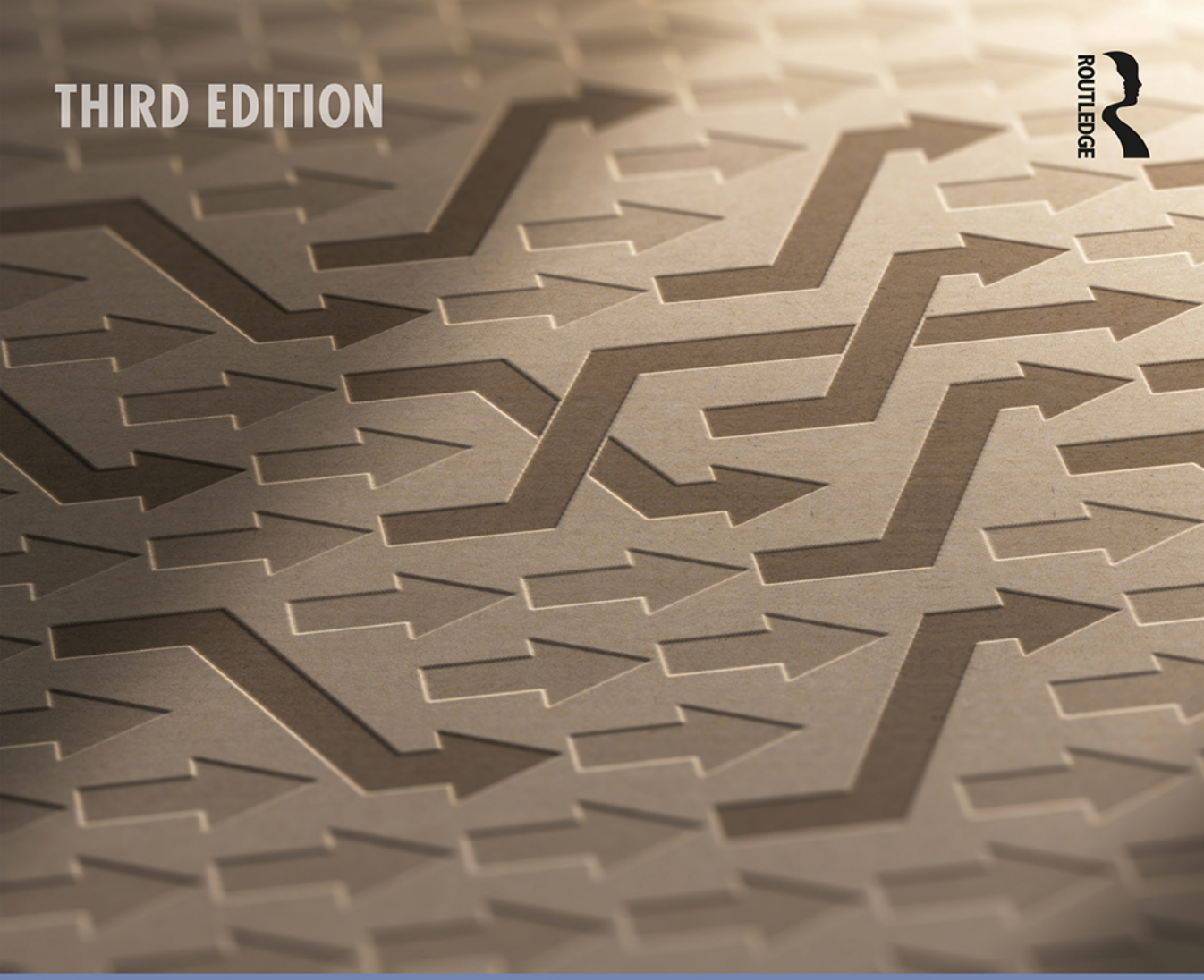

ORGANIZATION AND ADMINISTRATION IN HIGHER EDUCATION

EDITED BY KRISTINA 'KP' POWERS
AND PATRICK J. SCHLOSS
FOREWORD BY BELLE S. WHEELAN

"Whether you're the CEO or Dean, the Provost, or Department Chair, you must prepare yourself for all possibilities. This edition describes various situations that currently are being experienced by leaders in higher education today… While no one predicted a worldwide pandemic, we had to respond to it quickly. Hopefully, this edition will provide a valuable guide to whatever success administrators in higher education will experience in the decades going forward."

From the Foreword by **Belle S. Wheelan**, *President, Southern Association of Colleges and Schools Commission on Colleges*

"As the higher education industry continues to evolve, we will experience new challenges and opportunities to deliver the best instruction, programs, and services possible. The third edition of this book is timely, as it will be an essential resource to help professionals make their most critical strategic decisions in the years ahead."

Amelia Parnell, *Vice President, Research and Policy, NASPA—Student Affairs Administrators in Higher Education*

"Drawing on a range of perspectives, this volume offers useful insights into how higher education institutions – as organizations – work. Chapter authors provide practical guidance for higher education leaders as they strive to achieve strategic priorities, create change, and address key challenges facing U.S. higher education institutions. With discussion prompts at the end of each chapter, the authors encourage readers to consider how they can apply insights in their own institutional context."

Laura W. Perna, *Vice Provost for Faculty, GSE Centennial Presidential Professor of Education, Executive Director, Alliance for Higher Education and Democracy (AHEAD), University of Pennsylvania*

Organization and Administration in Higher Education

Situating strategic planning and budgeting within the organization and administration of higher education institutions, this text provides effective and proven strategies for today's change-oriented leaders. Bringing together distinguished administrators from two-year, four-year, public, and private colleges and universities, this volume provides both practical and effective guidance on the intricacies of the institutional structure, its functional activities, and contingency planning. *Organization and Administration in Higher Education* orients future administrators to the major areas of an academic institution and will assist higher education administrators in leading their institutions to excellence.

New in the third edition is an expanded discussion of diversity, equity, and inclusion as well as updated coverage across various institutional settings including community colleges. Additionally, the authors provide guidance on managing crises and institutional disruptions such as those caused by the COVID-19 pandemic. Powers and Schloss offer refreshed end-of-chapter discussion prompts and online instructor materials, including PowerPoints to support multimodal learning and new methods of teaching found here: https://instituteforeffectiveness.org/organization-and-administration-of-higher-education

Kristina 'KP' Powers is President of the Institute for Effectiveness in Higher Education, USA.

Patrick J. Schloss is former President of Valdosta State University, USA.

Organization and Administration in Higher Education

Edited by Kristina 'KP' Powers and Patrick J. Schloss

THIRD EDITION

Foreword by Belle S. Wheelan

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To our young friends, David, Beth, John, Alex, and all who will benefit from the institutions we seek to improve.

—Patrick J. Schloss

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PREFACE

THIRD EDITION CHANGES

As we celebrate our 10-year anniversary of this book, we reflect on how so much has simultaneously changed and remained the same. Over the course of the last decade, higher education leaders will often look back and reflect on the good ol' days when things were much "easier." Of course, easier is only relative to harder. For example, the economic crisis which began around 2007 and its associated budget cuts seemed catastrophic at the time – and they were. Compared to the 2020 worldwide pandemic, the challenges from a decade before seems easy. As we all prepare for the next decade ahead, we wonder if there will be more challenging issues that will make the year 2022 seem like the good ol' days. It is with this backdrop that this distinguished set of 18 contributing authors writes this book that will be used by current as well as future higher education administrators.

Often with each edition, a reader wonders, "what has changed from the previous edition?" or "is this edition materially different from the previous edition such that it is worth a new purchase and the time to read?" Of course, you, the reader are the ultimate judge; however, given that so much changed in 2020 alone, it is hard to find much that remained the same between pre- and post-pandemic.

To that end we share our methodological approach to the third edition so that you could quickly get these questions answered within the first few pages – and hopefully be encouraged to read this edition, regardless of whether you read the previous editions. The third edition includes the following significant changes:

- Reflect current developments – There have been numerous developments since the last edition in 2017. The world – including higher education – is simply a very different place. As expected, we want to include current developments in the third edition. Where possible and when chapter authors had the *expertise*, content on the following topics were included:

  - Diversity, Equity, and Inclusion (DEI):
    - A new chapter on Inclusive Excellence has been added to the book, written by a social justice, equity, diversity, and inclusion (S-JEDI) expert.
    - Where possible and when chapter authors had the expertise, DEI content was added.
  - Crisis Management:
    - Managing crises permeates throughout colleges and universities as well as higher education organizations. While there already was a thorough chapter on crisis management and the chapter authors participated in this third edition by updating their chapter to include new information related to crises and the pandemic, other chapter authors also included pandemic-related content. Since Covid-19 will likely not be the only pandemic that higher education has to deal with – or the only crisis – chapter authors have integrated crisis/pandemic-related material into their chapter.
- Philanthropy
  - Back by popular demand, the philanthropy chapter has returned to the third edition and has been updated to include new content and references. Additionally, the chapter also addresses fundraising in a post-pandemic world.
- Community College and Less – Than-2-Year Institutions
  - As we note in Chapter 1, the array of types of institutions is vast. Valued feedback from reviewers of the second edition suggested adding more information about community colleges and less-than-2-year institutions. Thus, chapter authors have integrated and/or expanded their chapters to include more information on community colleges and/or less-than-2-year institutions. This may take the form of having a specific section within a chapter or integrating it within existing content.

