D. Do you foresee any additional enrollment challenges?

Appendix C: Enrollment Manager and Institution Information Sheet

Enrollment Manager and Institution Information Sheet

Please respond to the following information to the best of your abilities. If you have questions or need clarifications, you can ask the researcher.

Personal Data:

☐ Male ☐ Female

☐ White ☐ Black ☐ Asian ☐ Hispanic ☐ Multi-race ☐ Unknown

Enrollment Management Experience:

List your formal title:

_____

How many years have you been an enrollment manager? _____

How many years have you been an enrollment manager at an HBCU? _____

Enrollment Management Structure:

List the offices that report to you.

_____

_____

_____

_____

To which Position Do You ☐ Academic Vice President
☐ Student Affairs Vice President
☐ President
☐ Other(Please List Title)

Is there a person who is directly responsible for retention? ☐ Yes ☐ No
Please list the person's name and title

_____.

Please check all documents that the institution has:

Institutional Documents	Yes	No
A. Institutional Strategic Plan		
B. Enrollment Management Plan		
C. Recruitment Plan		
D. Retention Plan		
Operational/Action Plans		
E. Recruitment Publications		

Appendix D: Audio Release Form for Enrollment Personnel

I _____ hereby authorize Vell Lyles to use my audio recording in her project titled, *Institutional Enrollment Factors and Strategies Influencing Enrollment at Four-year Historically Black Colleges and Universities: A Case Study on Enrollment Management*

I have indicated below the name I wish to appear with my voice. I understand that by signing this form, I am releasing all recordings to her for this expressed purpose. I further certify that I am over the age of 18 years.

Name (Print): _____

Signature: _____

Date: _____

Name to be used with this audio in presentation

(Please print clearly) _____

Investigator's initials _____

Appendix E: Letter of Participation to Enrollment Personnel
Date:

Dear_____

The purpose of this letter is to ask your participation in a research project to examine influencing institutional enrollment factors that contribute to enrollment outcomes at four-year historically black colleges and universities as perceived by the institution's enrollment personnel. In addition, the study explores how the enrollment manager uses institutional enrollment factors to develop short and long-term goals and how enrollment strategies are developed and prioritized.

Your participation in this study is critical and will greatly add to the current body of knowledge on enrollment management. As a partial fulfillment of the requirement for the Doctor of Education degree at the George Washington University, Higher Education Administration Program, this project is part of the research phase of my study.

I understand your busy schedule and the many challenges that you face as an enrollment manager. Your experiences and perceptions are vitally important and will provide a better understanding of the enrollment process and challenges HBCU enrollment personnel face.

I would like to assure you that our discussions and conversations will be strictly confidential. To protect your anonymity at no time will your name, perspectives, and email be shared. After analyzing all of the data, I will present my written findings to my dissertation committee. I will be happy to send you a copy of my final work, should you choose to see it.

Please feel free to ask any questions at any time. I can be contacted at vhlyles@gwu.edu or (410) 661-5803. Dr. Kim's phone number is (202) 994-3205 and her email is kimmi@gwu.edu. I value your participation in this study and thank you for your time.

Sincerely,

Vell Lyles,
Doctoral Candidate

Appendix F: Letter or email to HBCU Presidents requesting participation

Emailed and Hardcopy Letter Sent to Presidents Requesting Participation.

Date:

Dear _____,

(Name of the Institution) invited to participate in a research study under the direction of Dr. Mikyong Minsun Kim of the Department of Educational Leadership, George Washington University (GWU). Taking part in this research is entirely voluntary.

The purpose of this multi-case study intends to examine influencing institutional enrollment factors that contribute to enrollment outcomes at four-year historically black colleges and universities (HBCUs) as perceived by the institution's enrollment personnel. In addition, the study intends to explore how the enrollment manager utilizes institutional enrollment factors to develop short and long-term goals and how enrollment strategies are developed and prioritized.

I understand the time constraints on enrollment personnel. As a former enrollment manager for 13 years at a HBCU, I can appreciate the demands of doing more with less and the value of time. If you choose to allow (Name of Institution) to participate, the on-campus interviews of enrollment personnel will last no longer than one hour. In addition, I would need access to examine enrollment documents. With the cooperation of the enrollment staff, I plan to gather the data in one day. The total amount of time per enrollment personnel is two hours. HBCUs enrollment personnel experiences and perceptions are valuable and will provide a better understanding of the enrollment process and challenges HBCU enrollment personnel face.

Potential risks are minimal but include lack of confidentiality. Steps will be taken to protect identity of (Name of Institution) and enrollment personnel to include institutional pseudonyms, coding to protect the identity of participating enrollment personnel, locked file cabinets for study data and password protection for electronic documents. Participating in this study poses no risks that are not ordinarily encountered in daily life. If results of this research study are reported in journals or at scientific meetings, the people and institutions who participated in this study will not be named or identified.