FOR INSTRUCTORS

Based on discussions with course adopters of the book, we have understood two items:

- Discussion prompts at the end of every chapter have been useful in class discussions. Therefore, each chapter continues to have a set of discussion prompts, with some new questions added to reflect the new content added to the chapter.
- Supplemental Materials: Multiple reviewers requested supplemental materials (e.g., instructors guide, PowerPoint (PPT) decks for teaching, case studies, videos with the authors, etc.). To accommodate this feedback, the following has been done:
  - A PPT for each chapter has been developed by Co-Editor Kristina 'KP' Powers.
  - The PPTs include a high-level overview of the chapter that instructors can use to supplement their teaching.
  - All materials are available free of charge on the Institute for Effectiveness in Higher Education – IEHE website https://instituteforeffectiveness.org/organization-and-administration-of-higher-education/. Additionally, we will add to the PPTs in between editions to continually bring fresh resources/references and current event activities and case studies, thus extending the edition's life.

OVERVIEW OF THE BOOK

Successful technical schools, community colleges, liberal arts colleges, and comprehensive and research universities can be defined by the quality of their leadership teams. Effective planning and administration, regardless of strategic advantages, can elevate an institution beyond its peers in a vast array of critical dimensions. All can enhance recruitment and retention, strengthen student life opportunities, increase extramural support and private giving, and advance the institution's reputation for excellence.

Irrespective of level, leaders who effectively utilize governance groups, planning tools, and budgeting techniques make a difference in the prospects of the institution. More importantly, they make a difference in the prospects of graduates and other stakeholders. Our primary goal in writing the third edition of *Organization and Administration in Higher Education* was to offer guidance to change-oriented higher education leaders – especially given the global Covid-19 pandemic – and update the content throughout each chapter, as well as add new chapters. The book's contents are also valuable to preservice administrators taking higher education administration and finance courses. The book seeks to provide guidance in the best and worst of times, though it is during the hard times that outstanding leadership is most desperately needed.

We refer liberally to "postsecondary" and "higher education" institutions. These terms apply to any institution that builds upon a high school education, including technical schools, liberal arts colleges, specialty institutions, community colleges, and comprehensive universities. Relevant institutions may be private, requiring substantial tuition income, or public, receiving governmental support. They may be operated for profit or not for profit. We also reference institutions that provide Web-based programs or other distance learning options.

This book may be useful to anyone working at or toward the "cabinet" or "senior leadership" level. These individuals may be currently employed in a leadership position, using the contents to expand their perspective and skill, or preparing for advancement into such a position, as would be the case with students in graduate leadership programs.

The contents cut across a wide range of disciplines and areas of expertise. Resource management, finance, law, human capital, and political action all form the basis of effective administration. No single author is likely to be as capable of addressing all these subjects as a team of specialized individuals. For this reason, we called upon several chapter authors. Each is a recognized expert in a critical area of higher education administration. These authors followed a common format and style so that, while the expertise underlying the text is diverse, the voice is relatively uniform. We appreciate the authors' flexibility in working within a preset template. While challenging for the authors, this consistency will benefit the reader.

The book is structured around functional themes in the management of postsecondary institutions. Not intended to be a "cookbook" or operations manual, the content strikes a balance between philosophical underpinnings and basic operations. The goal is to make the philosophical foundation clear to the reader while fully developing approaches consistent with that foundation.

The first broad theme is the structure of higher education. Related chapters range from a broad overview of institutions by style and characterization, key leadership positions,

and managing human resources to discussions of institutional and student governance. The second broad theme examines the efficient and effective management of resources. We combine the complex areas of strategic planning and budgeting within the context of organization and academic curriculum as well as managing accreditation. The final theme includes events and issues that shape higher education today, with chapters addressing key legal aspects, inclusive excellence, and crisis management for decision making. The approach described in the text is comprehensive, including all levels of decision makers and a full range of objectives. Similarly, the planning and budgeting constructs are applied to all typical postsecondary institutions.

Regardless of the specific focus of a chapter, certain content is woven throughout the text. Special attention is given to the importance of directing institutional resources to areas of strategic advantage, diminishing spending in areas of marginal distinction, cultivating alternative revenue sources, obtaining broad-based support for strategic decisions, and creating a culture of accountability and excellence. Traditional challenges of crisis management, communication, curriculum development, and institutional communication are also addressed.

We often focus on the challenge of declining state appropriations for state institutions and diminishing discretionary dollars from families for private institutions. Efficiency, focus, and accountability have become the defining standards for contemporary educational leaders in all sectors. Regardless of the chapter, there is continual reference to approaches that allow institutions to do more with less.

Best practices that have been reported in the literature and for which certain institutions have become renowned serve as a foundation for concepts and techniques described in the text. The authors also shaped the content by "lessons learned," most of whom have held high-level administrative positions in postsecondary institutions. We believe these lessons, combined with the authors' deep knowledge of the professional literature, will make this work both practical and authoritative for current and future administrators.

ACKNOWLEDGEMENTS

We would like to express our heartfelt appreciation to those who have made this book possible. First, we would like to acknowledge all of the chapter authors. We are grateful to the authors who returned for the third edition – updating their chapters and being bold enough to join us for a third exciting publishing adventure. We are pleased to have added new chapter authors, who all graciously agreed to contribute their expertise to the project. The authors' collective expertise resulted in a resource of breadth and depth for current and future administrators.

It is with great gratitude that we thank Routledge, especially our editor, Heather Jarrow, who has been with us through all three editions. It was with delight that we read Heather's email in 2020, inviting us to submit a proposal for a third edition. She helped bring this book to completion in the first and second editions and kindly invited us to create a third edition, providing valuable feedback for enhancements. We are privileged to work with the dedicated and experienced team at Routledge.

We would like to thank the anonymous individuals who took the time to respond to Routledge's survey questionnaire regarding the second edition so that we could make valuable enhancements to the third edition. We have incorporated much of the feedback and comments that consistently emerged. Your early contributions have led to an improved and robust third edition.

Finally, an honorable mention goes to the family and friends of all contributors to this book; it is with their support that we can complete the research about which we are so passionate.

FOREWORD

Encore! More! Third Edition! All of these phrases are compliments to the actors and authors who provide a positive experience the first time they produce a superb product and are encouraged to continue their good work. This is certainly true of the third edition of this publication.

No one can deny that higher education has changed over the past 10 years, and not always for the better. Surveys have indicated that the belief that higher education is the best way to be lifted out of poverty is at the lowest rating in years. In some instances, the cost of higher education has risen to that above automobiles and houses. This has led to an increase in debt taken on by families who attend or enroll their family members in institutions of higher education. Additionally, mental health issues and food insecurities have risen among college-going students at alarming rates during this same period.

Added to these challenges are those that have surfaced in the form of physical destruction to campuses due to hurricanes and storms, and the viral pandemic presented by COVID-19. Declining student enrollments have contributed to financial distress, which has plagued many institutions for years. The result has been an increase in the number of mergers, consolidations and, in some cases, closures of institutions. The continued emphasis on outcome measures (graduation and licensure rates) and workforce/training has resulted in many institutions adding programs to meet those needs whether they can afford them or not. Additionally, the migration of citizens to the South has put pressure on institutions to survive declines in the Midwest and North, and growth in the Southeast. How does a person prepare for leading our institutions of higher education given all of these changes?

This third edition is designed to answer some of these questions and provide guidance for up-and-coming administrators and students of higher education administration in preparing for leadership positions in institutions of higher education. Several authors from the first and second editions have expanded on many of the concepts provided previously; however, there are several new concepts such as diversity, equity, and inclusion (DEI), fund-raising in a post-pandemic environment, and the impact of Community Colleges on workforce training that have been added. There are also supplemental

materials, such as PowerPoints and case studies, that have been added to facilitate classroom instruction of the content.

Building and managing budgets, developing and assessing various curricular offerings, and effectively managing the human resources of an institution are topics with which administrators in higher education have always had to deal and that have remained fairly constant in their management; however, there are several topics in this edition that have been prominently discussed in the media recently. Specifically, the role of governance and key legal aspects in higher education have gained prominence in the time and energy it takes to work through them.

Title IX requirements and sexual abuse cases have resulted in many administrators losing their jobs over the way they handled various situations. Philosophical and political changes among elected and appointed members of governing boards have begun to impact everything from policies related to curricular offerings and post-tenure revenue, which historically had been the purview of the faculty, to free speech. Shared governance is being redefined and often faculty feel they are being left out of discussions of which historically they were a part. How one manages each crisis often determines the longevity of the administrator in the job.

This edition provides various strategies that will ensure success for administrators who must matriculate through the often rough waters these challenges bring. Whether you're the CEO or dean, the provost, or department chair, you must prepare yourself for all possibilities. This edition describes various situations that currently are being experienced by leaders in higher education today. Several of the topics, e.g., COVID-19 and cyber security, are new from previous editions of the book because they have appeared in the atmosphere since the previous editions were published. With each decade, higher education has had to change as the world around it has done. While no one predicted a worldwide pandemic, we had to respond to it quickly. Hopefully, this edition will provide a valuable guide to whatever success administrators in higher education will experience in the decades going forward.

Dr. Belle S. Wheelan, President
Southern Association of Colleges and Schools Commission on Colleges

Part I

Higher Education Institutions and the People in Them

1

UNDERSTANDING THE RANGE OF POSTSECONDARY INSTITUTIONS AND KEY QUALITY INDICATORS

Angela E. Henderson and Kristina 'KP' Powers

INTRODUCTION

When traveling, be it for business or for pleasure, we tend to compare and contrast our new location with more familiar surroundings. The new location may be bigger or smaller, more or less diverse, or warmer or colder than our current home. Having a common set of criteria for evaluation allows us to make comparisons and get acclimated. The same is true for higher education institutions and, thanks to a national database with a common set of definitions and variables, it possible to compare more than 6,000 postsecondary schools that submit federal data to the National Center for Education Statistics (NCES) each year via the Integrated Postsecondary Education Data System (IPEDS). Of those institutions, nearly 4,000 are degree-granting institutions, awarding academic degrees at the associate degree level or higher.

Current and future administrators seeking to better understand the higher education landscape will benefit from this chapter's detailed descriptions of the types of institutions and quality indicators that key external stakeholders such as parents, prospective students, legislators, and media focus on when evaluating an institution. Key internal stakeholders such as presidents, vice presidents, deans, and directors also focus on quality indicators, but do so with unique management challenges described herein.

INSTITUTIONAL LEVEL: TWO-YEAR DEGREE-GRANTING INSTITUTIONS AND FOUR-YEAR DEGREE-GRANTING INSTITUTIONS

Two-Year Degree-Granting Institutions

The majority of institutions can be classified by two levels of postsecondary institutions: two-year and four-year institutions. Two-year institutions, often referred to as community colleges, are institutions that allow students to obtain a degree or credential within two years. Typically, these institutions offer programs that lead to associate degrees or certificates and typically do not offer bachelor's degrees. As such, two-year institutions

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tend to serve as a starting point for a number of students who later transfer to four-year institutions to pursue a bachelor's degree. It is important to note that there is a small percentage of institutions that are classified as less-than-two-year institutions.

Four-Year Degree-Granting Institutions

Four-year institutions offer programs that allow students to obtain a bachelor's degree as well as higher degrees (e.g., master's, doctorate, professional, etc.). As bachelor's degrees are generally structured as four-year programs, these institutions are referred to as four-year institutions. These institutions may also offer degrees and credentials such as associate degrees and other certificates, but tend to award the majority of degrees at the bachelor's level or higher.

INSTITUTIONAL TYPE: PUBLIC AND PRIVATE

Within the general structure of higher education, postsecondary institutions are divided into three main categories based upon how they are funded: public and private not-for-profit and private for-profit as shown in Figure 1.1.

Public Institutions

The National Center for Education Statistics defines a public institution as "an educational institution whose programs and activities are operated by publicly elected or appointed school officials and which is supported primarily by public funds" (NCES, n.d.). Public institutions include a variety of levels and program offerings, from two-year community colleges to doctorate-granting research-level universities. In 2019–20 (using the latest data available at the time of writing), public institutions constituted 41% of degree-granting postsecondary institutions in the United States, enrolling nearly three-quarters of all postsecondary students (Table 1.1) (NCES, 2021a, 2021b).

History and Growth

In fall 1980, there were just under 1,500 public degree-granting institutions in the United States, the majority of which were two-year colleges, often referred to as community colleges (NCES, 2021a). Public four-year degree-granting institutions were less plentiful, comprising less than 40% of all public degree-granting institutions at the time (NCES, 2021a). Enrollment at degree-granting public institutions totaled nearly 9.5 million, which represented more than three-quarters (78%) of all students attending postsecondary institutions in 1980 (NCES, 2021b). By fall 2000, nearly 200 additional public

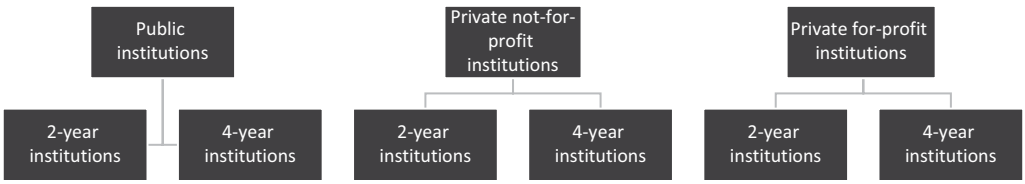

Figure 1.1 Institutions by Type and Level

Table 1.1 Number of Degree-Granting Institutions and Enrollment by Type and Level 1980, 2000, 2019

Institution Type	1980 Institutions	2000 Institutions	2019 Institutions	1980 Enrollment	2000 Enrollment	2019 Enrollment
Total	3,231	4,182	3,982	12,096,895	15,312,289	19,637,499
Public	1,497	1,698	1,625	9,457,394	11,752,786	14,501,057
4-year	552	622	772	5,128,612	6,055,398	9,102,958
2-year	945	1,076	853	4,328,782	5,697,388	5,398,099
Private	1,734	2,484	2,357	2,639,501	3,559,503	5,136,442
Not-for-profit	1,569	1,695	1,660	2,527,787	3,109,419	4,145,263
4-year	1,387	1,551	1,568	2,413,693	3,050,575	4,100,619
2-year	182	144	92	114,094	58,844	44,644
For-profit	165	789	697	111,714	450,084	991,179
4-year	18	277	339	28,303	257,885	834,878
2-year	147	512	358	83,411	192,199	156,301

(NCES, 2021a, 2021b)

institutions were enrolling students. Of those new institutions, 65% were community colleges, demonstrating substantial growth within this sector of public institutions (NCES, 2021a).

While the total number of degree-granting public institutions has ranged between 1,620 and 1,720 for the last 25 years, shifts within the sector have occurred as a number of community colleges expanded offerings and transitioned to four-year institutions (NCES, 2021a). Whereas only 37% of public institutions were classified as four-year institutions in 1980, by 2019, the percentage had risen to nearly 50% (NCES, 2021a).

Private Institutions

While public institutions receive public funding, private institutions are "usually supported primarily by other than public funds and operated by other than publicly elected or appointed officials" (NCES, n.d.). Therefore, private institutions fund nearly all costs through private means, such as tuition. Private institutions utilize one of two financial structures: not-for-profit or for-profit (or proprietary). Not-for-profit institutions operate similarly to nonprofit organizations in that surplus revenue must be directed to institutional goals. For-profit institutions have no restrictions on surplus revenue but are arguably subject to greater accountability than their counterparts.

More than 95% of for-profits do not have a foundation. Thus for-profits must fund all of their costs through their annual budgets and savings. For example, during the COVID-19 pandemic when many public and not-for-profit institutions turned to their foundation accounts to fund one-time financial help, for-profit institutions did not have a foundation fund. Thus, for-profit institutions only had their annual budget and savings accounts to leverage during the pandemic.

Because private institutions do not receive public funding, they have the flexibility to provide educational experiences not available at public institutions, such as faith-based programs. Like their public counterparts, private institutions include two- and four-year postsecondary schools with various degree programs and specialties. In 2019–20, private institutions constituted 59% of the degree-granting postsecondary institutions in

the United States that submitted data to IPEDS, with a total enrollment of over 5.1 million, or just over a quarter of all students enrolled (NCES, 2021a, 2021b).

History and Growth

Over the last 60 years, a shift has taken place within the private institution sector, resulting in substantial growth for private for-profit institutions. In 1980, there were fewer than 200 degree-granting private for-profit institutions, representing less than 5% of private-sector enrollment (NCES, 2021a, 2021b). As of 2019, there were nearly 700 degree-granting private for-profit institutions with a collective enrollment of nearly one million students (NCES, 2021a, 2021b). Thus, the for-profit sector has had a decline in the number of institutions, but enrollment has increased. Despite growth in the for-profit sector, the majority of institutions and enrollment within private institutions remain at not-for-profit institutions. Private not-for-profit institutions enrolled 4.1 million students in 2019–20, accounting for 81% of all students enrolled at private institutions (NCES, 2021b). Figure 1.2 shows total enrollment over time by institution type, while Table 1.1 shows detailed institution and enrollment counts over time by institution type and level.

Overall Geographical Distribution of Institutions and Enrollment

Although the nearly 4,000 degree-granting postsecondary institutions in the United States are located across 50 states, multiple territories, and outlying areas, some geographic regions contain more institutions than others. Table 1.2 shows the total number of degree-granting institutions and total enrollment for each of the eight regions (as defined by NCES) of the United States as of 2019.

As you can see from Table 1.2, the Southeast region, which includes 12 states (Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Virginia, and West Virginia) accounts for the largest percentage of institutions and student enrollment: 25% of all institutions and 23% of total enrollment. More institutions are within the Southeast region than in the New England, Rocky

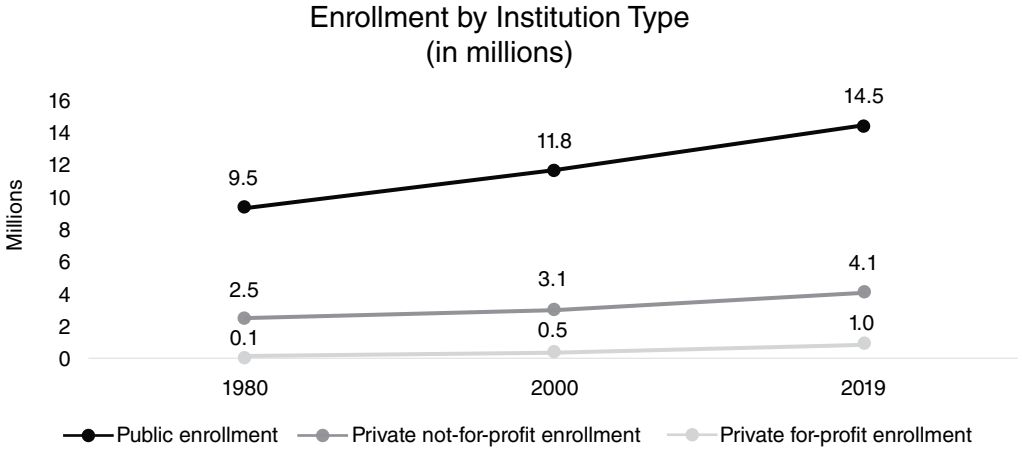

Figure 1.2 Enrollment at Degree-Granting Institutions 1980, 2000, 2019

Table 1.2 Number of Degree-Granting Institutions and Enrollment by US Bureau of Economic Analysis (BEA) Regions, 2019