Please feel free to ask any questions at any time. I can be reached at vhlyles@gwu.edu or (410) 661-5803. Dr. Kim, dissertation committee chairperson, can be reached at (202) 994-3205, email, kimmi@gwu.edu. Thank you for taking the time to review my request.

Sincerely, Vell Lyles

Appendix G: Research Consent Form for Enrollment Personnel

Understanding Influencing Institutional Enrollment Factors on Undergraduate Enrollment Outcomes at Four-year Historically Black Colleges and Universities: An Enrollment Manager's Perspective

GW IRB number:

Principal Investigator: Mikyong Minsun Kim, PhD Telephone number: (202) 994-3502

Sub-Investigator: Vell Lyles, M.A. Telephone number: (410) 661-5603

Sponsor: NA

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1) Introduction

You are invited to participate in a research study under the direction of Dr. Mikyong Minsun Kim, of the Department of Educational Leadership at the Graduate School of Education and Human Development of the George Washington University. You are being asked to take part in this study because you are an enrollment manager. Your participation in this study is completely voluntary.

2) Why is this study being done?

This multi-case study intends to examine influencing institutional enrollment factors that contribute to enrollment outcomes at four-year historically black colleges and universities (HBCUs) as perceived by the institution's enrollment personnel. In addition, the study intends to explore how the enrollment manager utilizes institutional enrollment factors to develop short and long-term goals and how enrollment strategies are developed and prioritized. Your insight can add to the current professional body of knowledge in the field of enrollment management and strategic planning.

3) What is involved in this study?

If you decide to participate in this study, you will be asked to meet with the sub-investigator for an audio-taped interview that will last no more than one hour at a mutually agreed upon time and private location that is convenient to you. The audio-taped interview will be transcribed by a professional transcriber, with all your identifiers removed. Once the transcribed interview is read by the sub-investigator, you may be contacted again to read through the transcript of your interview to ensure its accuracy and confirm that what you said during the interview has been appropriately heard and transcribed. The total amount of time you will spend in connection with this study will not exceed two hours.

It is possible that the data obtained through your transcribed interview, with all information that could possibly identify you removed, be used in a future study related to enrollment management and strategic planning. In that case, no further participation on your part will be necessary or requested.

4) What are the risks of participating in this study?

This study is designed to minimize possible risks and discomforts to participants and is expected to cause you no harm whatsoever. However, if the questions that are being asked, as part of this study, make you feel uncomfortable, you may refuse to answer, take a break at any time during the interview, or stop participating at any time. If you feel distressed as the result of the interview, you will be referred to your institution's Employee Assistance Program (EAP).

Your refusal to answer questions or withdraw from the study in no way will negatively impact you.

5) What are the benefits to taking part in this study?

There are no personal benefits from the results of this study. Findings of the study, however, are expected to benefit the current body of educational literature in the following ways: (a) a better understanding of enrollment management, (b) highlight challenges that enrollment managers face, (c) identify factors that influence undergraduate student enrollment at HBCUs, (d) contribute to strategic and enrollment planning literature by exploring how enrollment managers contribute to the strategic planning process (e) lay the foundation for further research in comparing enrollment managers at diverse types of institutions.

What are my options?

You do not have to take part in this study if you choose not to do so. If you decide to participate now and later change your mind, you can do so at any time.

How will my privacy be protected?

Pseudonyms will be used as identifiers to protect your identity and personal information during data analysis and interpretation as well as in writing and discussing the final results of the study. If results are published in journals or reported at scientific meetings, you will not be named or identified as a participant in the study. The George Washington University will not release any information about your involvement in this study without your written permission, unless required by law.

If you decide to sign this consent form, all information that could be linked to identify you will be removed from the audio-taped interview transcripts. A list matching you to your pseudonym will be kept separate from the interview data in a locked file cabinet in the sub-investigator's home office. Upon publishing the final results of this study in the dissertation abstracts, all your identifiers will be shredded and emails deleted. Every

effort will be made to keep your information confidential, however, this cannot be guaranteed

6) Problems or questions

The Office of Human Research of The George Washington University can provide additional information about your rights as a research participant. Should you choose to contact them, they can be reached at (202) 994-
2715.

Additional information about this study can be obtained by contacting the sub-investigator, Vell Lyles, at email vlyles@gwu.edu or telephone number (410) 661-5803 and the principle investigator, Dr.

If you agree to participate in this study, please sign below:

7) Documentation of Informed Consent

To ensure anonymity, your signature is not required in this document unless you prefer to sign it. Your willingness to participate in this research study is implied if you proceed with completing the survey/interview.

*Please keep a copy of this document in case you want to read it again.

_____

Subject's Name (Printed) and Signature Date

_____

Name (Printed) and Signature of Person Obtaining Date the Consent