Region	Total Institutions	% of Institutions	Total Enrollment	% of Enrollment
Southeast (AL, AR, FL, GA, KY, LA, MS, NC, SC, TN, VA, WV)	994	25%	4,588,824	23%
Mid-East (DE, DC, MD, NJ, NY, PA)	681	17%	2,856,132	15%
Far West (AK, CA, HI, NV, OR, WA)	591	15%	3,507,378	18%
Great Lakes (IL, IN, MI, OH, WI)	553	14%	2,656,202	14%
Southwest (AZ, NM, OK, TX)	402	10%	2,581,307	13%
Plains (IA, KS, MN, MO, NE, ND, SD)	378	9%	1,432,012	7%
New England (CT, ME, MA, NH, RI, VT)	234	6%	1,048,442	5%
Rocky Mountains (CO, ID, MT, UT, WY)	144	4%	951,809	5%
US Service academies	5	0%	15,393	0%
Total	3,982	100%	19,637,499	100%

(NCES, 2021c, 2021d)

Mountains, and Plains regions combined. Overall, the Southeast region contains the highest number of public and private for-profit institutions, while the Mid-East region contains the highest number of private not-for-profit institutions.

CLASSIFICATION OF INSTITUTIONS

Since the 1970s, degree-granting postsecondary institutions in the United States that have attained accreditation and that report data to NCES have been classified using the Carnegie Classification system (Carnegie, n.d.-a). The Carnegie Commission's efforts to organize "a classification of colleges and universities to support its program of research and policy analysis" prompted the development and implementation of the categorization process (Carnegie, n.d.-a). The classifications include all U.S. Title IV eligible, degree-granting colleges and universities that must report data to the National Center for Education Statistics and that conferred degrees in the year prior to the classification update (Carnegie, n.d.-c).

Since its implementation in 1973, and under subsequent revisions and enhancements, the system has become the definitive source of institutional comparison categorization data. This has become increasingly important, as more than 3,900 institutions are classified within the Carnegie Classification system. The Carnegie Classifications allow institutions and researchers to make informed decisions regarding the selection of peer institutions based on analytical groupings of institutions using consistent standards.

Table 1.3 Carnegie Classifications and Descriptions, 2021

Classification	Description
Basic Classification	Based on number of degrees awarded by level and educational focus
Size and Setting Classification	Based on institutional size and residential character
Undergraduate Instructional Program Classification	Based on the level of undergraduate degrees awarded; the proportion of bachelor's degree majors in the arts and sciences, in professional fields, in career and technical fields (two-year institutions); and the extent to which an institution awards graduate degrees in the same fields in which it awards undergraduate degrees
Graduate Instructional Program Classification	Based on the level of graduate degrees awarded, the number of fields represented by the degrees awarded, and the mix or concentration of degrees by broad disciplinary domain
Enrollment Profile Classification	Based on the mix of students enrolled at the undergraduate and graduate/professional levels
Undergraduate Profile Classifications	Based on the proportion of undergraduate students who attend part- or full-time; academic achievement characteristics of first-year, first-time students; and the proportion of entering students who transfer in from another institution

Source: Carnegie (n.d.-b., n.d.-c., n.d.-d., n.d.-e., n.d.-f., n.d.-g., n.d.-h).

The Carnegie Classifications have been revised periodically to reflect changes in higher education, most recently in 2021. Institutions are categorized based upon data they submit to the Department of Education and the National Science Foundation (Carnegie, n.d.-a). Carnegie researchers compile the data and classify the institutions based on location, enrollment, programs, and degrees conferred (McCormick & Zhao, 2005). Since 2005, the Carnegie structure has included six classification frameworks (Table 1.3).

As of 2021, the most commonly used Carnegie Classification system, the Basic Classification, categorizes institutions into seven groups: Doctoral Universities, Master's Colleges and Universities, Baccalaureate Colleges, Baccalaureate/Associate's Colleges, Associate's Colleges, Special Focus Institutions (theological, medical, law, etc.), and Tribal Colleges. The descriptions for each level within the Basic Classification framework are shown in Table 1.4 and addressed in detail in the following section.

Figure 1.3 shows the distribution of degree-granting institutions by type and Carnegie Basic Classification; Table 1.5 shows the total number of institutions and students enrolled at each type of institution by Carnegie Classification as of 2019.

OVERVIEW OF CARNEGIE BASIC CLASSIFICATION CATEGORIES

Doctoral/Research Universities

Doctoral Universities have been referred to in prior incarnations of the Carnegie Classification system as Doctorate-Granting, Doctoral/Research I, Doctoral/Research II, Doctoral/Research Extensive, and Doctoral/Research-Intensive institutions. In 2019, 403 institutions (10% of institutions) were classified under one of the three Doctoral University categories (NCES, 2019a). Of the institutions within the Doctoral Universities classification, there were equal numbers of institutions within the categories of very high research activity and high research activity (131 institutions each) and a slightly higher

Table 1.4 Carnegie Basic Classification Categories and Descriptions, 2021

Basic Classification Category	Description
Doctoral Universities	Award at least 20 research/scholarship doctoral degrees annually or award at least 30 professional practice doctoral degrees in at least two programs annually
Master's Colleges and Universities	Award at least 50 master's degrees and fewer than 20 doctoral degrees annually
Baccalaureate Colleges	Award at least 50% of all degrees as baccalaureate degrees or higher and fewer than 50 master's degrees or 20 doctoral degrees awarded annually
Baccalaureate/Associate's Colleges	Four-year institutions that award more than 50% of degrees at the associate level
Associate's Colleges	Award associate degrees as their highest level
Special Focus Institutions	Award a high concentration of degrees in a single field or set of related fields
Tribal Colleges and Universities	All colleges and universities within the American Indian Higher Education Consortium

Source: Carnegie (n.d.-d).

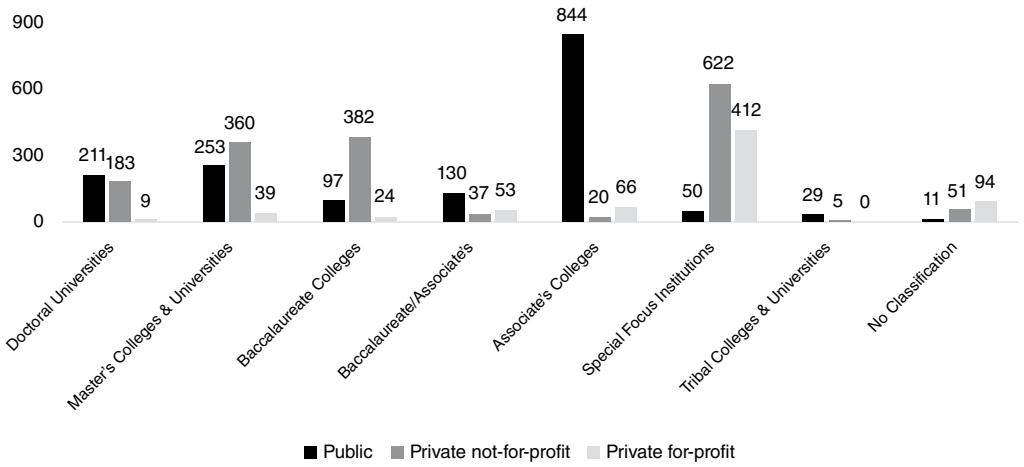

Figure 1.3 Distribution of Degree-Granting Institutions in the U.S. by Type and Carnegie Basic Classification, 2021

Source: NCES, 2019a.

Distribution of Degree-Granting Institutions in the U.S. by Type and Carnegie Basic Classification, 2021

number (141) classified as Doctoral/Professional universities (NCES, 2019a). The majority of Doctoral Universities (52%) were public; 45% were private not-for-profit; and the remaining 2% were private for-profit (NCES, 2019a). Enrollment at Doctoral Universities totaled over 7.2 million in fall 2019, with over 70% of these students attending public institutions (NCES, 2019a).

The Basic Classifications separate Doctoral Universities into three distinct categories based on their level of research activity (R1: very high research activity, R2: high research activity, and doctoral/professional) (Carnegie, n.d.-d). Institutions are placed into one

Table 1.5 Degree-Granting Institutions and Enrollment by Institution Type and Carnegie Basic Classification, 2019–20

Classification Level	Total Number of Institutions	Total Number of Students	Public Institutions				Private Not-for-Profit Institutions				Private for-Profit Institutions			
			Number of Institutions	Percent of Institutions	Number of Students	Percent of Students	Number of Institutions	Percent of Institutions	Number of Students	Percent of Students	Number of Institutions	Percent of Institutions	Number of Students	Percent of Students
RU/VH: Research Universities (Very high research activity)	131	3,937,225	94	6%	3,245,478	22%	37	2%	691,747	17%	0	0%	0	0%
RU/H: Research Universities (high research activity)	131	1,911,093	89	5%	1,485,430	10%	42	3%	425,663	10%		0%	0	0%
DRU: Doctoral/Research Universities	141	1,401,705	28	2%	380,795	3%	104	6%	685,254	17%	9	1%	335,656	34%
Master's/L: Master's Colleges and Universities (larger programs)	342	2,918,684	160	10%	1,790,136	12%	163	10%	931,566	22%	19	3%	196,982	20%
Master's/M: Master's Colleges and Universities (medium programs)	188	599,959	57	4%	292,567	2%	120	7%	282,830	7%	11	2%	24,562	2%
Master's/S: Master's Colleges and Universities (smaller programs)	122	314,023	36	2%	181,142	1%	77	5%	130,330	3%	9	1%	2,551	0%
Bac/A&S: Baccalaureate Colleges—Arts & Sciences	230	363,835	26	2%	57,286	0%	203	12%	306,409	7%	1	0%	140	0%
Bac/Divers: Baccalaureate Colleges—Diverse Fields	273	470,746	71	4%	211,004	1%	179	11%	238,722	6%	23	3%	21,020	2%
Bac/Assoc: Associate's Dominant	104	866,068	89	5%	850,509	6%	7	0%	6,446	0%	8	1%	9,113	1%
Bac/Assoc: Mixed Bacc/Assoc.	116	364,041	41	3%	297,915	2%	30	2%	23,805	1%	45	6%	42,321	4%
Associate's Colleges (all)	930	5,641,790	844	52%	5,598,231	39%	20	1%	11,112	0%	66	9%	32,447	3%
Special Focus Institutions (all)	1084	776,606	50	3%	87,377	1%	622	37%	396,269	10%	412	59%	292,960	30%
Tribal Colleges & Universities	34	16,057	29	2%	14,414	0%	5	0%	1,643	0%	0	0%	0	0%
Not applicable, not in Carnegie universe (not accredited or nondegree-granting)	156	55,667	11	1%	8,773	0%	51	3%	13,467	0%	94	13%	33,427	3%
Total	3,982	19,637,499	1,625	100%	14,501,057	100%	1,660	100%	4,145,263	100%	697	100%	991,179	100%

Source: Authors' analysis of data extract from IPEDS - 2019 Carnegie Classification data from the IPEDS Institutional Characteristics survey.
Data parameters: 2019 IPEDS data for degree-granting U.S. institutions within the IPEDS First Look Universe, excluding administrative units.
Source: NCES, 2019a.

of the three categories based on the level of research activity and a number of factors, including

> research & development (R&D) expenditures in science and engineering; R&D expenditures in non-S&E fields; S&E research staff (postdoctoral appointees and other non-faculty research staff with doctorates); and doctoral conferrals in humanities, social science, STEM (science, technology, engineering, and mathematics), and other fields.
>
> (Carnegie n.d.-d)

Table 1.6 provides examples of institutions classified as Doctoral Universities.

Master's Colleges and Universities

Similar to the structure used for Doctoral Universities, Master's Colleges and Universities are further divided into three categories (M1: larger, M2: medium, and M3: small) based on the number of master's degrees awarded by an institution. Table 1.7 shows the parameters for each category, as well as examples of institutions classified within each category.

Table 1.6 Doctoral Universities

R1: Doctoral Universities (very high research activity) *Conferred at least 20 research/scholarship doctorates, reported at least $5 million in total research expenditures; level of research activity and per-capita research activity ranked as very high* • Public: Florida State University, Clemson University, Louisiana State University, Texas Tech University,The Ohio State University, The University of Texas at Austin, University of Mississippi, University of Virginia, Washington State University • Private not-for-profit: Cornell University, Duke University, Massachusetts Institute of Technology, University of Notre Dame • Private for-profit: No institutions fit the criteria for this classification.
R2: Doctoral Universities (high research activity) *Conferred at least 20 research/scholarship doctorates, reported at least $5 million in total research expenditures; level of research activity and per-capita research activity ranked as high* • Public: Idaho State University, Northern Arizona University, Rutgers University • Private not-for-profit: Brigham Young University, Howard University, Wake Forest University • Private for-profit: No institutions fit the criteria for this classification.
Doctoral/Professional Universities *Awarded at least 20 research/scholarship doctorates or awarded at least 30 professional practice doctorates across at least 2 programs* • Public: Alabama State University, University of Hawaii at Hilo, Valdosta State University, Western Carolina University • Private not-for-profit: Belmont University, William Woods University, University of Arizona – Global Campus • Private for-profit: Capella University, University of Phoenix-Arizona, Walden University

Source: Carnegie n.d.-d., Carnegie.

Table 1.7 Master's Colleges and Universities

M1: Master's Colleges and Universities: Larger programs *Awards 200 or more master's degrees* • Public: Chicago State University, Georgia College & State University, SUNY Brockport, University of North Alabama • Private not-for-profit: Ithaca College, National University, University of Dallas • Private for-profit: DeVry University-Illinois, Full Sail University, Strayer University-Virginia
M2: Master's Colleges and Universities: Medium programs *Awards 100 to 199 master's degrees* • Public: Delaware State University, Northern Michigan University, University of Arkansas at Monticello • Private not-for-profit: Franklin Pierce University, LeTourneau University, Tuskegee University • Private for-profit: American InterContinental University-Atlanta, ECPI University, Strayer University-Florida
M3: Master's Colleges and Universities: Small programs *Awards 50–99 master's degrees or fewer than 50 master's degrees with an Enrollment Profile of Exclusively Graduate/Professional or Majority Graduate/Professional with more graduate degrees awarded than undergraduate* • Public: Eastern Oregon University, Langston University, West Virginia State University • Private not-for-profit: Lake Erie College, Oklahoma Wesleyan University, Rocky Mountain College • Private for-profit: American InterContinental University-Houston, NewSchool of Architecture and Design, Strayer University-Pennsylvania

Source: Carnegie, n.d.-d., Carnegie.

As of 2019, 652 institutions in the United States, or 16% of the total number of institutions classified, were categorized as Master's Colleges and Universities (NCES, 2019a). Of these, 52% were classified as larger programs, 29% medium programs, and 19% small programs. In contrast to the distribution of doctoral universities, the number of private-not-for-profit master's colleges and universities exceeds the number of public master's colleges and universities (see Figure 1.3). In 2019, enrollment in Master's Colleges and Universities totaled over 3.8 million, with the majority (59%) of students attending public institutions (NCES, 2019a).

Baccalaureate Colleges

Baccalaureate colleges include institutions that award at least 50% of all degrees as baccalaureate degrees or higher and fewer than 50 master's degrees or 20 doctoral degrees awarded annually. Institutions within this classification are further divided into two groups (arts and sciences focus or diverse fields focus), based on the distribution of degrees awarded by field of study. Table 1.8 shows the parameters for each category, as well as examples of institutions classified within each category.

As of 2019, Baccalaureate Colleges totaled just over 500 in number, representing 13% of all institutions (NCES, 2019a). Over 75% of these institutions were private not-for-profit institutions (NCES, 2019a). Enrollment at Baccalaureate Colleges totaled over 800,000 students, 65% of which were attending private not-for-profit institutions (NCES, 2019a).

Table 1.8 Baccalaureate Colleges

Bac/A&S: Baccalaureate Colleges: Arts & Sciences
Of institutions that award at least half of their undergraduate degrees as bachelor's degrees—those with at least half of bachelor's degree majors in arts and sciences fields
• Public: New College of Florida, University of North Carolina at Asheville, Virginia Military Institute • Private not-for-profit: Beloit College, Furman University, Spelman College, Trinity University, Yellowstone Christian College • Private for-profit: No institutions fit the criteria for this classification.
Bac/Diverse: Baccalaureate Colleges: Diverse Fields
Of institutions that award at least half of their undergraduate degrees as bachelor's degrees—those not included in the Arts & Sciences group
• Public: College of Coastal Georgia, Montana State University-Northern, Nevada State College, SUNY College of Agriculture and Technology at Cobleskill, University of South Carolina Beaufort • Private not-for-profit: Johnson & Wales University-Charlotte, Kentucky Christian University, Marymount California University, Ohio Northern University • Private for-profit: Bay State College, DeVry University-Ohio, South University-Montgomery, The Art Institute of Atlanta, University of Phoenix-Nevada, Wade College

Source: Carnegie, n.d.-b., Carnegie.

Table 1.9 Baccalaureate/Associate's Colleges

Baccalaureate/Associate's Colleges: Mixed Baccalaureate/Associate's Colleges
Of institutions that award at least half of their degrees as associate degrees—those that conferred fewer than 90% associate degrees
• Public: Atlanta Metropolitan State College, Bellevue College, Northern New Mexico College • Private not-for-profit: Arkansas Baptist College, Saint Augustine College, University of Rio Grande • Private for-profit: Bryant & Stratton College-Buffalo, Huntington University of Health Sciences, Spartan College of Aeronautics and Technology
Baccalaureate/Associate's Colleges: Associate's Dominant
Of institutions that award at least half of their degrees as associate's degrees—those that conferred at least 90% associate's degrees
• Public: Cascadia College, Tacoma Community College, Tallahassee Community College • Private not-for-profit: Andrew College, City College-Miami, Pittsburgh Technical College • Private for-profit: Bryant & Stratton College-Albany, Laurus College, Western Technical College

Source: Carnegie, n.d.-b., Carnegie.

Baccalaureate/Associate's Colleges

Baccalaureate/Associate's colleges include four-year institutions that award more than 50% percent of degrees at the associate level. Institutions within this classification are further divided into two groups, based on distribution of degrees awarded: mixed baccalaureate/associate's colleges and associate's dominant colleges (Table 1.9).

As of 2019, there were over 200 Baccalaureate/Associate's colleges, representing 6% of all institutions (NCES, 2019a). Despite the relatively small number of institutions, this

classification of institution enrolled over 1.2 million students (6% of total enrollment) (NCES, 2019a). Sixty percent of institutions classified as Baccalaureate/Associate's colleges were public institutions (NCES, 2019a).

Associate's Colleges

Associate's Colleges represented nearly a quarter of all institutions in 2019 (NCES, 2019a). Public institutions make up the overwhelming majority of this classification, with 91% of institutions. Total enrollment at Associate's Colleges was just over 5.6 million, with 99% of students attending public institutions (NCES, 2019a).

Associate's Colleges are divided into "nine categories based on the intersection of two factors: disciplinary focus (transfer, career & technical or mixed) and dominant student type (traditional, nontraditional or mixed)" (Carnegie, n.d.-d). Institutions not meeting the Special Focus criteria (discussed in the following section) received additional analysis based on program and student mix to ensure appropriate classification in the Associate's Colleges categories. Program mix was determined by distribution of awards within three broad field categories (arts & sciences, professional, and career & technical). The percentage of degrees/certificates awarded in each of these areas was used to determine an institution's classification as high transfer, mixed transfer/career & technical, or high career & technical. The other half of the equation, student mix, is based on "proportion of total enrollment accounted for by" degree-seeking "students (as opposed to non-degree students), and the ratio of fall headcount to annual unduplicated headcount" (Carnegie, n.d.-d). Table 1.10 shows the parameters for each category, as well as examples of institutions classified within each category.

Table 1.10 Associate's Colleges

Associate's Colleges: High Transfer-High Traditional

35.8% or less of awards were in career & technical disciplines, student mix is largely traditional

- Public: Cleveland State Community College, College of the Sequoias, Houston Community College
- Private not-for-profit: Emory University-Oxford College, Shorter College, Valley Forge Military College
- Private for-profit: Atlanta Institute of Music and Media, Los Angeles Pacific College, South Hills School of Business & Technology

Associate's Colleges: High Transfer-Mixed Traditional/Nontraditional

35.8% or less of awards were in career & technical disciplines, student mix is mixed

- Public: Central New Mexico Community College, Northern Virginia Community College, Salt Lake Community College
- Private not-for-profit: No institutions fit the criteria for this classification.
- Private for-profit: Columbia College

Associate's Colleges: High Transfer-High Nontraditional

35.8% or less of awards were in career & technical disciplines, student mix is largely nontraditional

- Public: College of the Albemarle, Central Virginia Community College, McHenry County College
- Private not-for-profit: California Indian Nations College, Chatfield College, Jacksonville College-Main Campus
- Private for-profit: No institutions fit the criteria for this classification.

(*Continued*)

Table 1.10 (Continued)

Associate's Colleges: Mixed Transfer/Career & Technical-High Traditional

Between which 35.8% and 53.5% of awards were in career & technical fields, student mix is largely traditional

- Public: Baltimore City Community College, Ohio State University Agricultural Technical Institute, Southwest Mississippi Community College
- Private not-for-profit: MacCormac College
- Private for-profit: Colegio de Cinematografía Artes y Television

Associate's Colleges: Mixed Transfer/Career & Technical-Mixed Traditional/ Nontraditional

Between which 35.8% and 53.5% of awards were in career & technical fields, student mix varies

- Public: Central Alabama Community College, Luna Community College, Tidewater Community College
- Private not-for-profit: No institutions fit the criteria for this classification.
- Private for-profit: No institutions fit the criteria for this classification.

Associate's Colleges: Mixed Transfer/Career & Technical-High Nontraditional

Between which 35.8% and 53.5% of awards were in career & technical fields, student mix is largely nontraditional

- Public: Lewis and Clark Community College, Massachusetts Bay Community College, Western Piedmont Community College
- Private not-for-profit: No institutions fit the criteria for this classification.
- Private for-profit: No institutions fit the criteria for this classification.

Associate's Colleges: High Career & Technical-High Traditional

At least 53.5% of awards were in career & technical disciplines, student mix is largely traditional

- Public: Louisiana Delta Community College, Robeson Community College, Texas State Technical College
- Private not-for-profit: Harcum College, Johnson College, Williamson College of the Trades
- Private for-profit: Asher College, Bryan University, New Castle School of Trades

Associate's Colleges: High Career & Technical-Mixed Traditional/Nontraditional

At least 53.5% of awards were in career & technical disciplines, student mix is mixed

- Public: Albany Technical College, Ohlone College, Southern Arkansas University Tech, Western Dakota Technical College
- Private not-for-profit: City College-Hollywood, Community Care College, Remington College-Lafayette Campus
- Private for-profit: Fox College, Milwaukee Career College, National Career College

Associate's Colleges: High Career & Technical-High Nontraditional

At least 53.5% of awards were in career & technical disciplines, student mix is largely nontraditional

- Public: Chippewa Valley Technical College, Southeastern Technical College, Woodland Community College
- Private not-for-profit: Remington College-Cleveland Campus, Sunstate Academy-Jones Technical Institute, William R Moore College of Technology
- Private for-profit: Davis College, Elmira Business Institute, Stautzenberger College-Maumee

Source: Carnegie, n.d.-b., Carnegie.

Special Focus Institutions

Special Focus Institutions offer specialized degree programs, typically offering only a narrowly focused curriculum related to a single field of study, for example engineering or law (Carnegie, n.d.-d). Classification as a special focus institution is determined based on distribution of degrees awarded; institutions that awarded a large percentage of degrees/certificates in a single field are classified into a subset of Special Focus groups. Institutions are designated as Special Focus institutions if they meet any of the following criteria:

(1) awarding 75% or more of degrees/certificates in a single field (excluding general studies/humanities),
(2) providing 70–74% of awards in a single field and awards in two or fewer other fields, or
(3) providing 60–69% of awards in a single field and awards in only one other field.

(Carnegie, n.d.-d)

Table 1.11 Special Focus Institutions

Carnegie Basic Classification	Examples
Special Focus Two-year: Health Professions	Examples: Finger Lakes Health College of Nursing & Health Sciences, Meridian College, Universal College of Healing Arts
Special Focus Two-year: Technical Professions	Examples: California Institute of Arts & Technology, Tulsa Welding School-Tulsa, Wichita Technical Institute
Special Focus Two-year: Arts & Design	Examples: Louisiana Culinary Institute, New York Conservatory for Dramatic Arts San Francisco Film School
Special Focus Two-year: Other Fields	Examples: Elyon College, Pacific Bible College, Rabbinical College Beth Shraga
Special Focus Four-year: Faith-Related Institutions	Examples: Boston Baptist College, Calvin Theological Seminary, Hebrew College
Special Focus Four-year: Medical Schools & Centers	Examples: Albany Medical College, Lake Erie College of Osteopathic Medicine, Rocky Vista University
Special Focus Four-year: Other Health Professions Schools	Examples: Adler University, Appalachian College of Pharmacy, SUNY College of Optometry
Special Focus Four-year: Research Institution	Examples: Baylor College of Medicine, Mayo Clinic College of Medicine and Science, Rockefeller University
Special Focus Four-year: Engineering and Other Technology-Related Schools	Examples: California Aeronautical University, Neumont College of Computer Science, Orion Technical College
Special Focus Four-year: Business & Management Schools	Examples: Babson College, Menlo College, Walsh College
Special Focus Four-year: Arts, Music & Design Schools	Examples: Design Institute of San Diego, Ringling College of Art and Design, The Juilliard School
Special Focus Four-year: Law Schools	Examples: Appalachian School of Law, Massachusetts School of Law, University of California-Hastings College of Law
Special Focus Four-year: Other Special Focus Institutions	Examples: Beverly Hills Design Institute, Marine Corps University, VanderCook College of Music

Source: Carnegie, 2022.

As shown in Table 1.11, institutions within the Special Focus classification are further subcategorized based on level (two-year or four-year) and institutional program focus.

In 2019, nearly 1,100 institutions received the Special Focus designation (NCES, 2019a). In contrast to the Associate's Colleges which were largely public, special focus institutions the majority of Special Focus institutions were private institutions: 57% of special focus institutions were private not-for-profit and 38% were private for-profit (NCES, 2019a). Enrollment at Special Focus Institutions totaled over 776,000, representing 4% of all students enrolled (NCES, 2019a).

Tribal Colleges and Universities

Tribal Colleges and Universities constituted less than 1% of all Carnegie institutions and are classified based on institutional reporting status as a Tribal College to NCES and membership in the American Indian Higher Education Consortium (Carnegie, n.d.-d.). In 2019, there were 34 Tribal Colleges and Universities with a total enrollment of just over 16,000, representing 0.1% of all students enrolled (NCES, 2019a). Table 1.12 shows examples of institutions classified within tribal colleges and universities.

Carnegie Overall

The preceding detailed descriptions illustrate just one facet of the Carnegie system: the Basic Classification. The other classifications, while not as commonly employed, provide consistent means for grouping and comparing institutions based on an array of variables. As the definitive system of institutional classification in the United States, Carnegie Classifications are used by administrators, education researchers, educational systems, and a host of other organizations and individuals.

Key Institutional Quality Indicators

Despite the numerous categories of indicators that theoretically enable key stakeholders (prospective students, parents, administrators, researchers, legislators, media, etc.) to compare institutions, there is variation within each category. The remainder of this chapter focuses on quality indicators that key stakeholders can use to better understand institutions, as well as on unique management challenges related to improving those indicators.

Each year, millions of students attend college after exploring a variety of options to select the institution that best meets their academic and personal needs. There are common institutional quality indicators that influence prospective students and their families in this search. Also utilized by local, state, and federal governments, boards of regents/trustees, independent watch organizations, think tanks, and others, these indicators include academic selectivity, retention and graduation rates, and employment and job placement rates. An additional indicator, less often used by prospective students and parents but tracked by other aforementioned constituent groups, is the alumni giving

Table 1.12 Tribal Colleges and Universities

Tribal Colleges and Universities
Members of the American Indian Higher Education Consortium, as identified in the IPEDS Institutional Characteristics data
• Aaniiih Nakoda College, Fond du Lac Tribal and Community College, Navajo Technical University

Source: Carnegie, n.d.-b., Carnegie, 2022.

rate. Each of these indicators is discussed below with regard to the various types of institutions.

College Entry Indicators

Many colleges and universities utilize specific admissions criteria to determine if a prospective student has the potential to be successful at the institution. Typical quantitative entry criteria include high-school grade point average and have historically included standardized test scores (i.e., SAT or ACT).

Test-Optional Impacts

Although standardized test scores have long been a requirement for entry at many institutions, an increasing number of institutions are choosing to become test-optional, allowing students to decide if they wish to submit test scores for consideration as part of their admissions materials. The rise in the number of institutions going test-optional was greatly accelerated in 2021 by COVID-19. Common App reported that 89% of its participating 900 institutions did not require test scores; in the prior year, only a third of participating member institutions reported being test-optional (Kelliher, 2021). Although an institution may be considered test-optional, a College Board survey of test-optional institutions found that nearly 80% of applicants opted to submit test scores for consideration, even though they weren't required (College Board, 2019).

Test-optional is not a new phenomenon. Even before the pandemic of 2020, some colleges and universities had adopted a test-optional policy. A 2015 article found that

> A growing number of schools – about 850 and counting -- no longer require applicants to submit their scores. And college officials say that a test-optional policy helps them attract strong applicants that may not have previously applied – including students of color, and those from low income families.
>
> (Lobosco, 2015, p. 1)

Wake Forest University in North Carolina was among the early adopters to have a test-optional policy, in 2008 (FairTest, 2022). Ten years later, Wake Forest University shared some of its findings and experiences (Jaschik, 2018):

- "About 30 percent of students don't submit scores.
- Since the university went test optional, undergraduate applications have increased from 9,050 in 2008 to 14,006 last year.
- Underrepresented minority applicants are more likely than others to opt not to submit scores.
- Diversity has gone up in the years of test-optional admissions. The last class admitted with tests required had 18 percent of its students from underrepresented minority groups. By last year, that figure was up to 29 percent.
- No differences have been found in academic performance (grades) of students on the basis of whether they submitted scores.
- In the last class for which data are available, the graduation rate – 87 percent – was identical for those who submitted scores and those who did not.
- In the last class for which data are available, freshman retention (returning for second year) was marginally higher for those who did not submit scores than for those who did (94 percent versus 93 percent)."

Wake Forest University is not the only institution that has seen positive outcomes from a test-optional policy before the pandemic (Syverson, Franks & Hiss, 2018). The pandemic and social justice movements have accelerated test-optional policies. The University of California System, which includes 10 campuses with over 280,000 students, announced by UC Provost Brown in November 2021 that the "UC will continue to practice test-free admissions now and into the future" (Wantanabe, 2021, p. 1).

Qualitative Indicators

Qualitative indicators such as high-school curriculum rigor and quality, extracurricular activities (e.g., clubs, sports), employment, and letters of recommendation may also factor into admissions decisions. Each of these admission entry indicators has an administrative and financial impact on higher education institutions. Research (Braxton, 2000; Camara & Kimmel, 2005; Heller, 2002) has shown that students who are more academically qualified are more likely to achieve academic success. More and more institutions are taking a wholistic approach to admissions application review by considering more qualitative indicators – and substantially reducing the emphasis placed on standardized test scores.

Open Admissions Institutions

Institutions without admissions criteria are referred to as open-access colleges and universities. As the term suggests, these institutions permit access to all students who show a willingness to enroll in college and have the ability to pay for it through financial aid and/or other funding means. Open-access institutions do not review prior academic history or standardized test scores for admissions purposes but often utilize that information when advising students on course selection.

In the fall 2019 IPEDS Institutional Characteristics Survey, 1,758 U.S. degree-granting institutions reported having an open admissions policy for all or most entering first-time undergraduate-level students. Of those institutions, 68% were at least two- but less than four-year institutions and 32% were four- or more year institutions (NCES, 2019b). When viewed by control type, 59% of open-access institutions were public, 28% were private for-profit, and 14% were private not-for-profit institutions (NCES, 2019b).

Administrative and Financial Impact

While the number of applications for admission is an indicator of interest, even more so is the number of accepted students, as it reflects how many interested students have met an institution's admissions requirements. Another key figure, and arguably the only one that matters, is the actual enrollment of students in the institution. The more precise that an institution can be in enrolling students who are likely to graduate, the fewer administrative and financial resources the institution expends unnecessarily. Concentrating their financial and administrative resources on assisting students in obtaining a degree allows institutions to invest in student success rather than replacing students who have transferred or dropped out.

Retention and Graduation Rates and Outcome Measures

Retention and graduation rates are corollaries of college entry indicators. Both of these measures are based on tracking by entry year the progression of students who enter college for the first time; this is referred to as the cohort entry year. For example, students who entered college for the first time (had no prior college experience after high

school) in fall 2021 would be referred to as the 2021 cohort for retention and graduation purposes. Students who are transfer-in are not included in traditional federal retention and graduation rate measures. Additionally, graduate students are excluded from federal student success measures.

According to federal definitions, retention is defined as:

> A measure of the rate at which students persist in their educational program at an institution, expressed as a percentage. For four-year institutions, this is the percentage of first-time bachelor's (or equivalent) degree-seeking undergraduates from the previous fall who are again enrolled in the current fall. For all other institutions, this is the percentage of first-time degree/certificate-seeking students from the previous fall who either re-enrolled or successfully completed their program by the current fall.
>
> (NCES, n.d.)

Graduation rates (for four-year institutions) are typically calculated at two intervals: four years after initial enrollment and six years after initial enrollment. These rates are calculated by dividing the number of first-time, full-time degree-seeking students completing their program within a four- and six-year time frame by the number of first-time, full-time degree-seeking students who began enrollment in a particular year (cohort) (NCES, n.d.). For example, six-year graduation rates for first-time, full-time students who entered college in fall 2014 are not reported by institutions until six years from the initial cohort enrollment have passed (2020).

Although retention and graduation rates focus on measuring the progression of first-time, full-time students, NCES collects outcome progression data on non–first-time, full-time students via the Outcome Measures (OM) survey. OM is different from other IPEDS surveys in that it collects award and enrollment data from degree-granting institutions on awards made to all undergraduate students within a six- and eight-year period, employing a broader definition than traditional success measures that include only first-time, full-time students. The survey collects award data on a wider swath of students including part-time, first-time; full-time, non–first-time (e.g., transfer students); and part-time, non–first-time, as well as first-time, full-time students. The collection of data for these additional student groups addressed a common complaint among higher education professionals that IPEDS data only counted outcomes of first-time, full-time student cohorts, excluding the increasingly substantial population of nontraditional students. Unfortunately, graduate students are still excluded from OM.

While more than 40 years of research (Braxton, 2000; Heller, 2002; Tinto, 1993) have established links between college entry indictors, retention rates, and graduation rates, those links were based on data drawn exclusively from first-time, full-time students. The American Institutes for Research estimated in a 2016 report that "51.2% of entering students were ignored by the IPEDS graduation rate from 2004 to 2013 (approximately 24,500,000 students)" (Soldner, Smither, Parsons, & Peek, 2016, p. 11).

As retention and graduation rates are measures of institutional efficiency and effectiveness, they are often monitored by prospective students and their parents, boards of regents/trustees, state legislators, federal legislators, think tanks, and interest groups. However, there has been more and more interest among these groups to broaden the scope of students counted in graduation rates. The Student Achievement Measure (SAM) responded to that demand in 2013 by:

> tracking student movement across postsecondary institutions to provide a more complete picture of undergraduate student progress and completion within the higher education system. SAM is an alternative to the federal graduation rate, which is limited to tracking the completion of first-time, full-time students at one institution.
>
> (Student Achievement Measure, 2016, p. 1)

As evidenced by national efforts such as SAM in 2013, the addition of the IPEDS OM survey in 2016, and the American Institutes for Research's study in 2016 (Soldner et al., 2016), there is growing momentum to report on all students. This trend will likely continue, generating more data for research and thus allowing for a greater understanding of the factors that influence success in all students.

Although implementation of the OM and SAM have improved the breadth of data available to help students and administrators make informed choices, there remains a need for consistent outcomes data related to career attainment and earnings. Implementation of the College Scorecard by the Department of Education sought to increase transparency of data related not only to traditional metrics such as retention and graduation rates, but also data on average cost of attendance and salary after graduation by field of study (College Scorecard, 2021). While this represents an advancement in transparency, some researchers advocate for the introduction of standardized reporting of more detailed job-outcome data, broken down by major, for all institutions (Desai, 2019).

Administrative and Financial Impact

Colleges and universities are held accountable for offering students an opportunity to complete a quality program of study that prepares them for the job market in a timely manner. The question remains whether retention and graduation rates are valid measures of gauging an institution's success in providing students with a quality education and preparing them for employment, since these rates do not count or reflect the success of all students. Per federal definitions, retention and graduation rates are based solely on the success of entering traditional freshmen. This can present a challenge for institutions where this cohort accounts for only a small percentage of the students.

However, for institutions where a large proportion (75%+) of enrollment is comprised of first-time, full-time students, these rates are a good measure of quality. As many as "20 percent of the bachelor's degree recipients who start in a four-year school earn the degree from a different four-year school" (Adelman, 2007, para. 7) and are not included in institutional retention and graduation rates. According to the Department of Education, "roughly half of traditional-age undergraduates are excluded from the Education Department's calculation of graduation rates" (Adelman, 2006, p. 57), which is consistent with the findings of the American Institutes for Research (Soldner et al., 2016).

With such variance among institutions, it is unlikely that retention and graduation rates are universally appropriate measures of efficiency and effectiveness. Institutions that have higher retention and graduation rates, which are highly correlated with more academically qualified students, are viewed as being more efficient and effective than community colleges that educate students who would not qualify for admission to a selective institution. As a result, administrators at lower-tiered institutions who focus on increasing retention and graduation rates may be working against stacked odds and may be better off channeling efforts and resources toward other student progression metrics, such as course completion or certificate completion.

Impact on Doctoral Institutions

Doctorate-granting universities, the most selective of all postsecondary institutions, are large institutions that offer a wide array of degree programs and extracurricular opportunities that appeal to prospective students. As a result, these institutions tend to receive considerably more applications for admission than they can accommodate. This allows them to be selective and offer admission only to the most academically qualified applicants, who tend to graduate at higher rates than students at lower-tiered institutions.

Administrative and Financial Impact on Doctoral Institutions

Not only do doctoral institutions typically enjoy above-average retention and graduation rates because they attract and recruit the most academically qualified students, but their ability to predict, and in some cases cap, the number of entering students enables them to select the best applicants for the slots available. On its face, this ability to select a limited number of the most highly qualified applicants may seem ideal; however, if the number of students entering the institution is restricted, so too is the revenue stream generated by tuition, and in the case of state institutions, state appropriations.

Impact on Master's and Bachelor's Institutions

While master's and bachelor's institutions are often less selective than doctoral institutions, they often offer degree programs in specific areas such as education, liberal arts, or nursing, as well as clubs, sports, and other nonacademic activities, albeit on a more limited scale than at doctoral universities. Since these institutions tend to focus their recruitment efforts on a specific region, they generally receive fewer applications than doctoral institutions; however, their acceptance rates are usually higher due to lower admissions requirements.

Administrative and Financial Impact on Master's and Bachelor's Institutions

Master's and bachelor's institutions face a different set of administrative and financial impacts than doctoral universities. One issue unique to these institutions is the challenge of retaining students who enroll with the intention of transferring to a doctoral university. Students unable to meet the admissions criteria at a doctoral university will often enroll at a master's or bachelor's institution with the goal of transferring to their "first-choice school." And given that many institutions have implemented articulation agreements and state-wide common course numbering, a number of barriers to transferring have been eliminated or reduced, thus increasing the likelihood that students will transfer from one four-year institution to another. This has a domino effect on the second institution's indicators of success, as a student who transfers is not included in its retention and graduation rates. Additionally, there is a financial impact on the institution, which must increase its recruiting efforts. For an institution to realize an increase in the incoming cohort, it must replace the number of students lost to transfer and increase enrollment beyond that number.

Impact on Community Colleges and Technical Institutions

Community colleges and technical institutions educate students in liberal arts and technical/trade areas. They are often referred to as "access institutions" because their graduates gain access to bachelor's (or higher) degree-granting institutions that they would not have been able to attend otherwise. Admission and entry indicators are virtually nonexistent for these colleges, which do not require standardized test scores and generally have

an open admissions policy. Additionally, many of their students do not fit the cohort definition, having transferred in or are attending part-time, and thus are not counted in federal retention and graduation rates. Rather, many community colleges and technical institutions measure their success by focusing on the rate at which students transfer to a four-year institution and obtain a bachelor's degree.

Administrative and Financial Impact on Community Colleges and Technical Institutions
While individual student entry indicators are not evaluated for admissions due to the open admissions policy, community colleges and technical institutions are still accountable for their retention and graduation rates. Typically, these rates capture approximately 20% of their student population (Adelman, 2007), making it difficult to measure institutional and student success accurately. While community colleges receive "credit for students who transfer … the four-year colleges to which they transfer get no credit when these transfer students earn a bachelor's degree, as 60 percent of traditional-age community college transfers do" (Adelman, 2007, para. 7).

UNIQUE MANAGEMENT CHALLENGES

While the various types of institutions have much in common, each has its own unique management challenges. The remainder of this chapter focuses on these challenges, some of which are discussed in greater detail throughout the book.

Unionized vs. Non-Unionized Institutions

Unions and the role they play in higher education vary from state to state. In some states, institutions are heavily influenced by unions, which may have an important hand in their administration and internal and external financing; in other states, unions do not even exist. Unions can include faculty as well as staff (e.g., police, physical plant employees). This section outlines the advantages and disadvantages of unionization. One advantage is that unions adhere to a thoroughly vetted set of rules and policies, which university administrators can utilize to govern the institution. In the absence of unions, university administrators must negotiate policy changes and implementation with faculty and staff, spending a substantial amount of time obtaining their input and meeting with leaders to discuss options.

Alternatively, the rules and policies governing unions may be inflexible and minimize an institution's ability to quickly take advantage of, or respond to, economic or environmental changes. While a nonunionized institution that allows for quick action may sound appealing, flexibility brings its own challenges. Administrators who implement changes too quickly are often criticized for not fully vetting the consequences and may be asked to step down (e.g., Carlson, 2011; Fain, 2008a, 2008b, 2010; Stripling, 2011).

Location

Institutional location has significant administrative and financial implications. Colleges and universities in poorer, rural, low-technical areas may lack the philanthropic resources that many other institutions rely on. An urban campus can quickly become landlocked, requiring the purchase of new property and buildings. It is important to note that institutions located within smaller cities can also be landlocked. In this context, being "landlocked" means that the institution faces challenges in obtaining land contiguous to its campus at fair market value.

Student Body Composition

The composition of the student body greatly impacts the administration and financing of institutional operations. Colleges and universities with high retention and graduation rates typically have a relatively stable and predictable freshman cohort. These institutions are thus able to plan for the number of courses and seats freshmen will need, increasing or decreasing programs and services based on the size of the incoming class.

Many institutions admit transfer students, which complicates administrative and financial operations. For example, as transfer students often have completed some general education courses toward their degrees, they require upper-division courses, which tend to be more expensive because of the need for smaller classes and require a greater investment on the part of the institution.

Housing and Students Living on Campus

Residential housing presents unique financial challenges, be they related to new construction in response to increased demand or the need to ensure sufficient facilities for the existing student body. There is a positive correlation between on-campus living and higher retention and graduation rates (Pascarella & Terenzini, 2005). With the increased enrollment experienced by many institutions, it should come as no surprise that on-campus housing capacity has risen from nearly 2.8 million to 3.2 million (15%) over a 10-year period from fall 2009 to 2019 (NCES n.d.-c). The Carnegie size and setting classification includes three residential classifications:

- *Highly residential*: "at least half of degree-seeking undergraduates live on campus and where at least 80% attend full-time" (Carnegie, n.d.-f.).
- *Primarily residential*: "25–49% of degree-seeking undergraduates live on campus and at least 50% attend full time" (Carnegie, n.d.-f.).
- *Primarily non-residential*: "fewer than 25% of degree-seeking undergraduates living on campus and/or fewer than 50% enrolled full-time" – includes students who live near campus, commute to campus, and are enrolled via distance education.

(Carnegie, n.d.-f.)

While retention and graduation rates may be increased through on-campus housing, so too are liability and administrative challenges. Campuses without housing facilities close each day when the last class concludes, whereas residential campuses remain open throughout the year and around the clock.

CONCLUSION

The large number of colleges and universities necessitates the collection of multiple variables, hence the creation of classifications for comparison purposes. Analysis of annual data allows us to identify patterns and trends at higher education institutions and among the students they serve. These patterns and trends have been disrupted by the pandemic and social justice movements. Given the recency of these events, we are only beginning to see early signs of the impacts. As a result, the data prior to 2020 may provide little value for understanding or predicting the future for higher education.

DISCUSSION PROMPTS

1. In terms of classification, which type of institution appeals to you most as an administrator, faculty member, staff member, undergraduate student, or graduate student? Does your choice vary based on the role you consider? Why?
2. Institutions are grouped by characteristics so as to better understand the sets of institutions. While the Carnegie Classification system provides a comprehensive set of categories, are there other grouping categories that might be beneficial?
3. Identify three opportunities and threats for each institutional sector: public, private not-for-profit, and private for-profit.
4. In what ways do key quality indicators influence the institutional mission? What quality indicators does your institution use to measure progress?
5. What are two ways in which institution location might influence institutional operations?
6. Identify innovative opportunities for responding to financial challenges (e.g., pandemics, natural disasters) and improving student completion.
7. Find your institution's standardized testing policy. How does the policy promote diversity? What changes should/could be made to the policy to further reduce biases against minority and low-income students?
8. What are the advantages and disadvantages for each institution type in setting tuition policies? Do advantages and disadvantages change depending on perspective (i.e., administrator, faculty, staff, or student)?
9. What are some potential challenges for moving from one classification type (e.g., Carnegie Classification, sector) to another?
10. What institutional types make the most financial and administrative sense for partnerships? Why? What potential challenges could arise from collaboration?

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